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COMMISSIONERS
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Debra A. Howland

THE STATE OF NEW HAMPSHIRE

JAN 11 '19 AM 9:52 DAS



PUBLIC UTILITIES COMMISSION
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His Excellency, Governor Christopher T. Sununu
and the Honorable Executive Council
State House
Concord, New Hampshire 03301

January 9, 2019

Requested Action

Authorize the Public Utilities Commission (Commission) and the Department of Information Technology to enter into a **SOLE SOURCE** contract with Spruce Technology Inc., of Clifton, NJ (Vendor Code 281339) in an amount not to exceed \$68,806.00 to replace, implement and enhance the database supporting the Commission's Underground Damage Prevention Program (DigSafe Program) effective upon Governor and Council approval through December 31, 2019, with an option to extend up to two (2) times for two (2) years each upon consent of both parties and Governor and Council approval.

Expenditures will be derived from 100% Other (Agency Class 27) Funds. The Agency Class 027 used by the Commission to reimburse DoIT is 100% Federal Funds.

SFY	CAT#-DEPT#-AGENCY#-ACTIVITY#-ACCTG UNIT#- DEPT NAME -ACCTG UNIT NAME CLASS-OBJECT ACCOUNT DESC	JOB #	Amount
2019	01-03-03-030010-76810000 DoIT- IT for PUC 046-500465 Consultants	03810049	\$68,806.00

EXPLANATION

The Commission respectfully requests approval of a **SOLE SOURCE** contract with Spruce Technology Inc. (Spruce) to develop a replacement database for the Commission's DigSafe Program that captures and tracks violations and associated civil penalties. The Commission contracted with Spruce on a sole source basis for the following reasons. Spruce was contracted by the Commission in 2018 after a competitive solicitation to develop a database for its Pipeline Safety Program. The new DigSafe Database Program will be built on the same platform, Microsoft Dynamics 365, and Spruce will leverage the Pipeline Safety Database Program to build comparable functionality for the DigSafe Database Program. Having already gained first-hand knowledge of the Commission's Safety Division's business practices and requirements, contracting with Spruce will reduce costs associated with mapping workflows, definitions, setting program defaults, and integration.

Finally, Spruce completed the Pipeline Safety Database project on time, within budget and in accordance with the scope of its contract. Accordingly, the Commission selected Spruce for this next phase on a sole source basis.

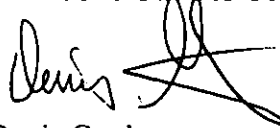
Under this contract, Spruce will develop a secure system, accessible from within the state network and remotely from field locations that allows for scheduling, inspection, violation tracking, enforcement, federal report tracking, and grant administration for the DigSafe program. The current DigSafe database system is nearing "end of life" and must be replaced so that the Commission can interface with the regional Dig Safe notification system, ensure proper permitting and participation by utilities, and effectively administer the DigSafe program.

Your approval of our request is appreciated.

Respectfully submitted,



Martin P. Honigberg
Chairman
NH Public Utilities Commission



Denis Goulet
Commissioner
NH Dept. of Information Technology

RID 39384
Contract Number: 2019-067

cc: Cindy Dotlich, IT Manager
DoIT Contracts and Procurements Manager – Irene Koffink@doit.nh.gov



STATE OF NEW HAMPSHIRE
DEPARTMENT OF INFORMATION TECHNOLOGY

27 Hazen Dr., Concord, NH 03301
Fax: 603-271-1516 TDD Access: 1-800-735-2964
www.nh.gov/doit

Denis Goulet
Commissioner

January 10, 2019

Debra Howland, Executive Director
Public Utilities Commission
State of New Hampshire
41 Fruit Street., Suite 10
Concord, NH 03301

Dear Executive Director Howland:

This letter represents formal notification that the Department of Information Technology (DoIT) has approved your agency's request to enter into a sole source contract agreement with Spruce Technology Inc, of Clifton, NJ as described below and referenced DoIT No. 2019-067.

This is a request to enter into a contract for the PUC Safety Dynamics 365 Expansion for the Dig Safe Underground Damage Prevention Program (UGDPP). This will allow the PUC to monitor all excavation activities in the State, leverage Dig Safe ticketing service to ensure proper permitting, and facilitates participation by utilities and works to fulfill their safety responsibilities.

The funding amount of this contract is not to exceed \$68,806.00 and shall become effective upon the date of the Governor and Executive Council approval through December 31, 2019.

A copy of this letter should accompany the Public Utilities Commission's submission to the Governor and Executive Council for approval.

Sincerely,

Denis Goulet

DG/kaf
DoIT #2019-067
RID: 39384




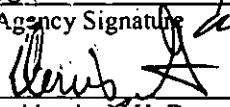
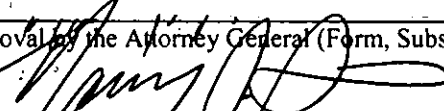
cc: Cindy Dotlich, IT Manager, DoIT

Notice: This agreement and all of its attachments shall become public upon submission to Governor and Executive Council for approval. Any information that is private, confidential or proprietary must be clearly identified to the agency and agreed to in writing prior to signing the contract.

AGREEMENT

The State of New Hampshire and the Contractor hereby mutually agree as follows:

GENERAL PROVISIONS**1. IDENTIFICATION.**

1.1 State Agency Name Public Utilities Commission and Department of Information Technology		1.2 State Agency Address 21 S. Fruit St, Suite 10 Concord, NH 03301 and 27 Hazen Dr. Concord, NH 03301	
1.3 Contractor Name Spruce Technology Inc.		1.4 Contractor Address 1149 Bloomfield Ave, Ste G, Clifton, NJ	
1.5 Contractor Phone Number 862-225-9300	1.6 Account Number 01-03-03-030010-76810000 046-500465	1.7 Completion Date 12/31/2019	1.8 Price Limitation \$68,806.00
1.9 Contracting Officer for State Agency Martin P. Honigberg, Chairman of the Public Utilities Commission and Denis Goulet, Commissioner / Chief Information Officer DoIT		1.10 State Agency Telephone Number 603-271-2442 and 603-223-5703	
1.11 Contractor Signature 		1.12 Name and Title of Contractor Signatory Kristen Mazza, Director Contracts	
1.13 Acknowledgement: State of <u>NH</u> , County of <u>Passaic</u> On <u>January 8, 2019</u> , before the undersigned officer, personally appeared the person identified in block 1.12, or satisfactorily proven to be the person whose name is signed in block 1.11, and acknowledged that s/he executed this document in the capacity indicated in block 1.12.			
1.13.1 Signature of Notary Public or Justice of the Peace  [Seal]  My Commission Expires <u>06/06/2023</u>			
1.13.2 Name and Title of Notary or Justice of the Peace <u>Jose Ortiz, Notary</u>			
1.14 State Agency Signature  Date: <u>1/10/2019</u>		1.15 Name and Title of State Agency Signatory <u>Martin Honigberg, Chair, NH PUC</u>	
1.16 Approval by the N.H. Department of Administration, Division of Personnel (if applicable) By: _____ Director, On: _____			
1.17 Approval by the Attorney General (Form, Substance and Execution) (if applicable) By:  On: <u>1/10/2019</u>			

1.18 Approval by the Governor and Executive Council *(if applicable)*

By:

On:

2. EMPLOYMENT OF CONTRACTOR/SERVICES TO BE PERFORMED. The State of New Hampshire, acting through the agency identified in block 1.1 ("State"), engages contractor identified in block 1.3 ("Contractor") to perform, and the Contractor shall perform, the work or sale of goods, or both, identified and more particularly described in the attached EXHIBIT A which is incorporated herein by reference ("Services").

3. EFFECTIVE DATE/COMPLETION OF SERVICES.

3.1 Notwithstanding any provision of this Agreement to the contrary, and subject to the approval of the Governor and Executive Council of the State of New Hampshire, if applicable, this Agreement, and all obligations of the parties hereunder, shall become effective on the date the Governor and Executive Council approve this Agreement as indicated in block 1.18, unless no such approval is required, in which case the Agreement shall become effective on the date the Agreement is signed by the State Agency as shown in block 1.14 ("Effective Date").

3.2 If the Contractor commences the Services prior to the Effective Date, all Services performed by the Contractor prior to the Effective Date shall be performed at the sole risk of the Contractor, and in the event that this Agreement does not become effective, the State shall have no liability to the Contractor, including without limitation, any obligation to pay the Contractor for any costs incurred or Services performed. Contractor must complete all Services by the Completion Date specified in block 1.7.

4. CONDITIONAL NATURE OF AGREEMENT.

Notwithstanding any provision of this Agreement to the contrary, all obligations of the State hereunder, including, without limitation, the continuance of payments hereunder, are contingent upon the availability and continued appropriation of funds, and in no event shall the State be liable for any payments hereunder in excess of such available appropriated funds. In the event of a reduction or termination of appropriated funds, the State shall have the right to withhold payment until such funds become available, if ever, and shall have the right to terminate this Agreement immediately upon giving the Contractor notice of such termination. The State shall not be required to transfer funds from any other account to the Account identified in block 1.6 in the event funds in that Account are reduced or unavailable.

5. CONTRACT PRICE/PRICE LIMITATION/ PAYMENT.

5.1 The contract price, method of payment, and terms of payment are identified and more particularly described in EXHIBIT B which is incorporated herein by reference.

5.2 The payment by the State of the contract price shall be the only and the complete reimbursement to the Contractor for all expenses, of whatever nature incurred by the Contractor in the performance hereof, and shall be the only and the complete compensation to the Contractor for the Services. The State shall have no liability to the Contractor other than the contract price.

5.3 The State reserves the right to offset from any amounts otherwise payable to the Contractor under this Agreement those liquidated amounts required or permitted by N.H. RSA 80:7 through RSA 80:7-c or any other provision of law.

5.4 Notwithstanding any provision in this Agreement to the contrary, and notwithstanding unexpected circumstances, in no event shall the total of all payments authorized, or actually made hereunder, exceed the Price Limitation set forth in block 1.8.

6. COMPLIANCE BY CONTRACTOR WITH LAWS AND REGULATIONS/ EQUAL EMPLOYMENT OPPORTUNITY.

6.1 In connection with the performance of the Services, the Contractor shall comply with all statutes, laws, regulations, and orders of federal, state, county or municipal authorities which impose any obligation or duty upon the Contractor, including, but not limited to, civil rights and equal opportunity laws. This may include the requirement to utilize auxiliary aids and services to ensure that persons with communication disabilities, including vision, hearing and speech, can communicate with, receive information from, and convey information to the Contractor. In addition, the Contractor shall comply with all applicable copyright laws.

6.2 During the term of this Agreement, the Contractor shall not discriminate against employees or applicants for employment because of race, color, religion, creed, age, sex, handicap, sexual orientation, or national origin and will take affirmative action to prevent such discrimination.

6.3 If this Agreement is funded in any part by monies of the United States, the Contractor shall comply with all the provisions of Executive Order No. 11246 ("Equal Employment Opportunity"), as supplemented by the regulations of the United States Department of Labor (41 C.F.R. Part 60), and with any rules, regulations and guidelines as the State of New Hampshire or the United States issue to implement these regulations. The Contractor further agrees to permit the State or United States access to any of the Contractor's books, records and accounts for the purpose of ascertaining compliance with all rules, regulations and orders, and the covenants, terms and conditions of this Agreement.

7. PERSONNEL.

7.1 The Contractor shall at its own expense provide all personnel necessary to perform the Services. The Contractor warrants that all personnel engaged in the Services shall be qualified to perform the Services, and shall be properly licensed and otherwise authorized to do so under all applicable laws.

7.2 Unless otherwise authorized in writing, during the term of this Agreement, and for a period of six (6) months after the Completion Date in block 1.7, the Contractor shall not hire, and shall not permit any subcontractor or other person, firm or corporation with whom it is engaged in a combined effort to perform the Services to hire, any person who is a State employee or official, who is materially involved in the procurement, administration or performance of this

Agreement. This provision shall survive termination of this Agreement.

7.3 The Contracting Officer specified in block 1.9, or his or her successor, shall be the State's representative. In the event of any dispute concerning the interpretation of this Agreement, the Contracting Officer's decision shall be final for the State.

8. EVENT OF DEFAULT/REMEDIES.

8.1 Any one or more of the following acts or omissions of the Contractor shall constitute an event of default hereunder ("Event of Default"):

8.1.1 failure to perform the Services satisfactorily or on schedule;

8.1.2 failure to submit any report required hereunder; and/or

8.1.3 failure to perform any other covenant, term or condition of this Agreement.

8.2 Upon the occurrence of any Event of Default, the State may take any one, or more, or all, of the following actions:

8.2.1 give the Contractor a written notice specifying the Event of Default and requiring it to be remedied within, in the absence of a greater or lesser specification of time, thirty (30) days from the date of the notice; and if the Event of Default is not timely remedied, terminate this Agreement, effective two (2) days after giving the Contractor notice of termination;

8.2.2 give the Contractor a written notice specifying the Event of Default and suspending all payments to be made under this Agreement and ordering that the portion of the contract price which would otherwise accrue to the Contractor during the period from the date of such notice until such time as the State determines that the Contractor has cured the Event of Default shall never be paid to the Contractor;

8.2.3 set off against any other obligations the State may owe to the Contractor any damages the State suffers by reason of any Event of Default; and/or

8.2.4 treat the Agreement as breached and pursue any of its remedies at law or in equity, or both.

9. DATA/ACCESS/CONFIDENTIALITY/PRESERVATION.

9.1 As used in this Agreement, the word "data" shall mean all information and things developed or obtained during the performance of, or acquired or developed by reason of, this Agreement, including, but not limited to, all studies, reports, files, formulae, surveys, maps, charts, sound recordings, video recordings, pictorial reproductions, drawings, analyses, graphic representations, computer programs, computer printouts, notes, letters, memoranda, papers, and documents, all whether finished or unfinished.

9.2 All data and any property which has been received from the State or purchased with funds provided for that purpose under this Agreement, shall be the property of the State, and shall be returned to the State upon demand or upon termination of this Agreement for any reason.

9.3 Confidentiality of data shall be governed by N.H. RSA chapter 91-A or other existing law. Disclosure of data requires prior written approval of the State.

10. TERMINATION. In the event of an early termination of this Agreement for any reason other than the completion of the Services, the Contractor shall deliver to the Contracting Officer, not later than fifteen (15) days after the date of termination, a report ("Termination Report") describing in detail all Services performed, and the contract price earned, to and including the date of termination. The form, subject matter, content, and number of copies of the Termination Report shall be identical to those of any Final Report described in the attached EXHIBIT A.

11. CONTRACTOR'S RELATION TO THE STATE. In the performance of this Agreement the Contractor is in all respects an independent contractor, and is neither an agent nor an employee of the State. Neither the Contractor nor any of its officers, employees, agents or members shall have authority to bind the State or receive any benefits, workers' compensation or other emoluments provided by the State to its employees.

12. ASSIGNMENT/DELEGATION/SUBCONTRACTS.

The Contractor shall not assign, or otherwise transfer any interest in this Agreement without the prior written notice and consent of the State. None of the Services shall be subcontracted by the Contractor without the prior written notice and consent of the State.

13. INDEMNIFICATION. The Contractor shall defend, indemnify and hold harmless the State, its officers and employees, from and against any and all losses suffered by the State, its officers and employees, and any and all claims, liabilities or penalties asserted against the State, its officers and employees, by or on behalf of any person, on account of, based or resulting from, arising out of (or which may be claimed to arise out of) the acts or omissions of the Contractor. Notwithstanding the foregoing, nothing herein contained shall be deemed to constitute a waiver of the sovereign immunity of the State, which immunity is hereby reserved to the State. This covenant in paragraph 13 shall survive the termination of this Agreement.

14. INSURANCE.

14.1 The Contractor shall, at its sole expense, obtain and maintain in force, and shall require any subcontractor or assignee to obtain and maintain in force, the following insurance:

14.1.1 comprehensive general liability insurance against all claims of bodily injury, death or property damage, in amounts of not less than \$1,000,000 per occurrence and \$2,000,000 aggregate; and

14.1.2 special cause of loss coverage form covering all property subject to subparagraph 9.2 herein, in an amount not less than 80% of the whole replacement value of the property.

14.2 The policies described in subparagraph 14.1 herein shall be on policy forms and endorsements approved for use in the State of New Hampshire by the N.H. Department of Insurance, and issued by insurers licensed in the State of New Hampshire.

14.3 The Contractor shall furnish to the Contracting Officer identified in block 1.9, or his or her successor, a certificate(s) of insurance for all insurance required under this Agreement. Contractor shall also furnish to the Contracting Officer identified in block 1.9, or his or her successor, certificate(s) of insurance for all renewal(s) of insurance required under this Agreement no later than thirty (30) days prior to the expiration date of each of the insurance policies. The certificate(s) of insurance and any renewals thereof shall be attached and are incorporated herein by reference. Each certificate(s) of insurance shall contain a clause requiring the insurer to provide the Contracting Officer identified in block 1.9, or his or her successor, no less than thirty (30) days prior written notice of cancellation or modification of the policy.

15. WORKERS' COMPENSATION.

15.1 By signing this agreement, the Contractor agrees, certifies and warrants that the Contractor is in compliance with or exempt from, the requirements of N.H. RSA chapter 281-A (*"Workers' Compensation"*).

15.2 To the extent the Contractor is subject to the requirements of N.H. RSA chapter 281-A, Contractor shall maintain, and require any subcontractor or assignee to secure and maintain, payment of Workers' Compensation in connection with activities which the person proposes to undertake pursuant to this Agreement. Contractor shall furnish the Contracting Officer identified in block 1.9, or his or her successor, proof of Workers' Compensation in the manner described in N.H. RSA chapter 281-A and any applicable renewal(s) thereof, which shall be attached and are incorporated herein by reference. The State shall not be responsible for payment of any Workers' Compensation premiums or for any other claim or benefit for Contractor, or any subcontractor or employee of Contractor, which might arise under applicable State of New Hampshire Workers' Compensation laws in connection with the performance of the Services under this Agreement.

16. **WAIVER OF BREACH.** No failure by the State to enforce any provisions hereof after any Event of Default shall be deemed a waiver of its rights with regard to that Event of Default, or any subsequent Event of Default. No express failure to enforce any Event of Default shall be deemed a waiver of the right of the State to enforce each and all of the provisions hereof upon any further or other Event of Default on the part of the Contractor.

17. **NOTICE.** Any notice by a party hereto to the other party shall be deemed to have been duly delivered or given at the time of mailing by certified mail, postage prepaid, in a United States Post Office addressed to the parties at the addresses given in blocks 1.2 and 1.4, herein.

18. **AMENDMENT.** This Agreement may be amended, waived or discharged only by an instrument in writing signed by the parties hereto and only after approval of such amendment, waiver or discharge by the Governor and Executive Council of the State of New Hampshire unless no

such approval is required under the circumstances pursuant to State law, rule or policy.

19. CONSTRUCTION OF AGREEMENT AND TERMS.

This Agreement shall be construed in accordance with the laws of the State of New Hampshire, and is binding upon and inures to the benefit of the parties and their respective successors and assigns. The wording used in this Agreement is the wording chosen by the parties to express their mutual intent, and no rule of construction shall be applied against or in favor of any party.

20. **THIRD PARTIES.** The parties hereto do not intend to benefit any third parties and this Agreement shall not be construed to confer any such benefit.

21. **HEADINGS.** The headings throughout the Agreement are for reference purposes only, and the words contained therein shall in no way be held to explain, modify, amplify or aid in the interpretation, construction or meaning of the provisions of this Agreement.

22. **SPECIAL PROVISIONS.** Additional provisions set forth in the attached EXHIBIT C are incorporated herein by reference.

23. **SEVERABILITY.** In the event any of the provisions of this Agreement are held by a court of competent jurisdiction to be contrary to any state or federal law, the remaining provisions of this Agreement will remain in full force and effect.

24. **ENTIRE AGREEMENT.** This Agreement, which may be executed in a number of counterparts, each of which shall be deemed an original, constitutes the entire Agreement and understanding between the parties, and supersedes all prior Agreements and understandings relating hereto.

**STATE OF NEW HAMPSHIRE
PUBLIC UTILITIES COMMISSION
SAFETY DYNAMICS 365 EXPANSION
CONTRACT 2019-067
PART 2**

STATE OF NEW HAMPSHIRE
PUBLIC UTILITIES COMMISSION
SAFETY DYNAMIC 365 EXPANSION
DOIT 2019-067

PART 2 – INFORMATION TECHNOLOGY PROVISIONS

TABLE OF CONTENTS

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TERMS AND DEFINITIONS
42

INTRODUCTION	<u>142</u>
1. CONTRACT DOCUMENTS	<u>142</u>
1.1 CONTRACT DOCUMENTS	<u>142</u>
1.2 ORDER OF PRECEDENCE	<u>152</u>
2. CONTRACT TERM	<u>152</u>
3. COMPENSATION	<u>162</u>
3.1 CONTRACT PRICE	<u>162</u>
3.2 NON-EXCLUSIVE CONTRACT	<u>162</u>
4. CONTRACT MANAGEMENT	<u>162</u>
4.1 SPRUCE TECHNOLOGY INC.'S CONTRACT MANAGER	<u>162</u>
4.2 SPRUCE TECHNOLOGY INC.'S PROJECT MANAGER	<u>162</u>
4.3 SPRUCE TECHNOLOGY INC. CONTRACTOR PROJECT STAFF	<u>172</u>
4.4 STATE CONTRACT MANAGER	<u>182</u>
4.5 STATE PROJECT MANAGER	<u>192</u>
4.6 REFERENCE AND BACKGROUND CHECKS	<u>192</u>
5. DELIVERABLES	<u>202</u>
5.1 SPRUCE TECHNOLOGY INC.'S RESPONSIBILITIES	<u>202</u>
5.2 DELIVERABLES AND SERVICES	<u>202</u>
5.3 NON-SOFTWARE AND WRITTEN DELIVERABLES REVIEW AND ACCEPTANCE	<u>202</u>
5.4 SOFTWARE REVIEW AND ACCEPTANCE	<u>202</u>
6. SERVICES	<u>212</u>
6.1 ADMINISTRATIVE SERVICES	<u>212</u>
6.2 IMPLEMENTATION SERVICES	<u>212</u>
6.3 TESTING SERVICES	<u>212</u>
6.4 MAINTENANCE AND SUPPORT SERVICES	<u>212</u>
6.5 WARRANTY SERVICES	<u>212</u>
6.6 TRAINING SERVICES	<u>212</u>
7. WORK PLAN DELIVERABLE	<u>212</u>
8. CHANGE ORDERS	<u>222</u>
9. INTELLECTUAL PROPERTY	<u>222</u>
9.1 SOFTWARE TITLE	<u>222</u>
9.2 STATE'S DATA AND PROPERTY	<u>232</u>

**STATE OF NEW HAMPSHIRE
PUBLIC UTILITIES COMMISSION
SAFETY DYNAMIC 365 EXPANSION
DOIT 2019-067**

PART 2 – INFORMATION TECHNOLOGY PROVISIONS

9.3 CONTRACTOR'S MATERIALS.....	232
9.4 STATE WEBSITE COPYRIGHT.....	232
9.5 CUSTOM SOFTWARE SOURCE CODE.....	242
9.6 SURVIVAL.....	242
10. USE OF STATE'S INFORMATION AND CONFIDENTIALITY.....	242
10.1 USE OF STATE'S INFORMATION.....	242
10.2 STATE CONFIDENTIAL INFORMATION.....	242
10.3 CONTRACTOR CONFIDENTIAL INFORMATION.....	252
10.4 SURVIVAL.....	252
11. LIMITATION OF LIABILITY.....	262
11.1 STATE.....	262
11.2 STATE'S IMMUNITY.....	262
11.3 SURVIVAL.....	262
12. TERMINATION.....	262
12.1 TERMINATION FOR DEFAULT.....	262
12.2 TERMINATION FOR CONVENIENCE.....	272
12.3 TERMINATION FOR CONFLICT OF INTEREST.....	272
12.4 TERMINATION PROCEDURE.....	282
12.5 SURVIVAL.....	292
13. CHANGE OF OWNERSHIP.....	292
14. ASSIGNMENT, DELEGATION, AND SUBCONTRACTS.....	302
15. DISPUTE RESOLUTION.....	302
16. IT STANDARDS AND PROCEDURES.....	312
16.1 COMPUTER USE.....	312
16.2 EMAIL USE.....	322
16.3 INTERNET/INTRANET USE.....	322
16.4 REGULATORY GOVERNMENT APPROVALS.....	322
17. GENERAL CONTRACT REQUIREMENTS.....	322
17.1 INSURANCE CERTIFICATE.....	322
17.2 EXHIBITS.....	322
17.3 VENUE AND JURISDICTION.....	332
17.4 SURVIVAL.....	332
17.5 FORCE MAJEURE.....	332
17.6 NOTICES.....	332
18. DATA PROTECTION.....	332
18.1 DATA PROTECTION.....	332
18.2 DATA LOCATION.....	342
18.3 SECURITY INCIDENT OR DATA BREACH NOTIFICATION.....	342

**STATE OF NEW HAMPSHIRE
PUBLIC UTILITIES COMMISSION
SAFETY DYNAMIC 365 EXPANSION
DOIT 2019-067**

PART 2 – INFORMATION TECHNOLOGY PROVISIONS

18.4 BREACH RESPONSIBILITIES	<u>352</u>
18.5 NOTIFICATION OF LEGAL REQUESTS	<u>362</u>
18.6 CONTRACT AUDIT	<u>362</u>
18.7 ADVANCE NOTICE	<u>362</u>
18.8 SECURITY	<u>362</u>
18.9 NON-DISCLOSURE AND SEPARATION OF DUTIES	<u>362</u>
18.10 IMPORT AND EXPORT OF DATA	<u>362</u>
18.11 RIGHT TO REMOVE INDIVIDUALS	<u>362</u>

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**STATE OF NEW HAMPSHIRE
PUBLIC UTILITIES COMMISSION
SAFETY DYNAMIC 365 EXPANSION
DOIT 2019-067**

PART 2 – INFORMATION TECHNOLOGY PROVISIONS

TERMS AND DEFINITIONS

The following general Contracting terms and definitions apply except as specifically noted elsewhere in this document.

Acceptance	Notice from the State that a Deliverable has satisfied Acceptance Test or Review.
Acceptance Letter	An Acceptance Letter provides notice from the State that a Deliverable has satisfied Acceptance Tests or Review.
Acceptance Period	The timeframe during which the Acceptance Test is performed.
Acceptance Test Plan	The Acceptance Test Plan provided by the Vendor and agreed to by the State that describes at a minimum, the specific Acceptance process, criteria, and Schedule for Deliverables.
Acceptance Test and Review	Tests performed to determine that no Defects exist in the application Software or the System.
Access Control	Supports the management of permissions for logging onto a computer or network.
Agreement	A Contract duly executed and legally binding.
API	Application Programming Interface
Appendix	Supplementary material that is collected and appended at the back of a document.
Audit Trail Capture and Analysis	Supports the identification and monitoring of activities within an application or system.
Authorized User	The Vendor's employees, Contractors, Subcontractors or other agents who need to access the State's Personal Data to enable Spruce Technology Inc. to perform the Services required.
Best and Final Offer (BAFO)	For negotiated procurements, a Vendor's final offer following the conclusion of discussions.
Breach or Breach of Security	Unlawful and unauthorized acquisition of unencrypted computerized Data that materially compromises the security, confidentiality or integrity of personal information maintained by a person or commercial entity.
CCP	Change Control Procedures
Certification	The Vendor's written declaration with full supporting and written Documentation (including without limitation test results as applicable) that the Vendor has completed development of the Deliverable and certified its readiness for applicable Acceptance Testing or Review.
Change Control	Formal process for initiating changes to the proposed Solution or process once development has begun.
Change Order	Formal Documentation prepared for a proposed change in the Specifications.

**STATE OF NEW HAMPSHIRE
PUBLIC UTILITIES COMMISSION
SAFETY DYNAMIC 365 EXPANSION
DOIT 2019-067**

PART 2 – INFORMATION TECHNOLOGY PROVISIONS

Completion Date	End date for the Contract. (See Contract Agreement, P-37 General Provisions, Block 1.7)
Confidential Information	Information required to be kept Confidential from unauthorized disclosure <i>under the Contract</i> .
Contract	An Agreement between the State of New Hampshire and a Vendor, which creates binding obligations for each party to perform as specified in the Contract Documents.
Contract Agreement	Part 1, 2, and 3. The Documentation consisting of the P-37 General Provisions, IT Provisions, and the Exhibits which represents the understanding and acceptance of the reciprocal legal rights and duties of the parties with respect to the Scope of Work.
Contract Conclusion	Refers to the conclusion of the Contract, for any reason, including but not limited to, the successful Contract completion, termination for convenience, or termination for default.
Contract Documents	Documents that comprise this Contract. (See Part 2, IT Provisions – Section 1.1)
Contract Managers	The persons identified by the State and the Vendor who shall be responsible for all Contractual authorization and administration of the Contract. These responsibilities shall include but not be limited to processing Contract Documentation, obtaining executive approvals, tracking costs and payments, and representing the parties in all Contract administrative activities. (See Part 2, IT Provisions – Section 4: <i>Contract Management</i>)
Contract Price	The total, not to exceed amount to be paid by the State to Spruce Technology Inc. for product and Services described in the Contract Agreement. This amount is listed in Part 1, P-37 General Provisions – Section 1.8: <i>Price Limitation</i> , as well as Part 3, Exhibit B – Paragraph 2: <i>Contract Price</i> .
Contractor	Spruce Technology Inc. Spruce Technology Inc. and its employees, subcontractors, agents and affiliates who are providing the Services agreed to under the Contract.
Contracted Vendor/Vendor	The Vendor whose Proposal or quote was awarded the Contract with the State and who is responsible for the Services and Deliverables of the Contract.
Conversion Test	A test to ensure that a Data conversion process correctly takes Data from a legacy system and successfully converts it to form that can be used by the new system.
COTS	Commercial Off The Shelf
CR	Change Request
CRM/xRM	Customer/Extensible Relationship Management

**STATE OF NEW HAMPSHIRE
PUBLIC UTILITIES COMMISSION
SAFETY DYNAMIC 365 EXPANSION
DOIT 2019-067**

PART 2 – INFORMATION TECHNOLOGY PROVISIONS

Cure Period	The thirty (30) day period following written notification of a default within which a Contracted Vendor must cure the default identified.
Custom Code	Code developed by the Vendor specifically for this Project for the State of New Hampshire.
Custom Software	Software developed by the Vendor specifically for this Project for the State of New Hampshire.
Data	State's records, files, forms, Data and other documents or information, in either electronic or paper form, that will be used /converted by the Vendor during the Contract Term.
Data Breach	The unauthorized access by a non-authorized persons(s) that results in the use, disclosure or theft of the State's unencrypted Non-Public Data.
DBA	Database Administrator
Deficiencies/Defects	A failure, Deficiency, or Defect in a Deliverable resulting in a Deliverable, the Software, or the System, not conforming to its Specifications.
Deliverable	A Deliverable is any Written, Software, or Non-Software Deliverable (letter, report, manual, book, other), provided by Spruce Technology Inc. to the State or under the terms of a Contract requirement.
Department	An agency of the State
Department of Information Technology (DoIT)	The Department of Information Technology established under <u>RSA chapter 21-R</u> by the Legislature effective September 5, 2008.
Digital Signature	Certification that guarantees the unaltered state of a file, also known as "code signing".
DigSafe / One Call Center	Underground Damage Prevention Program.
Documentation	All information that describes the installation, operation, and use of the Software, either in printed or electronic format.
DR	Disaster Recovery
Effective Date	The Contract and all obligations of the parties hereunder shall become effective on the date the Governor and the Executive Council of the State of New Hampshire approves the Contract.
Encryption	Supports the transformation of Data for security purposes.
Enhancements	Updates, additions, modifications to, and new releases for the Software, and all changes to the Documentation as a result of Enhancements, including, but not limited to, Enhancements produced by Change Orders.
Event of Default	Any one or more of the following acts or omissions of a Vendor shall constitute an Event of Default hereunder ("Event of Default"):

**STATE OF NEW HAMPSHIRE
PUBLIC UTILITIES COMMISSION
SAFETY DYNAMIC 365 EXPANSION
DOIT 2019-067**

PART 2 – INFORMATION TECHNOLOGY PROVISIONS

	<p>a. Failure to perform the Services satisfactorily or on Schedule;</p> <p>b. Failure to submit any report required; and/or</p> <p>c. Failure to perform any other covenant, term or condition of the Contract.</p>
Firm Fixed Price Contract	A Firm Fixed Price Contract provides a price that is not subject to increase, i.e., adjustment on the basis of the Vendor's cost experience in performing the Contract.
Fully Loaded	Rates are inclusive of all allowable expenses, including, but not limited to: meals, hotel/housing, airfare, car rentals, car mileage, and out of pocket expenses.
GAAP	Generally Accepted Accounting Principles.
Governor and Executive Council	The New Hampshire Governor and Executive Council.
GUI	Graphical user interface.
Harvest	Software to archive and/or control versions of Software.
HLD	High Level Design
Identification and Authentication	Supports obtaining information about those parties attempting to log on to a system or application for security purposes and the validation of those users.
Implementation	The process for making the System fully Operational for processing the Data.
Implementation Plan	Sets forth the transition from development of the System to full operation, and includes without limitation, training, business and technical procedures.
Information Technology (IT)	Refers to the tools and processes used for the gathering, storing, manipulating, transmitting, sharing, and sensing of information including, but not limited to, Data processing, computing, information systems, telecommunications, and various audio and video technologies.
Input Validation	Ensure that the value entered by users or provided by other applications meets the size, type and format expected. Protecting the application from cross site scripting, SQL injection, buffer overflow, etc.
Intrusion Detection	Supports the detection of illegal entrance into a computer system.
Invoking Party	In a dispute, the party believing itself aggrieved.
IP	Internet Protocol
Project Staff	Personnel identified by the State and by the Contracted Vendor as essential to work on the Project.
Licensee	The State of New Hampshire
LOC	Letter of Concern – Type of enforcement action used by the Safety Division.

**STATE OF NEW HAMPSHIRE
PUBLIC UTILITIES COMMISSION
SAFETY DYNAMIC 365 EXPANSION
DOIT 2019-067**

PART 2 – INFORMATION TECHNOLOGY PROVISIONS

MS	Microsoft
NIST	National Institute of Standards and Technology
Non-Exclusive Contract	A Contract executed by the State that does not restrict the State from seeking alternative sources for the Deliverables or Services provided under the Contract.
Non-Public Information	Data, other than Personal Data, that is not subject to distribution to the public as public information. It is deemed to be sensitive and confidential by the State because it contains information that is exempt by statute, ordinance or administrative rule from access by the general public as public information.
Non-Software Deliverables	Deliverables that are not Software Deliverables or Written Deliverables, e.g., meetings, help support, Services, other.
NOPV	Notice of Probable Violation – Type of enforcement action used by the Safety Division.
NOV	Notice of Violation – Type of enforcement action used by the Safety Division.
Notice to Proceed (NTP)	The State Contract Manager's written direction to the Vendor to begin work on the Contract on a given date and time.
Open Data Formats	A Data format based on an underlying Open Standard.
Open Source Software	Software that guarantees the user unrestricted use of the Software as defined in <u>RSA chapter 21-R:10</u> and <u>RSA chapter 21-R:11</u> .
Open Standards	Specifications for the encoding and transfer of computer Data that is defined in <u>RSA chapter 21-R:10</u> and <u>RSA chapter 21-R:13</u> .
Operating System	System is fully functional, all Data has been loaded into the System, is available for use by the State in its daily operations.
Operational	Operational means that the System is operating and fully functional, all Data has been loaded; the System is available for use by the State in its daily operations, and the State has issued an Acceptance Letter.
Order of Precedence	The order in which Contract/Documents control in the event of a conflict or ambiguity. A term or condition in a document controls over a conflicting or ambiguous term or condition in a document that is lower in the Order of Precedence.
PAAS	Platform as a Services
Project	The planned undertaking regarding the entire subject matter of an RFP and Contract and the activities of the parties related hereto.
Project Team	The group of State employees and Contracted Vendor's personnel responsible for managing the processes and mechanisms required such that the Services are procured in accordance with the Work Plan on time, on budget and to the required Specifications and quality.

**STATE OF NEW HAMPSHIRE
PUBLIC UTILITIES COMMISSION
SAFETY DYNAMIC 365 EXPANSION
DOIT 2019-067**

PART 2 – INFORMATION TECHNOLOGY PROVISIONS

Project Managers	The persons identified who shall function as the State's and the Vendor's representative with regard to Review and Acceptance of Contract Deliverables, invoice sign off, and Review and approval of Change Requests (CR) utilizing the Change Control Procedures (CCP).
Project Staff	State personnel assigned to work with the Vendor on the Project.
Proposal	The submission from a Vendor in response to the Request for a Proposal or Statement of Work.
PUC	Public Utilities Commission
QA	Quality Assurance
Regression Test Plan	A plan integrated into the Work Plan used to ascertain whether fixes to Defects have caused errors elsewhere in the application/process.
Review	The process of Reviewing Deliverables for Acceptance.
Review Period	The period set for Review of a Deliverable. If none is specified then the Review Period is five (5) business days.
RFP (Request for Proposal)	A Request For Proposal solicits Proposals to satisfy State functional requirements by supplying Data processing product and/or Service resources according to specific terms and conditions.
Role/Privilege Management	Supports the granting of abilities to users or groups of users of a computer, application or network.
SAAS	Software as a Service
Schedule	The dates described in the Work Plan for deadlines for performance of Services and other Project events and activities under the Contract.
Services	The work or labor to be performed by the Vendor on the Project as described in the Contract.
SDLC	Software Development Life Cycle
SLA	Service Level Agreement
SME	Subject Matter Expert
Software	All Custom Software and COTS Software provided by the Vendor under the Contract.
Software Deliverables	All Custom Software and COTS Software and Enhancements.
Software License	Licenses provided to the State under this Contract.
Solution	The Solution consists of the total Solution, which includes, without limitation, Software and Services, addressing the requirements and terms of the Specifications. The off-the-shelf Software and configured Software customized for the State provided by the Vendor in response to RFP 2018-078.
Specifications	The written Specifications that set forth the requirements which include, without limitation, RFP 2018-078, the Proposal, the Contract, any performance standards,

**STATE OF NEW HAMPSHIRE
PUBLIC UTILITIES COMMISSION
SAFETY DYNAMIC 365 EXPANSION
DOIT 2019-067**

PART 2 – INFORMATION TECHNOLOGY PROVISIONS

	Documentation, applicable State and federal policies, laws and regulations, State technical standards, subsequent State-approved Deliverables, and other Specifications and requirements described in the Contract Documents. The Specifications are, by this reference, made a part of the Contract as though completely set forth herein.
State	STATE is defined as: State of New Hampshire Public Utilities Commission Safety Division 21 S. Fruit St., Suite 10 Concord, New Hampshire 03301 AND: State of New Hampshire Department of Information Technology 27 Hazen Drive Concord, New Hampshire 03301 Reference to the term "State" shall include applicable agencies.
Statement of Work (SOW)	A Statement of Work clearly defines the basic requirements and objectives of a Project. The Statement of Work also defines a high level view of the architecture, performance and design requirements, the roles and responsibilities of the State and the Vendor. The Contract Agreement SOW defines the results that the Vendor remains responsible and accountable for achieving.
State's Confidential Records	State's information regardless of its form that is not subject to public disclosure under applicable state and federal laws and regulations, including but not limited to <u>RSA chapter 91-A: Access to Governmental Records and Meetings</u> .
State Data	All Data created or in any way originating with the State, and all Data that is the output of computer processing of or other electronic manipulation of any Data that was created by or in any way originated with the State, whether such Data or output is stored on the State's hardware, Spruce Technology Inc.'s hardware or exists in any system owned, maintained or otherwise controlled by the State or by Spruce Technology Inc..
State Fiscal Year (SFY)	The New Hampshire State Fiscal Year extends from July 1 st through June 30 th of the following calendar year.
State Project Leader	State's representative with regard to Project oversight.
State's Project Manager (PM)	State's representative with regard to Project Management and technical matters. Agency Project Managers are responsible for Review and Acceptance of specific Contract Deliverables, invoice sign off, and Review and approval of a Change Request (CR).

**STATE OF NEW HAMPSHIRE
PUBLIC UTILITIES COMMISSION
SAFETY DYNAMIC 365 EXPANSION
DOIT 2019-067**

PART 2 – INFORMATION TECHNOLOGY PROVISIONS

Subcontractor	A person, partnership, or company not in the employment of, or owned by, the Vendor, which is performing Services under this Contract under a separate Contract with or on behalf of the Vendor.
System	All Software, specified hardware, and interfaces and extensions, integrated and functioning together in accordance with the Specifications.
TBD	To Be Determined
Technical Authorization	Direction to a Vendor, which fills in details, clarifies, interprets, or specifies technical requirements. It must be: <ol style="list-style-type: none"> 1. Consistent with Statement of Work within statement of Services; 2. Not constitute a new assignment; and 3. Not change the terms, documents of Specifications of the SOW.
Test Plan	A plan, integrated in the Work Plan, to verify the code (new or changed) works to fulfill the requirements of the Project. It may consist of a timeline, a series of tests and test Data, test scripts and reports for the test results as well as a tracking mechanism.
Term	Period of the Contract from the Effective Date through termination.
Transition Services	Services and support provided when the Contracted Vendor is supporting system changes.
UI	User Interface
Unit Test	Developers create their own test Data and test scenarios to verify the code they have created or changed functions properly as defined.
User Acceptance Testing (UAT)	Tests done by knowledgeable business users who are familiar with the scope of the Project. They create/develop test cases to confirm the System was developed according to specific user requirements. The test cases and scripts/scenarios should be mapped to business requirements outlined in the user requirements documents.
User Management	Supports the administration of computer, application and network accounts within an organization.
Vendor/ Contracted Vendor	The Vendor whose Proposal or quote was awarded the Contract with the State and who is responsible for the Services and Deliverables of the Contract.
Verification	Supports the confirmation of authority to enter a computer system, application or network:
Virtual Private Network (VPN)	Extends a private network across a public network, and enables users to send and receive Data across shared or public networks as if their computing devices were directly connected to the private network

**STATE OF NEW HAMPSHIRE
PUBLIC UTILITIES COMMISSION
SAFETY DYNAMIC 365 EXPANSION
DOIT 2019-067**

PART 2 – INFORMATION TECHNOLOGY PROVISIONS

Warranty Period	A period of coverage during which the Contracted Vendor is responsible for providing a guarantee for products and Services delivered as defined in the Contract.
Warranty Releases	Code releases that are done during the Warranty Period.
Warranty Services	The Services to be provided by the Vendor during the Warranty Period.
Work Hours	Vendor personnel shall work normal business hours between 7:30 a.m. EST. and 5:00 p.m. EST., eight (8) hour days, forty (40) hour weeks, excluding State of New Hampshire holidays. Changes to this Schedule may be made upon agreement with the State Project Manager.
Work Plan	The overall plan of activities for the Project created in accordance with the Contract. The plan and delineation of tasks, activities and events to be performed and Deliverables to be produced under the Project as specified in Appendix C: <i>System Requirements and Deliverables</i> . The Work Plan shall include a detailed description of the Schedule; tasks/activities, Deliverables; critical events, task dependencies, and the resources that would lead and/or participate on each task.
Written Deliverables	Non-Software written Deliverable Documentation (letter, report, manual, book, other) provided by the Vendor either in paper or electronic format.

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**STATE OF NEW HAMPSHIRE
PUBLIC UTILITIES COMMISSION
SAFETY DYNAMIC 365 EXPANSION
DOIT 2019-067**

PART 2 – INFORMATION TECHNOLOGY PROVISIONS

INTRODUCTION

This Contract is by and between the State of New Hampshire Public Utilities Commission and the State of New Hampshire Department of Information Technology, ("State"), and Spruce Technology Inc., a Corporation, (Vendor Code 281339) ("Contractor"), having its principal place of business at 1149 Bloomfield Ave, Ste G, Clifton, NJ.

RECITALS

Whereas the State desires to have Spruce Technology Inc. provide the State of New Hampshire Public Utilities Commission comprehensive professional services to enhance, configure and develop the Microsoft Dynamics 365 environment for the Public Utilities Commission to establish a secure auditable system that is accessible from both within the state network and remotely from field locations that allows for scheduling, inspection, violation tracking and enforcement, federal report tracking and grant administration. Additionally, Spruce Technology will provide a boot camp workshop to train and develop the State of New Hampshire IT support staff allowing them to self-support and maintain additional database development not identified in this identified effort.

This contract is to leverage a previous contract that has been completed and implemented by Spruce Technology Inc. The previous contract was awarded to Spruce Technology Inc., after performing an extensive RFP process which has expired. This contract shall initially be used to enhance, improve and replace the Underground Damage Prevention Database maintained by the Safety Division of the NH PUC.

The parties therefore agree as follows:

1. CONTRACT DOCUMENTS

1.1 CONTRACT DOCUMENTS

This Contract Agreement 2019-067 is comprised of the following documents:

- A. Part 1 - Form P-37 General Provision
- B. Part 2 - Information Technology Provisions
- C. Part 3 - Exhibits
 - Exhibit A- Contract Deliverables
 - Exhibit B- Price and Payment Schedule
 - Exhibit C- Special Provisions
 - Exhibit D- Administrative Services
 - Exhibit E- Implementation Services
 - Exhibit F- Testing Services
 - Exhibit G- Maintenance and Support Services
 - Exhibit H- Requirements
 - Exhibit I - Work Plan
 - Exhibit J- Software Agreement
 - Exhibit K- Warranty and Warranty Services
 - Exhibit L- Training Services

**STATE OF NEW HAMPSHIRE
PUBLIC UTILITIES COMMISSION
SAFETY DYNAMIC 365 EXPANSION
DOIT 2019-067**

PART 2 – INFORMATION TECHNOLOGY PROVISIONS

Exhibit M- Agency RFP with Addendums, by reference
Exhibit N- Vendor Proposal, by reference
Exhibit O- Certificates and Attachments

1.2 ORDER OF PRECEDENCE

In the event of conflict or ambiguity among any of the text of the Contract Documents, the following Order of Precedence shall govern:

- a. State of New Hampshire, Public Utilities Commission Contract Agreement 2019-067, including Parts 1, 2, and 3.
- b. Vendor Statement of Work to Public Utilities Commission dated October 8, 2018.
- c. State of New Hampshire, Public Utilities Commission – RFP Safety Database 2018-078.

2. CONTRACT TERM

The Contract and all obligations of the parties hereunder shall become effective after full execution by the parties, and the receipt of required governmental approvals, including, but not limited to, Governor and Executive Council of the State of New Hampshire approval ("Effective Date").

The Contract shall begin on the Effective Date and extend through the date indicated in Part 1, P-37 General Provisions - Block 1.7: *Completion Date*. The Term may be extended up to two (2) times for up to two (2) year term each ("Extended Term"), at the sole option of the State, subject to the parties prior written Agreement on applicable fees for each extended term.

Spruce Technology Inc. shall commence work upon issuance of a Notice to Proceed by the State.

The State does not require Spruce Technology Inc. to commence work prior to the Effective Date; however, if Spruce Technology Inc. commences work prior to the Effective Date and a Notice to Proceed, such work shall be performed at the sole risk of Spruce Technology Inc.. In the event that the Contract does not become effective, the State shall be under no obligation to pay Spruce Technology Inc. for any costs incurred or Services performed; however, if the Contract becomes effective, all costs incurred prior to the Effective Date shall be paid under the terms of the Contract.

Time is of the essence in the performance of Spruce Technology Inc.'s obligation under the Contract.

**STATE OF NEW HAMPSHIRE
PUBLIC UTILITIES COMMISSION
SAFETY DYNAMIC 365 EXPANSION
DOIT 2019-067**

PART 2 – INFORMATION TECHNOLOGY PROVISIONS

3. COMPENSATION

3.1 CONTRACT PRICE

The Contract Price is identified in, Part 1, P-37 General Provisions - Block 1.8: *Price Limitation*. Method of payment and terms of payment are identified and more particularly described in Part 1, P-37 - Section 5: *Contract Price and/Price Limitation/Payment*, and Part 3 - Exhibit B: *Price and Payment Schedule*.

3.2 NON-EXCLUSIVE CONTRACT

The State reserves the right, at its discretion, to retain other Contractors to provide any of the Services or Deliverables identified under this procurement or make an award by item, part or portion of an item, group of items, or total Proposal. Spruce Technology Inc. shall not be responsible for any delay, act, or omission of such other Contractors, except that Spruce Technology Inc. shall be responsible for any delay, act, or omission of the other Contractors if such delay, act, or omission is caused by or due to the fault of Spruce Technology Inc..

4. CONTRACT MANAGEMENT

The Project will require the coordinated efforts of a Project Team consisting of both Spruce Technology Inc. and State personnel. Spruce Technology Inc. shall provide all necessary resources to perform its obligations under the Contract. Spruce Technology Inc. shall be responsible for managing the Project to its successful completion.

4.1 SPRUCE TECHNOLOGY INC.'S CONTRACT MANAGER

Spruce Technology Inc. shall assign a Contract Manager who shall be responsible for all Contract authorization and administration. Spruce Technology Inc.'s Contract Manager is:

Kristen Mazza
Director of Communications & Contracts
1149 Bloomfield Ave, Ste. G
Clifton, NJ 07012
Tel: 862-225-9302

James Mahoney
EVP, Professional Services
1149 Bloomfield Ave, Ste. G
Clifton, NJ 07012
Tel: 862-225-9300

4.2 SPRUCE TECHNOLOGY INC.'S PROJECT MANAGER

4.2.1 Spruce Technology Inc. shall assign a Project Manager who meets the requirements of the Contract. Spruce Technology Inc.'s selection of the Project Manager shall be subject to the prior written approval of the State. The State's approval process may include, without limitation, at the State's discretion, review of the proposed Contractor's Project Manager's resume, qualifications, references, and background checks, and an interview. The State may require removal or reassignment of Spruce Technology Inc.'s Project Manager who, in the sole judgment of the State, is found unacceptable or is not performing to the State's satisfaction.

**STATE OF NEW HAMPSHIRE
PUBLIC UTILITIES COMMISSION
SAFETY DYNAMIC 365 EXPANSION
DOIT 2019-067**

PART 2 – INFORMATION TECHNOLOGY PROVISIONS

- 4.2.2** Spruce Technology Inc.'s Project Manager must be qualified to perform the obligations required of the position under the Contract, shall have full authority to make binding decisions under the Contract, and shall function as Spruce Technology Inc.'s representative for all administrative and management matters. Spruce Technology Inc.'s Project Manager shall perform the duties required under the Contract, including, but not limited to, those set forth in Part 3 - Exhibit I: *Work Plan*, Section 2: *Contractor Roles and Responsibilities*. Spruce Technology Inc.'s Project Manager must be available to promptly respond during normal Business Hours within two (2) hours to inquiries from the State, and be at the site (or delegate) as needed. Spruce Technology Inc.'s Project Manager must work diligently and use his/ her best efforts on the Project.
- 4.2.3** Spruce Technology Inc. shall not change its assignment of the Project Manager without providing the State written justification and obtaining the prior written approval of the State. State approvals for replacement of Spruce Technology Inc.'s Project Manager shall not be unreasonably withheld. The replacement Project Manager shall have comparable or greater skills than of Spruce Technology Inc.'s Project Manager being replaced; meet the requirements of the Contract; and be subject to reference and background checks described above in Part 2, IT Provisions - Section 4.2.1: *Contract Project Manager*, and in Part 2, IT Provisions - Section 4.6: *Reference and Background Checks*, below. Spruce Technology Inc. shall assign a replacement of Spruce Technology Inc.'s Project Manager within ten (10) business days of the departure of the prior Contractor's Project Manager, and Spruce Technology Inc. shall continue during the ten (10) business day period to provide competent Project management Services through the assignment of a qualified interim Project Manager.
- 4.2.4** Notwithstanding any other provision of the Contract, the State shall have the option, at its discretion, to terminate the Contract, declare Spruce Technology Inc. in default and pursue its remedies at law and in equity, if Spruce Technology Inc. fails to assign a Project Manager meeting the requirements and terms of the Contract.
- 4.2.5** Spruce Technology Inc. Project Manager is:

Samantha Kenney
1149 Bloomfield Ave, Ste. G
Clifton, NJ 07012
Tel: 862-225-9300
Email: SKenney@SpruceTech.com

4.3 SPRUCE TECHNOLOGY INC. CONTRACTOR PROJECT STAFF

- 4.3.1** Spruce Technology Inc. shall assign Project Staff who meet the requirements of the Contract, and can implement the Software Solution meeting the requirements set forth in RFP Appendix C: *System Requirements and Deliverables*, Table C.3: *System Requirements and Deliverables-Vendor Response Checklist*. The State may conduct reference and

**STATE OF NEW HAMPSHIRE
PUBLIC UTILITIES COMMISSION
SAFETY DYNAMIC 365 EXPANSION
DOIT 2019-067**

PART 2 – INFORMATION TECHNOLOGY PROVISIONS

background checks on Spruce Technology Inc.'s Project Staff. The State reserves the right to require removal or reassignment of Spruce Technology Inc.'s Project Staff who are found unacceptable to the State. Any background checks shall be performed in accordance with Part 2, IT Provisions - Section 4.6: *Background Checks*.

4.3.2 Spruce Technology Inc. shall not change any of Spruce Technology Inc. Project Staff commitments without providing the State written justification and obtaining the prior written approval of the State. State approvals for replacement of Spruce Technology Inc.'s Project Staff will not be unreasonably withheld. The replacement of Spruce Technology Inc.'s Project Staff shall have comparable or greater skills than of Spruce Technology Inc.'s Project Staff being replaced; meet the requirements of the Contract, including but not limited to the requirements set forth in RFP Appendix C: *System Requirements and Deliverables* and be subject to reference and background checks described in Part 2, IT Provisions - Section 4.6: *Reference and Background Checks*.

4.3.3 Notwithstanding any other provision of the Contract to the contrary, the State shall have the option to terminate the Contract, declare Spruce Technology Inc. in default and to pursue its remedies at law and in equity, if Spruce Technology Inc. fails to assign Project Staff meeting the requirements and terms of the Contract or if it is dissatisfied with Spruce Technology Inc.'s replacement Project staff.

4.3.3.1 Spruce Technology Inc. Project Staff shall consist of the following individuals in the roles identified below:

Table 4.3.3.1: Spruce Technology Inc.'s Project Staff:

Member(s)	Title
Emir Sadikovic	Technical Architect
Bose Baggavarapu	Dynamics 365 Developer
Samantha Kenney	Lead Analyst
TBD	Quality Assurance Analyst

4.4 STATE CONTRACT MANAGER

The State shall assign a Contract Manager who shall function as the State's representative with regard to Contract administration. The State Contract Manager is:

**Julianne Pelletier
Business Manager
Public Utilities Commission
21 S. Fruit Street, Suite 10
Concord, New Hampshire 03301
Tel: 603-271-6008
Email: Julianne.Pelletier@puc.nh.gov**

**STATE OF NEW HAMPSHIRE
PUBLIC UTILITIES COMMISSION
SAFETY DYNAMIC 365 EXPANSION
DOIT 2019-067**

PART 2 – INFORMATION TECHNOLOGY PROVISIONS

4.5 STATE PROJECT MANAGER

The State shall assign a Project Manager. The State Project Manager's duties shall include the following:

- a. Leading the Project;
- b. Engaging and managing all Contractors;
- c. Managing significant issues and risks;
- d. Reviewing and accepting Contract Deliverables;
- e. Invoice sign-offs;
- f. Review and approval of Change Request; and
- g. Managing stakeholders' concerns.

The Public Utilities Commission Project Manager for the Safety Database and all related Scope of Work is:

**Randall Knepper
Director, Safety & Security
21 S. Fruit Street, Suite 10
Concord, New Hampshire 03301
Tel: 603-271-2431
Email: Randy.Knepper@puc.nh.gov**

The Department of Information Technology Project Manager for the entire contract Scope of Work is:

**Cindy Dotlich
IT Manager
21 S. Fruit Street, Suite 10
Concord, New Hampshire 03301
Tel: 603-271-6320
Email: Cindy.Dotlich@doit.nh.gov**

4.6 REFERENCE AND BACKGROUND CHECKS

Spruce Technology Inc. shall conduct criminal background checks and not utilize any staff, including Subcontractors, to fulfill the obligations of the Contract who have been convicted of any crime of dishonesty, including but not limited to criminal fraud, or otherwise convicted of any felony or misdemeanor offense for which incarceration for up to one (1) year is an authorized penalty. Spruce Technology Inc. shall promote and maintain an awareness of the importance of securing the State's information among Spruce Technology Inc.'s employees and agents.

The State may, at its sole expense, conduct reference and background screening of Spruce Technology Inc. Contractor Project Manager and Spruce Technology Inc. Project Staff. The State shall maintain the Confidentiality of background screening results in accordance with Part 2, IT Provisions - Section 10: *Use of State's Information, and Confidentiality*.

**STATE OF NEW HAMPSHIRE
PUBLIC UTILITIES COMMISSION
SAFETY DYNAMIC 365 EXPANSION
DOIT 2019-067**

PART 2 – INFORMATION TECHNOLOGY PROVISIONS

5. DELIVERABLES

5.1 SPRUCE TECHNOLOGY INC.'S RESPONSIBILITIES

Spruce Technology Inc. shall be solely responsible for meeting all requirements, and terms and conditions specified in this Contract, regardless of whether or not a Subcontractor is used.

Spruce Technology Inc. may subcontract Services subject to the provisions of the Contract, including but not limited to, the terms and conditions in the Contract Agreement. Spruce Technology Inc. must submit all information and Documentation relating to the Subcontractor, including terms and conditions consistent with this Contract. The State will consider Spruce Technology Inc. to be wholly responsible for the performance of the Contract and the sole point of contact with regard to all Contractual matters, including payment of any and all charges resulting from the Contract.

5.2 DELIVERABLES AND SERVICES

Spruce Technology Inc. shall provide the State with the Deliverables and Services in accordance with the time frames in the Work Plan for this Contract, and as more particularly described in Part 3 - Exhibit A: *Contract Deliverables*. Upon its submission of a Deliverable or Service, Spruce Technology Inc. represents that it has performed its obligations under the Contract associated with the Deliverable or Services.

5.3 NON-SOFTWARE AND WRITTEN DELIVERABLES REVIEW AND ACCEPTANCE

After receiving written Certification from Spruce Technology Inc. that a Non-Software or Written Deliverable is final, complete, and ready for Review, the State will Review the Deliverable to determine whether it meets the Requirements outlined in Part 3 - Exhibit A: *Contract Deliverables*. The State will notify Spruce Technology Inc. in writing of its Acceptance or rejection of the Deliverable within five (5) business days of the State's receipt of Spruce Technology Inc.'s written Certification. If the State rejects the Deliverable, the State shall notify Spruce Technology Inc. of the nature and class of the Deficiency and Spruce Technology Inc. shall correct the Deficiency within the period identified in the Work Plan. If no period for Spruce Technology Inc.'s correction of the Deliverable is identified, Spruce Technology Inc. shall correct the Deficiency in the Deliverable within five (5) business days. Upon receipt of the corrected Deliverable, the State shall have five (5) business days to Review the Deliverable and notify Spruce Technology Inc. of its Acceptance or rejection thereof, with the option to extend the Review Period up to five (5) additional business days. If Spruce Technology Inc. fails to correct the Deficiency within the allotted period of time, the State may, at its option, continue Reviewing the Deliverable and require Spruce Technology Inc. to continue until the Deficiency is corrected, or immediately terminate the Contract, declare Spruce Technology Inc. in default, and pursue its remedies at law and in equity.

5.4 SOFTWARE REVIEW AND ACCEPTANCE

System/Software Testing and Acceptance shall be performed as set forth in the Test Plan and more particularly described in Part 3 - Exhibit F: *Testing Services*.

**STATE OF NEW HAMPSHIRE
PUBLIC UTILITIES COMMISSION
SAFETY DYNAMIC 365 EXPANSION
DOIT 2019-067**

PART 2 – INFORMATION TECHNOLOGY PROVISIONS

6. SERVICES

Spruce Technology Inc. shall provide the Services required under the Contract Documents. All Services shall meet, and be performed, in accordance with the Specifications.

6.1 ADMINISTRATIVE SERVICES

Spruce Technology Inc. shall provide the State with the administrative Services set forth in the Contract, and particularly described in Part 3 - Exhibit D: *Administrative Services*.

6.2 IMPLEMENTATION SERVICES

Spruce Technology Inc. shall provide the State with the Implementation Services set forth in the Contract, and particularly described in Part 3 - Exhibit E: *Implementation Services*.

6.3 TESTING SERVICES

Spruce Technology Inc. shall perform testing Services for the State set forth in the Contract, and particularly described in Part 3 - Exhibit F: *Testing Services*.

6.4 MAINTENANCE AND SUPPORT SERVICES

Part 3 - Exhibit G: *System Maintenance and Support* are not applicable to this Contract.

6.5 WARRANTY SERVICES

Spruce Technology Inc. shall provide the State with Warranty Services set forth in the Contract, and particularly described in Part 3 - Exhibit K: *Warranty & Warranty Services*.

6.6 TRAINING SERVICES

Spruce Technology Inc. shall provide the State with training Services set forth in the Contract, and particularly described in Part 3 - Exhibit L: *Training Services*.

7. WORK PLAN DELIVERABLE

Spruce Technology Inc. shall provide the State with a Work Plan that shall include, without limitation, a detailed description of the Schedule, tasks, Deliverables, major milestones, task dependencies, and payment schedule.

The initial Work Plan shall be a separate Deliverable and is set forth in Part 3 - Exhibit I: *Work Plan*. Spruce Technology Inc. shall update the Work Plan as necessary, but no less than every two weeks, to accurately reflect the status of the Project, including without limitation, the Schedule, tasks, Deliverables, major milestones, task dependencies, and payment schedule. Any such updates to the Work Plan must be approved by the State, in writing, prior to final incorporation into Part 3 - Exhibit I: *Work Plan*. The updated Part 3 - Exhibit I: *Work Plan*, as approved by the State, is incorporated herein by reference.

Unless otherwise agreed in writing by the State, changes to the Part 3 - Exhibit I: *Work Plan* shall not relieve Spruce Technology Inc. from liability to the State for damages resulting from Spruce Technology Inc.'s failure to perform its obligations under the Contract, including, without limitation, performance in accordance with the Schedule.

**STATE OF NEW HAMPSHIRE
PUBLIC UTILITIES COMMISSION
SAFETY DYNAMIC 365 EXPANSION
DOIT 2019-067**

PART 2 – INFORMATION TECHNOLOGY PROVISIONS

In the event of any delay in the Schedule, Spruce Technology Inc. must immediately notify the State in writing, identifying the nature of the delay, i.e., specific actions or inactions of Spruce Technology Inc. or the State causing the problem; its estimated duration period to reconciliation; specific actions that need to be taken to correct the problem; and the expected Schedule impact on the Project.

In the event additional time is required by Spruce Technology Inc. to correct Deficiencies, the Schedule shall not change unless previously agreed in writing by the State, except that the Schedule shall automatically extend on a day-to-day basis to the extent that the delay does not result from Spruce Technology Inc.'s failure to fulfill its obligations under the Contract. To the extent that the State's execution of its major tasks takes longer than described in the Work Plan, the Schedule shall automatically extend on a day-to-day basis.

Notwithstanding anything to the contrary, the State shall have the option to terminate the Contract for default, at its discretion; if it is dissatisfied with Spruce Technology Inc.'s Work Plan or elements within the Work Plan.

8. CHANGE ORDERS

The State may make changes or revisions at any time by written Change Order. The State originated changes or revisions shall be approved by the Department of Information Technology. Within five (5) business days of Spruce Technology Inc.'s receipt of a Change Order, Spruce Technology Inc. shall advise the State, in detail, of any impact on cost (e.g., increase or decrease), the schedule, or the Work Plan.

Spruce Technology Inc. may request a change within the scope of the Contract by written Change Order, identifying any impact on cost, the Schedule, or the Work Plan. The State shall attempt to respond to Spruce Technology Inc.'s requested Change Order within five (5) business days. The State Agency, as well as the Department of Information Technology, must approve all Change Orders in writing. The State shall be deemed to have rejected the Change Order if the parties are unable to reach an Agreement in writing.

All Change Order requests from Spruce Technology Inc. to the State, and the State Acceptance of Spruce Technology Inc.'s estimate for a State requested change, will be acknowledged and responded to, either Acceptance or rejection, in writing. If accepted, the Change Order(s) shall be subject to the Contract amendment process, as determined to apply by the State.

9. INTELLECTUAL PROPERTY

9.1 SOFTWARE TITLE

Title, right, and interest (including all ownership and intellectual property rights) in the Software, and its associated Documentation, shall remain with the State of New Hampshire.

Upon successful completion and/or termination of the Implementation of the Project, the State of New Hampshire shall own and hold all, title, and rights in any Software modifications developed

**STATE OF NEW HAMPSHIRE
PUBLIC UTILITIES COMMISSION
SAFETY DYNAMIC 365 EXPANSION
DOIT 2019-067**

PART 2 – INFORMATION TECHNOLOGY PROVISIONS

in connection with performance of obligations under the Contract, or modifications to the State of New Hampshire's provided Software, and their associated Documentation.

In no event shall Spruce Technology Inc. be precluded from developing for itself, or for others, materials that are competitive with, or similar to, Custom Software, modifications developed in connection with performance of obligations under the Contract. In addition, Spruce Technology Inc. shall be free to use its general knowledge, skills, experience, and any other ideas, concepts, know-how, and techniques that are acquired or used in the course of its performance under this Agreement.

9.2 STATE'S DATA AND PROPERTY

All rights, title and interest in State Data shall remain with the State. All Data and any property which has been received from the State or purchased with funds provided for that purpose under this Agreement, shall be the property of the State, and shall be returned to the State upon demand or upon termination of this Agreement for any reason. Spruce Technology Inc. shall not access State user accounts or State Data, except:

1. in the course of Data center operations,
2. in response to service or technical issues,
3. as required by the express terms of this Contract, or
4. at the State's written request.

9.3 CONTRACTOR'S MATERIALS

Subject to the provisions of this Contract, Spruce Technology Inc. may develop for itself, or for others, materials that are competitive with, or similar to, the Deliverables. In accordance with the provision of this Contract, Spruce Technology Inc. shall not distribute any products containing or disclose any State Confidential Information. Spruce Technology Inc. shall be free to use its general knowledge, skills and experience, and any ideas, concepts, know-how, and techniques that are acquired or used in the course of its performance under this Contract, provided that such is not obtained as the result of the deliberate memorization of the State Confidential Information by Spruce Technology Inc. employees or third party consultants engaged by Spruce Technology Inc.

Without limiting the foregoing, the parties agree that the general knowledge referred to herein cannot include information or records not subject to public disclosure under New Hampshire RSA Chapter 91-A: Access to Government Records and Meetings, which includes but is not limited to the following: records of grand juries and petit juries; records of parole and pardon boards; personal school records of pupils; records pertaining to internal personnel practices, financial information, test questions, scoring keys and other examination Data use to administer a licensing examination, examination for employment, or academic examination and personnel, medical, welfare, library use, video tape sale or rental, and other files containing personally identifiable information that is private in nature.

9.4 STATE WEBSITE COPYRIGHT

WWW Copyright and Intellectual Property Rights

All right, title and interest in the State WWW site <NH.GOV, etc.>, including copyright to all

**STATE OF NEW HAMPSHIRE
PUBLIC UTILITIES COMMISSION
SAFETY DYNAMIC 365 EXPANSION
DOIT 2019-067**

PART 2 – INFORMATION TECHNOLOGY PROVISIONS

Data and information, shall remain with the State. The State shall also retain all right, title and interest in any user interfaces and computer instructions embedded within the WWW pages. All WWW pages and any other Data or information shall, where applicable, display the State's copyright.

9.5 CUSTOM SOFTWARE SOURCE CODE

In the event that the State purchases Software development Service, which results in Custom Software, Spruce Technology Inc. shall provide the State with a copy of the source code for the Custom Software, which shall be subject to the License rights. The State shall receive a worldwide, perpetual, irrevocable, non-exclusive paid – up right and license to use, copy, modify and prepare derivative works of any custom developed Software. This section does not apply to Spruce Technology Inc.'s proprietary Software code.

9.6 SURVIVAL

This Contract Agreement – Part 2, IT Provisions - Section 9: *Intellectual Property* shall survive the termination of the Contract.

10. USE OF STATE'S INFORMATION AND CONFIDENTIALITY

10.1 USE OF STATE'S INFORMATION

In performing its obligations under the Contract, Spruce Technology Inc. may gain access to information of the State, including State Confidential Information. "State Confidential Information" shall include, but not be limited to, information exempted from public disclosure under New Hampshire RSA Chapter 91-A: Access to Government Records and Meetings (see e.g. RSA Chapter 91-A: 5 *Exemptions*). Spruce Technology Inc. shall not use the State Confidential Information developed or obtained during the performance of, or acquired, or developed by reason of the Contract, except as directly connected to and necessary for Spruce Technology Inc.'s performance under the Contract.

10.2 STATE CONFIDENTIAL INFORMATION

Spruce Technology Inc. shall maintain the Confidentiality of and protect from unauthorized use, disclosure, publication, and reproduction (collectively "release"), all State Confidential Information that becomes available to Spruce Technology Inc. in connection with its performance under the Contract, regardless of its form.

Subject to applicable federal or State laws and regulations, Confidential Information shall not include information which:

- a. shall have otherwise become publicly available other than as a result of disclosure by the receiving party in Breach hereof;
- b. was disclosed to the receiving party on a non-Confidential basis from a source other than the disclosing party, which the receiving party believes is not prohibited from disclosing such information as a result of an obligation in favor of the disclosing party;

**STATE OF NEW HAMPSHIRE
PUBLIC UTILITIES COMMISSION
SAFETY DYNAMIC 365 EXPANSION
DOIT 2019-067**

PART 2 – INFORMATION TECHNOLOGY PROVISIONS

- c. is developed by the receiving party independently of, or was known by the receiving party prior to, any disclosure of such information made by the disclosing party; or
- d. is disclosed with the written consent of the disclosing party. A receiving party also may disclose Confidential Information to the extent required by an order of a court of competent jurisdiction.

Any disclosure of the State Confidential Information shall require the prior written approval of the State. Spruce Technology Inc. shall immediately notify the State if any request, subpoena or other legal process is served upon Spruce Technology Inc. regarding the State Confidential Information, and Spruce Technology Inc. shall cooperate with the State in any effort the State undertakes to contest the request, subpoena or other legal process, at no additional cost to the State.

In the event of the unauthorized release of State Confidential Information, Spruce Technology Inc. shall immediately notify the State, and the State may immediately be entitled to pursue any remedy at law and in equity, including, but not limited to, injunctive relief.

10.3 CONTRACTOR CONFIDENTIAL INFORMATION

Insofar as Spruce Technology Inc. seeks to maintain the Confidentiality of its Confidential or proprietary information, Spruce Technology Inc. must clearly identify in writing all information it claims to be Confidential or proprietary. Notwithstanding the foregoing, the State acknowledges that Spruce Technology Inc. considers the Software and Documentation to be Confidential Information. Spruce Technology Inc. acknowledges that the State is subject to State and federal laws governing disclosure of information including, but not limited to, RSA Chapter 91-A: Access to Government Records and Meetings. The State shall maintain the Confidentiality of the identified Confidential Information insofar as it is consistent with applicable State and federal laws or regulations, including but not limited to, RSA Chapter 91-A: Access to Government Records and Meetings. In the event the State receives a request for the information identified by Spruce Technology Inc. as Confidential, the State shall notify Spruce Technology Inc. and specify the date the State will be releasing the requested information. At the request of the State, Spruce Technology Inc. shall cooperate and assist the State with the collection and review of Spruce Technology Inc.'s information, at no additional expense to the State. Any effort to prohibit or enjoin the release of the information shall be Spruce Technology Inc.'s sole responsibility and at Spruce Technology Inc.'s sole expense. If Spruce Technology Inc. fails to obtain a court order enjoining the disclosure, the State shall release the information on the date specified in the State's notice to Spruce Technology Inc., without any liability to Spruce Technology Inc.

10.4 SURVIVAL

This Contract Agreement – Part 2 IT Provisions - Section 10, *Use of State's Information, and Confidentiality*, shall survive termination or Conclusion of the Contract.

**STATE OF NEW HAMPSHIRE
PUBLIC UTILITIES COMMISSION
SAFETY DYNAMIC 365 EXPANSION
DOIT 2019-067**

PART 2 – INFORMATION TECHNOLOGY PROVISIONS

11. LIMITATION OF LIABILITY

11.1 STATE

Subject to applicable laws and regulations, in no event shall the State be liable for any consequential, special, indirect, incidental, punitive, or exemplary damages. Subject to applicable laws and regulations, the State's liability to Spruce Technology Inc. shall not exceed the total Contract price set forth in Contract Agreement – Part 1, P-37 General Provisions - Block 1.8: *Price Limitation*.

11.2 STATE'S IMMUNITY

Notwithstanding the foregoing, nothing herein contained shall be deemed to constitute a waiver of the sovereign immunity of the State, which immunity is hereby reserved to the State. This covenant shall survive termination or Contract Conclusion.

11.3 SURVIVAL

This Contract Agreement – Part 2, IT Provisions - Section 11: *Limitation of Liability* shall survive termination or Contract Conclusion.

12. TERMINATION

12.1 TERMINATION FOR DEFAULT

Any one or more of the following acts or omissions of Spruce Technology Inc. shall constitute an Event of Default hereunder ("Event of Default"):

- a. Failure to perform the Services satisfactorily or on Schedule;
- b. Failure to submit any report required; and/or
- c. Failure to perform any other covenant, term or condition of the Contract.

12.1.1 Upon the occurrence of any Event of Default, the State may take any one or more, or all, of the following actions:

- a. Unless otherwise provided in the Contract, the State shall provide Spruce Technology Inc. written notice of default and require it to be remedied within, in the absence of a greater or lesser Specification of time, within thirty (30) days from the date of notice, unless otherwise indicated within by the State ("Cure Period"). If Spruce Technology Inc. fails to cure the default within the Cure Period, the State may terminate the Contract effective two (2) days after giving Spruce Technology Inc. notice of termination, at its sole discretion, treat the Contract as Breached and pursue its remedies at law or in equity or both.
- b. Give Spruce Technology Inc. a written notice specifying the Event of Default and suspending all payments to be made under the Contract and ordering that the portion of the Contract price which would otherwise accrue to Spruce

**STATE OF NEW HAMPSHIRE
PUBLIC UTILITIES COMMISSION
SAFETY DYNAMIC 365 EXPANSION
DOIT 2019-067**

PART 2 – INFORMATION TECHNOLOGY PROVISIONS

Technology Inc. during the period from the date of such notice until such time as the State determines that Spruce Technology Inc. has cured the Event of Default shall never be paid to Spruce Technology Inc..

- c. Set off against any other obligations the State may owe to Spruce Technology Inc. any damages the State suffers by reason of any Event of Default.
- d. Treat the Contract as Breached and pursue any of its remedies at law or in equity, or both.
- e. Procure Services that are the subject of the Contract from another source and Spruce Technology Inc. shall be liable for reimbursing the State for the replacement Services, and all administrative costs directly related to the replacement of the Contract and procuring the Services from another source, such as costs of competitive bidding, mailing, advertising, applicable fees, charges or penalties, and staff time costs; all of which shall be subject to the limitations of liability set forth in the Contract.

12.1.2 Spruce Technology Inc. shall provide the State with written notice of default, and the State shall cure the default within thirty (30) days.

12.2 TERMINATION FOR CONVENIENCE

12.2.1 The State may, at its sole discretion, terminate the Contract for convenience, in whole or in part, by thirty (30) days written notice to Spruce Technology Inc.. In the event of a termination for convenience, the State shall pay Spruce Technology Inc. the agreed upon price, if separately stated in this Contract, for Deliverables for which Acceptance has been given by the State. Amounts for Services or Deliverables provided prior to the date of termination for which no separate price is stated under the Contract shall be paid, in whole or in part, generally in accordance with Contract Part 3 - Exhibit B, *Price and Payment Schedule*, of the Contract.

12.2.2 During the thirty (30) day period, Spruce Technology Inc. shall wind down and cease Services as quickly and efficiently as reasonably possible, without performing unnecessary Services or activities and by minimizing negative effects on the State from such winding down and cessation of Services.

12.3 TERMINATION FOR CONFLICT OF INTEREST

12.3.1 The State may terminate the Contract by written notice if it determines that a conflict of interest exists, including but not limited to, a violation by any of the parties hereto of applicable laws regarding ethics in public acquisitions and procurement and performance of Contracts.

In such case, the State shall be entitled to a pro-rated refund of any current development. The State shall pay all other Contracted payments that would have become due and

**STATE OF NEW HAMPSHIRE
PUBLIC UTILITIES COMMISSION
SAFETY DYNAMIC 365 EXPANSION
DOIT 2019-067**

PART 2 – INFORMATION TECHNOLOGY PROVISIONS

payable if Spruce Technology Inc. did not know, or reasonably did not know, of the conflict of interest.

- 12.3.2** In the event the Contract is terminated as provided above pursuant to a violation by Spruce Technology Inc., the State shall be entitled to pursue the same remedies against Spruce Technology Inc. as it could pursue in the event of a default of the Contract by Spruce Technology Inc.

12.4 TERMINATION PROCEDURE

- 12.4.1** Upon termination of the Contract, the State, in addition to any other rights provided in the Contract, may require Spruce Technology Inc. to deliver to the State any property, including without limitation, Software and Written Deliverables, for such part of the Contract as has been terminated.

- 12.4.2** After receipt of a notice of termination, and except as otherwise directed by the State, Spruce Technology Inc. shall:

- a. The State shall be entitled to any post-termination assistance generally made available with respect to the Service, unless a unique Data retrieval arrangement has been established as part of the SLA;
- b. stop work under the Contract on the date, and to the extent specified, in the notice;
- c. promptly, but in no event longer than thirty (30) days after termination, terminate its orders and subcontracts related to the work which has been terminated and settle all outstanding liabilities and all claims arising out of such termination of orders and subcontracts, with the approval or ratification of the State to the extent required, which approval or ratification shall be final for the purpose of this Section;
- d. take such action as the State directs, or as necessary to preserve and protect the property related to the Contract which is in the possession of Spruce Technology Inc. and in which the State has an interest;
- e. during any period of Service suspension, Spruce Technology Inc. shall not take any action to intentionally erase any State Data;
- f. transfer title to the State and deliver in the manner, at the times, and to the extent directed by the State, any property which is required to be furnished to the State and which has been accepted or requested by the State;
- g. provide written Certification to the State that Spruce Technology Inc. has surrendered to the State all said property; and
- h. assist in Transition Services, as reasonably requested by the State at no additional cost.

- 12.4.3** In the event of termination of any Service or Agreement in entirety, Spruce Technology Inc. shall not take any action to intentionally erase any State Data for a period of:

**STATE OF NEW HAMPSHIRE
PUBLIC UTILITIES COMMISSION
SAFETY DYNAMIC 365 EXPANSION
DOIT 2019-067**

PART 2 – INFORMATION TECHNOLOGY PROVISIONS

- a. 10 days after the Effective Date of termination, if the termination is in accordance with the Contract period.
- b. 30 days after the Effective Date of termination, if the termination is for convenience.
- c. 60 days after the Effective Date of termination, if the termination is for cause.

12.4.4 After such period, Spruce Technology Inc. shall have no obligation to maintain or provide any State Data and shall thereafter, unless legally prohibited, delete all State Data in its Systems or otherwise in its possession or under its control:

- a. Transfer title to the State and deliver in the manner, at the times, and to the extent directed by the State, any property which is required to be furnished to the State and which has been accepted or requested by the State;
- b. Spruce Technology Inc. shall implement an orderly return of State Data in a CSV or another mutually agreeable format at a time agreed to by the parties and the subsequent secure disposal of State Data;
- c. Spruce Technology Inc. shall securely dispose of all requested Data in all of its forms, such as disk, CD/DVD, backup tape and paper, when requested by the State. Data shall be permanently deleted and shall not be recoverable, according to National Institute of Standards and Technology (NIST)-approved methods. Certificates of destruction shall be provided to the State; and
- d. Provide written Certification to the State that Spruce Technology Inc. has surrendered to the State all said property.

12.5 SURVIVAL

This Contract Agreement – Part 2 - IT Provisions - Section 12: *Termination* shall survive termination or Contract Conclusion.

13. CHANGE OF OWNERSHIP

In the event that Spruce Technology Inc. should change ownership for any reason whatsoever, the State shall have the option of continuing under the Contract with Spruce Technology Inc., its successors or assigns for the full remaining term of the Contract; continuing under the Contract with Spruce Technology Inc., its successors or assigns for such period of time as determined necessary by the State; or immediately terminate the Contract without liability to Spruce Technology Inc., its successors or assigns.

**STATE OF NEW HAMPSHIRE
PUBLIC UTILITIES COMMISSION
SAFETY DYNAMIC 365 EXPANSION
DOIT 2019-067**

PART 2 – INFORMATION TECHNOLOGY PROVISIONS

14. ASSIGNMENT, DELEGATION, AND SUBCONTRACTS

- 14.1** Spruce Technology Inc. shall not assign, delegate, subcontract, or otherwise transfer any of its interest, rights, or duties under the Contract without the prior written consent of the State. Such consent shall not be unreasonably withheld. Any attempted transfer, assignment, delegation, or other transfer made without the State's prior written consent shall be null and void, and may constitute an Event of Default at the sole discretion of the State.
- 14.2** Spruce Technology Inc. shall remain wholly responsible for performance of the entire Contract even if assignees, delegates, Subcontractors, or other transferees ("Assigns") are used, unless otherwise agreed to in writing by the State, and the Assigns fully assumes in writing any and all obligations and liabilities under the Contract from the Effective Date. In the absence of a written assumption of full obligations and liabilities of the Contract, any permitted assignment, delegation, subcontract, or other transfer shall neither relieve Spruce Technology Inc. of any of its obligations under the Contract nor affect any remedies available to the State against Spruce Technology Inc. that may arise from any Event of Default of the provisions of the Contract. The State shall consider Spruce Technology Inc. to be the sole point of contact with regard to all Contractual matters, including payment of any and all charges resulting from the Contract.
- 14.3** Notwithstanding the foregoing, nothing herein shall prohibit Spruce Technology Inc. from assigning the Contract to the successor of all or substantially all of the assets or business of Spruce Technology Inc. provided that the successor fully assumes in writing all obligations and responsibilities under the Contract. In the event that Spruce Technology Inc. should change ownership, as permitted under Part 2, IT Provisions - Section 13: *Change of Ownership*, the State shall have the option to continue under the Contract with Spruce Technology Inc., its successors or assigns for the full remaining term of the Contract; continue under the Contract with Spruce Technology Inc., its successors or assigns for such period of time as determined necessary by the State; or immediately terminating the Contract without liability to Spruce Technology Inc., its successors or assigns.

15. DISPUTE RESOLUTION

Prior to the filing of any formal proceedings with respect to a dispute (other than an action seeking injunctive relief with respect to intellectual property rights or Confidential Information), the party believing itself aggrieved (the "Invoking Party") shall call for progressive management involvement in the dispute negotiation by written notice to the other party. Such notice shall be without prejudice to the Invoking Party's right to any other remedy permitted under the Contract.

The parties shall use reasonable efforts to arrange personal meetings and/or telephone conferences as needed, at mutually convenient times and places, between negotiators for the parties at the following successive management levels, each of which shall have a period of allotted time as specified below in which to attempt to resolve the dispute:

**STATE OF NEW HAMPSHIRE
PUBLIC UTILITIES COMMISSION
SAFETY DYNAMIC 365 EXPANSION
DOIT 2019-067**

PART 2 – INFORMATION TECHNOLOGY PROVISIONS

Table 15.1: *Dispute Responsibility and Schedule Table*

LEVEL	SPRUCE TECHNOLOGY INC.	STATE	<u>CUMULATIVE ALLOTTED TIME</u>
Primary	Samantha Kenney Project Manager	Cindy Dotlich State Project Manager (PM)	5 Business Days
First	Emir Sadikovic Senior Director of Technology Services	Randall Knepper Director, Safety & Security Kath Mullholand Director, Regulatory, Innovation and Strategy Division	10 Business Days
Second	James Mahoney Vice President, Solutions & Professional Services	Debra Howland Executive Director	15 Business Days
Third	Srini Penumella CEO	Martin Honigberg, Commissioner PUC Denis Goulet Commissioner, DoIT	15 Business Days

The allotted time for the first level negotiations shall begin on the date the Invoking Party's notice is received by the other party. Subsequent allotted time is days from the date that the original Invoking Party's notice is received by the other party.

16. IT STANDARDS AND PROCEDURES

All work done must conform to standards and procedures established by the Department of Information Technology and the State.

16.1 COMPUTER USE

In consideration for receiving access to and use of the computer facilities, network, licensed or developed Software, Software maintained or operated by any of the State entities, Systems, equipment, Documentation, information, reports, or Data of any kind (hereinafter "Information"), Spruce Technology Inc. understands and agrees to the following rules:

- a. Every Authorized User has the responsibility to assure the protection of information from unauthorized access, misuse, theft, damage, destruction, modification, or disclosure.
- b. That information shall be used solely for conducting official State business, and all other use or access is strictly forbidden including, but not limited to, personal, or other private

**STATE OF NEW HAMPSHIRE
PUBLIC UTILITIES COMMISSION
SAFETY DYNAMIC 365 EXPANSION
DOIT 2019-067**

PART 2 – INFORMATION TECHNOLOGY PROVISIONS

and non-State use and that at no time shall Spruce Technology Inc. access or attempt to access any information without having the express authority to do so.

- c. That at no time shall Spruce Technology Inc. access or attempt to access any information in a manner inconsistent with the approved policies, procedures, and /or Agreements relating to System entry/access.
- d. That all Software Licensed, developed, or being evaluated by the State cannot be copied, shared, distributed, sub-licensed, modified, reverse engineered, rented, or sold, and that at all times Spruce Technology Inc. must use utmost care to protect and keep such Software strictly Confidential in accordance with the license or any other Agreement executed by the State. Personal Software (including but not limited to palmtop sync Software) shall not be installed on any State equipment.
- e. That if Spruce Technology Inc. is found to be in violation of any of the above-stated rules, the User may face removal from the State Contract, and/or criminal or civil prosecution, if the act constitutes a violation of law.

16.2 EMAIL USE

Mail and other electronic communication messaging Systems are State of New Hampshire property and are to be used for business purposes only. Email is defined as "internal Email Systems" or "State-funded Email Systems". Spruce Technology Inc. understand and agree that use of email shall follow State standard policy (available upon request).

16.3 INTERNET/INTRANET USE

The Internet/Intranet is to be used for access to and distribution of information in direct support of the business of the State of New Hampshire according to State standard policy (available upon request).

16.4 REGULATORY GOVERNMENT APPROVALS

Spruce Technology Inc. shall obtain all necessary and applicable regulatory or other governmental approvals necessary to perform its obligations under the Contract.

17. GENERAL CONTRACT REQUIREMENTS

17.1 INSURANCE CERTIFICATE

The Insurance Certificate should note the Certificate Holder in the lower left hand block including State of New Hampshire, Department Name, name of the individual responsible for the funding of the Contracts and his/her address.

17.2 EXHIBITS

The Exhibits referred to, in and attached to the Contract are incorporated by reference as if fully included in the text.

**STATE OF NEW HAMPSHIRE
PUBLIC UTILITIES COMMISSION
SAFETY DYNAMIC 365 EXPANSION
DOIT 2019-067**

PART 2 – INFORMATION TECHNOLOGY PROVISIONS

17.3 VENUE AND JURISDICTION

Any action on the Contract may only be brought in the State of New Hampshire, Merrimack County Superior Court.

17.4 SURVIVAL

The terms, conditions and Warranties contained in the Contract that by their context are intended to survive the completion of the performance, cancellation or termination of the Contract shall so survive, including, but not limited to, the terms of RFP Appendix H – Section H-25.12-14: *Confidential Information*; Part 1, P-37, General Provisions – Section 7: *Personnel*; Part 1, P-37 General Provisions – Section 13: *Indemnification*; Part 2, IT Requirements - Section 9: *Intellectual Property*; Part 2, IT Requirements - Section 10: *Use of State's Information and Confidentiality*; Part 2, IT Requirements – Section 11: *Limitation of Liability*; Part 2, IT Requirements – Section 12: *Termination*; and Part 3 - Exhibit K Section 2: *Warranty Period* which shall all survive the termination of the Contract.

17.5 FORCE MAJEURE

Neither Spruce Technology Inc. nor the State shall be responsible for delays or failures in performance resulting from events beyond the control of such party and without fault or negligence of such party. Such events shall include, but not be limited to, acts of God, strikes, lock outs, riots, and acts of War, epidemics, acts of Government, fire, power failures, nuclear accidents, earthquakes, and unusually severe weather.

Except in the event of the foregoing, Force Majeure events shall not include Spruce Technology Inc.'s inability to hire or provide personnel needed for Spruce Technology Inc.'s performance under the Contract.

17.6 NOTICES

Any notice by a party hereto to the other party shall be deemed to have been duly delivered or given at the time of mailing by certified mail, postage prepaid, in a United States Post Office addressed to the parties at the following addresses.

TO SPRUCE TECHNOLOGY INC.	TO STATE:
SPRUCE TECHNOLOGY INC ATTN: KRISTEN MAZZA 1149 BLOOMFIELD AVENUE SUITE G CLIFTON, NJ 07012 TEL: (862) 225-9302 E.MAIL: KMAZZA@SPRUCETECH.COM	STATE OF NEW HAMPSHIRE NH PUBLIC UTILITIES COMMISSION – IT MANAGER 21 FRUIT ST, SUITE 10 CONCORD, NEW HAMPSHIRE 03301 TEL: (603) 271-6320

18. DATA PROTECTION

18.1 DATA PROTECTION

**STATE OF NEW HAMPSHIRE
PUBLIC UTILITIES COMMISSION
SAFETY DYNAMIC 365 EXPANSION
DOIT 2019-067**

PART 2 – INFORMATION TECHNOLOGY PROVISIONS

Protection of personal privacy and Data shall be an integral part of the business activities of Spruce Technology Inc. to ensure there is no inappropriate or unauthorized use of State information at any time. To this end, Spruce Technology Inc. shall safeguard the confidentiality, integrity and availability of State information and comply with the following conditions:

- a. Spruce Technology Inc. shall implement and maintain appropriate administrative, technical and organizational security measures to safeguard against unauthorized access, disclosure or theft of Personal Data and Non-Public Data. Such security measures shall be in accordance with recognized industry practice and not less stringent than the measures Spruce Technology Inc. applies to its own Personal Data and Non-Public Data of similar kind.
- b. All Data obtained by Spruce Technology Inc. in the performance of this Contract shall be encrypted at rest and in transit with controlled access. Unless otherwise stipulated, Spruce Technology Inc. is responsible for Encryption of the Personal Data.
- d. Unless otherwise stipulated, Spruce Technology Inc. shall encrypt all Non-Public Data at rest and in transit. The State shall identify Data it deems as Non-Public Data to Spruce Technology Inc.. The level of protection and Encryption for all Non-Public Data shall be identified and made a part of this Contract.
- e. At no time shall any Data or processes — that either belong to or are intended for the use of the State or its officers, agents or employees — be copied, disclosed or retained by the Spruce Technology Inc. or any party related to Spruce Technology Inc. for subsequent use in any transaction that does not include the State.
- f. Spruce Technology Inc. shall not use any information collected in connection with the Service issued from this Proposal for any purpose other than fulfilling the Service.

18.2 DATA LOCATION

The Contractor shall provide its Services to the State and its end users solely from Data centers in the U.S. Storage of State Data at rest shall be located solely in Data centers in the U.S. the Contractor shall not allow its personnel or Contractors to store State Data on portable devices, including personal computers, except for devices that are used and kept only at its U.S. Data centers. the Contractor shall permit its personnel and Contractors to access State Data remotely only as required to provide technical support.

18.3 SECURITY INCIDENT OR DATA BREACH NOTIFICATION

The Contractor shall inform the State of any Security Incident or Data Breach in accordance with NH RSA Chapter 359-C:20: Notice of Security Breach.

- a. Incident Response: The Contractor may need to communicate with outside parties regarding a Security Incident, which may include contacting law enforcement, fielding media inquiries and seeking external expertise as mutually agreed upon, defined by law or contained in the Contract. Discussing Security Incidents with the State should be

**STATE OF NEW HAMPSHIRE
PUBLIC UTILITIES COMMISSION
SAFETY DYNAMIC 365 EXPANSION
DOIT 2019-067**

PART 2 – INFORMATION TECHNOLOGY PROVISIONS

handled on an urgent as-needed basis, as part of the Contractor communication and mitigation processes as mutually agreed upon, defined by law or contained in the Contract.

- b. Security Incident Reporting Requirements: The Contractor shall report a Security Incident to the New Hampshire Cyber Integration Center (NH-CIC) immediately.

New Hampshire Cyber Integration Center (NH-CIC)

email: NH-CIC@doit.nh.gov

phone: 603-227-0087

- c. Breach Reporting Requirements: If the Contractor has actual knowledge of a confirmed Data Breach that affects the security of any State content that is subject to applicable Data Breach notification law, the Contractor shall:
- i. Promptly notify the appropriate State Identified Contact within 24 hours or sooner, unless shorter time is required by applicable law; and
 - ii. Take commercially reasonable measures to address the Data Breach in a timely manner.

18.4 BREACH RESPONSIBILITIES

This section only applies when a Data Breach occurs with respect to personal Data within the possession or control of the Contractor.

- 18.4.1. The Contractor, unless stipulated otherwise, shall immediately notify the appropriate State Identified Contact by telephone in accordance with the agreed upon security plan or security procedures if it reasonably believes there has been a Security Incident.
- 18.4.2. The Contractor, unless stipulated otherwise, shall promptly notify the appropriate State Identified Contact within 24 hours or sooner by telephone, unless shorter time is required by applicable law, if it confirms that there is, or reasonably believes that there has been a Data Breach. the Contractor shall:
- a. Cooperate with the State as reasonably requested by the State to investigate and resolve the Data Breach;
 - b. promptly implement necessary remedial measures, if necessary; and
 - c. document responsive actions taken related to the Data Breach, including any post-incident Review of events and actions taken to make changes in business practices in providing the Service, if necessary.
- 18.4.3. Unless otherwise stipulated, if a Data Breach is a direct result of the Contractor's Breach of its Contract obligation to encrypt Personal Data or otherwise prevent its release, the Contractor shall bear the costs associated with:
- a. The investigation and resolution of the Data Breach;
 - b. notifications to individuals, regulators or others required by State law;
 - c. a credit monitoring Service required by State (or federal) law;

**STATE OF NEW HAMPSHIRE
PUBLIC UTILITIES COMMISSION
SAFETY DYNAMIC 365 EXPANSION
DOIT 2019-067**

PART 2 – INFORMATION TECHNOLOGY PROVISIONS

- d. a website or a toll-free number and call center for affected individuals required by State law — all not to exceed the average per record per person cost calculated for Data Breaches in the United States (currently \$201 per record/person) in the most recent Cost of Data Breach Study: Global Analysis published by the Ponemon Institute¹⁷ at the time of the Data Breach; and
- e. complete all corrective actions as reasonably determined by the Contractor based on root cause; all [(a.) through (d.)] subject to this Contract's limitation of liability.

18.5 NOTIFICATION OF LEGAL REQUESTS

Spruce Technology Inc. shall contact the State upon receipt of any electronic discovery, litigation holds, discovery searches and expert testimonies related to the State's Data under this Contract, or which in any way might reasonably require access to the Data of the State. Spruce Technology Inc. shall not respond to subpoenas, Service of process and other legal requests related to the State without first notifying the State, unless prohibited by law from providing such notice.

18.6 CONTRACT AUDIT

Spruce Technology Inc. shall allow the State to audit conformance to the Contract terms. The State may perform this audit or Contract with a third party at its discretion and at the State's expense.

18.7 ADVANCE NOTICE

The Contractor shall give advance notice (to be determined at the Contract time and included in the SLA) to the State of any upgrades (e.g., major upgrades, minor upgrades, System changes) that may impact Service availability and performance. A major upgrade is a replacement of hardware, Software or firmware with a newer or better version in order to bring the System up to date or to improve its characteristics. It usually includes a new version number.

18.8 SECURITY

The Contractor shall disclose its non-proprietary security processes and technical limitations to the State such that adequate protection and flexibility can be attained between the State and the Contractor. For example: virus checking and port sniffing — the State and the Contractor shall understand each other's roles and responsibilities.

18.9 NON-DISCLOSURE AND SEPARATION OF DUTIES

Spruce Technology Inc. shall enforce separation of job duties, require commercially reasonable non-disclosure Agreements, and limit staff knowledge of State Data to that which is absolutely necessary to perform job duties.

18.10 IMPORT AND EXPORT OF DATA

The State shall have the ability to import or export Data in piecemeal or in entirety at its discretion without interference from Spruce Technology Inc.. This includes the ability for the State to import or export Data to/from other Service providers.

18.11 RIGHT TO REMOVE INDIVIDUALS

**STATE OF NEW HAMPSHIRE
PUBLIC UTILITIES COMMISSION
SAFETY DYNAMIC 365 EXPANSION
DOIT 2019-067**

PART 2 – INFORMATION TECHNOLOGY PROVISIONS

The State shall have the right at any time to require that Spruce Technology Inc. remove from interaction with State any Spruce Technology Inc. representative who the State believes is detrimental to its working relationship with Spruce Technology Inc.. The State shall provide Spruce Technology Inc. with notice of its determination, and the reasons it requests the removal. If the State signifies that a potential security violation exists with respect to the request, Spruce Technology Inc. shall immediately remove such individual. Spruce Technology Inc. shall not assign the person to any aspect of the Contract or future work orders without the State's consent.

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**STATE OF NEW HAMPSHIRE
PUBLIC UTILITIES COMMISSION
SAFETY DYNAMICS 365 EXPANSION
CONTRACT 2019-067
PART 3**

**STATE OF NEW HAMPSHIRE
PUBLIC UTILITIES COMMISSION
SAFETY DYNAMICS 365 EXPANSION
DOIT 2019-067
PART 3
TABLE OF CONTENTS**

TABLE OF CONTENTS

EXHIBIT A: CONTRACT DELIVERABLES.....	6
1. DELIVERABLES, MILESTONES, AND ACTIVITIES.....	6
EXHIBIT B: PRICE AND PAYMENT SCHEDULE.....	8
1. PAYMENT SCHEDULE	8
2. CONTRACT PRICE	9
3. INVOICING	9
4. PAYMENT ADDRESS.....	10
5. OVERPAYMENTS TO SPRUCE TECHNOLOGY INC.....	10
6. CREDITS	10
7. PROJECT HOLDBACK	10
8. LIQUIDATED DAMAGES	11
EXHIBIT C: SPECIAL PROVISIONS.....	12
EXHIBIT D: ADMINISTRATIVE SERVICES.....	13
1. TRAVEL EXPENSES.....	13
2. SHIPPING AND DELIVERY FEE EXEMPTION	13
3. ACCESS/COOPERATION.....	13
4. STATE-OWNED DOCUMENTS AND COPYRIGHT PRIVILEGES	13
5. RECORDS RETENTION AND ACCESS REQUIREMENTS	13
6. ACCOUNTING REQUIREMENTS	14
EXHIBIT E: IMPLEMENTATION SERVICES.....	15
1. STATE MEETING AND REPORTS	15
2. IMPLEMENTATION STRATEGY	16
EXHIBIT F: IMPLEMENTATION SERVICES.....	18
1. TESTING AND ACCEPTANCE	18
1.1 TEST PLANNING AND PREPARATION.....	18
1.2 UNIT TESTING	19
1.3 SYSTEM INTEGRATION TESTING	19
1.4 MIGRATION VALIDATION TESTING	20
1.5 INSTALLATION TESTING.....	21
1.6 USER ACCEPTANCE TESTING (UAT)	21
1.7 REGRESSION TESTING.....	22
1.8 SECURITY REVIEW AND TESTING.....	23
1.9 SUCCESSFUL UAT COMPLETION	23
1.10 SYSTEM ACCEPTANCE.....	24
EXHIBIT G: MAINTENANCE AND SUPPORT SERVICES.....	25
EXHIBIT H: REQUIREMENTS.....	26
EXHIBIT I: WORK PLAN	27

**STATE OF NEW HAMPSHIRE
PUBLIC UTILITIES COMMISSION
SAFETY DYNAMICS 365 EXPANSION**

DOIT 2019-067

PART 3

TABLE OF CONTENTS

1. ASSUMPTIONS	27
2. CONTRACTOR ROLES AND RESPONSIBILITIES	29
3. STATE ROLES AND RESPONSIBILITIES	30
4. SOFTWARE APPLICATION.....	32
5. CONVERSIONS	32
6. INTERFACES.....	33
7. APPLICATION MODIFICATION.....	34
8. PRELIMINARY WORK PLAN.....	ERROR! BOOKMARK NOT DEFINED.
EXHIBIT J: SOFTWARE AGREEMENT.....	36
1. LICENSE GRANT	36
EXHIBIT K: WARRANTY AND WARRANTY SERVICE	37
1. WARRANTIES	37
1.1 SYSTEM.....	37
1.2 SYSTEM SUPPORT	37
1.3 SOFTWARE.....	38
1.4 SUPPORT OBLIGATIONS AND TERM.....	38
1.5 NON-INFRINGEMENT.....	39
1.6 VIRUSES; DESTRUCTIVE PROGRAMMING.....	39
1.7 COMPATIBILITY.....	39
1.8 SERVICES.....	39
1.9 PERSONNEL.....	39
1.10 BREACH OF DATA	39
2. WARRANTY PERIOD	40
EXHIBIT L: TRAINING SERVICES.....	41
EXHIBIT M: AGENCY RFP WITH ADDENDUMS, BY REFERENCE.....	42
EXHIBIT N: VENDOR PROPOSAL, BY REFERENCE.....	43
EXHIBIT O: CERTIFICATES AND ATTACHMENTS.....	44

**STATE OF NEW HAMPSHIRE
PUBLIC UTILITIES COMMISSION
SAFETY DYNAMICS 365 EXPANSION
DOIT 2019-067
PART 3 – EXHIBIT A
INTRODUCTION**

Spruce Technology Inc. will enhance, configure and develop the Microsoft Dynamics 365 environment for the Public Utilities Commission (PUC) and its Safety Division to establish a secure auditable system that is accessible from both within the state network and remotely from field locations that allows for scheduling, inspection, violation tracking, enforcement, federal report tracking, and grant administration of the Underground Damage Prevention program, commonly referred to as "DigSafe." The work contemplated under this engagement stands alone but is intended to be part of a larger plan for improvement of the PUC's existing database functions into a cloud-based integrated model, including the eventual development of a public portal that will enhance transparency for New Hampshire utilities, contractors, and the public.

The current Safety Division DigSafe database system is 17 years old, failing, and does not support all the features needed to meet the needs of the Safety Division. Currently, report generation is inadequate, requiring manual entry and duplication of efforts. The current system produces inaccurate reports that are time consuming to generate and ultimately affect the civil penalties associated with the enforcement process. The new system will replace the existing database and all data will be migrated to the new system. Once completed, the system developed under this contract will improve the inspection process for supervisors, inspectors, underground damage prevention specialists and the staff of the PUC Safety Division.

The current DigSafe database system will be replaced by leveraging the recently implemented PUC 2018-078 Safety Database Scheduler, Violation, Inspection and Federal Reporting cloud solution. This engagement will expand the newly developed Safety Database system to encompass DigSafe data and system functionality. The proposed solution will be secure, allow access from both within the state network and remotely from field locations, and be auditable. The system will be used by supervisors, inspectors, underground damage prevention specialist, PUC staff, and external auditors to meet the mission of the PUC to protect people, property, and the environment from the risks of damage to underground facilities (gas, telephone, electric, water, cable, sewer, etc.). The new DigSafe database system should be designed to incorporate best practices used by State and Federal governments in damage prevention programs. The solution should be able to access and reference One Call Online notifications, include Puc 800 rule updates when completed, and be able to apply those rules to the violations. With multiple individuals participating in investigations, inspection records will need to be accessible for data entry by more than one individual. Data input from inspections should align with each requirement identified for both state purposes and federal audits. The inspectors gather evidence from the utilities including written procedures, pdfs, jpegs, measurement scan, and site conditions with an extensive use of photo documentation to determine general and specific compliance. This evidence is gathered in the field as well as in the office. In addition, the proposed solution needs to deliver a calendar integration that provides the ability to view, schedule, and track all inspectors' locations and hours spent on an inspection or investigation, as well as total inspection hours if used in conjunction with pipeline safety inspections. Furthermore, the system will need the ability to interface with other PUC applications in future phases.

General Project Assumptions:

1. Spruce Technology Inc. will provide project tracking tools and templates to record and manage issues, risks, Change Requests, requirements, decision sheets, and other documents used in the

**STATE OF NEW HAMPSHIRE
PUBLIC UTILITIES COMMISSION
SAFETY DYNAMICS 365 EXPANSION
DOIT 2019-067
PART 3 – EXHIBIT A
INTRODUCTION**

management and tracking of the Project. The State of New Hampshire and Spruce Technology Inc.'s Project Managers shall review these tools and templates and determine which ones will be used for the Project. Training on these tools and templates will be conducted at the start of each phase in which they will be used.

2. Prior to the commencement of work on Non-Software and Written Deliverables, Spruce Technology Inc. shall provide to the State a template, table of contents, or agenda for Review and prior approval by the State.
3. Spruce Technology Inc. shall ensure that appropriate levels of security are implemented and maintained in order to protect the integrity and reliability of the State's Information Technology resources, information, and services. Security requirements are defined in Part 3 - Exhibit H: *Requirements*. Spruce Technology Inc. shall provide the State resources, information, and Services on an ongoing basis, with the appropriate infrastructure and security controls to ensure business continuity and to safeguard the Confidentiality and integrity of State networks, Systems and Data.
4. The Deliverables are set forth in the Schedule described below in Section 2. By unconditionally accepting a Deliverable, the State reserves the right to reject any and all Deliverables in the event the State detects any Deficiency in the System, in whole or in part, through completion of all Acceptance Testing, including but not limited to, Software/System Acceptance Testing, and any extensions thereof.
5. Pricing for Deliverables set forth in Part 3 - Exhibit B: *Price and Payment Schedule*. Pricing will be effective for the Term of this Contract, and any extensions thereof.
6. For each Phase of the solution, Spruce Technology Inc. will provide the State of New Hampshire a developed, agreed upon statement of work specific to that phase of development. Spruce Technology Inc. and the State of New Hampshire will then finalize the Statement of Work within ten (10) business days after contract approval by Governor and Council.

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**STATE OF NEW HAMPSHIRE
PUBLIC UTILITIES COMMISSION
SAFETY DYNAMICS 365 EXPANSION
DOIT 2019-067
PART 3 – EXHIBIT A
CONTRACT DELIVERABLES**

EXHIBIT A: CONTRACT DELIVERABLES

1. DELIVERABLES, MILESTONES, AND ACTIVITIES

1.1. SCOPE OF WORK

The general scope of the project is to provide the PUC's Safety Division with a solution to replace the failing DigSafe database with a hosted CRM system that will build upon the current Dynamics 365 solution and additionally provide the business intelligence to deliver ad-hoc reporting capabilities, scheduling, inspection, violation enforcement, and federal reporting. The proposed solution shall be secure, auditable, and will allow access from both within the state network and remotely from field locations. This will be used by inspectors, PUC staff and external auditors to meet the mission to protect people, property and the environment from the risks of underground facilities (gas, telephone, electric, water, cable, sewer, etc.). The PUC desires to improve DigSafe Database to be developed in a manner that incorporates and allows the best practices as required by State and Federal governments. The proposed solution should be able to access the regional One Call online system and update violation, inspection and violation reports from tablets in the field and other devices while also producing an annual database submission to national databases such as CGA's DIRT database. In addition, the proposed solution needs to deliver a calendar integration that provides the ability to view, schedule, and track all inspectors' locations and hours spent on an inspection, as well as, total inspection hours if used in conjunction with pipeline safety inspections. Furthermore, the system will need the ability to interface with other PUC applications in future phases.

DIG SAFE (Covered by this contract):

Provide a proven hosted cloud based inspection system with CRM capabilities that will provide the business intelligence for ad-hoc reporting capabilities, scheduling, violation enforcement, inspection, and the evolving federal reporting needs. In addition, the system will need the ability to interface with other PUC applications in future phases. Utilizing the capture method developed under contract DOIT 2018-078, establish an excavation damage database and applicable enforcement actions that result from submission of electronic forms from multiple stakeholders and tracks the enforcement progression from report date to close with the ability to link prior history of compliances.

Future Phase A – NH PUC Consumer Interactions and Contacts management:

In the near term, including portal access to allow access to public and utility-specific aspects of the Pipeline Safety and Dig Safe databases.

Future Phase B- Electrical Safety and Reliability:

A similar database capture method needs to be expanded to include safety inspections of electric service providers in New Hampshire. This would include NESC references and Puc 300 rule references including the specific edition being referenced.

Future Phase C – Physical and Cyber security:

Expand the system to develop the application to include cybersecurity and security reviews/inspections of electric and gas Utilities. In this phase, the grant administration

**STATE OF NEW HAMPSHIRE
PUBLIC UTILITIES COMMISSION
SAFETY DYNAMICS 365 EXPANSION
DOIT 2019-067
PART 3 – EXHIBIT A
CONTRACT DELIVERABLES**

features will need to be developed to utilize information from the entire system application to assist with grant writing.

1.2 DELIVERABLES, MILESTONES, AND ACTIVITIES SCHEDULE

	Activity, Deliverable, or Milestone	Deliverable Type	Projected Delivery Date
PROJECT INITIATION AND ANALYSIS PHASE			
1	Kick-off and follow-up activities	Written	2/1/2019
2	Discovery	Non-Software	2/1/2019
3	Requirements & Design	Written	2/25/2019
BUILD PHASE			
4	Sprint 1	Software	3/8/2019
5	Sprint 2	Software	3/29/2019
6	Data Migration Planning	Non-Software	3/29/2019
7	Sprint 3	Software	4/19/2019
8	Sprint 4	Software	5/10/2019
DEPLOYMENT PHASE			
9	User Acceptance	Written	5/17/2019
10	Training	Written	5/17/2019
11	Go-Live & Knowledge Transfer	Written	5/24/2019

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**STATE OF NEW HAMPSHIRE
PUBLIC UTILITIES COMMISSION
SAFETY DYNAMICS 365 EXPANSION
DOIT 2019-067
PART 3 – EXHIBIT B
PRICE AND PAYMENT SCHEDULE**

EXHIBIT B: PRICE AND PAYMENT SCHEDULE

1. PAYMENT SCHEDULE

1.1 NOT TO EXCEED

This is a Not to Exceed (NTE) with a maximum Contract value indicated in the Contract Part 1, P-37 General Provisions - Block 1.8: *Price Limitation* for the period between the Effective Date through the date indicated in Part 1, P-37 General Provisions - Block 1.7: *Completion Date*. Spruce Technology Inc. shall be responsible for performing its obligations in accordance with the Contract. This Contract will allow Spruce Technology Inc. to invoice the State for the following activities, Deliverables, or milestones appearing in the price and payment tables below:

Table 1.1:

	Activity, Deliverable, or Milestone	Deliverable Type	Projected Delivery Date	Price
PROJECT INITIATION AND ANALYSIS PHASE				
1	Kick-off and follow-up	Written	2/1/2019	\$10,710
2	Discovery	Non-Software	2/1/2019	\$11,000
3	Requirements & Design	Written	2/25/2019	\$14,000
BUILD PHASE				
4	Sprint 1	Software	3/8/2019	\$3,500
5	Sprint 2	Software	3/29/2019	\$3,500
6	Data Migration Planning	Non-Software	3/29/2019	\$3,500
7	Sprint 3	Software	4/19/2019	\$3,500
8	Sprint 4	Software	5/10/2019	\$2,290
DEPLOYMENT PHASE				
9	User Acceptance	Written	5/17/2019	\$7,000
10	Training	Written	5/17/2019	\$5,000
11	Go-Live & Knowledge	Written	5/24/2019	\$4,806
			Total	\$68,806.00

1.2 FUTURE VENDOR RATES WORKSHEET

The State may request additional Services from the selected Vendor and requires rates in the event that additional Service is required. "SFY" refers to State Fiscal Year. The New Hampshire State Fiscal Year runs from July 1 through June 30 of the following calendar year. Positions not identified in the Proposed Position Worksheet may be included in the Future Vendor Rates Worksheet.

**STATE OF NEW HAMPSHIRE
PUBLIC UTILITIES COMMISSION
SAFETY DYNAMICS 365 EXPANSION
DOIT 2019-067
PART 3 – EXHIBIT B
PRICE AND PAYMENT SCHEDULE**

Table 1.2: Future Vendor Rates Worksheet

Position Title	SFY 2019	SFY 2020	SFY 2021	SFY 2022
Delivery Lead	\$130.00	\$134.55	\$139.26	\$144.13
Lead Analyst	\$105.00	\$108.68	\$112.48	\$116.42
Developer	\$120.00	\$124.20	\$128.55	\$133.05
QA Analyst	\$87.30	\$90.36	\$93.52	\$96.79
Technical Lead	\$140.00	\$144.90	\$149.97	\$155.22

1.3 PAYMENT SCHEDULE

Accompanied by State approved deliverables, these points in the project lifecycle will also serve as payment milestones.

Table 1.3: Payment Schedule

Milestone Payments	Not To Exceed Payment Amounts
Milestone Payment 1	\$35,710.00
Milestone Payment 2	\$16,290.00
Milestone Payment 3	\$16,806.00
Total Payment Amount	\$68,806.00

2. CONTRACT PRICE

Notwithstanding any provision in the Contract to the contrary, and notwithstanding unexpected circumstances, in no event shall the total of all payments made by the State exceed the amount indicated in Part 1, P-37 General Provisions - Block 1.8: *Price Limitation*. The payment by the State of the total Contract price shall be the only, and the complete reimbursement to Spruce Technology Inc. for all fees and expenses, of whatever nature, incurred by Spruce Technology Inc. in the performance hereof.

3. INVOICING

Spruce Technology Inc. shall submit correct invoices to the State for all amounts to be paid by the State. All invoices submitted shall be subject to the State's prior written approval, which shall not be unreasonably withheld. Spruce Technology Inc. shall only submit invoices for Services or Deliverables as permitted by the Contract. Invoices must be in a format as determined by the State and contain detailed information, including without limitation: itemization of each Deliverable and identification of the Deliverable for which payment is sought, and the Acceptance date triggering such payment; date of delivery and/or installation; any other Project costs or retention amounts if applicable.

Upon Acceptance of a Deliverable as referenced in Part 3, Exhibit B, Section 1.3: *Payment Schedule*, and a properly documented and undisputed invoice, the State will pay the correct and undisputed invoice within thirty (30) days of invoice receipt. Invoices will not be backdated and shall be promptly

**STATE OF NEW HAMPSHIRE
PUBLIC UTILITIES COMMISSION
SAFETY DYNAMICS 365 EXPANSION
DOIT 2019-067
PART 3 – EXHIBIT B
PRICE AND PAYMENT SCHEDULE**

dispatched. Invoices must also include the following the project information to be submitted for approval:

Project Information:

PUC SAFETY Dynamics 365 Expansion DoIT 2019-067

Invoices shall be sent to:

**Department of Information Technology
Accounts Payable - PUC 2019-067
27 Hazen Drive
Concord, NH 03110**

4. PAYMENT ADDRESS

4.1 All payments shall be sent to the following address:

**Spruce Technology Inc.
1149 Bloomfield Avenue, Suite G
Clifton, NJ 07012
Email: accounts@sprucetech.com**

4.2 Payments shall be made via ACH. Use the following link to enroll with the State Treasury for ACH payments: <https://www.nh.gov/treasury/state-vendors/index.htm>

5. OVERPAYMENTS TO SPRUCE TECHNOLOGY INC.

Spruce Technology Inc. shall promptly, but no later than fifteen (15) business days, return to the State the full amount of any overpayment or erroneous payment upon discovery or notice from the State.

6. CREDITS

The State may apply credits due to the State arising out of this Contract, against Spruce Technology Inc.'s invoices with appropriate information attached.

7. PROJECT HOLDBACK

The State shall withhold ten percent (10%) of the first year for each Deliverable, as set forth in the Payment Table above, until successful conclusion of the Warranty Period.

The holdback will be released to Spruce Technology Inc. when the State determines that the Defective or non-performing component of the System has been resolved.

**STATE OF NEW HAMPSHIRE
PUBLIC UTILITIES COMMISSION
SAFETY DYNAMICS 365 EXPANSION
DOIT 2019-067
PART 3 – EXHIBIT B
PRICE AND PAYMENT SCHEDULE**

8. LIQUIDATED DAMAGES

In addition to the rights set forth in Section 7, the State shall have the right to assess Liquidated Damages for each day that there is a Defective or non-performing component of the System. Deficiency Levels are defined in Exhibit K: *Warranty and Warranty Service* and will be assessed as follows:

Class A Deficiency: **\$250/DAY**

Class B Deficiency: **\$100/DAY**

Class C Deficiency: **\$25/DAY**

The state shall send a notice to the Contract by the means set forth in the Contract Agreement Part 2, IT Requirements – Section 18.6: *Notices*. Following the date of notice, Spruce Technology Inc. shall have the following time period to cure the Deficiency before Liquidated Damages are assessed:

Class A Deficiency: **24 HOURS**

Class B Deficiency: **3 BUSINESS DAYS**

Class C Deficiency: **10 BUSINESS DAYS**

The imposition of Liquidated Damages is not a punitive action against Spruce Technology Inc. The parties acknowledge that actual damages to the State based on ongoing Deficiencies would be difficult to ascertain and agree that the Liquidated Damages set forth herein are an attempt by the parties to determine a fair assessment of the damages that would be suffered by the State based on a Defect or non-performance of the system.

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**STATE OF NEW HAMPSHIRE
PUBLIC UTILITIES COMMISSION
SAFETY DYNAMICS 365 EXPANSION
DOIT 2019-067
PART 3 – EXHIBIT C
SPECIAL PROVISIONS**

EXHIBIT C: SPECIAL PROVISIONS

There are no changes to the terms outlined in the P-37 General Provisions

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STATE OF NEW HAMPSHIRE
PUBLIC UTILITIES COMMISSION
SAFETY DYNAMICS 365 EXPANSION
DOIT 2019-067
PART 3 – EXHIBIT D
ADMINISTRATIVE SERVICES

EXHIBIT D: ADMINISTRATIVE SERVICES

1. TRAVEL EXPENSES

Spruce Technology Inc. must assume all reasonable travel and related expenses. All labor rates will be "Fully Loaded", including, but not limited to: meals, hotel/housing, airfare, car rentals, car mileage, and out of pocket expenses.

2. SHIPPING AND DELIVERY FEE EXEMPTION

The State will not pay for any shipping or delivery fees unless specifically itemized in the Contract.

3. ACCESS/COOPERATION

As applicable, and subject to the applicable laws and regulations, the State will provide Spruce Technology Inc. with access to all program files, libraries, personal computer-based Systems, Software packages, network Systems, security Systems, and hardware as required to complete the Contracted Services.

The State will use reasonable efforts to provide approvals, authorizations, and decisions reasonably necessary to allow Spruce Technology Inc. to perform its obligations under the Contract.

4. STATE-OWNED DOCUMENTS AND COPYRIGHT PRIVILEGES

Spruce Technology Inc. shall provide the State access to all State-owned documents, materials, reports, and other work in progress relating to this Contract. Upon expiration or termination of the Contract with the State, Spruce Technology Inc. shall turn over all State-owned documents, material, reports, and work in progress relating to this Contract to the State at no additional cost to the State. Documents must be provided in both printed and electronic format.

5. RECORDS RETENTION AND ACCESS REQUIREMENTS

Spruce Technology Inc. shall agree to the conditions of all applicable State and federal laws and regulations, which are incorporated herein by reference, regarding retention and access requirements, including without limitation, retention policies consistent with the Federal Acquisition Regulations (FAR) Subpart 4.7: Contractor Records Retention.

Spruce Technology Inc. and its Subcontractors shall maintain books, records, documents, and other evidence of accounting procedures and practices, which properly and sufficiently reflect all direct and indirect costs invoiced in the performance of their respective obligations under the Contract. Spruce Technology Inc. and its Subcontractors shall retain all such records for three (3) years following termination of the Contract, including any extensions. Records relating to any litigation matters regarding the Contract shall be kept for one (1) year following the termination of all litigation, including the termination of all appeals or the expiration of the appeal period.

Upon prior notice and subject to reasonable time frames, all such records shall be subject to inspection, examination, audit and copying by personnel so authorized by the State and federal officials so authorized by law, rule, regulation or Contract, as applicable. Access to these items shall be provided within Merrimack County of the State of New Hampshire, unless otherwise agreed by the State.

**STATE OF NEW HAMPSHIRE
PUBLIC UTILITIES COMMISSION
SAFETY DYNAMICS 365 EXPANSION
DOIT 2019-067
PART 3 – EXHIBIT D
ADMINISTRATIVE SERVICES**

Delivery of and access to such records shall be at no cost to the State during the three (3) year period following termination of the Contract and one (1) year term following litigation relating to the Contract, including all appeals or the expiration of the appeal period. Spruce Technology Inc. shall include the record retention and Review requirements of this section in any of its subcontracts.

The State agrees that books, records, documents, and other evidence of accounting procedures and practices related to Spruce Technology Inc.'s cost structure and profit factors shall be excluded from the State's Review unless the cost of any other Services or Deliverables provided under the Contract is calculated or derived from the cost structure or profit factors.

6. ACCOUNTING REQUIREMENTS

Spruce Technology Inc. shall maintain an accounting System in accordance with Generally Accepted Accounting Principles. The costs applicable to the Contract shall be ascertainable from the accounting System and Spruce Technology Inc. shall maintain records pertaining to the Services and all other costs and expenditures.

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**STATE OF NEW HAMPSHIRE
PUBLIC UTILITIES COMMISSION
SAFETY DYNAMICS 365 EXPANSION
DOIT 2019-067
PART 3 – EXHIBIT E
IMPLEMENTATION SERVICES**

EXHIBIT E: IMPLEMENTATION SERVICES

1. STATE MEETING AND REPORTS

The State believes that effective communication and reporting are essential to Project success.

Spruce Technology Inc.'s Project Staff shall participate in meetings as requested by the State, in accordance with the requirements and terms of this Contract.

- a. **Introductory Meeting:** Participants will include Spruce Technology Inc.'s Project Staff and State Project leaders from the Department of Information Technology and PUC. This meeting will enable leaders to become acquainted and establish any preliminary Project procedures.
- b. **Kickoff Meeting:** Participants will include the State and Spruce Technology Inc.'s Project Team and major stakeholders. This meeting is to establish a sound foundation for activities that will follow.
- c. **Status Meetings:** Participants will include, at the minimum, Spruce Technology Inc.'s Project Manager and the State Project Manager. These meetings will be conducted at least -weekly and address overall Project status and any additional topics needed to remain on Schedule and within budget. A status and error report from Spruce Technology Inc. shall serve as the basis for discussion.
- d. **The Work Plan:** must be Reviewed at each Status Meeting and updated, at minimum, on a weekly basis, in accordance with the Contract.
- e. **Special Meetings:** Need may arise for a special meeting with State leaders or Project stakeholders to address specific issues.
- f. **Exit Meeting:** Participants will include Project leaders from Spruce Technology Inc. and the State. Discussion will focus on lessons learned from the Project and on follow up options that the State may wish to consider.

The State expects Spruce Technology Inc. to prepare agendas and background for and minutes of meetings. Background for each status meeting must include an updated Work Plan. Drafting of formal presentations, such as a presentation for the kickoff meeting, will also be Spruce Technology Inc.'s responsibility.

Spruce Technology Inc.'s Project Manager or Spruce Technology Inc.'s Project Staff shall submit monthly status reports in accordance with the Schedule and terms of this Contract. All status reports shall be prepared in formats approved by the State. Spruce Technology Inc.'s Project Manager shall assist the State's Project Manager, or itself produce reports related to Project Management as reasonably requested by the State, all at no additional cost to the State. Spruce Technology Inc. shall produce Project status reports, which shall contain, at a minimum, the following:

**STATE OF NEW HAMPSHIRE
PUBLIC UTILITIES COMMISSION
SAFETY DYNAMICS 365 EXPANSION
DOIT 2019-067
PART 3 – EXHIBIT E
IMPLEMENTATION SERVICES**

1. Project status related to the Work Plan;
2. Deliverable status;
3. Accomplishments during weeks being reported;
4. Planned activities for the upcoming two (2) week period;
5. Future activities;
6. Issues and concerns requiring resolution; and
7. Report and remedies in case of falling behind Schedule.

As reasonably requested by the State, Spruce Technology Inc. shall provide the State with information or reports regarding the Project. Spruce Technology Inc. shall prepare special reports and presentations relating to Project Management, and shall assist the State in preparing reports and presentations, as reasonably requested by the State, all at no additional cost to the State.

2. IMPLEMENTATION STRATEGY

2.1 KEY COMPONENTS

Spruce Technology Inc. shall employ an industry-standard Implementation strategy with a timeline set forth in accordance with the Work Plan:

- a. Spruce Technology Inc. and the State shall adopt a change management approach to identify and plan key strategies and communication initiatives.
- b. Spruce Technology Inc.'s team will provide training templates as defined in the Training Plan, which will be customized to address the State's specific requirements. Decisions regarding format, content, style, and presentation shall be made early on in the process, by the State, providing sufficient time for development of material as functionality is defined and configured.
- c. Spruce Technology Inc. shall manage Project execution and provide the tools needed to create and manage the Project's Work Plan and tasks, manage and Schedule Project staff, track and manage issues, manage changing requirements, maintain communication within the Project Team, and report status.
- d. Spruce Technology Inc. shall adopt an Implementation time-line aligned with the State's required time-line.

2.2 TIMELINE

The timeline is set forth in the Work Plan. During the initial planning period project task and resource plans will be established for: the preliminary training plan, the change management plan, communication approaches, project standards and procedures finalized, and team training initiated. Timing will be structured to recognize interdependencies between applications and structure a cost effective and timely execution. Processes will be documented, training established, and the application will be ready for Implementation in accordance with the Work Plan.

**STATE OF NEW HAMPSHIRE
PUBLIC UTILITIES COMMISSION
SAFETY DYNAMICS 365 EXPANSION
DOIT 2019-067
PART 3 – EXHIBIT E
IMPLEMENTATION SERVICES**

2.3 CHANGE MANAGEMENT AND TRAINING

Spruce Technology Inc.'s change management and training services shall be focused on developing change management and training strategies and plans. Its approach relies on State resources for the execution of the change management and end user training.

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**STATE OF NEW HAMPSHIRE
PUBLIC UTILITIES COMMISSION
SAFETY DYNAMICS 365 EXPANSION
DOIT 2019-067
PART 3 – EXHIBIT F
TESTING SERVICES**

EXHIBIT F: TESTING SERVICES

Spruce Technology Inc. shall provide the following Products and Services described in Part 3 - Exhibit F: *Testing Services*, including but not limited to:

I. TESTING AND ACCEPTANCE

Spruce Technology Inc. shall bear all responsibilities for the full suite of Test Planning and preparation throughout the Project. The state reserves the right to review the test plan as submitted by Spruce Technology and amend as needed. Spruce Technology Inc. will also provide training as necessary to the State staff responsible for test activities. Spruce Technology Inc. shall be responsible for all aspects of testing contained in the Acceptance Test Plan including support, at no additional cost, during User Acceptance Test conducted by the State and the testing of the training materials.

The Test Plan methodology shall reflect the needs of the Project and be included in the finalized Work Plan. A separate Test Plan and set of test materials will be prepared for each Software function or module.

All Testing and Acceptance (both business and technically oriented testing) shall apply to testing the System as a whole, (e.g., Software modules or functions, and Implementation(s)). This shall include planning, test scenario and script development, Data and System preparation for testing, and execution of Unit Tests, System Integration Tests, Conversion Tests, Installation tests, Regression tests, Performance Tuning and Stress tests, Security Review and tests, and support of the State during User Acceptance Test and Implementation.

In addition, Spruce Technology Inc. shall provide a mechanism for reporting actual test results vs. expected results and for the resolution and tracking of all errors and problems identified during test execution. Spruce Technology Inc. shall also correct Deficiencies and support required re-testing.

1.1 TEST PLANNING AND PREPARATION

Spruce Technology Inc. shall provide the State with an overall Test Plan that will guide all testing. Spruce Technology Inc.'s provided, State approved, Test Plan will include, at a minimum, identification, preparation, and Documentation of planned testing, a requirements traceability matrix, test variants, test scenarios, test cases, test scripts, test Data, test phases, Unit Tests, expected results, and a tracking method for reporting actual versus expected results as well as all errors and problems identified during test execution.

As identified in the Acceptance Test Plan, and documented in accordance with the Work Plan and the Contract, State testing will commence upon Spruce Technology Inc.'s Project Manager's Certification, in writing, that Spruce Technology Inc.'s own staff has successfully executed all prerequisite Contractor's testing, along with reporting the actual testing results, prior to the start of any testing executed by State staff. The State will be presented with a State approved Acceptance Test Plan, test scenarios, test cases, test scripts, test Data, and expected results.

**STATE OF NEW HAMPSHIRE
PUBLIC UTILITIES COMMISSION
SAFETY DYNAMICS 365 EXPANSION
DOIT 2019-067
PART 3 – EXHIBIT F
TESTING SERVICES**

The State will commence its testing within five (5) business days of receiving Certification from Spruce Technology Inc. that the State's personnel have been trained and the System is installed, configured, complete, and ready for State testing. The testing will be conducted by the State in an environment independent from Spruce Technology Inc.'s development environment. Spruce Technology Inc. must assist the State with testing in accordance with the Test Plan and the Work Plan, utilizing test and live Data to validate reports, and conduct stress and performance testing, at no additional cost.

Testing begins upon completion of the Software configuration as required and user training according to the Work Plan. Testing ends upon issuance of a letter of UAT Acceptance by the State.

Spruce Technology Inc. must demonstrate that their testing methodology can be integrated with the State standard methodology.

1.2 UNIT TESTING

In Unit Testing, Spruce Technology Inc. shall test the application components on an individual basis to verify that the inputs, outputs, and processing logic of each application component functions without errors. Unit testing is performed in either the development environment or a testing environment.

The goal is to find errors in the smallest unit of Software before logically linking it into larger units. If successful, subsequent testing should only reveal errors related to the integration between application modules.

The Spruce Technology Inc. developer, who is responsible for a specific unit of work, will be responsible for conducting the Unit Testing of their modules.

Activity Description	Develop the scripts needed to Unit Test individual application modules, interface(s) and conversion components.
Contractor's Team Responsibilities	For application modules, conversions and interfaces Spruce Technology Inc.'s team will identify applicable test scripts and installation instructions, adapt them to the Project specifics, test the process, and compare with the documented expected results.
Work Product Description	Unit-Tested Modules that have been tested to verify that the inputs, outputs, and processing logic of each application module functions without errors. Individual detailed test scripts and installation guides list all the required actions and Data to conduct the test, the process for test execution, and the expected results.

1.3 SYSTEM INTEGRATION TESTING

The new System is tested in integration with other application Systems (legacy and service providers) in a production-like environment. System Integration Testing validates the integration between the individual unit application modules and verifies that the new System meets defined requirements and supports execution of interfaces and business processes. The System Integration Test is performed in a test environment.

**STATE OF NEW HAMPSHIRE
PUBLIC UTILITIES COMMISSION
SAFETY DYNAMICS 365 EXPANSION
DOIT 2019-067
PART 3 – EXHIBIT F
TESTING SERVICES**

Thorough end-to-end testing shall be performed by Spruce Technology Inc. team(s) to confirm that the Application integrates with any interfaces. The test emphasizes end-to-end business processes and the flow of information across applications. It includes all key business processes and interfaces being implemented, confirms Data transfers with external parties, and includes the transmission or printing of all electronic and paper documents.

Activity Description	Systems Integration Testing validates the integration between the target application modules and other Systems, and verifies that the new System meets defined interface requirements and supports execution of business processes. This test emphasizes end-to-end business processes and the flow of information across the application. It includes all key business processes and interfaces being implemented, confirms Data transfers with external parties, and includes the transmission or printing of all electronic and paper documents.
Contractor Team Responsibilities	<ul style="list-style-type: none"> • Take the lead in developing the Systems Integration Test Specifications. • Work jointly with the State to develop and load the Data profiles to support the test Specifications. • Work jointly with the State to validate components of the test scripts.
State Responsibilities	<ul style="list-style-type: none"> • Work jointly with Spruce Technology Inc. to develop the Systems Integration Test Specifications. • Work jointly with Spruce Technology Inc. to develop and load the Data profiles to support the test Specifications. • Work jointly with Spruce Technology Inc. to validate components of the test scripts, modifications, fixes and other System interactions with Spruce Technology Inc. supplied Software Solution.
Work Product Description	<ul style="list-style-type: none"> • The Integration-Tested System indicates that all interfaces between the application and the legacy and third-party Systems, interfaces, and applications are functioning properly.

1.4 CONVERSION VALIDATION TESTING

In Conversion Validation Testing, target application functions are validated.

Activity Description	The conversion validation test should replicate the entire flow of the converted Data through the Software Solution. As the Software Solution is interfaced to legacy or third-party applications/interfaces, testing verifies that the resulting flow of the converted Data through these interface points performs correctly.
Contractor Team Responsibilities	For conversions and interfaces, Spruce Technology Inc.'s team will execute the applicable validation tests and compare execution results with the documented expected results.
State Responsibilities	Extract and cleanse, if necessary, the legacy Data to be converted in the Data conversions.
Work Product Description	Validation-Tested Conversion Programs. These programs include conversion programs that have been tested to verify that the resulting converted legacy Data performs correctly in the entire suite of the Application.

**STATE OF NEW HAMPSHIRE
PUBLIC UTILITIES COMMISSION
SAFETY DYNAMICS 365 EXPANSION
DOIT 2019-067
PART 3 – EXHIBIT F
TESTING SERVICES**

1.5 INSTALLATION TESTING

In Installation Testing the application components are installed in the System Test environment to test the installation routines and are refined for the eventual production environment. This activity serves as a dry run of the installation steps in preparation for configuring the production System.

1.6 USER ACCEPTANCE TESTING (UAT)

UAT begins upon completion of the Software configuration as required and user training according to the Work Plan. Testing ends upon issuance of a letter of UAT Acceptance by the State.

The User Acceptance Test (UAT) is a Verification process performed in a copy of the production environment. The User Acceptance Test verifies System functionality against predefined Acceptance criteria that support the successful execution of approved business processes.

UAT will also serve as a performance and stress test of the System. It may cover any aspect of the new System, including administrative procedures such as backup and recovery. The results of the UAT provide evidence that the new System meets the User Acceptance criteria as defined in the Work Plan.

The results of the User Acceptance Test provide evidence that the new System meets the User Acceptance criteria as defined in the Work Plan.

Upon successful conclusion of UAT and successful System deployment, the State will issue a letter of UAT Acceptance and the respective Warranty Period shall commence

Activity Description	The System User Acceptance Tests verify System functionality against predefined Acceptance criteria that support the successful execution of approved processes.
Contractor Team Responsibilities	<ul style="list-style-type: none">• Provide the State an Acceptance Test Plan and selection of test scripts for the Acceptance Test.• Monitor the execution of the test scripts and assist as needed during the User Acceptance Test activities.• Work jointly with the State in determining the required actions for problem resolution.
State Responsibilities	<ul style="list-style-type: none">• Approve the development of the User Acceptance Test Plan and the set of Data for use during the User Acceptance Test.• Validate the Acceptance Test environment.• Execute the test scripts and conduct User Acceptance Test activities.• Document and summarize Acceptance Test results.• Work jointly with Spruce Technology Inc. in determining the required actions for problem resolution.• Provide Acceptance of the validated Systems.
Work Product Description	The Deliverable for User Acceptance Tests is the User Acceptance Test Results. These results provide evidence that the new System meets the User Acceptance criteria defined in the Work Plan.

**STATE OF NEW HAMPSHIRE
PUBLIC UTILITIES COMMISSION
SAFETY DYNAMICS 365 EXPANSION
DOIT 2019-067
PART 3 – EXHIBIT F
TESTING SERVICES**

1.7 REGRESSION TESTING

As a result of the user testing activities, problems will be identified that require correction. The State will notify Spruce Technology Inc. of the nature of the testing failures in writing. Spruce Technology Inc. will be required to perform additional testing activities in response to State and/or user problems identified from the testing results. Regression Testing means selective re-testing to detect faults introduced during the modification effort, both to verify that the modifications have not caused unintended adverse effects, and to verify that the modified and related (possibly affected) System components still meet their specified requirements.

In designing and conducting such Regression Testing, Spruce Technology Inc. will be required to assess the risks inherent to the modification being implemented and weigh those risks against the time and effort required for conducting the Regression Tests. In other words, Spruce Technology Inc. will be expected to design and conduct Regression Tests that will identify any unintended consequences of the modification while taking into account Schedule and economic considerations.

- a. For each minor failure of an Acceptance Test, the Acceptance Period shall be extended by corresponding time defined in the Test Plan.
- b. Spruce Technology Inc. shall notify the State no later than five (5) business days from Spruce Technology Inc.'s receipt of written notice of the test failure when Spruce Technology Inc. expects the corrections to be completed and ready for retesting by the State. Spruce Technology Inc. will have up to five (5) business days to make corrections to the problem unless specifically extended in writing by the State.
- c. When a programming change is made in response to a problem identified during user testing, a Regression Test Plan should be developed by Spruce Technology Inc. based on the understanding of the program and the change being made to the program. The Test Plan has two objectives:
 1. Validate that the change/update has been properly incorporated into the program; and
 2. Validate that there has been no unintended change to the other portions of the program.
- d. Spruce Technology Inc. will be expected to:
 1. Create a set of test conditions, test cases, and test data that will validate that the change has been incorporated correctly;
 2. Create a set of test conditions, test cases, and test data that will validate that the unchanged portions of the program still operate correctly; and
 3. Manage the entire cyclic process.
- e. Spruce Technology Inc. will be expected to execute the Regression Test, provide actual testing results, and certify its completion in writing to the State prior to passing the modified Software application to the users for retesting.

**STATE OF NEW HAMPSHIRE
PUBLIC UTILITIES COMMISSION
SAFETY DYNAMICS 365 EXPANSION
DOIT 2019-067
PART 3 – EXHIBIT F
TESTING SERVICES**

1.8 SECURITY REVIEW AND TESTING

IT Security involves all functions pertaining to the securing of State Data and Systems through the creation and definition of security policies, procedures and controls covering such areas as Identification, Authentication and non-repudiation.

All components of the Software shall be Reviewed and tested to ensure they protect the State's hardware and Software and its related Data assets. Tests shall focus on the technical, administrative and physical security controls that have been designed into the System architecture in order to provide the necessary Confidentiality, integrity and availability. Tests shall, at a minimum, cover each of the service components. Test procedures shall also include application vulnerability scanning.

Service Component	Defines the set of capabilities that:
Identification and Authentication	Supports obtaining information about those parties attempting to log onto a System or application for security purposes and the validation of users.
Access Control	Supports the management of permissions for logging onto a computer or network.
Encryption	Supports the encoding of Data for security purposes at rest and in motion.
Intrusion Detection	Supports the detection of illegal entrance into a computer System.
Verification	Supports the confirmation of authority to enter a computer System, application or network.
Digital Signature	Guarantees the unaltered state of a file.
User Management	Supports the administration of computer, application and network accounts within an organization.
Role/Privilege Management	Supports the granting of abilities to users or groups of users of a computer, application or network.
Audit Trail Capture and Analysis	Supports the Identification and monitoring of activities within an application or System.
Input Validation	Ensures the application is protected from buffer overflow, cross-site scripting, SQL injection, and unauthorized access of files and/or directories on the server.

Tests shall focus on the technical, administrative and physical security controls that have been designed into the System architecture in order to provide the necessary Confidentiality, integrity and availability. Tests shall, at a minimum, cover each of the service components.

Prior to the System being moved into production Spruce Technology Inc. shall provide results of all security testing to the Department of Information Technology for Review and Acceptance. All Software and hardware shall be free of malicious code (malware).

1.9 SUCCESSFUL UAT COMPLETION

Upon successful completion of UAT, the State will issue a Letter of UAT Acceptance.

**STATE OF NEW HAMPSHIRE
PUBLIC UTILITIES COMMISSION
SAFETY DYNAMICS 365 EXPANSION
DOIT 2019-067
PART 3 – EXHIBIT F
TESTING SERVICES**

1.10 SYSTEM ACCEPTANCE

Upon completion of the Warranty Period, the State shall issue a Letter of Final System Acceptance.

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STATE OF NEW HAMPSHIRE
PUBLIC UTILITIES COMMISSION
SAFETY DYNAMICS 365 EXPANSION
DOIT 2019-067

PART 3 – EXHIBIT G
MAINTENANCE AND SUPPORT SERVICES

EXHIBIT G: MAINTENANCE AND SUPPORT SERVICES

Exhibit G – Not Applicable to this Contract

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**STATE OF NEW HAMPSHIRE
PUBLIC UTILITIES COMMISSION
SAFETY DYNAMICS 365 EXPANSION
DOIT 2019-067
PART 3 – EXHIBIT H
REQUIREMENTS**

EXHIBIT H: REQUIREMENTS

ATTACHMENT 3: Project Requirements is hereby incorporated within. (Same as Exhibit O Item F. Project Requirements)

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**STATE OF NEW HAMPSHIRE
PUBLIC UTILITIES COMMISSION
SAFETY DYNAMICS 365 EXPANSION
DOIT 2019-067
PART 3 – EXHIBIT I
WORK PLAN**

EXHIBIT I: WORK PLAN

Spruce Technology Inc.'s Project Manager and the State Project manager shall finalize the Work Plan for Implementation within ten (10) business days of the Effective Date and further refine the tasks required to implement the Project. The elements of the preliminary Work Plan are documented in accordance with Spruce Technology Inc.'s plan to implement the System. Continued development and management of the Work Plan is a joint effort on the part of Spruce Technology Inc. and State Project Managers.

The preliminary Work Plan for Implementation created by Spruce Technology Inc. and the State is set forth at end of this Exhibit.

In the conjunction with Spruce Technology Inc.'s Project Management methodology, which shall be used to manage the Project's life cycle, Spruce Technology Inc. team and the State shall finalize the Work Plan at the onset of the Project. This plan shall identify the tasks, Deliverables, major milestones, task dependencies, and a payment Schedule required to implement the Project. It shall also address intra-task dependencies, resource allocations (both State and Contractor's team members), refine the Project's scope, and establish the Project's Schedule. The Plan is documented in accordance with Spruce Technology Inc.'s Work Plan and shall utilize Microsoft Project to support the ongoing management of the Project.

1. ASSUMPTIONS

1.1 GENERAL

- The State shall provide team members with decision-making authority to support the Implementation efforts, at the level outlined in the Request for Proposal Document State Staffing Matrix.
- All State tasks must be performed in accordance with the revised Work Plan.
- All key decisions will be resolved within ten (10) business days. Issues not resolved within this initial period will be escalated to the State Project Manager for resolution.
- Any activities, decisions or issues taken on by the State that affect the mutually agreed upon Work Plan timeline, scope, resources, and costs shall be subject to the identified Change Control process.
- Spruce Technology Inc. shall maintain an accounting System in accordance with Generally Accepted Accounting Principles (GAAP).

1.2 PROJECT MANAGEMENT

- The State shall approve the Project Management Methodology used for the Project.
- The State shall provide the Project Team with reasonable access to the State personnel as needed to complete Project tasks.
- A Project folder created within the State System shall be used for centralized storage and retrieval of Project documents, work products, and other material and information relevant to the success of the Project and required by Project Team members. This central repository is secured by determining which team members have access to the Project folder and granting either view or read/write privileges. Spruce Technology Inc.'s Project Manager will establish and maintain this folder. The State Project Manager shall approve access for the State team. Documentation can be stored locally for Spruce Technology Inc. and State team on a "shared"

**STATE OF NEW HAMPSHIRE
PUBLIC UTILITIES COMMISSION
SAFETY DYNAMICS 365 EXPANSION
DOIT 2019-067
PART 3 – EXHIBIT I
WORK PLAN**

network drive to facilitate ease and speed of access. Final versions of all Documentation shall be loaded to the State System.

- Spruce Technology Inc. assumes that an Alternate Project Manager may be appointed from time to time to handle reasonable and ordinary absences of the Project Manager.

1.3 PROJECT SCHEDULE

Project is scheduled to start February 1, 2019. Deployment is planned to begin on May 17, 2019 with a planned go-live date of May 24, 2019.

1.4 CONVERSIONS

Spruce Technology Inc. Team's proposal is based on the assumption that the State's technical team is capable of implementing, with assistance from Spruce Technology Inc.'s technical team, a subset of the conversions. Spruce Technology Inc.'s Team shall assist the State with the mapping of the legacy data to Spruce Technology Inc.'s applications.

Spruce Technology Inc.'s Team shall:

- Provide the State with Contractor's application data requirements and examples, of data mappings, conversion scripts, and data loaders. Spruce Technology Inc.'s Team shall identify the APIs the State should use in the design and development of the conversion and/or Java scripts.
- Provide guidance and assistance with the use of the data loaders and conversion scripts provided.
- Lead the Review of functional and technical Specifications.
- Assist with the resolution of problems and issues associated with the development and implementation of the conversions.

The State of New Hampshire's Team shall:

- Provide the DigSafe data in a normalize and clean state.
- Participate as needed with problem resolution and issues associate with the development and implementation of the conversions.

1.5 SPRINTS

The Spruce Technology team will evaluate the overall requirements during the first stage of the State's preferred delivery approach. In collaboration with the State Project Manager, those requirements will be organized into a product backlog. Once the backlog has been assembled, the team will determine an optimal breakdown of requirements and features into configuration cycles (sprints), each lasting approximately two (2) weeks. This sprint schedule will inform the overall project plan, allowing the Spruce Technology Delivery Lead to complete the MS Project Gantt chart for review and approval by the State's Project Manager.

1.6 REPORTING

Spruce Technology Inc. shall conduct weekly status meetings, and provide reports that include, but are not limited to, minutes, action items, test results, and Documentation.

1.7 USER TRAINING

**STATE OF NEW HAMPSHIRE
PUBLIC UTILITIES COMMISSION
SAFETY DYNAMICS 365 EXPANSION
DOIT 2019-067
PART 3 – EXHIBIT I
WORK PLAN**

- Spruce Technology Inc.'s Team shall lead the development of the end-user training plan.
- Train the trainer approach shall be used for the delivery of end-user training.
- The State is responsible for the delivery of end-user training.
- The State shall Schedule and track attendance on all end-user training classes.

1.8 PERFORMANCE AND SECURITY TESTING

- Spruce Technology Inc.'s Team shall provide a performance test workshop to identify the key scenarios to be tested, the approach and tools required, and best practices information on performance testing.
- The State shall work with Spruce Technology Inc. on all testing as set forth in Part 3 - Part 3 - Exhibit F: *Testing Services*.

2. CONTRACTOR ROLES AND RESPONSIBILITIES

2.1 CONTRACTOR'S TEAM PROJECT EXECUTIVE

Spruce Technology Inc. Team's Project Executives (Contractor and Subcontractor Project Executives) shall be responsible for advising on and monitoring the quality of the Services throughout the Project life cycle. The Project Executive shall advise Spruce Technology Inc. Team Project Manager and the State's Project leadership on the best practices for implementing Spruce Technology Inc. Software Solution within the State. The Project Executive shall participate in the definition of the Project Plan and provide guidance to the State's Team.

2.2 CONTRACTOR'S TEAM PROJECT MANAGER

Spruce Technology Inc. Team Project Manager shall have overall responsibility for the day-to-day management of the Project and shall plan, track, and manage the activities of Spruce Technology Inc.'s Implementation Team. Spruce Technology Inc. Team Project Manager will have the following responsibilities:

- Maintain communications with the State's Project Manager;
- Work with the State in planning and conducting a kick-off meeting;
- Create and maintain the Work Plan;
- Assign Spruce Technology Inc. Team consultants to tasks in the Implementation Project according to the scheduled staffing requirements;
- Define roles and responsibilities of all Spruce Technology Inc. Team members;
- Provide weekly update progress reports to the State Project Manager;
- Notify the State Project Manager of requirements for State resources in order to provide sufficient lead time for resources to be made available;
- Review task progress for time, quality, and accuracy in order to achieve progress;
- Review requirements and scheduling changes and identify the impact on the Project in order to identify whether the changes may require a change of scope;
- Implement scope and schedule changes as authorized by the State Project Manager and with appropriate Change Control approvals as identified in the Implementation Plan;
- Inform the State Project Manager and staff of any urgent issues if and when they arise;

**STATE OF NEW HAMPSHIRE
PUBLIC UTILITIES COMMISSION
SAFETY DYNAMICS 365 EXPANSION
DOIT 2019-067
PART 3 – EXHIBIT I
WORK PLAN**

- Provide the State completed Project Deliverables and obtain sign-off from the State's Project Manager;
- Manage handoff to PUC operational staff;
- Manage Transition Services as needed.

2.3 CONTRACTOR'S TEAM ANALYSIS

Spruce Technology Inc. Team shall conduct analysis of requirements, validate Spruce Technology Inc. Team's understanding of the State business requirements by application, and perform business requirements mapping:

- Construct and confirm application test case scenarios;
- Produce application configuration definitions and configure the applications;
- Conduct testing of the configured application;
- Produce functional Specifications for extensions, conversions, and interfaces;
- Assist the State in the testing of extensions, conversions, and interfaces;
- Assist the State in execution of the State's Acceptance Test;
- Conduct follow-up meetings to obtain feedback, results, and concurrence/approval from the State;
- Assist with the correction of configuration problems identified during System, integration and Acceptance Testing; and
- Assist with the transition to production.

2.4 CONTRACTOR'S TEAM TASKS

Spruce Technology Inc. team shall assume the following tasks:

- Development and Review of functional and technical Specification to determine that they are at an appropriate level of detail and quality;
- Development and Documentation of conversion and interface programs in accordance with functional and technical Specifications;
- Development and Documentation of installation procedures;
- Unit testing of conversions and interfaces developed; and
- System Integration Testing.

3. STATE ROLES AND RESPONSIBILITIES

The following State resources have been identified for the Project. The time demands on the individual State team members will vary depending on the phase and specific tasks of the Implementation. The demands on the Subject Matter Experts' time will vary based on the need determined by the State Leads and the phase of the Implementation.

3.1 STATE PROJECT MANAGER

The State Project Manager shall work side-by-side with Spruce Technology Inc.'s Project Manager. The role of the State Project Manager is to manage State resources (IF ANY), facilitate completion of all tasks assigned to State staff, and communicate Project status on a regular basis. The State Project Manager represents the State in all decisions on Implementation

**STATE OF NEW HAMPSHIRE
PUBLIC UTILITIES COMMISSION
SAFETY DYNAMICS 365 EXPANSION
DOIT 2019-067
PART 3 – EXHIBIT I
WORK PLAN**

Project matters, provides all necessary support in the conduct of the Implementation Project, and provides necessary State resources, as defined by the Work Plan and as otherwise identified throughout the course of the Project. The State Project Manager has the following responsibilities:

- Plan and conduct a kick-off meeting with assistance from Spruce Technology Inc.'s team;
- Assist Spruce Technology Inc.'s Project Manager in the development of a detailed Work Plan;
- Identify and secure the State Project Team members in accordance with the Work Plan;
- Define roles and responsibilities of all State Project Team members assigned to the Project;
- Identify and secure access to additional State end-user staff as needed to support specific areas of knowledge if and when required to perform certain Implementation tasks;
- Communicate issues to State management as necessary to secure resolution of any matter that cannot be addressed at the Project level;
- Inform Spruce Technology Inc.'s Project Manager of any urgent issues if and when they arise;
- Assist Spruce Technology Inc.'s team staff to obtain requested information if and when required to perform certain Project tasks;
- Manage handoff to State operational staff; and
- Manage State staff during Transition Services as needed.

3.2 STATE SUBJECT MATTER EXPERT(S) (SME)

The role of the State SME is to assist application teams with an understanding of the State's current business practices and processes, provide agency knowledge, and participate in the Implementation. Responsibilities of the SME include the following:

- Be the key user and contact for their Agency or Department;
- Attend Project Team training and acquire in-depth functional knowledge of the relevant applications;
- Assist in validating and documenting user requirements, as needed;
- Assist in mapping business requirements;
- Assist in developing test scripts and Data;
- Assist in System Integration, and Acceptance Testing;
- Assist in performing conversion and integration testing and Data Verification;
- Attend Project meetings when requested; and
- Assist in training end users in the use of Spruce Technology Inc.'s Software Solution and the business processes the application supports.

3.3 STATE TECHNICAL LEAD AND ARCHITECT

The State's Technical Lead and Architect reports to the State's Project Manager and is responsible for leading and managing the State's technical tasks. Responsibilities include:

- Attend technical training as necessary to support the Project;

**STATE OF NEW HAMPSHIRE
PUBLIC UTILITIES COMMISSION
SAFETY DYNAMICS 365 EXPANSION
DOIT 2019-067
PART 3 – EXHIBIT I
WORK PLAN**

- Assist the State and Spruce Technology Inc.'s Team Project Managers to establish the detailed Work Plan;
- Manage the day-to-day activities of the State's technical resources assigned to the Project;
- Work with State IT management to obtain State technical resources in accordance with the Work Plan;
- Work in partnership with Spruce Technology Inc. and lead the State technical staff's efforts in documenting the technical operational procedures and processes for the Project. This is a Contractor Deliverable and it will be expected that Spruce Technology Inc. will lead the overall effort with support and assistance from the State; and
- Represent the technical efforts of the State at Project meetings.

3.4 STATE TESTING ADMINISTRATOR

The State's Testing Administrator will coordinate the State's testing efforts. Responsibilities include:

- Coordinating the development of System, integration, performance, and Acceptance Test plans;
- Coordinating System, integration, performance, and Acceptance Tests;
- Chairing test Review meetings;
- Coordinating the State's team and external third parties' involvement in testing;
- Ensuring that proposed process changes are considered by process owners;
- Establish priorities of Deficiencies requiring resolution; and
- Tracking Deficiencies through resolution in Team Foundation Server (TFS).

4. SOFTWARE APPLICATION

This will utilize ten existing Microsoft Dynamics 365 Licenses previously purchased by the State of New Hampshire PUC. No additional licenses will be required by this contract.

5. CONVERSIONS

The following Table 5.1 identifies the conversions within the scope of this Contract.

Table 5.1: Planned Conversions

Conversion	Components, If applicable	Lead Responsibility	Description
DigSafe Database	DigSafe Underground Damage Prevention	Spruce Architect and State System Developer	Take all the fields and data currently in the legacy system and incorporate into the new DigSafe Database as appropriate

A. CONVERSION TESTING RESPONSIBILITIES

**STATE OF NEW HAMPSHIRE
PUBLIC UTILITIES COMMISSION
SAFETY DYNAMICS 365 EXPANSION
DOIT 2019-067
PART 3 – EXHIBIT I
WORK PLAN**

- Spruce Technology Inc.'s Team and the State, based on their assigned conversion responsibilities, as set forth in Part 3 - Exhibit F: *Testing Services* shall identify applicable test scripts and installation instructions, adapt them to the Project specifics, test the business process, and compare with the documented expected results.
- Spruce Technology Inc.'s Team and the State, based on their assigned conversion responsibilities, shall execute the applicable test scripts that complete the conversion and compare execution results with the documented expected results.
- The State is responsible for documenting the technical Specifications of all programs that extract and format Data from the legacy Systems for use by the conversion processes.
- Spruce Technology Inc.'s Team and the State, based on their assigned conversion responsibilities, shall develop and Unit Test their assigned conversions.
- The State and Spruce Technology Inc.'s Teams shall jointly conduct System and Integration Testing, verifying and validating the accuracy and completeness of the conversions.
- The State and Spruce Technology Inc.'s Teams shall jointly verify and validate the accuracy and completeness of the conversions for Acceptance Testing and production.

6. INTERFACES

Interfaces shall be implemented in cooperation with the State. The following Table 6.1 identifies the interfaces within the scope of this Contract and their relative assignment.

Table 6.1: In-Scope Interfaces

Interface	Components, if applicable	Responsible Party	Description
Inbound	MS Exchange and Active Directory	Spruce Architect and State	Leveraging the State's existing cloud based environment. API to be used as required.
Outbound	MS Exchange, MS Office, and ESRI	Spruce Architect and State	Out of the box Office integration; API to be used as required.
Import/Export Processes	Export to CGA's DIRT database	Spruce Architect and State	Data Mapping and routine for exporting as required.
Import/Export Processes	Import data from Puc 800 rules	Spruce Architect for template importation and State to populate data	Provision template and methodology for the PUC Safety staff to upload and integrate as required from the DigSafe Underground Damage Prevention inspection system.

**STATE OF NEW HAMPSHIRE
PUBLIC UTILITIES COMMISSION
SAFETY DYNAMICS 365 EXPANSION
DOIT 2019-067
PART 3 – EXHIBIT I
WORK PLAN**

Interface	Components, if applicable	Responsible Party	Description
Import/Export Processes	Import data from One Call Center	Spruce Architect and State	Data Mapping and routine for importing as required.

A. INTERFACE RESPONSIBILITIES

- Spruce Technology Inc.'s Team shall provide the State Contractor Application Data requirements and examples, of data mappings and interfaces implemented on other Projects.
- Spruce Technology Inc.'s Team shall identify the APIs the State should use in the design and development of the interface.
- Spruce Technology Inc.'s Team shall lead the review of functional and technical interface Specifications.
- Spruce Technology Inc.'s Team shall assist the State with the resolution of problems and issues associated with the development and Implementation of the interfaces.
- Spruce Technology Inc.'s Team shall document the functional and technical specifications for the interfaces.
- Spruce Technology Inc.'s Team shall create the initial Test Plan and related scripts to Unit Test the interface. The State shall validate and accept.
- Spruce Technology Inc.'s Team shall develop and Unit Test the interface.
- The State and Spruce Technology Inc.'s Team shall jointly verify and validate the accuracy and completeness of the interface.
- The State is responsible for documenting the procedures required to run the interfaces in production.
- The State and Spruce Technology Inc.'s Teams shall jointly construct test scripts and create any Data needed to support testing the interfaces.
- The State is responsible for all Data extracts and related formatting needed from legacy Systems to support the interfaces.
- The State is responsible for the scheduling of interface operation in production.

7. APPLICATION MODIFICATION

To more fully address the State's requirements, Spruce Technology Inc.'s Team shall implement the following application modifications. The following Table 7.1 identifies the modifications that are within the scope of this Contract.

Table 7.1: Modifications – Contractor Developed

Requirement	Components, if applicable	Enhancement Description
Secure Auth	N/A	AD Synchronization
PUC Specific Data	Entity Framework	Custom entity configuration

**STATE OF NEW HAMPSHIRE
PUBLIC UTILITIES COMMISSION
SAFETY DYNAMICS 365 EXPANSION
DOIT 2019-067
PART 3 – EXHIBIT I
WORK PLAN**

Requirement	Components, if applicable	Enhancement Description
PUC Specific Workflow	Dynamics 365 Workflow Engine	Custom workflow configuration
PUC Specific Letters	MS Office Integration	Letter template and data merge

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STATE OF NEW HAMPSHIRE
PUBLIC UTILITIES COMMISSION
SAFETY DYNAMICS 365 EXPANSION
DOIT 2019-067
PART 3 – EXHIBIT J
SOFTWARE AGREEMENT

EXHIBIT J: SOFTWARE AGREEMENT

1. LICENSE GRANT

Exhibit J – Not Applicable to this Contract

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STATE OF NEW HAMPSHIRE
PUBLIC UTILITIES COMMISSION
SAFETY DYNAMICS 365 EXPANSION
DOIT 2019-067
PART 3 – EXHIBIT K
WARRANTY & WARRANT SERVICE

EXHIBIT K: WARRANTY AND WARRANTY SERVICE

1. WARRANTIES

1.1 SYSTEM

Spruce Technology Inc. warrants that the System will operate to conform to the Specifications, terms, and requirements of the Contract.

1.2 SYSTEM SUPPORT

1.2.1 CONTRACTOR'S RESPONSIBILITY

Spruce Technology Inc. will be responsible for performing on-site or remote technical support in accordance with the Contract Documents, including without limitation the requirements, terms, and conditions contained herein.

Class A Deficiency – *Software* - Critical, does not allow System to operate, no work around, demands immediate action; *Written Documentation* - missing significant portions of information or unintelligible to State; *Non Software* - Services were inadequate and require re-performance of the Service.

Class B Deficiency – *Software* - important, does not stop operation and/or there is a work around and user can perform tasks; *Written Documentation* - portions of information are missing but not enough to make the document unintelligible; *Non Software* - Services were deficient, require reworking, but do not require re-performance of the Service.

Class C Deficiency – *Software* - minimal, cosmetic in nature, minimal effect on System, low priority and/or user can use System; *Written Documentation* - minimal changes required and of minor editing nature; *Non Software* - Services require only minor reworking and do not require re-performance of the Service.

Support level:

- a. Class A Deficiencies – Spruce Technology Inc. shall have available to the State on-call support assistance, with issue tracking available to the State, eight (8) hours per day and five (5) days a week with an email / telephone response within two (2) hours of request; during Department Business Hours (M – F, 8:00 a.m. – 5:00 p.m. EST), or Spruce Technology Inc. shall provide support with remote diagnostic Services within four (4) business hours of a request;
- b. Class B & C Deficiencies – The Department shall notify Spruce Technology Inc. of such Deficiencies during Regular Business Hours and Spruce Technology Inc. shall respond back within twenty-four (24) hours of notification of planned corrective action.

**STATE OF NEW HAMPSHIRE
PUBLIC UTILITIES COMMISSION
SAFETY DYNAMICS 365 EXPANSION
DOIT 2019-067
PART 3 – EXHIBIT K
WARRANTY & WARRANT SERVICE**

1.3 SOFTWARE

Spruce Technology Inc. warrants that the Software, including but not limited to the individual modules or functions furnished under the Contract, is properly functioning within the System, compliant with the requirements of the Contract, and will operate in accordance with the Specifications and Terms of the Contract.

For any Breach of the above Software Warranty, the State's remedy, and Spruce Technology Inc.'s entire liability, shall be:

- a. The correction of program errors that cause Breach of the Warranty, or if Spruce Technology Inc. cannot substantially correct such Breach in a commercially reasonable manner, the State may end its program license if any and recover the fees paid to Spruce Technology Inc. for the program license and any unused, prepaid technical support fees the State has paid for the program license; or
- b. The re-performance of the deficient Services; or
- c. If Spruce Technology Inc. cannot substantially correct a Breach in a commercially reasonable manner, the State may end the relevant Services and recover the fees paid to Spruce Technology Inc. for the deficient Services.

1.4 SUPPORT OBLIGATIONS AND TERM

1.4.1 Spruce Technology Inc. shall repair or replace Software, and provide maintenance of the Software in accordance with the Specifications and terms and requirements of the Contract., including but not limited to S1.1 through S1.20 of the Support and Maintenance Requirements in Part 3 - Exhibit H: *Requirements*, Attachment 3.

1.4.2 Spruce Technology Inc. shall maintain a record of the activities related to Warranty repair or maintenance activities performed for the State.

1.4.3 For all maintenance service calls, Spruce Technology Inc. shall ensure the following information will be collected and maintained:

- a. Nature of the Deficiency;
- b. Current status of the Deficiency;
- c. Action plans, dates, and times;
- d. Expected and actual completion time;
- e. Deficiency resolution information;
- f. Resolved by;
- g. Identifying number (i.e. work order number);
- h. Issue Identified by.

1.4.4 Spruce Technology Inc. must work with the Department to identify and troubleshoot potentially large-scale System failures or Deficiencies by collecting the following information:

- a. Mean time between reported Deficiencies with the Software;
- b. Diagnosis of the root cause of the problem; and
- c. Identification of repeat calls or repeat Software problems.

**STATE OF NEW HAMPSHIRE
PUBLIC UTILITIES COMMISSION
SAFETY DYNAMICS 365 EXPANSION
DOIT 2019-067
PART 3 – EXHIBIT K
WARRANTY & WARRANT SERVICE**

1.4.5 If Spruce Technology Inc. fails to correct a Deficiency within the allotted period of time stated above, Spruce Technology Inc. shall be deemed to have committed an Event of Default, and the State shall have the right, at its option, to pursue the remedies in Part 1, P-37 General Provisions - Section 8: Event of Default/Remedies and Part 2, IT Requirements - Section 12.2: *Termination for Default*, as well as to return Spruce Technology Inc.'s product and receive a refund for all amounts paid to Spruce Technology Inc., including but not limited to, applicable license fees, within ninety (90) days of notification to Spruce Technology Inc. of the State's refund request.

1.5 NON-INFRINGEMENT

Spruce Technology Inc. warrants that it has good title to, or the right to allow the State to use, all Services, equipment, and Software ("Material") provided under this Contract, and that such Services, equipment, and Software do not violate or infringe any patent, trademark, copyright, trade name or other intellectual property rights or misappropriate a trade secret of any third party.

1.6 VIRUSES; DESTRUCTIVE PROGRAMMING

Spruce Technology Inc. warrants that the Software shall not contain any viruses, destructive programming, or mechanisms designed to disrupt the performance of the Software in accordance with the Specifications.

1.7 COMPATIBILITY

Spruce Technology Inc. warrants that all System components, including but not limited to the components provided, including any replacement or upgraded System Software components provided by Spruce Technology Inc. to correct Deficiencies or as an Enhancement, shall operate with the rest of the System without loss of any functionality, unless the State permits down time to update the System with a new release.

1.8 SERVICES

Spruce Technology Inc. warrants that all Services to be provided under the Contract will be provided expeditiously, in a professional manner, in accordance with industry standards and that Services will comply with performance standards, Specifications, and terms of the Contract.

1.9 PERSONNEL

Spruce Technology Inc. warrants that all personnel engaged in the Services shall be qualified to perform the Services, and shall be properly licensed and otherwise authorized to do so under all applicable laws.

1.10 BREACH OF DATA

Spruce Technology Inc. shall be solely liable for costs associated with any Breach of State Data housed at their location(s) including but not limited to notification and any damages assessed by the courts.

**STATE OF NEW HAMPSHIRE
PUBLIC UTILITIES COMMISSION
SAFETY DYNAMICS 365 EXPANSION
DOIT 2019-067
PART 3 – EXHIBIT K
WARRANTY & WARRANT SERVICE**

2. WARRANTY PERIOD

The Warranty Period shall remain in effect until the conclusion or termination of this Contract and any extensions, with the exception of the Warranty for non-infringement, which shall survive the termination of this Contract.

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**STATE OF NEW HAMPSHIRE
PUBLIC UTILITIES COMMISSION
SAFETY DYNAMICS 365 EXPANSION
DOIT 2019-067
PART 3 – EXHIBIT L
TRAINING SERVICE**

EXHIBIT L: TRAINING SERVICES

1. TRAINING SERVICES

Spruce Technology Inc. shall provide the following Training Services.

The Spruce Technology team will work with PUC stakeholders to better define the contents of these three training sessions and tailor the training to meet PUC's specific user needs. A training presentation and a user guide will also be developed to support the training. Training will be built into the project plan along with all other project activities. The project and training plan, to be approved by the PUC Project Owner, acts as a tool to manage expectations, coordinate resources and ensure timely, quality delivery.

For the scope of training required by the State in this engagement, Spruce Technology shall provide three (3) boot camp training classes.

1. One session focused on inspectors;
2. One session focused on non-inspection functions (including workflow and task management, reporting, and other key functions); and
3. One session that will serve as a train the trainer class where the Spruce Technology team will work with the PUC to prepare them to conduct ongoing training, as well as an introduction to more advanced features.
4. Boot Camp

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**STATE OF NEW HAMPSHIRE
PUBLIC UTILITIES COMMISSION
SAFETY DYNAMICS 365 EXPANSION
DOIT 2019-067**

**PART 3 – EXHIBIT M
AGENCY RFP WITH ADDENDUMS, BY REFERENCE**

EXHIBIT M: AGENCY RFP WITH ADDENDUMS, BY REFERENCE

PUC RFP 2018-078 Safety Database dated September 28, 2017 was the initial RFP in which DoIT Contract 2018-078 was entered into by Spruce Technology Inc. and the State of New Hampshire. Statement of work dated October 8, 2018 formed the basis of this Dynamics 365 Expansion project for the Underground Damage Prevention Database and is hereby incorporated by reference as fully set forth herein.

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**STATE OF NEW HAMPSHIRE
PUBLIC UTILITIES COMMISSION
SAFETY DYNAMICS 365 EXPANSION
DOIT 2019-067
PART 3 – EXHIBIT N
VENDOR PROPOSAL, BY REFERENCE**

EXHIBIT N: VENDOR PROPOSAL, BY REFERENCE

PUC RFP 2018-078 Safety Database dated September 28, 2017 was the initial RFP in which DoIT Contract 2018-078 was entered into by Spruce Technology Inc. and the State of New Hampshire. Statement of work dated October 8, 2018 formed the basis of this Dynamics 365 Expansion project for the Underground Damage Prevention Database and is hereby incorporated by reference as fully set forth herein.

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**STATE OF NEW HAMPSHIRE
PUBLIC UTILITIES COMMISSION
SAFETY DYNAMICS 365 EXPANSION
DOIT 2019-067
PART 3 – EXHIBIT O
CERTIFICATES AND ATTACHMENTS**

EXHIBIT O: CERTIFICATES AND ATTACHMENTS

Attached are:

- A. Contractor's Certificate of Good Standing
- B. Contractor's Certificate of Vote/Authority
- C. Contractor's Certificate of Insurance
- D. Attachment 1: Vendor Statement of Work and Quote
- E. Attachment 3: Project Requirements

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State of New Hampshire

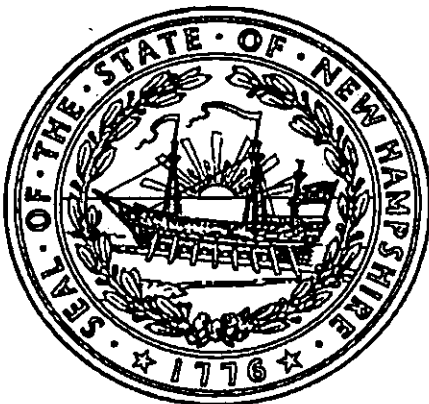
Department of State

CERTIFICATE

I, William M. Gardner, Secretary of State of the State of New Hampshire, do hereby certify that SPRUCE TECHNOLOGY INC is a New Jersey Profit Corporation registered to transact business in New Hampshire on November 20, 2017. I further certify that all fees and documents required by the Secretary of State's office have been received and is in good standing as far as this office is concerned.

Business ID: 782878

Certificate Number: 0004217101



IN TESTIMONY WHEREOF,

I hereto set my hand and cause to be affixed
the Seal of the State of New Hampshire,
this 30th day of November A.D. 2018.

A handwritten signature in black ink, appearing to read "Wm Gardner".

William M. Gardner
Secretary of State

Certificate of Authority # 1

(Corporation or LLC - Non-specific, open-ended)

Corporate Resolution

I, Mutyalarao Nagubandj hereby certify that I am duly elected Clerk/Secretary of
(Name)
Spruce Technology, Inc. I hereby certify the following is a true copy of a vote taken at
(Name of Corporation or LLC)

a meeting of the Board of Directors/shareholders, duly called and held on January 8, 2019
at which a quorum of the Directors/shareholders were present and voting.

VOTED: That James Mahoney AND
Kristen Mazza (may list more than one person) is
(Name and Title)

duly authorized to enter into contracts or agreements on behalf of

Spruce Technology, Inc. with the State of New Hampshire and any of
(Name of Corporation or LLC)

its agencies or departments and further is authorized to execute any

documents which may in his/her judgment be desirable or necessary to effect

the purpose of this vote.

I hereby certify that said vote has not been amended or repealed and remains in full
force and effect as of the date of the contract to which this certificate is attached. I further
certify that it is understood that the State of New Hampshire will rely on this certificate as
evidence that the person(s) listed above currently occupy the position(s) indicated and that
they have full authority to bind the corporation. To the extent that there are any limits on the
authority of any listed individual to bind the corporation in contracts with the State of New
Hampshire, all such limitations are expressly stated herein.

DATED: 01/08/2019

ATTEST:

Mutyalarao Nagubandj
(Name & Title) Mutyalarao Nagubandj
EVP, Managing Partner, and
Corporate Secretary



SPRUTEC-01

SBUDA

CERTIFICATE OF LIABILITY INSURANCE

DATE (MM/DD/YYYY)

11/30/2018

THIS CERTIFICATE IS ISSUED AS A MATTER OF INFORMATION ONLY AND CONFERS NO RIGHTS UPON THE CERTIFICATE HOLDER. THIS CERTIFICATE DOES NOT AFFIRMATIVELY OR NEGATIVELY AMEND, EXTEND OR ALTER THE COVERAGE AFFORDED BY THE POLICIES BELOW. THIS CERTIFICATE OF INSURANCE DOES NOT CONSTITUTE A CONTRACT BETWEEN THE ISSUING INSURER(S), AUTHORIZED REPRESENTATIVE OR PRODUCER, AND THE CERTIFICATE HOLDER.

IMPORTANT: If the certificate holder is an ADDITIONAL INSURED, the policy(ies) must have ADDITIONAL INSURED provisions or be endorsed. If SUBROGATION IS WAIVED, subject to the terms and conditions of the policy, certain policies may require an endorsement. A statement on this certificate does not confer rights to the certificate holder in lieu of such endorsement(s).

PRODUCER J.A. Faccibene & Assoc., Inc. 100 Merrick Rd Suite 526W Rockville Centre, NY 11570	CONTACT NAME: PHONE (A/C, No, Ext): (516) 766-3513 FAX (A/C, No): (516) 766-3606 E-MAIL Address: samantha@jafinsurance.com
	INSURER(S) AFFORDING COVERAGE INSURER A: Travelers Property & Casualty Co of America 25674 INSURER B: Phoenix Insurance Co. 25623 INSURER C: Travelers Indemnity Company 25658 INSURER D: INSURER E: INSURER F:
INSURED Spruce Technology, Inc. 1149 Bloomfield Ave. Suite G Clifton, NJ 07012	

COVERAGES

CERTIFICATE NUMBER:

REVISION NUMBER:

THIS IS TO CERTIFY THAT THE POLICIES OF INSURANCE LISTED BELOW HAVE BEEN ISSUED TO THE INSURED NAMED ABOVE FOR THE POLICY PERIOD INDICATED. NOTWITHSTANDING ANY REQUIREMENT, TERM OR CONDITION OF ANY CONTRACT OR OTHER DOCUMENT WITH RESPECT TO WHICH THIS CERTIFICATE MAY BE ISSUED OR MAY PERTAIN, THE INSURANCE AFFORDED BY THE POLICIES DESCRIBED HEREIN IS SUBJECT TO ALL THE TERMS, EXCLUSIONS AND CONDITIONS OF SUCH POLICIES. LIMITS SHOWN MAY HAVE BEEN REDUCED BY PAID CLAIMS.

INSR LTR	TYPE OF INSURANCE	ADDL INSD	SUBR WVD	POLICY NUMBER	POLICY EFF (MM/DD/YYYY)	POLICY EXP (MM/DD/YYYY)	LIMITS
A	<input checked="" type="checkbox"/> COMMERCIAL GENERAL LIABILITY <input type="checkbox"/> CLAIMS-MADE <input checked="" type="checkbox"/> OCCUR GEN'L AGGREGATE LIMIT APPLIES PER: <input type="checkbox"/> POLICY <input type="checkbox"/> PRO-JECT <input type="checkbox"/> LOC OTHER:			ZLP-91N00287	05/31/2018	05/31/2019	EACH OCCURRENCE \$ 1,000,000 DAMAGE TO RENTED PREMISES (Ea occurrence) \$ 1,000,000 MED EXP (Any one person) \$ 10,000 PERSONAL & ADV INJURY \$ 1,000,000 GENERAL AGGREGATE \$ 2,000,000 PRODUCTS - COMPI/OP AGG \$ 2,000,000 Emp Ben. \$ 3,000,000
B	AUTOMOBILE LIABILITY <input type="checkbox"/> ANY AUTO OWNED AUTOS ONLY <input checked="" type="checkbox"/> HIRED AUTOS ONLY <input type="checkbox"/> SCHEDULED AUTOS <input checked="" type="checkbox"/> NON-OWNED AUTOS ONLY			BA1L2007741815G	05/31/2018	05/31/2019	COMBINED SINGLE LIMIT (Ea accident) \$ 1,000,000 BODILY INJURY (Per person) \$ BODILY INJURY (Per accident) \$ PROPERTY DAMAGE (Per accident) \$ \$
A	<input checked="" type="checkbox"/> UMBRELLA LIAB <input checked="" type="checkbox"/> OCCUR <input type="checkbox"/> EXCESS LIAB <input type="checkbox"/> CLAIMS-MADE DED <input checked="" type="checkbox"/> RETENTION \$ 10,000			CUP-IL270844	05/31/2018	05/31/2019	EACH OCCURRENCE \$ 6,000,000 AGGREGATE \$ 6,000,000 \$
C	WORKERS COMPENSATION AND EMPLOYERS' LIABILITY ANY PROPRIETOR/PARTNER/EXECUTIVE OFFICER/MEMBER EXCLUDED? (Mandatory in NH) <input type="checkbox"/> Y/N If yes, describe under DESCRIPTION OF OPERATIONS below		N/A	UB1L20141A1815G	05/31/2018	05/31/2019	<input checked="" type="checkbox"/> PER STATUTE <input type="checkbox"/> OTH-ER E.L. EACH ACCIDENT \$ 1,000,000 E.L. DISEASE - EA EMPLOYEE \$ 1,000,000 E.L. DISEASE - POLICY LIMIT \$ 1,000,000

DESCRIPTION OF OPERATIONS / LOCATIONS / VEHICLES (ACORD 101, Additional Remarks Schedule, may be attached if more space is required)
SEE ATTACHED FOR ADDITIONAL COVERAGES.

This certificate is evidencing coverage for the above named insured. 30 Day Notice of Cancellation applies.

CERTIFICATE HOLDER

CANCELLATION

State of New Hampshire, Department of Information Technology 27 Hazen Drive Concord, NH 03301	SHOULD ANY OF THE ABOVE DESCRIBED POLICIES BE CANCELLED BEFORE THE EXPIRATION DATE THEREOF, NOTICE WILL BE DELIVERED IN ACCORDANCE WITH THE POLICY PROVISIONS. AUTHORIZED REPRESENTATIVE <i>J. Faccibene</i>
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AGENCY CUSTOMER ID: SPRUTEC-01

SBUDA

LOC #: 0

ADDITIONAL REMARKS SCHEDULE

Page 1 of 1

AGENCY J.A. Faccibene & Assoc., Inc.		NAMED INSURED Spruce Technology, Inc. 1149 Bloomfield Ave. Suite G Clifton, NJ 07012	
POLICY NUMBER SEE PAGE 1			
CARRIER SEE PAGE 1	NAIC CODE SEE P 1	EFFECTIVE DATE: SEE PAGE 1	

ADDITIONAL REMARKS

THIS ADDITIONAL REMARKS FORM IS A SCHEDULE TO ACORD FORM,
FORM NUMBER: ACORD 25 FORM TITLE: Certificate of Liability Insurance

CRIME:

The Travelers

Policy #: 105944207

05/31/18-05/31/19

Employee Theft: \$5,000,000/\$50,000 retention

Employee Theft at client premises: \$5,000,000/\$50,000 retention

Computer Crime: Computer Fraud: \$5,000,000/\$50,000 retention

Computer Program & Electronic Data Restoration Expense: \$500,000/\$1,000 retention Funds Transfer Fraud: \$5,000,000/\$50,000 retention

CYBER/E&O:

Travelers Property & Casualty

Policy #ZPL-61M99257

05/31/2018-05/31/2019

Cyber:

Security Breach Notification and Remediation Expenses Limit: \$1,000,000 Retention: \$50,000

Crisis Management Services Expenses Limit: \$1,000,000 Retention: \$25,000

Extortion Expenses Limit: \$1,000,000 Retention: \$10,000

Computer Program and Electronic Data Restoration Expenses Limit: \$500,000 Retention: \$10,000

E&O:

Aggregate Limit: \$5,000,000

Each Occurrence Limit: \$5,000,000

Retention: \$10,000

Errors & Omissions Liability: Included

Network and Information Security Liability: Included

Communications and Media Liability: Included

Employed Legal Professional Liability: Included

Requirement Instructions
<p>Criticality Column:</p> <p>(M) Indicates a requirement that is "Mandatory". The State considers it to be of such great importance that it must be met in order for the proposal to be accepted. If the proposer believes that there is something about their proposal that either obviates the need for this requirement or makes it of less importance this must be explained within the comments. The State retains the right to accept a proposal if the need of the requirement is reduced or eliminated by another feature of the proposal.</p> <p>(P) Indicates a requirement which is "Preferred". This requirement is considered by the State to be of great usefulness but the lack of this feature is not considered serious enough to disqualify the proposal.</p> <p>(O) Indicates a requirement which is "Optional". This requirement is considered by the State to be one which usefull or potentially usefull but not a central feature of the Project.</p>

Attachment C-2: General Requirements Vendor Response Checklist

BUSINESS REQUIREMENTS		
State Requirements		
Req #	Requirement Description	Criticality
General		
B1.1	The solution shall be a hosted cloud-based system.	M
B1.2	The solution shall be mobile accessible with offline capabilities.	M
B1.3	The ability to utilize Voice to Text capabilities on mobile devices.	M
B1.4	The solution shall have the ability to update the changing federal regulations in the database through an administrative user/role.	M
B1.5	The system shall have the ability to query database with dynamic filters to retrieve a multitude of different sets of information based on needs.	M
B1.6	The vendor must provide administrative user management to support users with varying level of privilege depending on system function and user roles. (i.e., operator, excavator names, contact information, etc.)	M
B1.7	The system must be user friendly with visualizations appropriate for data displayed in order to provide quick easy access to violations, inspections, calendars, action thresholds and follow-up action items.	M
B1.8	The Ability to query database rules and regulations (i.e., PHMSA and PUC 800) from the field.	M
B1.9	The solution shall provide an environment that follows standard SDLC processes.	M
B1.10	The solution shall have the ability to utilize geographic information system (GIS) capabilities to capture, store, manipulate, analyze, manage, and present all types of geographical data (i.e., longitude and latitude).	M
Scheduling		
B2.1	The solution shall have the ability to track, present and alert inspector's days (as developed by contract DoIT 2018-078) spent inspecting each year and calculate the remaining inspection hours needed to maintain inspection certification.	M
B2.2	Calendar integration using standard .ICS format.	M
Inspection		
B3.1	The solution shall utilize a Report Template and adapt as required by changing regulatory needs.	M
B3.2	The system shall have the ability to select from list of preset inspection types. (Apply different rules depending on inspection type)	M
B3.3	The solution shall fill in the inspection report with required information remotely with ability to pull GIS information.	M
B3.4	The solution shall be able to quickly view rules/regulations and apply them to an inspection.	M
B3.5	The solution shall have the PHMSA reference where appropriate in the inspection input.	M
B3.6	The solution shall have the PUC Req chapter 800 (underground pipeline rules) references where appropriate in inspection input.	M

1. BUSINESS REQUIREMENTS

Attachment C-2: General Requirements Vendor Response Checklist

B3.7	The ability to attach media and documents to reports while out in the field.	M
B3.8	The solution shall provide an audit trail report of each inspection at the field level.	M
B3.9	The solution shall track historical data per location to automatically evaluate prior observations/findings per rule and display results as needed.	M
B3.10	The system shall have a notation field under each regulation and an overall comments field updated by the inspector while capturing inspector name, time and date with ability to sync offline content.	M
Violation Tracking and Enforcement		
B4.1	The system shall have the ability to generate and report in the field, violation with historical reference to previous violations with status updates.	M
B4.2	The system shall have the ability to generate an email with the violation from the field while updating the dashboard with the activity.	M
B4.3	The system shall be have the generated violation status tracking (Open, in-process, closed) and report to dashboard.	M
B4.4	The system shall track the violation enforcement progression from report date to close	M
Reporting		
B5.1	The solution shall be capable of producing query based and ad-hoc reports at an aggregate and individual level with the ability to export to the federal government.	M
B5.2	The solution shall provide system warnings to alert staff of potential threshold issues.	M
B5.3	The solution shall provide the ability to perform expense reporting. (i.e., mileage, meals, etc.)	M
B5.5	The solution must be completed within 1 year or less.	M
B5.6	The solution shall replicate the reporting requirement needs used in existing spreadsheets to create a summary report as needed.	M
B5.7	The solution shall have the ability to report the dynamic forms.	M
B5.8	The ability to create PUC Reports and Cover letters listed in section B6.x	M
B5.10	The ability to create PUC Reports and Cover letters listed in section B8.x	M

1. BUSINESS REQUIREMENTS

Attachment C-2: General Requirements Vendor Response Checklist

B5.11	<p>The ability to perform adhoc reporting such as the following (not limited to):</p> <ol style="list-style-type: none"> 1. Inspection days 2. Planned vs Unplanned inspections 3. Violations 4. Compliance/Action letters 5. Operator and Inspection unit counts 6. Civil penalties 7. Timesheet data 8. Reportable incidents 9. Case Reports 10. Trend Report 11. Issue Tracking 12. Scheduling based on Crew Submissions, Types and Daily Activities 13. Open Case Status, Partial Inspections 14. Activity 15. Damage Reports 16. Notification and reply 17. Outstanding Inspections required by defined cycle times (Scheduler) 	M
PUC Reports and Cover Letters		
B6.1	PUC Form 1 To be developedfor Random Inspections and Cover Letter	M
B6.2	PUC Form 2 To be developedfor Post Damage Inspections and Investigations with cover letter	M
Data Transition		
B9.1	Migrate existing test data from SQL database to new system.	M
B9.2	Provide the means for development staff to migrate production SQL data to the new system.	M
B9.3	The ability to export selected data to CGA DIRT database.	M
B9.4	The ability to import selected data from One Call Notification database.	M
Training		
B10.1	Provide Train the Trainer	M
B10.2	Provide End-Users Training	
B10.3	Provide on-site developer training for the PUC development staff	M

1. BUSINESS REQUIREMENTS

APPLICATION REQUIREMENTS		
State Requirements		
Req #	Requirement Description	Criticality
GENERAL SPECIFICATIONS		
A1.1	Ability to access data using open standards access protocol (please specify supported versions in the comments field).	M
A1.2	Data is available in commonly used format over which no entity has exclusive control, with the exception of National or International standards. Data is not subject to any copyright, patent, trademark or other trade secret regulation.	M
A1.3	Web-based compatible and in conformance with the following W3C standards: HTML5, CSS 2.1, XML 1.1	M
APPLICATION SECURITY		
A2.1	Verify the identity or authenticate all of the system client applications before allowing use of the system to prevent access to inappropriate or confidential data or services.	M
A2.2	Verify the identity and authenticate all of the system's human users before allowing them to use its capabilities to prevent access to inappropriate or confidential data or services.	M
A2.3	Enforce unique user names.	M
A2.4	Enforce complex passwords for Administrator Accounts in accordance with DoIT's statewide <i>User Account and Password Policy</i> .	M
A2.5	Enforce the use of complex passwords for general users using capital letters, numbers and special characters in accordance with DoIT's statewide <i>User Account and Password Policy</i> .	M
A2.6	Encrypt passwords in transmission and at rest within the database.	M
A2.7	Establish ability to expire passwords after a definite period of time in accordance with DoIT's statewide <i>User Account and Password Policy</i> .	M
A2.8	Provide the ability to limit the number of people that can grant or change authorizations.	M
A2.9	Establish ability to enforce session timeouts during periods of inactivity.	M
A2.10	The application shall not store authentication credentials or sensitive data in its code.	M

Attachment C-2: General Requirements Vendor Response Checklist

Req #	Requirement Description	Criticality
A2.11	Log all attempted accesses that fail identification, authentication and authorization requirements.	M
A2.12	The application shall log all activities to a central server to prevent parties to application transactions from denying that they have taken place.	M
A2.13	All logs must be kept for 6 months with the ability to export them for state use.	M
A2.14	The application must allow a human user to explicitly terminate a session. No remnants of the prior session should then remain.	M
A2.15	Do not use Software and System Services for anything other than they are designed for.	M
A2.16	The application Data shall be protected from unauthorized use when at rest.	M
A2.17	The application shall keep any sensitive Data or communications private from unauthorized individuals and programs.	M
A2.18	Subsequent application enhancements or upgrades shall not remove or degrade security requirements	M
A2.19	Utilize change management documentation and procedures	M

TESTING		
State Requirements		
Req #	Requirement Description	Criticality
APPLICATION SECURITY TESTING		
T1.1	All components of the Software shall be reviewed and tested to ensure they protect the State's web site and its related Data assets.	M
T1.2	The Vendor shall be responsible for providing documentation of security testing, as appropriate. Tests shall focus on the technical, administrative and physical security controls that have been designed into the System architecture in order to provide the necessary confidentiality, integrity and availability.	M
T1.3	Provide evidence that supports the fact that Identification and Authentication testing has been recently accomplished; supports obtaining information about those parties attempting to log onto a system or application for security purposes and the validation of users.	M
T1.4	Test for Access Control; supports the management of permissions for logging onto a computer or network.	M
T1.5	Test for encryption; supports the encoding of data for security purposes, and for the ability to access the data in a decrypted format from required tools.	M
T1.6	Test the Intrusion Detection; supports the detection of illegal entrance into a computer system.	M
T1.7	Test the Verification feature; supports the confirmation of authority to enter a computer system, application or network.	M
T1.8	Test the User Management feature; supports the administration of computer, application and network accounts within an organization.	M
T1.9	Test Role/Privilege Management; supports the granting of abilities to users or groups of users of a computer, application or network.	M
T1.10	Test Audit Trail Capture and Analysis; supports the identification and monitoring of activities within an application or system.	M
T1.11	Test Input Validation; ensures the application is protected from buffer overflow, cross-site scripting, SQL Injection, and unauthorized access of files and/or directories on the server.	M
T.1.12	For web applications, ensure the application has been tested and hardened to prevent critical application security flaws. (At a minimum, the application shall be tested against all flaws outlined in the Open Web Application Security Project (OWASP) Top Ten (http://www.owasp.org/index.php/OWASP_Top_Ten_Project).	M
T1.13	Provide the State with validation of 3rd party security reviews performed on the application and system environment. The review may include a combination of vulnerability scanning, penetration testing, static analysis of the source code, and expert code review (please specify proposed methodology in the comments field).	M

Attachment C-2: General Requirements Vendor Response Checklist

T1.14	Prior to the System being moved into production, the Vendor shall provide results of all security testing to the Department of Information Technology for review and acceptance.	M
T1.15	Vendor shall provide documented procedure for migrating application modifications from the User Acceptance Test Environment to the Production Environment.	M
STANDARD TESTING		
T2.1	The Vendor must test the software and the system using an industry standard and State approved testing methodology as more fully described in Appendix G-2.	M
T2.2	The Vendor must perform application stress testing and tuning as more fully described in Appendix G-2.	M
T2.3	The Vendor must provide documented procedure for how to sync Production with a specific testing environment.	M
T2.4	The vendor must define and test disaster recovery procedures.	M

3. TESTING

HOSTING-CLOUD REQUIREMENTS		
State Requirements		
Req #	Requirement Description	Criticality
OPERATIONS		
H1.1	Vendor shall provide an ANSI/TIA-942 Tier 3 Data Center or equivalent. A tier 3 data center requires 1) Multiple independent distribution paths serving the IT equipment, 2) All IT equipment must be dual-powered and fully compatible with the topology of a site's architecture and 3) Concurrently maintainable site infrastructure with expected availability of 99.982%.	M
H1.2	Vendor shall maintain a secure hosting environment providing all necessary hardware, software, and Internet bandwidth to manage the application and support users with permission based logins.	M
H1.3	The Data Center must be physically secured – restricted access to the site to personnel with controls such as biometric, badge, and others security solutions. Policies for granting access must be in place and followed. Access shall only be granted to those with a need to perform tasks in the Data Center.	M
H1.4	Vendor shall install and update all server patches, updates, and other utilities within 60 days of release from the manufacturer.	M
H1.5	Vendor shall monitor System, security, and application logs.	M
H1.6	Vendor shall manage the sharing of data resources.	M
H1.7	Vendor shall manage daily backups, off-site data storage, and restore operations.	M
H1.8	The Vendor shall monitor physical hardware.	M
H1.9	Remote access shall be customized to the State's business application. In instances where the State requires access to the application or server resources not in the DMZ, the Vendor shall provide remote desktop connection to the server through secure protocols such as a Virtual Private Network (VPN).	M

Attachment C-2: General Requirements Vendor Response Checklist

H1.10	The Vendor shall report any breach in security in conformance with State of NH RSA 359-C:20. Any person engaged in trade or commerce that is subject to RSA 358-A:3, I shall also notify the regulator which has primary regulatory authority over such trade or commerce. All other persons shall notify the New Hampshire attorney general's office.	M
DISASTER RECOVERY		
H2.1	Vendor shall have documented disaster recovery plans that address the recovery of lost State data as well as their own. Systems shall be architected to meet the defined recovery needs.	M
H2.2	The disaster recovery plan shall identify appropriate methods for procuring additional hardware in the event of a component failure. In most instances, systems shall offer a level of redundancy so the loss of a drive or power supply will not be sufficient to terminate services however, these failed components will have to be replaced.	M
H2.3	Vendor shall adhere to a defined and documented back-up schedule and procedure.	M
H2.4	Back-up copies of data are made for the purpose of facilitating a restore of the data in the event of data loss or System failure.	M
H2.5	Scheduled backups of all servers must be completed regularly. The minimum acceptable frequency is differential backup daily, and complete backup weekly.	M
H2.6	Tapes or other back-up media tapes must be securely transferred from the site to another secure location to avoid complete data loss with the loss of a facility.	M
H2.7	Data recovery – In the event that recovery back to the last backup is not sufficient to recover State Data, the Vendor shall employ the use of database logs in addition to backup media in the restoration of the database(s) to afford a much closer to real-time recovery. To do this, logs must be moved off the volume containing the database with a frequency to match the business needs.	M
HOSTING SECURITY		
H3.1	The Vendor shall employ security measures ensure that the State's application and data is protected.	M

Attachment C-2: General Requirements Vendor Response Checklist

H3.2	If State data is hosted on multiple servers, data exchanges between and among servers must be encrypted.	M
H3.3	All servers and devices must have currently-supported and hardened operating systems, the latest anti-viral, anti-hacker, anti-spam, anti-spyware, and anti-malware utilities. The environment, as a whole, shall have aggressive intrusion-detection and firewall protection.	M
H3.4	All components of the infrastructure shall be reviewed and tested to ensure they protect the State's hardware, software, and its related data assets. Tests shall focus on the technical, administrative and physical security controls that have been designed into the System architecture in order to provide confidentiality, integrity and availability.	M
H3.5	The Vendor shall ensure its complete cooperation with the State's Chief Information Officer in the detection of any security vulnerability of the hosting infrastructure.	M
H3.6	The Vendor shall authorize the State to perform scheduled and random security audits, including vulnerability assessments, of the Vendor' hosting infrastructure and/or the application upon request.	M
H3.7	All servers and devices must have event logging enabled. Logs must be protected with access limited to only authorized administrators. Logs shall include System, Application, Web and Database logs.	M
H3.8	Operating Systems (OS) and Databases (DB) shall be built and hardend in accordance with guidelines set forth by CIS, NIST or NSA.	M
H3.9	The Vendor shall notify the State's Project Manager of any security breaches within two (2) hours of the time that the Vendor learns of their occurrence.	M
H3.10	The Vendor shall be solely liable for costs associated with any breach of State data housed at their location(s) including but not limited to notification and any damages assessed by the courts.	M
SERVICE LEVEL AGREEMENT		
H4.1	The Vendor's System support and maintenance shall commence upon the Effective Date and extend through the end of the Contract term, and any extensions thereof.	M

Attachment C-2: General Requirements Vendor Response Checklist

H4.2	The vendor shall maintain the hardware and Software in accordance with the specifications, terms, and requirements of the Contract, including providing, upgrades and fixes as required.	M
H4.3	The vendor shall repair or replace the hardware or software, or any portion thereof, so that the System operates in accordance with the Specifications, terms, and requirements of the Contract.	M
H4.4	All hardware and software components of the Vendor hosting infrastructure shall be fully supported by their respective manufacturers at all times. All critical patches for operating systems, databases, web services, etc, shall be applied within sixty (60) days of release by their respective manufacturers.	
H4.5	The State shall have unlimited access, via phone or Email, to the Vendor technical support staff between the hours of 7:30am to 5:00pm- Monday through Friday EST.	M
H4.6	<p>The Vendor shall conform to the specific deficiency class as described:</p> <ul style="list-style-type: none"> o Class A Deficiency - Software - Critical, does not allow System to operate, no work around, demands immediate action; Written Documentation - missing significant portions of information or unintelligible to State; Non Software - Services were inadequate and require re-performance of the Service. o Class B Deficiency - Software - important, does not stop operation and/or there is a work around and user can perform tasks; Written Documentation - portions of information are missing but not enough to make the document unintelligible; Non Software - Services were deficient, require reworking, but do not require re-performance of the Service. o Class C Deficiency - Software - minimal, cosmetic in nature, minimal effect on System, low priority and/or user can use System; Written Documentation - minimal changes required and of minor editing nature; Non Software - Services require only minor reworking and do not require re-performance of the Service. 	M

Attachment C-2: General Requirements Vendor Response Checklist

H4.7	As part of the maintenance agreement, ongoing support issues shall be responded to according to the following: a. Class A Deficiencies - The Vendor shall have available to the State on-call telephone assistance, with issue tracking available to the State, eight (8) hours per day and five (5) days a week with an email / telephone response within two (2) hours of request; or the Vendor shall provide support on-site or with remote diagnostic Services, within four (4) business hours of a request; b. Class B & C Deficiencies –The State shall notify the Vendor of such Deficiencies during regular business hours and the Vendor shall respond back within four (4) hours of notification of planned corrective action; The Vendor shall repair or replace Software, and provide maintenance of the Software in accordance with the Specifications, Terms and	M
H4.8	The hosting server for the State shall be available twenty-four (24) hours a day, 7 days a week except for during scheduled maintenance.	M
H4.9	A regularly scheduled maintenance window shall be identified (such as weekly, monthly, or quarterly) at which time all relevant server patches and application upgrades shall be applied.	M
H4.10	If The Vendor is unable to meet the uptime requirement, The Vendor shall credit State's account in an amount based upon the following formula: $(\text{Total Contract Item Price}/365) \times \text{Number of Days Contract Item Not Provided}$ The State must request this credit in writing.	M
H4.11	The Vendor shall use a change management policy for notification and tracking of change requests as well as critical outages.	M
H4.12	A critical outage will be designated when a business function cannot be met by a nonperforming application and there is no work around to the problem.	M
H4.13	The Vendor shall maintain a record of the activities related to repair or maintenance activities performed for the State and shall report quarterly on the following: Server up-time; All change requests implemented, including operating system patches; All critical outages reported including actual issue and resolution; Number of deficiencies reported by class with initial response time as well as time to close.	M

Attachment C-2: General Requirements Vendor Response Checklist

H4.14	The Vendor will give two-business days prior notification to the State Project Manager of all changes/updates and provide the State with training due to the upgrades and changes.	M
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SUPPORT & MAINTENANCE REQUIREMENTS		
State Requirements		
Req #	Requirement Description	Criticality
SUPPORT & MAINTENANCE REQUIREMENTS		
S1.1	The Vendor's System support and maintenance shall commence upon the Effective Date and extend through the end of the Contract term, and any extensions thereof.	M
S1.2	Maintain the hardware and Software in accordance with the Specifications, terms, and requirements of the Contract, including providing, upgrades and fixes as required.	M
S1.3	Repair Software, or any portion thereof, so that the System operates in accordance with the Specifications, terms, and requirements of the Contract.	M
S1.4	The State shall have unlimited access, via phone or Email, to the Vendor technical support staff between the hours of 8:00am to 5:00pm- Monday through Friday EST.	M
S1.5	<p>The Vendor response time for support shall conform to the specific deficiency class as described below or as agreed to by the parties:</p> <ul style="list-style-type: none"> o Class A Deficiency - Software - Critical, does not allow System to operate, no work around, demands immediate action; Written Documentation - missing significant portions of information or unintelligible to State; Non Software - Services were inadequate and require re-performance of the Service. o Class B Deficiency - Software - important, does not stop operation and/or there is a work around and user can perform tasks; Written Documentation - portions of information are missing but not enough to make the document unintelligible; Non Software - Services were deficient, require reworking, but do not require re-performance of the Service. o Class C Deficiency - Software - minimal, cosmetic in nature, minimal effect on System, low priority and/or user can use System; Written Documentation - minimal changes required and of minor editing nature; Non Software - Services require only minor reworking and do not require re-performance of the Service. 	M
S1.6	The Vendor shall make available to the State the latest program updates, general maintenance releases, selected functionality releases, patches, and Documentation that are generally offered to its customers, at no additional cost.	M

Attachment 1: Project Requirements

Req #	Requirement Description	Criticality
S1.9	For all maintenance Services calls, The Vendor shall ensure the following information will be collected and maintained: 1) nature of the Deficiency; 2) current status of the Deficiency; 3) action plans, dates, and times; 4) expected and actual completion time; 5) Deficiency resolution information, 6) Resolved by, 7) Identifying number i.e. work order number, 8) Issue identified by.	P
S1.10	The Vendor must work with the State to identify and troubleshoot potentially large-scale System failures or Deficiencies by collecting the following information: 1) mean time between reported Deficiencies with the Software; 2) diagnosis of the root cause of the problem; and 3) identification of repeat calls or repeat Software problems.	P
S1.11	As part of the Software maintenance agreement, ongoing software maintenance and support issues, shall be responded to according to the following or as agreed to by the parties: a. Class A Deficiencies - The Vendor shall have available to the State on-call telephone assistance, with issue tracking available to the State, eight (8) hours per day and five (5) days a week with an email / telephone response within two (2) hours of request; or the Vendor shall provide support on site or with remote diagnostic Services, within four (4) business hours of a request; b. Class B & C Deficiencies –The State shall notify the Vendor of such Deficiencies during regular business hours and the Vendor shall respond back within four (4) hours of notification of planned corrective action; The Vendor shall repair or replace Software, and provide maintenance of the Software in accordance with the Specifications, Terms and Requirements of the Contract; or as agreed between the parties	M
S1.12	The Vendor shall use a change management policy for notification and tracking of change requests as well as critical outages.	M
S1.13	A critical outage will be designated when a business function cannot be met by a nonperforming application and there is no work around to the problem.	M
S1.14	The Vendor shall maintain a record of the activities related to repair or maintenance activities performed for the State and shall report quarterly on the following: All change requests implemented; All critical outages reported including actual issue and resolution; Number of deficiencies reported by class with initial response time as well as time to close.	M

5. SUPPORT & MAINTENANCE

Statement of Work

This Statement of Work ("SOW") outlines the Professional Services to be rendered by Spruce Technology Inc. (Spruce) with EIN# 20-5656502 and principal offices at 1149 Bloomfield Avenue, Suite G, Clifton, NJ 07012 to the New Hampshire Public Utilities Commission, Safety Division (PUC).

Summary:

Having recently prepared PUC's Pipeline Safety system for production, Spruce has gained a strong understanding of PUC's additional needs. The Safety Division has implemented numerous incident prevention, education, inspection and enforcement programs to ensure the Safety of all those living and working in the State of New Hampshire. While Pipeline Safety represents a large, complex workload for the division, the Underground Damage Prevention Program (UGDPP) – DigSafe – managed by the division also oversees a large volume of critical safety activity across the State.

DigSafe is a multi-State initiative, in which New Hampshire is a participant, and State law requires that prior to commencing an excavation, the DigSafe organization must be notified. Anyone intending to dig in New Hampshire, even for small projects such as installing a fence on a private lot, must get a DigSafe Ticket, local utilities must be notified, and "locating services" (either utility or third party) must be used to ensure any buried utilities are properly marked.

PUC monitors all excavation activities in the State, leverages the DigSafe ticketing service to ensure proper permitting, facilitates participation by utilities and works to drive non-DigSafe members to fulfill their safety responsibilities. As part of the Safety Division's mission to encourage adherence to all State guidelines and rules, the UGDPP also provides free training to excavation company personnel who have been found delinquent. All of this State-wide activity requires a system that will allow PUC's UGDPP to:

- Easily access DigSafe Ticket information
- Track any reported violations or utility damages caused during an excavation
- Perform site inspections to observe field conditions, markings and procedures
- Issue notices for probable violations, violations and other compliance actions
- Issue other notifications or letters to encourage adherence to State guidelines and rules
- Create pictorial report that can post metrics on the state website.

Spruce will leverage the production ready Pipeline Safety system to deliver a UGDPP system for PUC. This system will be based in MS Dynamics 365, and will maximize the reuse of prebuilt components such as:

- Activity, Booking, Code, Question and Question Code entities
- Guidance, Findings and Remarks functionality (including optional defaults)
- Inspection completion workflow, and Compliance Action completion workflow
- Integrations with Active Directory and Exchange

Approach:

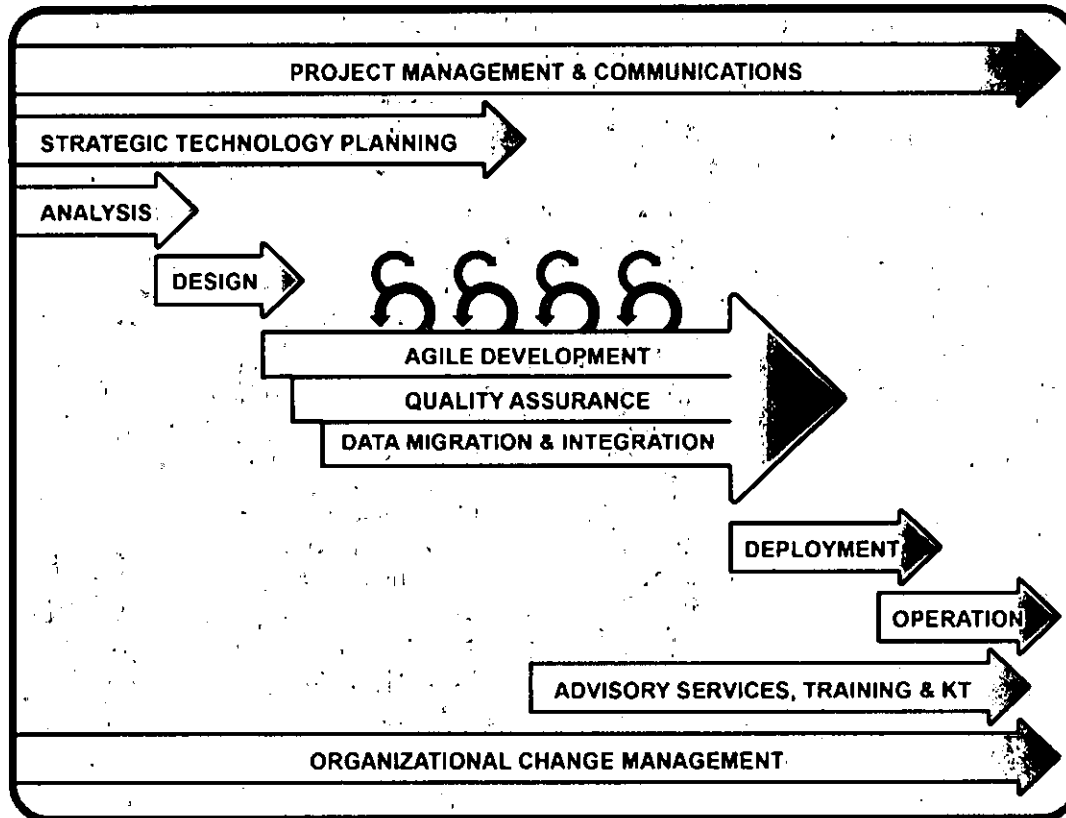
Spruce will use a light version of our proven hybrid delivery methodology for this project. During the initial phase of our engagement with PUC, many facets of this approach were leveraged with great success:

- Collaborative requirements and design allowed for rapid solutioning, and early launch of the build process
- Regular Sprint Reveals provided numerous forums for feedback to be received, synthesized and incorporated into the final product
- Integrated quality assurance allowed defects to be identified and corrected early, and iterative regression testing ensured the stability of the system even through many phases of change/enhancement

In other cases, however, aspects of our approach required augmentation or were found to be lacking for this initiative:

- The Sprint Reveal process, usually planned as a one to two hour meeting every two to three weeks, was found to be too little time for the group to digest the results of each Sprint. Reveals were extended to multiple multi-hour meetings, and a Reveal summary presentation was created for each.
- More general risks-based test scenarios are often used to quality assure workflow systems such as this. However, with major enhancements to mobile application, web application and server side functionality, more extensive test cases, and additional resources for role-based negative and ad-hoc testing were ultimately required.
- While Spruce generally handles data migration planning in parallel to the agile build phase, misunderstandings regarding the nature of the data to be migrated led to schedule slippage and additional work for Spruce, PUC and DoIT personnel.
- The documentation generally used as the basis for our agile build process including user stories, data dictionary and workflow diagrams fell short in their capture of the total complexity of the Pipeline Safety system. This resulted in late stage changes to design and additional features being added to the backlog right up to the final sprint. More consistent collaboration between the Spruce Delivery Lead and PUC stakeholders was needed to ensure clarity deep into the lifecycle.

With these successes and lessons learned to guide our UGDPP delivery, Spruce is very confident that our efforts with our PUC and DoIT counterparts will lead to even greater success. UGDPP will be delivered as a full lifecycle engagement, and will follow the same phases as Pipeline Safety:



To begin the project, the Spruce team will engage PUC with a “Kick-off” meeting. This meeting and resultant follow-up initiation activities will result in a mature draft of the Project Charter. This document represents the core project management asset for the project, and will continue to evolve as the project lifecycle unfolds. The Project Charter includes:

- A project scope description
- A high level timeline and milestones
- Project roles and responsibilities
- A project communications plan
- An initial project risk register

Through the process of creating the Project Charter, and validating all project assumptions with PUC Leadership, the Spruce Delivery Lead will be properly set up to work effectively with the UGDPP team. At a high level, the following expectations will be collaboratively vetted with PUC and further fleshed out as part of project initiation. PUC and DoIT personnel are expected to contribute to the following activities:

- **Discovery:** After initiation activities with leadership, and follow up activities with UGDPP team (including technical support team and business process owners), the Spruce team will engage PUC in a series of detailed discovery sessions to map out the overall process and flesh out the detailed project plan.

Client Personnel will **SUPPORT** the Spruce driven effort in Discovery. Note: some leadership will be required of PUC in project planning and management. The detailed project plan will reflect not only a timeline of activities, but also resource allocation for both Spruce and State personnel.

- **Requirements and Design:** The Spruce team will engage with DoIT and business SMEs to determine and document detailed requirements for the system. At a point of approximately 80% requirements completion, the team will begin to define how these

requirements will be implemented in the Spruce solution. The Spruce team will collaborate with both technical and business stakeholders to vet early design decisions, and begin to plan configuration sprints.

Client personnel will **SUPPORT** the Spruce driven effort in Requirements and Design. Note: some leadership will be required of PUC in the prioritization of requirements and decision making in regard to conflicting requirements. Spruce expects the State Project Manager to serve as a single point of decision making and sign-off.

- **Agile Build:** During the build phase, the Spruce team will maintain the vast majority of responsibility and leadership. PUC and DoIT personnel will be required to **SUPPORT** the build by the provision of feedback (in scheduled "Reveals"), continued decision making regarding requirement prioritization, and as-needed participation in quality activities. The Spruce team will work closely with the State Project Manager and designees to ensure proper planning for PUC and DoIT participation at this phase.
- **User Acceptance Testing:** PUC personnel will assume the **LEAD** role in user acceptance testing. Although Spruce will develop materials and scripts in advance, stage data for testing as appropriate, and provide facilitation for each testing session, PUC personnel will have accountability for testing. Once Spruce enters and analyzes the results, PUC will also have heavy participation in validating the individual findings for each suspected defect, and prioritizing remediation activities.
- **Data Migration Planning:** The State and Spruce will have **SHARED** responsibility for this critical set of planning activities. Spruce, PUC and DoIT personnel will work jointly to review legacy data sources, and Spruce will depend on heavy participation by State SMEs to understand the data. After the Spruce analysis, the State will also provide heavy participation in the decision making process and resultant planning for data migration strategy. Although Spruce will produce the actual plan, the effort in this set of activities is expected to be nearly 50/50.
- **Data Cleansing and Migration Preparation:** It is expected that the State will assume the **LEAD** role in preparing all legacy data for migration into the new system. Although Spruce will support this effort by providing the required data format, the State will maintain the vast majority of responsibility and leadership in this area.
- **Internal State IT Support:** Although Spruce will lead in the implementation of the solution online, and the configuration of the Microsoft Dynamics 365 Online platform, the State will maintain the **LEAD** role in ensuring access and support for all State IT assets. The State will manage all State hardware, install local clients (mobile client installation for inspectors), ensure access to any required points of integration, assure firewall configuration, etc. Spruce will work to provide guidance and information, if requested by the DoIT support team, while the State provides all required hardware and connectivity.
- **Training:** During the project lifecycle, the State will only have a **SUPPORT** role in the training process. Spruce will take the lead, developing training plans, presentations and user guides, and performing training for PUC and DoIT UGDPP users. Post production, the State will be responsible for ongoing training.
- **Knowledge Transfer (KT):** As part of the project plan, the Spruce team will work with PUC to identify the proper individuals to receive knowledge transfer from the Spruce delivery team. PUC will play a **SUPPORT** role in the knowledge transfer process, receiving walkthroughs, the documentation repository, and formal hand-off from Spruce. The PUC and DoIT teams will have the opportunity to ask questions and ensure clarity of information provided during the KT process.

Timeline:

Again, drawing from our experience in the delivery of the Pipeline Safety module, the Spruce team wishes to plan a conservative timeline. While after the discovery process is complete, Spruce, PUC and DoITT may jointly decide to reduce this estimate, the following high level timeline represents a safe plan for UGDPP delivery:

- Project Initiation: January 14, 2019
- Analysis Phase
 - Kick-off and follow-up activities: January 14, 2019 - January 18, 2019
 - Discovery: January 21, 2019 - February 1, 2019
 - Requirements & Design: February 4, 2019 - February 15, 2019
- Build Phase
 - Sprint 1: February 18, 2019 - March 8, 2019
 - Sprint 2: March 11, 2019 - March 29, 2019
 - Data Migration Planning: March 18, 2019 - March 29, 2019
 - Sprint 3: April 1, 2019 - April 19, 2019
 - Sprint 4: April 22, 2019 - May 10, 2019
- Deployment Phase
 - User Acceptance Testing: May 13, 2019 - May 17, 2019
 - Training: May 13, 2019 - May 17, 2019
 - Go-Live & Knowledge Transfer: May 20, 2019 - May 24, 2019

Deliverables:

The Spruce team will provide the following deliverables for the delivery of PUC's UGDPP module:

Deliverable	Description
Project Charter	Primary project management asset including scope description, timeline and milestones, roles and responsibilities, communications plan and risk register.
Workflow Diagrams	Business process flows depicting PUC's interaction with the system and any automation required.
Data Dictionary	An element by element definition document for all data to be managed in the system.
User Stories	Granular, role based descriptions of discrete functions to be provided in the system. Spruce generally uses the industry standard format: <i>AS A <u>user role</u>, I WANT TO <u>perform an action</u> SO THAT <u>goal of the activity</u>.</i>
High Level Design Document	Technical design document showing how the solution has been configured in Dynamics 365. This document will include details on all customizations, and will specifically call out differences between the UGDPP module, and the Pipeline Safety module.
Quality Assurance Plan	Strategy document detailing how the system will be tested. Spruce uses an integrated Quality Assurance approach, in which

	testing is an embedded part of the build phase, and QA is completed on a Sprint by Sprint basis.
Test Cases	A listing of all individual scripts that will be used to test the system. At the end of the project, this document also serves as a report, showing the status of each case prior to UAT.
User Acceptance Test Script	A scripted user acceptance strategy detailing individual test scenarios on a role by role basis that will guide users through the full functional span of the application.
User Manual	A step by step guide including direct screen shots from the production application that will be used both as a training aid, and as a reference for users long-term.
Training Presentation	Based on the more detailed user guide, the training presentation is the primary tool used to show users how to interact with the UGDPP module.
Run Book	A brief document showing technical and power users the basics required to support the UGDPP system.

Team:

Spruce will engage PUC leveraging a team made up of the following roles:

- **Delivery Lead:** Primary point of contact for PUC and DoIT throughout delivery. The Spruce Delivery Lead manages our delivery effort, leads initiation, discovery, requirements and design activities, and acts as the final point of quality assurance for all deliverables and the system.
- **Technical Lead:** Senior technical specialist who will lead in the architecture of the system, ensure maximization of the prebuilt functionality from Pipeline Safety, and oversee technical quality.
- **Developer:** Primary technical resource who will build out the solution in Dynamics 365, and ensure all defects are corrected in a timely manner. This resource will also work with DoIT to ensure legacy data ingestion and integrations.
- **QA Tester:** Primary quality assurance resource who will build out the test plan, write and execute all test scripts and guide PUC in user acceptance testing.
- **Addition Support:** The Spruce team will leverage our in-house Professional Services team to provide additional support as needed.

Scope:

The following table is a representative scope provided to Spruce by the Safety Division. Added to the information provided are:

- Spruce's expectations for leveraging reusable components from the Pipeline Safety module
- Spruce's understanding of extensions that will be required (i.e. areas that may need some level of customization that is not currently included in the base solution)
- Additional clarifying comments as appropriate

#	Story Title	Role	Action	Goal	Comments
1	Receipt of an UGDPP Incident	As an Inspector and as an Enforcer	I want this process to be automated, input by the reporter should create a record in the digsafes data base, whether it came from an E26 form, SNU form, call in, or generated by an inspector in the field.	...so that I can determine if there is a potential violation as an inspector and the need to investigate (inspect) or as to proceed with the enforcement process	For the initial phase of implementation, the Spruce team will design the solution for easy integration with a portal to enable this functionality. Development of the portal is not in scope for this project, but can be completed at any time.
2	Receipt of an UGDPP Incident	As an Inspector	I want the database to validate the record with the external One Call Center "DigSafe Notification Database" and import the unique digsafes ticket # if applicable	...so that I can plan the inspection activities for that site and verify the information provided corresponds with the site conditions	Integration with the One Call Center "DigSafe Notification Database" is not in scope for this project. The Spruce team will enable manual updates to be made to the Damage Prevention solution as required, and will work with the PUC Safety team to make those updates as efficient as possible.
3	Receipt of an UGDPP Incident	As an Inspector	If record is associated with a gas hit the system should automatically generate a notification through Outlook, email or text in the Pipeline Inspectors with all pertinent information	...so that the gas inspection staff can determine if a violation has occurred and take the appropriate steps for a field inspection.	New business rule, existing Exchange integration
4	Receipt of an UGDPP Incident	As an Enforcer	I want the UGDPP database to automatically generate a Homeowner Letter, NOPV letter, NOV Letter and NOPV Informal Conference Letter using data from	...so that violator receives the letter	Reuse Pipeline Safety Compliance Action functionality

			record data		
5	Receipt of an UGDPP Incident	As an Enforcer	If the violator is a home owner and Homeowner letter (type of NOPV) with Excavator Manual has been sent then record is closed	To quickly close the enforcement as soon as possible	New function
6	Historical Inspection violations by excavator	As an Inspector and as an Enforcer	I want to see a list of any violations by excavator within the last 12 months as well as any history we have of them (dismissals/violations etc...)	...so that I can see the contractor history in the field during inspection activities and see history during enforcement activities when considering the civil applied penalty	Will be implemented in a similar manner to equivalent functions in Pipeline Safety
7	Inspection information download	As an Inspector	I want to download all inspection information for a day to my tablet (when not able to talk to cloud)	...so that I can perform inspections in the field even if I am not connected to the web	Reuse Pipeline Safety Inspection functionality
8	Field Notes	As an Inspector	I want to add notes to any findings in the field	...so I can have the details available to update my report later	Reuse Pipeline Safety Inspection functionality
9	Field Photos	As an Inspector	I want to take one or more pictures in the field	...so I can attach them to my report as justification for a finding	Reuse Pipeline Safety Inspection functionality
10	Field Inspection Save - web	As an Inspector	I want to save my progress in completing a field inspection	...so that I do not lose any data and have to come back to the inspection to complete it at any time	Reuse Pipeline Safety Inspection functionality
11	Field Inspection Save - disconnected	As an Inspector	I want to save my progress in completing an inspection on my tablet if I am not connected to the web	...so I don't lose any data	Reuse Pipeline Safety Inspection functionality
12	Mobile App Synchron	As an Inspector	I want to synchronize all data stored on my tablet with the main application	...so that it automatically updates the database for the Safety Division	Reuse Pipeline Safety Inspection functionality
13	Inspection history in field	As an Inspector	I want to look at prior inspection information for an excavator while	...so that I have a reference for my inspection	Extend current mobile functionality for UGDPP

			in the field		
14	Inspection history by Excavator in field	As an Inspector	I want to look at prior inspection information for a particular Excavator while in the field	...so that I have a reference for my inspection	Extend current mobile functionality for UGDPP
15	Inspection history by location	As an Inspector	I want to look at prior inspection information for a location while in the field	...so that I have a reference for my inspection	Extend current mobile functionality for UGDPP
16	Inspection history by system	As an Inspector	I want to look at prior inspection information for a system while in the field	...so that I have a reference for my inspection	Extend current mobile functionality for UGDPP
17	Regulation Verbiage	As an Inspector	I want to see the verbiage of the regulations for each question while I am in the field	...so that I have context for my findings	Reuse Pipeline Safety Inspection functionality
18	Guidance Verbiage	As an Inspector	I want to see the verbiage of the guidance for each question while I am in the field	...so that I have context for my findings	Reuse Pipeline Safety Inspection functionality
19	Inspector Inspection activities...	As an Inspector	I want to see all of my inspection activities in my outlook calendar	...so I only need to look at one calendar to know my complete schedule	Reuse Pipeline Safety Inspection functionality
20	Safety division calendar	As an Inspector	I want to see inspection events on the safety division shared calendar	...so I can coordinate with the Safety Director and other division personnel.	Reuse Pipeline Safety Inspection functionality
21	Verbal NOPV warning	As an Inspector	I want to mark that I have given a Warning or a verbal NOPV to an excavator's representative in the field	...so I can track all communication and show a auditable communications threat	Reuse Pipeline Safety Inspection functionality
22	Inspection - complete status	As an Inspector	I want to mark an inspection report complete with a start and end date	...so that if can be finalized or sent for review as required	Reuse Pipeline Safety Inspection functionality
23	Inspection module comments	As an Inspector	I want to update the comments for each question in a module	...so that I can refine the verbiage with complete sentences	Reuse Pipeline Safety Inspection functionality

				and supported findings	
24	Picture review	As an Inspector	I want to review all photos	...so I can choose which photo will be attached to the final report as legal evidence	Reuse Pipeline Safety Inspection functionality
25	Attachment upload	As an Inspector	I want to upload any additional related documentation to the inspection record	...so that the inspection record has a complete file of all related content	Reuse Pipeline Safety Inspection functionality
26	Violation Findings	As an Inspector	I want to indicate my findings in terms of violations	...so that I can communicate possible violations as necessary	Reuse Pipeline Safety Inspection functionality
27	Inspection report notification	As an Inspector	I want to receive notification that an inspection report is complete and requires my review (team inspections)	...so I can review	Reuse Pipeline Safety Inspection Review functionality
28	Inspector Inspection comments	As an Inspector	I want to be able to provide comments on an inspection report that I have reviewed	...so that the inspector who owns that report and finalize the findings.	Reuse Pipeline Safety Inspection Review functionality
29	Inspection review save	As an Inspector	I want to save my progress in the review of an inspection report	...so that I can complete my review later	Reuse Pipeline Safety Inspection Review functionality
30	Inspection comments - sent	As an Inspector	I want to automatically relay my comments on an inspection I reviewed to others within the Safety Division	...so I can update and finalize the findings	Reuse Pipeline Safety Inspection Review functionality
31	Inspection comments - received	As an Inspector	I want to receive comments for any inspection report of mine that has been reviewed by the Safety Division	...so I can update and finalize the findings	Reuse Pipeline Safety Inspection Review functionality
32	Inspection Report update	As an Inspector	I want to finish any updates to my inspection report based on feedback	...so I can mark the findings as final	Reuse Pipeline Safety Inspection Review functionality
33	Final Inspection	As an Inspector	I want to automatically send an	...so I can maintain good communication	Automated email configured out of the

	report notification		email notification to the excavator once an inspection report is final	with excavators and stay in compliance	box
34	Inspection communication tracking	As an Inspector	I want to easily see all email notifications have been sent to an excavator regarding an inspection.	...so I can show a traceable notification of communications.	Activity tracking configured out of the box
35	Inspection report complete	As an Inspector	I want to automatically finalize an inspection report once it is marked complete if the findings are completed	...so that it can be sent to the excavator	Reuse Pipeline Safety Inspection functionality
36	Inspection notification incomplete	As an Inspector	I want to know if an excavator has not responded to a NOPV	...so I can follow up with the excavator and potentially issues a violation	A view or time-based email notification can be implemented
37	NOPV findings	As an Inspector	I want to be able to initiate a DRAFT NOPV process whenever the findings of an inspections are a probable violation finding status	...so that I can notify the excavator.	Reuse Pipeline Safety Compliance Action functionality
38	NOPV ready to review	As an Inspector	I want to be able to mark my DRAFT NOPV as "Ready for review"	...so that the Safety Director and my peers can review it	Reuse Pipeline Safety Compliance Action functionality
39	NOPV review	As an Inspector	I want to mark that I have reviewed and approve an NOPV for which I was the reviewer	...so that the inspector who owns that NOPV can finalize and send it to the appropriate entity.	Reuse Pipeline Safety Compliance Action functionality
40	NOPV final alert to deputy	As an Inspector	I want to automatically alert the director that my NOPV is finalized and sent	...so it can be sent	Automated email configured out of the box
41	NOPV excavator response	As an Inspector	I want to be able to see the response of an excavator to my NOPV	...so I can prepare for training, informal hearing or fine	A view or trigger-based email notification can be implemented
42	Inspection history detail	As an Inspector	I want to be able to reveal all the details for an inspection	...so I can prepare for training, informal hearing or fine	Reuse Pipeline Safety Inspection functionality

			including pictures not selected for inclusion in the report		
43	NOV - ready to send	As an Inspector	I want to mark an NOV as "Ready to Send"	...so that the I will receive a notification to send	Reuse Pipeline Safety Compliance Action functionality
44	Informal Conference for NOPV	As an Inspector	I want to mark an Informal Conference notice of NOPV as "Ready to send"	...so I can prepare for informal hearing or fine	Reuse Pipeline Safety Compliance Action functionality
45	Monthly Report of Violations	As an Inspector	I want the system to automatically generate a monthly report according to PUC 807.01	...so I can prepare for informal hearing or fine	New scheduled report
46	Nov - ready to send	As an Inspector	I want to mark an NOV as "Ready to send"	...so that the I will receive a notification to send	Reuse Pipeline Safety Compliance Action functionality
47	Create 2 types of Inspections 1) scheduled Random 2) After an Incident	As an Inspector	Create Inspection with Guidance/Rule Reference/Findings/Attachments of Evidence, Notes and Remarks	Have consistent data that requires to be all fields to be completed with messaging pops up of incomplete field	Reuse Pipeline Safety Inspection functionality
48	System to input onto schedule safety calendar Informal Conference	As an Enforcer	Coordinate with existing calendar scheduled informal conferences including Excavator, Utility and Case Description Parameters	It allows increase awareness in group calendar.	New functionality for UGDPP to be defined
49	System to input onto schedule safety calendar Training Scheduled	As an Enforcer	Coordinate with existing calendar scheduled informal conferences including Excavator, Violation Type, Case Description Parameters	It allows increase awareness in group calendar.	Extend Pipeline Safety functionality
50	Develop a system that allows certified mail return	As an Enforcer	Take physical from Postal system and keep image of them and basic data (perhaps align bar	It allows increase awareness in group calendar.	Reuse Pipeline Safety Compliance Action functionality

	cards to be attachments in the database		coding of certified mail		
51	Electronically capture signature of attendees at Informal Conferences and Trainings	As an Enforcer	Utilize an out of box application for signature fields	Eliminate paper copies so that all documents can be retrieved electronically	New functionality for UGDPP to be defined
52	Develop digsafe statistics for Non Gas	As a Grant Administrator	Migrate 5 to 10 years of data to keep trending of metrics	Keep existing history to be used for civil penalty considerations and dashboards	PUC personnel will perform any required data entry, and DoIT will provide cleansed and formatted raw data for ingestion as appropriate.
53	New Report of Excavators with No Damages Violations	As a Grant Administrator	Develop New Report to Post to Website	Post Positive Stories as well as Damages/Violations	New report / extract specific to UGDPP
54	Export Findings and Match to CGA National Database	As a Grant Administrator	Develop New Routine to Post to CGA National Database DIRT	match Findings and Cause to DIRT Findings and Causes and export	Data extract to be provided to DoIT

Assumptions:

Spruce's fixed price estimate for the services described above are based on the following assumptions:

- All technical environments, team access, facilities, on/off site work expectations, and other general project conditions will be substantially the same as for the Pipeline Safety phase.
- The State assumes responsibility for all data cleansing and formatting for legacy data migration. Manual data entry is not in scope for Spruce in this engagement, and any data to be ingested by the Spruce team will be provided in a format to be determined by Spruce. A timeline specific to any required PUC data entry will be established during the planning process.
- Integration with external systems will be facilitated by the State. Spruce expects either standard web services or regular data extracts in a standard format (either via FTP or other mutually agreed mechanism) to be provided by external systems.



- Spruce assumes that all reusable components from the Pipeline Safety module will be acceptable for UGDPP functionality, except as legal requirements necessitate a change.
- The State will purchase any electronic signature solution or service required for this project. The Spruce team will integrate the Damage Prevention solution with the State selected package.
- The timeline indicated herein represents a worst case scenario for delivery. Spruce expects that PUC will help accelerate that timeline wherever possible. An updated timeline will be provided in the Project Charter, and updated after the Analysis phase.
- The PUC Safety team will work with Spruce to establish a timeline for project delivery that accommodates the Agency's needs for legacy data entry, and affords sufficient flexibility for Spruce resources working on and off site.

Investment Summary:

As accepted by the State in contract award referenced DoIT No. 2018-078, the following GSA based rates govern the fixed price services provided by Spruce (Please Note: Spruce is foregoing its FY2019 hourly rate increase to ensure best pricing for this phase):

Pricing According to Approved FY2018 Rates

Role	Estimated Hours	Hourly Rate	Total Price
Delivery Lead	260	\$130.00	\$33,800.00
Technical Lead	80	\$140.00	\$11,200.00
Developer	320	\$120.00	\$38,400.00
QA Analyst	220	\$87.30	\$19,206.00
Total (USD)			\$102,606.00*



*In recognition of our partnership and the PUC Safety Division's agreement to work with Spruce to optimize scheduling, Spruce agrees to provide Delivery Lead services free of charge for this engagement. Additional effort required by the Delivery Lead due to additions to scope, or other project adjustments will be handled according to a standard change management process, and costs will be estimated based on the full hourly rates above.

Final Fixed Price Commitment:	\$68,806.00
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The above fixed price amount will be billed to the Agency according to the following milestones:

- PUC Approval of the Project Charter: \$35,710.00
- Delivery of Sprint 3 – Sprint Reveal: \$16,290.00
- Final PUC Signoff Following Production Release: \$16,806.00

The undersigned have read, understood, and agreed to the terms and conditions herein:

Spruce Technology, Inc.

NH Public Utilities Commission

By: James Mahoney
Title: EVP, Professional Services
Date: 10/08/2018

By:
Title:
Date: