S&W Technologies

Software that changes the way you work.

GUARDIAN
SAFETY SOFTWARE SYSTEM

Product Overview

Executive Summary

Our customers continue to choose S&W Technologies software to keep their employees safe while streamlining processes across safety, maintenance, quality, construction, and transportation departments. In fact, 80% of nuclear power plants across North America have implemented one or more of our best in class safety software products to manage safety observations as well as radiation protection compliance to reduce employee injuries and fatalities.

Guardian's state of the art mobile app platform has been designed to identify and mitigate workplace risks in real time. Below are a few critical success factors to carefully consider when evaluating safety software:

Guardian Critical Success Factors

Injury Elimination: Guardian has been designed from the ground up with one goal: Eliminate employee injuries and fatalities. Our mobile app platform allows employees to record observations and submit corrective actions in real-time. The dashboard and reporting system is easily configured to immediately identify risks before injuries occur. S&W works with clients to identify key indicators that can be monitored by our business intelligence module to proactively notify management of safety alerts before injuries occur.

Ease of Use: From a user perspective, Guardian is the easiest system on the market. Ease of use translates to rapid implementation and high user satisfaction rates. Our customers confirm that ease of use is the number one critical success factor for employees recording high quality safety observations. Our users promote Guardian's ease of use to their colleagues, which facilitates a greater participation rate and enhances the overall safety culture.

Flexibility: Guardian can be configured to accommodate any safety, inspection, or audit process. An unlimited number and variety of checklists can be easily created and maintained by the designated Administrator to accommodate continuous improvements as well as problem areas. Our utility customers typically begin with their standard safety checklist covering behaviors and conditions but quickly realize that Guardian also supports other audits and inspections required for plant outages and maintenance. The Human Performance Lead at Pacific Gas & Electric Diablo Canyon Nuclear Plant states that the Guardian Mobile App Platform facilitated their best safety and inspection results during an outage to date.

Scalability: Guardian is designed to scale easily with zero impact to the business. The system can be configured to support a single location up to an enterprise-wide implementation with complete continuity. The system supports up to twelve levels of an organizational hierarchy including independent operating company segregation while maintaining the ability to monitor key indicators across the entire enterprise.

Integration: Large-scale implementations require systems integration to ensure both organizational hierarchies and employee information remain synchronized without manual data entry. Guardian supports data imports from any HR system including PeopleSoft, SAP and others. Single Sign-On (SSO) is also available which allows employees to use their existing corporate username and password to access Guardian. S&W worked closely with one of the world's largest Oil & Gas Services company to successfully implement HR and organizational integration for over 60,000 employees worldwide.

Security: Guardian is a hosted Software-as-a-Service platform and as such, adheres to the most stringent data security standards. S&W Technologies is extremely responsive to customer IT data security departments to ensure Guardian passes their annual security audits. All of our customers require confirmation that their data is never "co-mingled" with other customer data.

In summary, Guardian is the quickest and easiest way to eliminate employee injuries. Our customers renew their license year over year and continuously drive additional business value by expanding the use of Guardian from safety to maintenance, quality, construction, and transportation departments.

"SOFTWARE THAT REDUCES EMPLOYEE INJURIES & FATALITIES"

The *Guardian Safety Software System* captures, tracks, and reports on safety observations, and Inspections for behaviors and conditions. Record using any web browser or mobile device.

The *Guardian Dashboard and Reporting* system alerts management before incidents occur. Schedule reports to be delivered to your inbox.
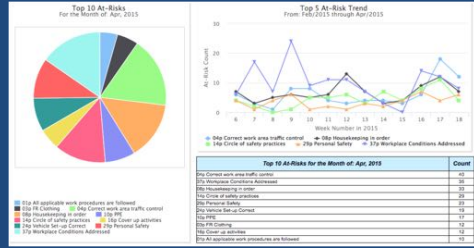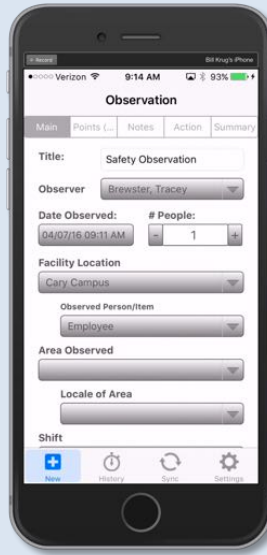
WELCOME SCREEN
Our Mobile app (iOS/Android) comes bundled with the Guardian 2.0 platform and is available at your app store. Login and use online or completely offline.
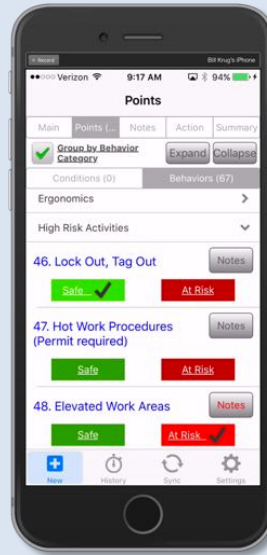
ORGANIZATIONAL FILTERS
Up to 12 levels of your organizational hierarchy may be configured to capture, track and report on observations, audits and inspections.
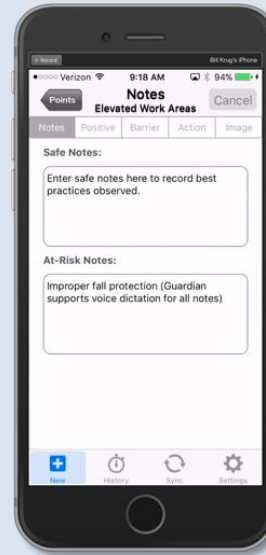
CUSTOMIZABLE CHECKLIST
Create an unlimited variety of custom checklists. Expand and collapse categories of behaviors and conditions. Record single or multiple safes and at-risks
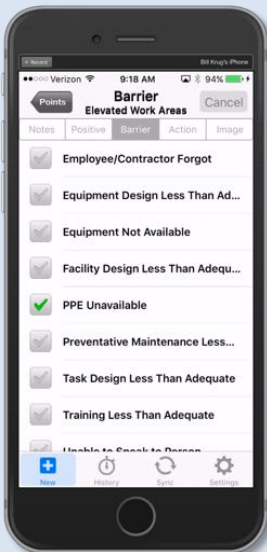
SAFE / AT-RISK NOTES
Use voice to text dictation to easily record detailed notes for at-risk items. Enter safe notes to document best practices observed.
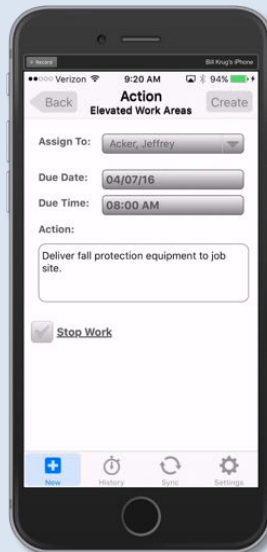
BARRIERS / ROOT CAUSE
Create "Barriers" or "Causitive Factors" and associate them with checklist items. The barrier report will assit in determining corrective actions to mitigate risk.

CORRECTIVE ACTION ITEMS
Assign corrective actions or "Stop Work" flag for the whole observation or for individual at-risks. Notification and reminder system ensures visibility.

PICTURE ATTACHMENTS
Use your built-in camera or choose from your photo gallery. Attach pictures for the overall observation or at an individual point line item level.
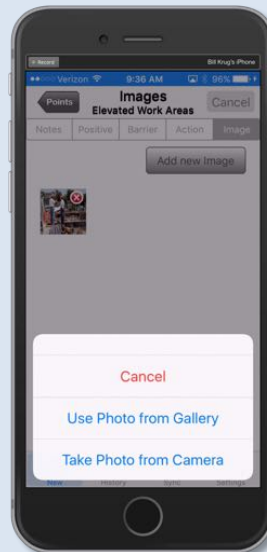
GPS LOCATION SUPPORT
Tag observations with a GPS location. The Guardian mapping report overlays color-coded safes and at-risks across your geographical region.

Below is a high-level listing of standard and optional Guardian Observation System features Reports and Dashboards.

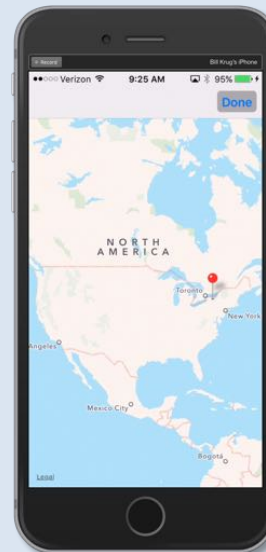| Guardian Enterprise 2.0 Feature Set Matrix	
Safety Observation / Inspection Capture Methods	
Web Browser Based Capture	✓
Mobile Apps *(capture online/offline with iOS and Android devices)*	✓
Guardian System & Data Management Features	
Company Hierarchy Management *(create and manage organizational structures for reporting)*	✓
User Role Management *(assign security levels, groups, and company hierarchy)*	✓
Checklist Template Management *(create an unlimited number and variety of checklists)*	✓
Barrier, Severity Level, and Positive Goal Management *(reduces need for free-form notes)*	✓
Terminology Management *(configure key terms/labels in Guardian to meet your vernacular)*	✓
Configurable User Welcome Page *(manage end-user content/messages and web links)*	✓
System Settings *(configure feature availability and required fields)*	✓
Action Item Management System *(assign and track action items to closure)*	✓
Safety Data Retention *(Guardian retains and manages all historical company safety data)*	✓
Multi-Corporate Website Management *(manage enterprises with multiple Operating Cos)*	
Standard Reporting Features	
Standard Reports *(KPI areas: Participation, Safety Metrics/Trending, Action/Follow-up)*	✓
Report Scheduler *(save report criteria and schedule for automated email distribution)*	✓
Report Group Management *(assign and manage report sets for diverse user groups)*	✓
Ad-Hoc User Custom Reporting and Dashboards	✓
System Integration Options	
Excel template based employee / observer HR import *(for one-time initial setup)*	✓
Org Hierarchy Structure Integration *(company structure synchronized with customer's system)*	Optional
HR Integration *(employee & reporting structure info synchronized with customer's HR system)*	Optional
Single Sign On *(log into Guardian using your existing company username and password)*	Optional
Guardian Safety Data Export *(export "source of record" safety data to customer's system)*	Optional
Data Security Standards Compliance	
FISP 199 *(meets requirements of the Federal Information Security Management Act-FISMA)*	✓
NIST 800-53 *(meets requirements of National Institute of Standards and Technology)*	✓

Guardian Standard Reports

Tabular Reports	Purpose
All Action Items	Listing of the action items logged for the site. Observers will see action items assigned to them while Administrators and Managers will see all action items.
Action Plan	Top 3 At-Risks listed on a worksheet that provides for developing a plan for remediation
At-Risk Summary	Listing of the At-Risk Behaviors and Conditions, with each ranked from highest count to lowest count.
Observation List Report	Listing of the observations in the system. Similar layout to the Observation List page in Guardian
Observation Details Report	Concise listing of the contents of the designated Observation. This is a "Drill-Down" report from the Observation List Report, but can also be run separately.
Observation Summary	Displays summary information for the Observations returned for the parameters selected.
Observation Point Summary	Displays information about the Points tallied in each of the Observations returned for the parameters selected.
Observation Totals	Provides summary count data for the Observations that were returned for the time period and the other parameters selected.
Positives Summary	Listing of the Positives and the Points where they were selected and the number of times selected for each Point.
Chart Reports	**Purpose**
At-Risk Summary and Trend	Combined chart showing a list of the top 10 At-Risks, a pie chart showing their distribution and the trend for the top 5 At-Risks over the selected time period
Barrier Summary and Trend	Combined chart showing a list of the top 10 Barriers, a pie chart showing their distribution and the trend for the top 5 Barriers over the selected time period.
Monthly Observation Usage	Line chart showing the number of Observations performed each month over the time period selected
Percent At Risk Trend	Trend graph of the percent At-Risk over time
Percent Safe Behavior	Trend graph of the percent Safe for the selected Behavior or Condition over time.
Percent Safe Trend	Trend graph of the percent Safe over time.
Week to Week	Combined chart of number of Observations and percent Safe over time.

Grid Reports	Purpose
Observation Comments	Listing of the General notes and follow-up notes for the Observations
Observation Point Comments	Listing of At Risk and Safe notes for Observations (At the Point Level). Includes an option to only display At-Risk notes.
Observer Participation by Category	Displays a grid with one row per observer and one column for each month of the selected year. The "monthly" columns display the count of the number of Observations completed by the observer each month. Annual totals are provided for each observer and monthly totals are provided for all observers. Report can be run for selected Category entries.
Observer Participation by Group	Displays a grid with one row per observer and one column for each month of the selected year. The "monthly" columns display the count of the number of Observations completed by the observer each month. Annual totals are provided for each observer and monthly totals are provided for all observers. Report can be run for selected Group entries
Percent Participation by Category	Displays a grid with one row per Category1 and/or Category2 value and one column for each month of the selected year. The "monthly" columns display the percentage of the Observers belonging to the "row" that completed an observation during the month
Percent Participation by Group	Displays a grid with one row per Group value and one column for each month of the selected year. The "monthly" columns display the percentage of the Observers belonging to the "row" that completed an observation during the month
Mobile Observation Map Report	Map report showing the location of observations completed with the Guardian mobile app. Color coded pins for safe and at-risk observations are overlaid on a Google Maps plugin.

Guardian Hosted Software System Deliverables

See Guardian Safety Observation System Feature Sets for details. Below are key deliverables.

New Customer Kickoff Call

- ✓ Stakeholder Roles & Responsibilities defined
- ✓ Finalize Site Setup Criteria for Organizational Hierarchy and Checklist Template

Guardian Secure Production Install

- ✓ Guardian Software Installation
- ✓ Site Setup & Configuration
- ✓ ***Optional Data Integration Module (See HR Integration Module Requirements)
        HR Employee Data Import File Import Setup
        Organizational Hierarchy File Import Setup
        Single Sign On (SSO) Setup using SAML 2.0
- ✓ End to End Quality Assurance

Training Session 1 (System Administration) 1 hr session

- ✓ Definition and partial setup of Categories, Point Categories, Points, Checklists and Users
- ✓ Customer access granted
- ✓ Customer then works to complete setup of above items
- ✓ Schedule Training Session 2

Training Session 2 (Observer) 1 hr session

- ✓ Web based data entry
- ✓ Mobile capture
- ✓ Basic Reporting
- ✓ Schedule Training Session 3

Training Session 3 (Reporting) 1 hr session (Will occur at least 2 – 4 weeks after go-live)

- ✓ Observation System Reporting (See Guardian Standard Reports for details)
- ✓ Safety Dashboards
- ✓ Report Scheduling

Appendix A: Optional HR Integration Module Requirements

The Guardian Observation System ETL (Extract Translate & Load) process enables customers to send data files to our Secure FTP site which then are imported by the Guardian hosted data base. In addition, SSO (Single Sign On) is available to allow Guardian users to credential against their existing corporate network username and password. HR Integration is optional as Guardian can run completely stand-alone.

Below are the high level HR Integration Requirements. Technical specifications will be finalized following a customer kickoff and project initial call.

Data File Formats: The Guardian ETL process requires Pipe Delimited (e.g. "Field#1|Field#2") data files for both HR employee data and corporate organizational hierarchy data.

Data Transfer: S&W Technologies will provision a secure FTP site and provide customer with access credentials. The Guardian ETL process typically accepts data file updates monthly but can run weekly if required.

SSO Single Sign On: Guardian supports SAML 2.0 implementations of SSO which will also require a customer-based federation services.

Customer Deliverables: The customer deliverables detailed below are required prior to S&W Technologies beginning configuration and development.

- ✓ Points, Point Categories defined
- ✓ Sample Checklist(s) defined
- ✓ Company/Site Name & Corporate Logo Image
- ✓ Corporate Hierarchy defined - Physical & Logical representation (i.e. Region, Location, Dept, Shift)
  - Up to 6 Categories by up to 6 Sub-Categories
- ✓ Production-Ready Data files for HR and Hierarchy
- ✓ Three test SSO user accounts for use by S&W Technologies Technical Team

Appendix C: S&W Management Team

S&W Technologies has over two decades of experience creating easy-to-use, high value safety software solutions that improve operational and safety conditions for nuclear plants, commercial and industrial facilities, and educational institutions. Our behavior based safety software solutions are highly flexible and provide documented cost and time savings and reduce workplace injuries by improving the customer's business process.

James Wierowski, CEO

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Phone: 585.787.9799 ext. 101

James V. Wierowski, Ph.D., S&W Chief Executive Officer and co-founder, is a seasoned, accomplished business and technology leader. Dr. Wierowski has extensive experience developing comprehensive yet easy-to use business enhancement technology systems and a vision to lead S&W's product development and support teams.

Dr. Wierowski has over 30 years of experience working with a wide variety of industries, educational institutions and all levels of government to ascertain their information management needs and then develop solutions that fit those needs. In 1984, Dr. Wierowski co-founded MJW Corporation and led its Information Technology division to develop performance support technology solutions that are now in use by half of the nuclear power stations across the United States and the major US Department of Energy sites.

Dr. Wierowski spun off the MJW Information Technology Division into S&W Technologies. He brought to S&W the customers of the MJW software products, the MJW software products themselves, the very talented staff that developed those products as well as a vision to take the products to the next level. He will lead the development teams of S&W, which have as their primary mission to meet the needs and expectations of our customers.

Prior to his ownership of MJW Corporation, Dr. Wierowski spent 7 years in the nuclear power industry and 4 years in basic science research at the University of Buffalo and the University of Rochester. He received his Ph.D. from the University at Buffalo in 1980. Jim enjoys family activities, woodworking, gardening and sailing.

Ralph Servati, President

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Phone: 585.787.9799 ext. 102

Ralph Servati, S&W President and co-founder, is a seasoned, accomplished sales and marketing leader. Mr. Servati has global account management and service delivery business acumen and leads S&W's sales, customer relationship management, and partner relationship development teams.

With over 30 years of leadership experience working in and with fortune 500 companies, Mr. Servati brings a track record of "thinking out-of-the-box" logic to develop solutions that meet our customer needs. These solutions have led to significant savings to our client base both at a site and corporate level. A resilient, accomplished and entrepreneurial-minded leader, Mr.Servati's efforts in moving S&Ws products and technologies into various markets and industries has established S&W as the premier supplier of these industry solutions.

Mr. Servati attended Monroe Community College for electronic technology and Rochester Institute of Technology for Business Management.

Bill Krug, VP

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Phone: 585.787.9799 ext. 103

Bill Krug has over 30 years of experience in custom software development, project management, business operations, and sales. Responsible for major accounts, Bill's focus is aligning S&W solutions to customer driven safety processes to prevent workplace injuries and fatalities.

He designed and coded many enterprise software systems for fortune 500 companies in the '90s prior to becoming a major accounts sales director for a global IT managed services company.

Bill is a graduate of SUNY Brockport degreed in Computer Science and Business Administration and in his spare time, enjoys running and skiing in the Finger Lakes region of New York.