Division of Housing and Community Renewal (DHCR) Rent Regulation System Modernization (RRSM)
Request for Quote (RFQ) # 221110
Attachment 1a - Requirements Matrix

ID	Requirement Text	Notes	Classification	Capability
B01	The solution must increase the proportion of case files that are entirely accessible via DHCR systems.		Business	Business
B02	The solution must decrease total case processing time of every case type.		Business	Business
B03	The solution must decrease total response time for all inquiries and activities.		Business	Business
B04	The solution must decrease the number of calculation errors.		Business	Business
B05	The solution must decrease the number of forms that are submitted with errors and missing information.		Business	Business
F01	Changes to an inventory asset must be recorded in an audit log, and the "last updated" attribute must be updated to the current date any time an edit is made.	Note: Refers to internal and external users making edits.	Functional	Global System
F02	NYS administrator must be able to specify create, read, edit, and delete permissions for inventory assets according to user permissions, business rules, and workflows.	Note: Permissions for inventory assets are complex and multidimensional. A user may be permitted to carry out a function for one asset, but not permitted to carry out the same function for another asset. E.g., - A DHCR user may be permitted to create apartments for one building, but not another. - Permission to delete buildings must be highly restricted. - A DHCR user may be permitted to edit inventory asset data for one asset but not another. - DHCR users can edit registration data.	Functional	Global System
F03	NYS administrators must be able to create, design, modify, and delete webform templates.	Note: Overarching requirement that applies to cases, screens, internal and External Portal, etc. E.g., Templates include but not limited to: - Complaints - Applications - Registrations - Correspondence - Reports There are 77+ different case types, each with up to 100 attributes. E.g., Case attributes include but not limited to: - Docket number - Case type - Building ID - Apartment Number - Names of Tenants - Names of Owners	Functional	Global System
F04	NYS administrators must be able to create, design, modify, and delete webforms that have different display rules depending on the permissions.	E.g., - External user may view case screen for case type "RN" and see fields A, B, C, & D, while an internal user may view the case screen for case type "RN" and see fields A, B, C, D, E, & F. - Internal users may need to see an "HCR notes field" on a case, but external users must not see the "DHCR notes field".	Functional	Global System
F05	The solution must display instructions to a user when submitting supporting documents.	E.g., - Please upload more detailed statement of your question(s) or objection(s), with copies of any supporting documents.	Functional	Global System
F06	A NYS administrator must be able to specify if a webform requires a signature.	Note: "Signature" can be electronic, or simply a stamp of the name of the filer in the audit file.	Functional	Global System
F07	The solution must support e-signature functionality.	E.g., Include but not limited to: - Capture of signature - Templates (i.e., signatures, documents) - Archiving - Workflow automation processes (i.e., submission, approval, confirmation) - Custom branding options - Audit trails - Mobile application support	Functional	Global System
F08	The solution must allow the external user the ability to edit, add, delete information in applicable forms according to permissions and business rules.		Functional	Global System
F09	NYS administrators must be able to create lists of options that must appear on a webform, from which the user may select a single option or multiple options.	E.g., - a list of multiple "marital statuses" are displayed and the tenant may select only one. - a list of multiple "reasons for complaint" are displayed and the tenant may select more than one. - a list of major capital improvements are displayed and the user may select more than one. - Registration reasons: - - Section 421-a (1-15) - - Section 421-a (16) - - Sec 11-243 or 11-244 (J-51) - - Article 11 of PHFL - - Article 14 & 15 of PHFL - - Section 608 of PHFL - - New to ETPA - - Regulatory Agreement - - Mitchell Lama - - Other	Functional	Global System
F10	NYS administrators must be able to specify which elements (i.e., fields, questions, text, pick lists, mandatory attachments, etc.) display on a webform dynamically on how the user answers prior questions.	E.g., If the user selects option A, then question X must appear. If the user selects option B, then question Y must appear.	Functional	Global System
F11	NYS administrators must be able to specify which elements require validation rules, and what those validation rules must be.	E.g., - Date field must be in a given format. - Dollar amount field must be only numbers or currency. - Address field must follow USPS guidelines. - Field may have a character limit.	Functional	Global System
F12	NYS administrators must be able to add read-only text to a webform.	E.g., - Form instructions. - Links to statutes, regulations, or websites. - Affirmation text like ""I agree that all information … "	Functional	Global System
F13	NYS administrators must be able to add in-app help tips.	E.g., - Tool tips - Hover text - Helper fill in text boxes	Functional	Global System
F14	NYS administrators must be able to give each webform a title.		Functional	Global System
F15	NYS administrators must be able to specify which elements displayed on a webform are mandatory and which are optional, and under what conditions.	E.g., - Field A is optional, but if Field B = true, then Field A is mandatory. - If the user selects "Owner has failed to provide services" then, the field "Date of mailing notice" is mandatory."	Functional	Global System
F16	NYS administrators must be able to create text entry, look-up, and combo box fields on a webform.		Functional	Global System
F17	NYS administrators must be able to specify webforms that can accept uploaded files and which webforms require uploaded files to submit.	E.g., Include but not limited to: - pdf - rtf - doc - xls - jpeg - gif - txt - sdf - png	Functional	Global System

F18	NYS administrators must be able to specify which elements auto-populate with data from other fields, and under what conditions and according to business rules.	E.g., - A tenant name field must auto-populate with the name of the current user, if they are a tenant. - Date must auto-populate with the closing date specified on a related form. - Managing Agent details. - Building owner information. - Lease Term: Lease Start and End Dates. - Building ID(s) of the Building(s) associated. - Apartment ID(s)/Designation(s) of the Apartment(s) associated.	Functional	Global System
F19	NYS administrators must be able to design webforms that access one or more assets (buildings, unit, apartments, etc.) in the inventory.		Functional	Global System
F20	Uploaded files must have a "type" attribute, selected from a list of options specified by a NYS administrator where each list is unique to the form.	Note: Form designer must be able to require meta-data for uploaded documents. Reference Case Management F80 and Global System F40.	Functional	Global System
F21	The solution must automatically determine and assign the Building Location Type according to the building's location.	E.g., - Building located in New York City, the system must assign and display the building type as MDR. - Building located outside of New York City, the system must assign and display the building type as ETPA. - Registration/inventory related or overcharge cases	Functional	Global System
F22	NYS administrators must be able to specify default values for some fields.		Functional	Global System
F23	A NYS administrator must be able to specify if a webform can include an additional party according to business rules.	Note: Registration, Overcharge, and Service Complaint need this functionality. Additional parties may come in on two applications and the parties may need to be verified. E.g., - An owners representative may submit a form, and include the owner as a co-filer/additional party. - A lawyer may submit a complaint, and include dozens of tenants as co-filers/additional parties.	Functional	Global System
F24	The solution must provide instructions and user feedback such as informational and error messages.	E.g., - Filing Instructions: Owner must list all information as it appears on the Notice Form RN-26, RN-26s or RN-26s.1 that is served upon each controlled tenant in the subject building and file this application with DHCR within 30 days of such service. Failure to file may result in revocation of the increase. - Informational: This field is mandatory. - Error message: The selected Case <Docket No.> cannot be unassociated. The Case must be associated with at least one Apartment.	Functional	Global System
F25	A NYS administrator must be able to add sections on a form to record specific details.	E.g., MCI building information include but not limited to: - Number of regulated Apts - Total number of Apts - Historical/landmark Co-op/condo information Include but not limited to: - Offering Plan effective date - Sponsor paid for improvements Commercial tenant information Include but not limited to: - Total floor area Improvement information Tenant/apartment information Include but not limited to: - List of tenants - Number of windows - Apt status	Functional	Global System
F26	The solution must provide internal users the ability to create activities or tasks, assign them to a user, assign due dates, assign status, view activities in a calendar, and configure reminder notifications, if desired.		Functional	Global System
F27	The solution must allow NYS administrators and ITS the ability to configure and maintain the system.	E.g., - Manage users, data, and security - Maintain and customize applications - Build workflows - Build reports and dashboards Reference ID Management F112, Correspondence Management F157, Internal Portal F131, and Global System F26.	Functional	Global System
F28	The solution must automate approvals for each step of the approval process.	E.g., Include but not limited to: - Supervisor approval - Documentation approval - Correspondence and Template approval - Application approval - Registration approval - Case status approval	Functional	Global System
F29	The solution must require that certain fields are mandatory.	E.g., - Case Type - Filer Name - Filer Contact number or email - Date Filed and Created - Associated Building and/or Apartment - Owner(s) Name - Tenant(s) Name	Functional	Global System
F30	The solution must allow internal users to send correspondence according to external user preferences.	E.g., - Email - Text - Postal service	Functional	Global System
F31	The solution must send correspondence via trigger, workflow, manually, or scheduled, according to the case type, status, and/or business process.	Note: Trigger, workflow, and scheduled are managed by NYS administrators. E.g., - Trigger/Workflow: DHCR updates the case status and a notification is sent to the tenant advising them of the change - Manually: DHCR user retrieves a template and customizes it according to the situation and sends it. - Scheduled: DHCR sent an email to the tenant and the email has not been opened therefore after X many days the system sends another notification according to the response due date. E.g., Correspondence includes but not limited to: - Text (SMS) is a notification to view information in the user portal. - Fact sheets - Initial letters - Orders - Email	Functional	Global System
F32	The solution must store contact details.	E.g., Include but not limited to: - Name - Address - Title - Role - Agency - Email - Phone - Business - Contact type	Functional	Global System
F33	The solution must provide the ability to automatically or manually identify the contact type.	E.g., Include but not limited to: - Internal - External - Agency	Functional	Global System
F34	The solution must provide the ability to automatically or manually assign the contact's role according to business rules.	E.g., Include but not limited to: - Tenant - Owner - Representative - DHCR	Functional	Global System

F35	The solution must provide a parent-child relationship for contacts.	E.g., - Law firm = attorneys - Owner = tenants	Functional	Global System
F36	The solution must provide an overview of a contact's system interactions (current and historical) according to permissions and business rules.	Note: Additionally, have the ability search, filter, and sort. E.g., Include but not limited to: - Cases - Registration	Functional	Global System
F37	The solution must provide internal users the ability to manually update contact details according to permissions and business rules.		Functional	Global System
F38	The solution must provide the ability to bulk upload data.	E.g., - Internal contacts - Daily Annual Registration data	Functional	Global System
F39	The solution must support specified types of documentation uploads of a size to be determined by the agency.	Note: If a user violates the size rule or documentation type, the solution must provide appropriate user feedback. Also, mb size may need to be increased in the future. E.g., - MS Word or similar documents - MS Excel or similar spreadsheets - PDF - PNG or similar image files	Functional	Global System
F40	The solution must require document details when uploading documentation.	Note: Document type must be identified for upload as well as details recorded. E.g., Document types include but not limited to: - Application - Evidence - Extension Request - Withdrawal Request - Hold Request - Internal Document (only available/visible to internal users) - Other. Upon the selection of Other a free form text field appears for additional information E.g., Document details include but not limited to: - Name of document - Type of document - Date/Time Uploaded - Name of User who uploaded the document - User type (E.g., tenant, owner, DHCR, etc.) - Association to a request or response Reference Correspondence Management F160.	Functional	Global System
F41	The solution must run a virus scan on all documents identified for upload.	Note: Provide appropriate user feedback.	Functional	Global System
F42	The solution must provide defined data field types which may have mandatory indicators and/or validation rules.	E.g., Data field types to include but not limited to: - Date - Date and Time - Free form text - Picklist - Multi picklist - Reference / Look up - Radial Button - Toggle - Checkbox - Currency - Location - Percent - URL E.g., Validation to include but not limited to: - Phone number - Email address - Address types - Date - Numerical - State	Functional	Global System
F43	The solution must automate standard internal procedures and processes according to business rule logic.	Note: Applies to cases, record requests, registration, inventory, correspondence, contacts, etc. Automation may include but not limited to: Time-based Invoked Field Updates Correspondence / Notifications Status Actions Events / Tasks Requests May include if/then statements to Multiple if/then statements, to complex branching logic. E.g., - When a case is assigned the internal user is sent an email notification of assignment. - If the case status is open and after fourteen days from the initial email the user has not logged in to update the case, and the user has provided a mobile phone number, the system must send a follow-up text message. - When the case record is updated to reflect that all documentation has been received or when the response time has elapsed, move the case from Pending Response status to Pending Assignment and send an email notification to the assignee. - Auto Inspection must trigger 14 calendar days after the response period has passed (20 +14 =34 days) or (60 +14 = 74 days).	Functional	Global System
F44	The solution must apply an identifier(s) to specified documents according to business rules.	E.g., - Watermark - Date and timestamp - Certification (i.e., Public Records, uploaded documentation)	Functional	Global System
F45	The solution must allow internal users to scan, sort, filter, view, search (i.e., cases, orders, requests, applications), and store content according to permissions and business rules.	Note: Current ECM is Content Server (legacy documentation storage solution). The Vendor may provide recommendations for a new content management solution but must integrate with Content Server for legacy documentation search and retrieval. Additionally, there are numerous requirements that reference searching, sorting, and filtering across the various capabilities. Reference Internal Portal F127, F129, F131, F132, F135, F37, and External Portal F138, F140, F146.	Functional	Global System
F46	The solution must have the ability to manually enter data in the system.	E.g., Inquires include but not limited to: - Face-to-face - Phone call - Email - Drop off interactions	Functional	Global System
F47	The solution must require external users the ability to submit a registration electronically.		Functional	Registration Management
F48	The solution must allow users the ability to create and update registration data manually or automatically according to permissions, business rules, and workflows.	E.g., - Someone dropped-off, phoned in or emailed something that requires DHCR to create, review and approval or - A submitted registration must flow into the system automatically.	Functional	Registration Management
F49	The solution must allow owners of Coop and Condo buildings to register at the apartment level.		Functional	Registration Management
F50	The solution must allow internal users to indicate if a registration submission or record needs to be shared and with which agency, if applicable.		Functional	Registration Management
F51	The solution must allow specific external HPD users a read-only view of shared registration information DHCR has provided, according to permissions, business rules, and workflows.		Functional	Registration Management

F52	When a registration is submitted, the solution must associate registrations with buildings and apartments already in the solution, if applicable.	E.g., - If an owner is submitting a 2023 registration for 100 Broadway, this 2023 registration must be associated with the existing 100 Broadway that was already registered for prior years. - If AKA or apartment number is not in system there needs to be another verification process.	Functional	Registration Management
F53	The solution must allow registration statuses to be automatically and manually assigned, according to business rules and workflows.		Functional	Registration Management
F54	The solution must allow internal users the ability to view potential registration submission duplicates in batch, merge when duplicates are found, and mark identified as not a duplicate.		Functional	Registration Management
F55	The solution must allow external users the ability to start and save a registration submission for a single building for a specific year, but cannot allow a registration submission for the same year and same building while another is under review by DHCR.	Note: Submission needs to be reviewed by DHCR.	Functional	Registration Management
F56	The solution must provide the ability to identify a secondary registration type.	E.g., - Annual - Amended - Add-On Amendment - Add-On registrations	Functional	Registration Management
F57	The solution must not allow a secondary registration until the Initial Registration is approved.		Functional	Registration Management
F58	The solution must provide internal and external users the ability to view and edit registration details according to permissions, business rules, and workflows.	Reference External Portal F138, F141, F148, and Registration Management F48.	Functional	Registration Management
F59	The solution must allow authenticated new building owners or managing agents to view previous registration records submitted by prior owner or agent(s).		Functional	Registration Management
F60	The solution must allow internal users to lock or unlock registration submissions according to permissions, business rules, and workflows.	Note: When requesting additional information, the system must allow internal users to indicate if they want to send the registration submission back to the submitter to edit or keep it locked from the submitter editing. However, the external user may view their submission even if locked.	Functional	Registration Management
F61	The solution must log users and information entered on the registration record.		Functional	Registration Management
F62	The solution must allow access to instructions and FAQs as well as the ability for owners to request help during the registration process.	Note: If helpful information cannot be captured in the request, the current procedure for owners to request assistance is email. Consider dynamic help requests that prepopulate field data to mitigate incomplete information.	Functional	Registration Management
F63	The solution must assign a unique confirmation number to registration applications and/or associated submissions.	E.g., The system must generate a Unique Confirmation Number for each successfully submitted Individual Apartment Improvement form. Note: Confirmation number must be provided to submitter via user feedback and/or confirmation correspondence. Additionally, the confirmation number must be searchable in the system.	Functional	Registration Management
F64	Cases must display or include links to related case materials.	E.g., - if the case originated from another case, link to the original. - if the case had an order or notice issued, display or link to it. - a PAR Case is directly associated to the Case for which it is a request for a review. - an Owner Restoration Case that is directly related to the Decreased Service Case.	Functional	Case Management
F65	The solution must assign cases manually, automatically, in bulk or individually.	Note: Individual and bulk assignment applies to supervisors and internal users with the appropriate permissions. Assignments may be allocated by workflow or triggers.	Functional	Case Management
F66	The solution must allow supervisors the ability to view all cases assigned/unassigned and assign/reassign cases to internal users or queues ensuring that permissions and business rules are applied.	Note: The case layout must provide a field that records the assignee's name or agreed upon information that must be displayed.	Functional	Case Management
F67	The solution must provide a viewable field that identifies the internal user assigned to the case.	Note: DHCR supervisors and internal users may reference the internal case assignment while external users may not view that field. Permissions and business rules apply.	Functional	Case Management
F68	The solution must allow internal users to assign and unassign attributes to a case, according to business rules and workflows.	E.g., include but not limited to: - Priority - Status - Hold reasons - Supervisor review	Functional	Case Management
F69	The solution must allow status and sub-status assignments to be automatically and manually applied.	Note: Certain statuses must prevent external users from updating a case, such as Hold or Closed, while Reopen may be manually evoked according to permissions. E.g., Status may include but not limited to: - Incomplete draft - Open - Initial Response - Awaiting Assignment - Hearing requested - Awaiting Response - Transfer - Processing - Hold - Article 78 - Hold - FOIL - Hold - PAR - Determination review - Closed (closed sub statuses to further qualify) E.g., Sub status include but not limited to: - Withdrawal - Extension - Expedite - Inspection	Functional	Case Management
F70	The solution must allow internal users the ability to view potential case duplicates in batch, merge cases when duplicates are found, and mark identified cases as not a duplicate.	Note: One case selected as the 'master' or 'source of truth', and the others are merged or voided. All related lists, contacts, etc., are added to the 'master'.	Functional	Case Management
F71	The solution must provide internal and external users the ability to view case details and edit according to permissions, business rules, and workflows.	Reference Internal Portal F127.	Functional	Case Management
F72	The solution must allow the ability to create a case manually or electronically, according to business rules and workflows.	Note: Internal users, according to permissions, must have the ability to create cases manually. E.g., - Logging walk-in - Phone - Drop-off - Emails into the solution	Functional	Case Management
F73	The solution must provide a decision section on the case page.		Functional	Case Management
F74	When the case status is closed, the solution must not allow for editing until a user reopens the case, according to permissions and business rules.	Note: A case may be reopened without a related case. E.g., - Amend the order	Functional	Case Management
F75	The solution must provide a duplicate matching algorithm during case creation to identify potential duplicates for internal user review and the ability to mark those identified cases as not a duplicate.	Note: The predefined matching criteria determines how closely a field on a new or edited record matches the same field on an existing record. Duplicate instance of a case marked as not a dup must not be displayed in future algorithm search results. Best practice is the comparison of unique fields such as email address, telephone number, address, name, DOB, SSN, birthdate, etc. Fuzzy matching/fuzzy logic such as comparing Ed vs Edward vs Eddie must be enabled.	Functional	Case Management
F76	The solution must provide the ability to create and organize cases into a defined hierarchy.	Note: There are currently 77 case types, some with subtypes. Access to case types may be according to permissions.	Functional	Case Management
F77	The solution must create system initiated or user-initiated correspondence according to templates, populate merge fields with case details, and send according to business rules and workflows.	Note: Correspondence may be sent internally or externally according to case type, case status, case triggers, etc. Business rules dictate whether internal users may need to prevent an automated response from being sent. E.g., - Reminder after x# days. - Acknowledgement email upon receipt. - Case information updates. - Alert to user that an order is being issued for a case.	Functional	Case Management

F78	The solution must allow the internal user to send case-related correspondence to multiple contacts related to the case, according to business rules and workflows.	Note: Some correspondence (i.e., Request for Additional Information Order) require an approval process. Then upon approval the order is sent to the appropriate contacts such as the Owner, Tenant, Parties associated, or Government agencies. E.g., - Dismissal/rejection letter order - Administrative Determination order - Closing Memo	Functional	Case Management
F79	All correspondence referencing a case must contain the case link or URL to allow the external or external user to open and reference the case.	Note: Access to a case is according to permissions and business rules. E.g., - Notifications - Orders	Functional	Case Management
F80	The solution must include a documentation section on the case record which provides upload capability, the document's meta-data, and the ability to view uploaded documents according to permissions and business rules.	Note: Specifically, not allow external users access to document types categorized as internal or Other. Provide an option for internal users to manually indicate if a document may or may not be viewed by external users. E.g., meta-data include but not limited to: - Name - Type - Date/Time Uploaded - Name of User who uploaded the document - User type - Association to a request, response, or activity	Functional	Case Management
F81	The solution must provide internal users with one place to view at a glance all their assigned cases and related activities and tasks.	E.g., - Assigned cases - Assigned activities/tasks - Overdue Activities w/assignee's name (supervisor) - Approvals (supervisor)	Functional	Case Management
F82	The solution must autogenerate and display a unique identifier for every case created, according to business rules and workflows.	Note: Unique Case number consists of the following: - Case type code - Two-digit year of filing date - Dash - Two-digit month of filing date - Dash - Five-digit sequential number [reset on the first day of each month] E.g., Unique case number would be AV22-03-00001 according to note above. Breakdown listed below: Case Type Code = AV (Administrative Violation) Year = 22 Month = 03 (March) Sequential number = 00001	Functional	Case Management
F83	The solution must allow internal users to execute a case search across the system on searchable fields, view search results, and then open relevant records from the search results list.	Note: Permissions, and business rules apply to access. E.g., Searchable fields may include but are not limited to data collected during application submittal or case processing such as: - Building ID - Docket Number - Case Number - SJR - R2 / R3 - Source - Case Parties - Assigned To - Status - Address	Functional	Case Management
F84	The solution must provide segmented information on the case layout page with links to view related information as required.	Note: Case type specific segments must be identified. E.g., Segments include but are not limited to: - Core case details: name, case status, assignee, submitter - History: list of changes on the case record - Notes: any pertinent information for future reference (internal/external) - Documents: uploaded documentation - Related and Associated cases: Case info and links to related case - System information: created date, last modified date, created by, last modified by	Functional	Case Management
F85	The solution must provide NYS administrators the ability to create, edit, and delete case record hierarchies according to governance processes and SDLC.		Functional	Case Management
F86	The solution must provide notifications to internal users of events in a related case or an associated case.	E.g., - The services unit may issue an order finding that services are sufficient, which could help decide how I proceed in my harassment case. - Having a notification sent to an internal user who is not working on the decrease in services case but a related case would be extremely useful.	Functional	Case Management
F87	The solution must store check numbers that are associated to records and run a deduplication algorithm to identify if the check is a duplicate. If a duplicate, a notation and flag (indicator) is posted to the record with the corresponding case/docket number.	Note: Applicable to only certain case types.	Functional	Case Management
F88	The solution database must hold millions of inventory assets (e.g., buildings, apartments, complexes, etc.) each of which can have hundreds of attributes.	E.g., Attributes include but not limited to: - Address types, including as-known-as (AKA) - Registered rent - Equipment/services included in rent - Block and Lot - Owner - Managing agent - Number of apartments - Tenant name	Functional	Inventory Management
F89	Some inventory attribute fields may include multiple values.	Note: Some fields may need to hold multiple values. E.g., - Range of addresses for a large building or complex or AKA - Block and lot - County - City - Zip	Functional	Inventory Management
F90	Each inventory asset may have many uploaded files.	E.g., - Building may have associated documents that must be scanned and uploaded which may include photos.	Functional	Inventory Management
F91	Wherever possible, inventory attribute format must be validated using third-party data standards.	E.g., - Addresses must be validated to adhere to USPS or Pitney Bowes formats. - Buildings in NYC must be validated to adhere to HPD MDR number formats, and to ensure the number is valid for the address entered. Reference Interoperability F183 and Solution Design S51.	Functional	Inventory Management
F92	The solution must accommodate at least 10 different types of inventory asset.	E.g., Inventory assets include but not limited to: - Building - Unit - Complex - Condo - Co-op - Apartment - Hotel - Single room occupancy (SRO) - Loft - Rooming houses	Functional	Inventory Management

F93	Inventory assets have parent-child dependencies and some may have several dependencies.	E.g., - An apartment cannot exist without a building on file but a building can exist without apartments on file. - A building may have multiple apartments. - A complex may have many buildings.	Functional	Inventory Management
F94	Each inventory asset may be linked to many tenants, owners, or delegated representatives.	E.g., - Single building (not a coop/condo) may have multiple owners. - Apartment may have multiple tenants. - Multiple delegated representatives may be authorized to a single building. -Multiple tenants or landlords simultaneously, or over several years. Note – some cases take 3+ years and tenants/landlords can move during a case.	Functional	Inventory Management
F95	Each inventory asset must have designated points of contact for notifications and correspondence.	Note: This must always be the most recent tenants and owners according to permissions and business rules.	Functional	Inventory Management
F96	Authorized DHCR users must be able to edit and delete inventory assets according to permissions, business rules, and workflows.	Note: Only authorized DHCR users can edit inventory assets. Different DHCR users may have different permissions to edit and delete inventory assets, and these permissions must be set at the role level by a NYS administrator . Editing and deleting functions may be constrained by business rules or by workflows. External users can request certain edits, but cannot performs edits themselves Reference Internal Portal F131 and External Portal F144.	Functional	Inventory Management
F97	The solution must have the ability to allocate/re-allocate inventory assets individually and in bulk from one parent asset to another.	E.g., - Series of apartments are initially registered to one building address, but the building is later split. - Large building has adjusted its street address from 123 Main St. to 111 Main St. and now a DHCR staff member needs to change the street address for a large number of apartments. - Subdivide, merge, combine, move apartments. - Merge or subdivide buildings. - Co-op/Condo transition to convert or dissolve.	Functional	Inventory Management
F98	Each inventory asset must have a systematic "activity history" which users can search and view according to permissions and business rules established by a NYS administrator.	E.g., Activities in history but not limited to: - Prior year registrations, amendments, or add-ons. - Edits and changes to building attributes. - Record of cases (e.g. complaints, or MCI applications). - Digital copies of orders or notices. - Reason for creation (e.g. create via subdivide). - Phone call manually entered.	Functional	Inventory Management
F99	Each activity in an inventory asset's history must have meta-data.	E.g., Meta-data include but not limited to: - Transaction date - Effective date - Changed by	Functional	Inventory Management
F100	The list of activities in an inventory asset's history must be sortable, filterable, and searchable.	E.g., - Search for activities within a date range. - Filter for only registration activity. - Sort by effective date or transaction date.	Functional	Inventory Management
F101	Authorized users must be able to register an inventory asset according to permissions and business rules established by a NYS administrator.	E.g., registration types: - Initial - Annual - Amendment - Add-on	Functional	Inventory Management
F102	The solution must prevent the creation of duplicate inventory assets.	E.g., - Owner is registering a building they think is new, but the "new" asset matches one already on file.	Functional	Inventory Management
F103	The submitted online registration may not be altered/edited.	Note: This requirement is to preserve data integrity. If a change is needed, an amended registration record must submitted.	Functional	Inventory Management
F104	The solution must allow authorized users to save a draft registration for completion at a later date.		Functional	Inventory Management
F105	The solution must allow authorized users to submit registration amendments for one or more inventory assets.		Functional	Inventory Management
F106	Only users with IAL2 can be listed as building owners.		Functional	Inventory Management
F107	The solution must issue and manage trusted identity credentials in accordance with the NYS-P20-001 policy.	Digital Identity Policy | New York State Office of Information Technology Services (ny.gov)	Functional	ID Management
F108	The solution must maintain and protect digital identities in accordance with the NYS-S20-001 standard.	Digital Identity Standard | New York State Office of Information Technology Services (ny.gov)	Functional	ID Management
F109	DHCR system administrators must be able to create, assign, and modify roles for internal and external users.	Note: DHCR system administrator must be business users with the highest level of configuration permissions. They likely will require a high level of support and training from the Vendor until they are able to manage on their own. Consider future records access between units. Current process is request file, approval process, then delivery of paper files. In the future, documentation will be digitally stored. How can this process be accommodated via permission sets and/or automation? E.g., - Deauthorize/deprovision account - Reset identifications and verifications - Recertification	Functional	ID Management
F110	External users must be able to have delegated representatives to act on their behalf.	Note: External users may initiate the process by appointing a representative. Delegates may also initiate the process by claiming representation of a given tenant, owner, or group of tenants or owners.	Functional	ID Management
F111	Internal users must be able to access the solution in accordance with their permissions.	Note: NYS administrator must establish permissions according to a combination of the internal user's business unit(s) and role(s). Includes: TPU, ORA, OLA, and others within DHCR.	Functional	ID Management
F112	DHCR system administrators must be able to configure user roles and permissions.		Functional	ID Management
F113	Owners must be able to assign and modify their delegate's permissions.	Note: Each delegate may have a different set of permissions.	Functional	ID Management
F114	Delegated representatives must have a single complete profile.	Note: Delegates may be authorized to perform actions on behalf of multiple external users (tenants, owners) but they must have a single profile in the system.	Functional	ID Management
F115	Tenants must be able to assign and modify their delegate's permissions.	Note: Each delegate may have a different set of permissions.	Functional	ID Management
F116	DHCR system administrators must be able to suspend all permissions for a given user.		Functional	ID Management
F117	DHCR system administrators must be able to deprovision old accounts.		Functional	ID Management
F118	External users who are tenants, must complete a profile.		Functional	ID Management
F119	Unauthenticated external users must be authorized to perform a given set of transactions	Note: There are currently four online applications that do not require authentication to submit: 1. Case Status Inquiry https://apps.hcr.ny.gov/casestatus/default.aspx 2. Rent Regulated Building Search https://apps.hcr.ny.gov/BuildingSearch/) 3. Maximum Base Rent Master Building Rent Schedule https://apps.hcr.ny.gov/masterbuildingrentschedule/ 4. Owners Report of Vacancy Decontrol https://hcr.ny.gov/online-services-owners-and-managers#owner's-report-of-vacancy-decontrol NOTE: 1 and Two are commonly used by the general public. Three and four are only applicable to certain owners.	Functional	ID Management
F120	External users must be able to access the solution in accordance with their permissions.	Note: External users must include (at a minimum): Tenant, Tenant's representative, Owner, Owner's representative, other government agencies (i.e., DOB, HPD, RGB).	Functional	ID Management
F121	External users who are owners, must complete a profile.		Functional	ID Management
F122	To achieve Identity Assurance Level 2 (IAL2), users must upload the necessary documentation in accordance with the NYS-S20-001 standard.	Note: There could be thousands of documents uploaded that need to be reviewed. The overall goal is to automate this process. Reference IT Policy: Digital Identity.	Functional	ID Management
F123	Users with IAL1 must be authorized to perform a given set of transactions		Functional	ID Management
F124	Users with IAL2 must be authorized to perform a given set of transactions		Functional	ID Management
F125	The solution must automate the identity management verification and assignment process.	Note: Must be compliant with NYS laws/statutes.	Functional	ID Management
F126	The Vendor must design and develop the appropriate security level and access permissions/restrictions for each role in the solution according to information obtained from business staff in accordance with the required security standards.		Functional	ID Management

F127	Authorized DHCR users are able to search for, sort, filter, and view cases according to permissions, business rules, and workflows.	Note: Includes cases that are active, closed, and pending. E.g., - If an "Article 78" is created, OLA users need full access to a closed case. Reference Case Management F71.	Functional	Internal Portal
F128	Authorized DHCR users must be able to search for, sort, filter, and view contacts, according to permissions, business rules, and workflows.	Note: HCR needs to maintain a list of contacts so that any staff person can find the appropriate person to help resolve a case. E.g., - HCR staff member needs to contact a building owner or superintendent. - HCR staff member needs to contact a staff member at the Department of Buildings.	Functional	Internal Portal
F129	Authorized DHCR users must be able to search for, sort, filter, view, and interact with their case related correspondence, according to permissions, business rules, and workflows.		Functional	Internal Portal
F130	Authorized DHCR users must be able to search for, sort, filter, and view inventory assets and all available data about these assets according to permissions, business rules, and workflows.	E.g., - User may want to specify the "type" they are searching for (building, apartment, complex, condo, etc.). Reference Inventory Management regarding editing and deleting inventory assets.	Functional	Internal Portal
F131	DHCR users must be able to configure, save, edit, and share views of data (inventory assets), and specify a default view.	Note: Views are a way to organize the display of a list of records (e.g., sort alphabetically by "address", filter by "type", and display column "owner"). Some users will choose to configure unique views that work for them. Some users will configure views that will be useful for their coworkers, and will want to share those views. E.g., - View of inventory according to registrations. - View of inventory attachments (such as Individual Apartment Improvements). - View of inventory history (such as apartment transactions or rent charged over time).	Functional	Internal Portal
F132	Authorized DHCR users must be able to search for, sort, filter, and view orders and notices according to permissions, business rules, and workflows.	Note: DHCR users must have the ability to search for orders by unique identifiers, date, related cases, inventory asset IDs, and other attributes. Orders and notices may also be linked to cases and must be viewable from those related records as well as those cases that are associated.	Functional	Internal Portal
F133	Authorized DHCR users must be able to access and use the Overcharge Calculator according to permissions, business rules, and workflows.	Note: The Overcharge Calculator may be the most complex function of the whole solution and the development of it is the top priority among the calculators. The business rules that govern the calculation of rent and overcharge are very detailed. The Overcharge Calculator's business rules must be updated to reflect any relevant changes in regulations throughout the project. Calculator may also be used without being attached to a case. The calculator must generate a chart and provide a breakdown which may be inserted into correspondence.	Functional	Internal Portal
F134	The Overcharge Calculator must compute the correct rent for a given inventory asset according to up to a hundred variables.	Note: Some of these variables are data points known from the inventory asset record. Other variables are data points from past cases, orders, notices, or other actions. DHCR will provide Vendors with a sample of the most complex calculations, and Vendors must demonstrate how their solutions will calculate the correct answer.	Functional	Internal Portal
F135	Authorized DHCR staff must be able to search for, sort, filter, and view all types of submissions, whether in progress or completed, made by external users, according to permissions, business rules, and workflows.	Note: Submissions from external users generally become "cases" but it can be useful to view the original submission too. There may be a business need to see draft submissions that are saved by external users, but not yet submitted. E.g., - A user calls or walks-in to a DHCR office and requests help completing their submission. - There is a "building-wide" submission in draft state, and DHCR would like to prepare. Reference Case Management F83.	Functional	Internal Portal
F136	The solution must display a "work queue" for DHCR staff that summarizes and enables access to all their assigned tasks.	Note: The work queue may contain different types of tasks depending on the user. E.g., - Jane's work queue may include cases, record requests, and correspondence. - Joe's work queue may include cases, and overcharge calculations. Reference Case Management F66.	Functional	Internal Portal
F137	Authorized DHCR staff must be able to search, sort, filter, view, and fulfill "records requests" made by external users, according to permissions, business rules, and workflows.	Note: Records requests are initiated by external users (i.e., tenants, owners, and their representatives). If the requested file is stored in Content Server, the system must provide Record Access staff the ability to upload the requested document into ROCT for the requester. E.g., - Viewing and fulfilling records requests to which the user is assigned. - Searching for old or lost records requests.	Functional	Internal Portal
F138	Authenticated external users can register, search for, sort, filter, and view their inventory assets (i.e., buildings, apartments, complexes, condos, etc.) according to permissions, business rules, and workflows.	Note: There are multiple kinds of registrations. Registrations must follow complex workflows and business rules. Viewing inventory assets must follow complex workflows and business rules. A user's set of inventory assets may be determined by a variety of factors, some of which are known now, and some of which will be discovered during implementation. The solution must be flexible enough to accommodate changes and extensions to these permissions throughout implementation and the operational period. E.g., - Any authenticated user can search for and view a list of apartments, even if they don't have permission to file a complaint. - A user may own the building. - A user may be a tenant in the apartment. - A user may be a delegated representative. - An owner who owned a building in the past, must be able to see their assets from that time period. - A tenant who lived in an apartment in the past, must be able to see their apartment from that time period.	Functional	External Portal
F139	Authenticated external users must be able to search for, view, sort, and filter their cases according to according to permissions and business rules.	Note: Search for cases using any attribute of the case such as docket number, building ID, address, etc. The set of cases to which an external user is authorized is a complex, and multidimensional mix of role, permissions, business rules, and workflows, some of which are understood now and some of which will be discovered during the course of implementation. E.g., - Some information on the cases is for DHCR eyes only. - Some information on the case cannot be modified by external users. - A user may have permission to view a case because they are a co-filer or otherwise named on it. - A user may have permission to view a case because they live in the same building, if it's a building wide case (like an MCI). - A user may have permission to view a case because they have been designated a representative for a specific case or for a specific user. - Users can view closed cases, but not make updates. - Only some users can update cases, and only if they are active.	Functional	External Portal

F140	Authenticated external users must be able to create, view, sort, and filter their in-system correspondence according to permissions, business rules, and workflows.	Note: Correspondence may be independent of any other entities in the system or it may be linked to: - Cases - General inquiry/rent info/public info - Submissions - Other elements Some correspondence from DHCR to the external user, requires response as defined in business rules and/or workflows.	Functional	External Portal
F141	External users must be able to edit or update active cases or registration according to permissions, business rules, and workflows.	Note: Includes uploading file attachments to cases excluding ones with a status of closed. E.g., Building/registration records	Functional	External Portal
F142	Authenticated external users must be able to view in-system activities conducted on their behalf by delegated representatives.	Note: We want to be solution agnostic here. But, to give more context, it could look like: - A dedicated set of notifications whenever a delegate conducts a transaction. - An audit log that can be searched, filtered, and sorted.	Functional	External Portal
F143	Authenticated external users must be able to print and download any and all documentation, forms, case summaries, orders, notices, correspondence, and other information to which they can view in the system.	E.g., Items that may need to be printed include but not limited to: - Individual Apartment Information - Building Wide Services - Registration Summary Form - Registration Rent Roll - Rent Registration Receipt - Registration Apartment Information	Functional	External Portal
F144	Authenticated external users can request edits to their inventory assets (buildings, apartments, complexes, condos, etc.) according to permissions, business rules, and workflows.	Note: Editing inventory assets must follow complex workflows and business rules. A user's set of inventory assets may be determined by a variety of factors, some of which are known now, and some of which will be discovered during implementation. The solution must be flexible enough to accommodate changes and extensions to these permissions throughout implementation and the operational period. E.g., - Any authenticated user can search for and view a list of apartments, even if they don't have permission to file a complaint. - A user may own the building. - A user may be a tenant in the apartment. - A user may be a delegated representative. Reference Inventory Management for details regarding the editing process. Reference Correspondence Management and Global Systems for details regarding notifications.	Functional	External Portal
F145	Authenticated external users must be able to view and update their profiles according to permissions, business rules, and workflows	E.g., - Upload a document to prove their identity. - Change their address because they moved.	Functional	External Portal
F146	Authenticated external users must be able to search for, view, sort, and filter all records (i.e., orders, notices, and responses from other parties) according to permissions, business rules, and workflows.		Functional	External Portal
F147	An authenticated external user must be able to initiate a submission while viewing an inventory asset according to permissions, business rules, and workflows.	Note: There are many kinds of submissions that are possible, depending on the user. E.g., - Owner viewing a building may want to submit a registration amendment. - Tenant viewing an apartment may want to submit a records request. - Tenant's delegate representative may want to file a complaint while viewing a complex.	Functional	External Portal
F148	Authenticated external users must be able to view all records associated with an inventory asset according to permissions, business rules, and workflows.	Note: Types of Records to display include but not limited to: - All migrated Copies of Order's - All migrated Case Files - Everything but Internal documentation - All migrated Rent Control - All migrated Registration records - All migrated Case Listing records Consider records for individual apartments, multi-apartment records, and records for building-wide cases. E.g., - If a tenant lives in an apartment in the building, and there is a building-wide order, they must be able see the order. - If a tenant lives in an apartment in the building, and there is an order issued for a different apartment in the same building, they must not be able to see the order.	Functional	External Portal
F149	All documents uploaded by an external user must be available to be re-used by that user on multiple form submissions, inventory updates, or other activities, with a re-use warning visible to all users.	Note: Upload of duplicate documents needs to be flagged. User can delete documents, only if not submitted. E.g., - If a user attaches "before and after pictures" of an improvement to an inventory record, the pictures must be available to attach to a MCI form submission without the need to reload.	Functional	External Portal
F150	External users must be able to set their communication preferences.	Note: This includes mode of communication (e.g., text vs. email vs. in-app), and it includes which events trigger communication, and is subject to DHCR override. E.g., - User may opt to receive text messages whenever a case is updated. - User may opt to receive an email whenever a case status changes. - User may opt to receive an in-system communication for any action related to a specific building. - User may opt to control notifications settings so that they receive daily, weekly, or monthly digests.	Functional	External Portal
F151	External users (authenticated and unauthenticated) must be able to create an electronic record access request according to user role, permissions, business rules, workflows, and the system must generate the appropriate record for the user to download/print. If not authorized, user feedback is provided.	Note: In all the documentation we have, record access requests are treated differently from other case types, because there are different rules and workflows for them.	Functional	External Portal
F152	Authenticated external users, must be able to save a draft version of a submission, leave the site, and return later to complete the submission.	Reference Inventory Management F104.	Functional	External Portal
F153	Each submission type has a set of authorized submitters, which must be set by a NYS administrator, and external users can only see options to submit forms for which they are authorized.	E.g., - Some forms can only be submitted by tenants or their reps. - Some applications can only be submitted by owners or their reps. - Some submissions can be completed by any logged in user. - some submissions may be completed by unauthenticated (aka guest) users. - Case: Closed Overcharge. - - If Tenant, the system must not display Representative information fields or allow the user to file RN-14 FORM. - - If Authorized Representative, the system may open a RN-14 FORM Cover Letter and allow submission.	Functional	External Portal
F154	Authenticated external users must be able to make submissions to DHCR, so that a case may be created and addressed.	Reference Case Types tab for more information as there are currently 77 different types of cases.	Functional	External Portal
F155	The solution must provide chatbot software.	E.g., Must include but not limited to: - Natural Language Processing - Flexible data connections - Multi-channel capability - Fast onboarding process (i.e., plug and talk) - Well-designed user interfaces and experiences - Ongoing optimization - Analytics and reporting	Functional	External Portal
F156	The solution must support and allow external users access to a calculator(s) to run basic NYS tenant and owner calculations.	Note: The calculator and calculation algorithms must be accessible based on permissions and business rules. The inputs such as monthly rent, security deposit, etc., must be determined by DHCR. This a nice-to-have feature therefore, this functionality is secondary to internal users overcharge calculator.	Functional	External Portal
F157	The solution must provide NYS administrators the ability to configure when notifications, correspondence, and messages in any format (i.e., email, text, postal) may be automatically sent according to workflows, triggers, and/or business rules.	Note: This includes bulk email capability.	Functional	Correspondence Management

F158	The solution must provide the ability for NYS administrators to create branded (e.g., HCR / NYS header/footer/logo) and non-branded correspondence templates that may be retrieved, edited, or customized by internal users.	Note: Some template updates/edits may need to be made in bulk due to staffing changes. E.g., Templates include but not limited to: - Boilerplate template - Blank branded template - Case specific templated responses - Litigation documents	Functional	Correspondence Management
F159	The solution must be able to email users from a no-reply mailbox.		Functional	Correspondence Management
F160	The solution must provide a historical accounting of all correspondence sent and received and provide correspondence meta-data.	Note: According to permissions, the user may filter on any of the attributes and view listed correspondence. E.g., Meta-data include but not limited to: - Date (sent or received). - Subject. - Name (sender). - Sender Type (tenant, owner, DHCR, etc.). - Correspondence Type (postal, email, phone, face-to-face, drop-off).	Functional	Correspondence Management
F161	The solution must provide internal users with the ability to retrieve a template, edit and/or add to template content and save as a draft that has a draft watermark to alert internal users to the status of the document.	Note: The watermark must be removed upon finalization of the draft for sending.	Functional	Correspondence Management
F162	The solution must send, track, and receive correspondence notification between external and internal users via email, text, or postal service according to the external user's contact information provided or on file.	Note: Hierarchy may be defined such as email, mobile, postal, etc.	Functional	Correspondence Management
F163	The solution must provide the ability to print correspondence for postal service in a letter layout format with address information and the ability to apply dating rules.	Note: Dating of correspondence may require date rules according to day/time of the week. No back dating allowed. E.g., Date rules include but not limited to: - Default (next business day) - Future date - On demand	Functional	Correspondence Management
F164	The solution must provide the ability to perform spell check and grammar check on free-form text within draft correspondence.	Note: Spell and grammar check must automatically be applied for the internal user's review and acceptance.	Functional	Correspondence Management
F165	The solution must create mailing address labels when printing correspondence for postal service.		Functional	Correspondence Management
F166	All email correspondence must be generated from an ORA .gov email domain.	E.g., ORArecords@hcr.ny.gov	Functional	Correspondence Management
F167	The solution must provide a correspondence preview feature so internal users may view the draft prior to manually sending, printing, or submitting for approval.		Functional	Correspondence Management
F168	The solution must comply with New York State and DHCR Retention and Archiving standards.	Note: The retention policy is 6 years for Case Records and 25 years for Dispositions. Both require a flag (indicator) on the record.	Functional	Data Management
F169	The solution must be able to track and display the full history of any changed information on any record.	Note: DHCR would like to see the full history of a field and not be limited to the current and previous value. E.g., History to include but not limited to: - Date - Time - User name - Previous data	Functional	Data Management
F170	The solution must identify common fields with their own unique values across all case and record types.	E.g., - Field for Owner - Field for First name - Field for Street Address	Functional	Data Management
F171	The solution must allow users to search, log, and maintain a file's physical location.	Note: DHCR maintains physical paper documents at their facility and historically needed to indicate where the document(s) were stored. In the future, the goal is to digitize storage.	Functional	Data Management
F172	The solution must provide the ability for DHCR users to manage all closed records.		Functional	Data Management
F173	The solution must prevent more than one user from editing a record at any given time.		Functional	Data Management
F174	The solution must identify, schedule, send, and validate sent data to NYS Data Warehouse on a regular basis.	Note: This is done by ORA and Office of Research and Strategic Analysis (ORSA) for data analytics.	Functional	Data Management
F175	The solution must have the ability to migrate existing data from the legacy system(s) to the new solution.	Reference Transition NF02 and NF05.	Functional	Data Management
F176	In collaboration with DHCR and ITS, the Vendor must establish and implement a Data Management Plan.	E.g., Include but not limited to: - Principles, policies, and processes required to ensure quality and timely data. - Metadata management, definition, and maintenance of taxonomies, data dictionary. - Access, usage, and security. - Creation of a Data Governance Board to continue proper oversight.	Functional	Data Management
F177	The Vendor must develop and maintain an Enterprise-Level Data Model.	E.g., Include but not limited to: - Conceptual model - Logical model - Physical model - Glossary	Functional	Data Management
F178	The Vendor is responsible for the maintenance and assurance of the accuracy and consistency of the data over its entire life-cycle.		Functional	Data Management
F179	The solution must be able to digitize prefilled documents.	E.g., - Paper documents into the solution to be processed the same as electronic records. - Written information could be OCR'd and populated into applicable fields.	Functional	Data Management
F180	NYS administrators must be able to add data fields to screens and cases which are links to more detailed information.	E.g., - If an owner's name appears on a case, it may need to be a link to that owner's profile. - a hyperlink to an information page on the web.	Functional	Interoperability
F181	The solution must allow internal users access to integrated state data, tools, and documentation for processing.	Processing may include actions such as: inquiry, case processing, registration, etc. E.g., Rent Roll Report Building Data MBR Calculator Rent Registration Card Fact Sheets O365 Outlook Calendar OpenText Content Server (legacy documentation storage solution)	Functional	Interoperability
F182	The solution must be able to normalize any address entered to conform to United States Postal Service (USPS) standards		Functional	Interoperability
F183	The solution must validate addresses entered into the solution against a list of confirmed correct addresses as listed by the USPS (or similar service).	Note: There might be a new address that is not able to be verified as it is not yet available in the USPS system. However, the address must be able to be entered. A manual override may be necessary to accommodate these rare instances.	Functional	Interoperability
F184	The solution must be able to recognize and accommodate the unique address in the NYC Borough of Queens.	Note: These addresses are different than East or West and there's a distinction between sections or areas of Queens.	Functional	Interoperability
F185	The solution must be able to accommodate a range address for Buildings.	Note: Range address is one building with multiple addresses that are related/attached.	Functional	Interoperability
F186	The solution must interface with external entities to allow internal users to view, filter, and sort data within the system.	Note: Permissions and business rules apply. E.g., External agencies include but not limited to: - LEXIS Advance (Account based) - NYC Dept. of Buildings (DOB) - NYC Dept. of Finance (DOF) - NYC Department of Finance (DTF) - NYC Housing and Preservation Dept. (HPD) - NYC Fire Dept. (NYFD) - NYC Rent Guideline Board (RGB) - NYC Independent Budget Office (IBO) - Unified Court solution/Office of Court Administration (OCA) - NYC Department of City Planning (DCP) - Open Data	Functional	Interoperability

F187	The solution must securely transfer data file extracts with external entities on a specified basis.	E.g., External entities include but not limited to: - New York City Independent Budget Office (IBO) access - New York City Department of City Planning (DCP) - New York City Department of Buildings (DOB) - New York City Department of Housing Preservation and Development (HPD) - New York City Rent Guideline Board (RGB) - New York State Department of Tax and Finance (DTF) - Office of Research and Strategic Analysis (ORSA)	Functional	Interoperability
F188	The solution must interface with external entities to retrieve and validate data in real-time.	E.g., - NYC DOB solution to retrieve BIN from the Building address or validate the BIN entered for a given NYC address as correct. - NYC DOF solution to retrieve the Building Block & Lot numbers from the Building address or validate Block & Lot numbers entered for a given NYC address as correct. - NYC HPD solution to retrieve a list of Building violations for a given HPD Building ID or retrieve a list of Building violations for a given NYC address. - NYC HPD solution to retrieve HPD Building ID for a given address and validate an entered HPD Building ID for a given NYC address as correct.	Functional	Interoperability
F189	The solution must integrate with other internal HCR applications/systems and external systems as needed for business operations in real time.	Note: Data sent/received should auto-populate appropriate fields in the integrated application with the goal to eliminate manual typing of data from the origin application into the integrated application. Includes integration with other applications for functionality which are not part of vendor platform/standard offering; including but not limited to: MS Office Suite, Address validation solutions, Overcharge calculator built by ITS or any other sources, ITS enterprise solutions etc. Includes integration with existing HCR internal and external systems/applications E.g. Tenant Protection Unit (Apex), Office of Legal Affairs (Salesforce), OpenText Content Server (legacy documentation storage solution) Includes data integration with other systems and send, retrieve, and validate data in real-time. E.g. Datawarehouse, DOB, HPD systems etc.	Functional	Interoperability
F190	The solution must allow internal users to backup documentation.	Note: Current ECM is Content Server (legacy documentation storage solution). The Vendor may provide recommendations for new storage management solutions but the solution must integrate with Content Server for legacy documentation search and retrieval.	Functional	Interoperability
F191	The solution must integrate photos of buildings into the corresponding records.	Note: Similar to a housing website such as Zillow or NYC Housing Connect.	Functional	Interoperability
F192	The solution must provide internal users with the ability to create reporting dashboards according to selected metrics.	Note: Permissions and business rules apply to data visibility. E.g., - Number of open cases and closed cases per month, quarter, or year for the unit and the processor.	Functional	Reporting & Analytics
F193	The solution must provide internal users the ability to print reports.		Functional	Reporting & Analytics
F194	The solution must provide internal users with the ability to define reporting criteria, select the preferred reporting format, and generate the report.	Note: Permissions and business rules apply to data visibility. Types of reporting formats expected are summary, matrix, tabular, joined, etc. E.g., - Status report (pending assignment) - Direct report assignment/progress - Building ID (cases with the same Building ID) - Monetary - Transactions - Registration Counts - Annual Registration Summary - Rent Roll - Cases with Temporary Locations - Borough Rent Office (BRO) reports	Functional	Reporting & Analytics
F195	The solution must allow access to data fields and attributes for reporting and analytics according to permissions and business rules.		Functional	Reporting & Analytics
F196	The solution must provide the ability to sort, filter, group, sum, and aggregate data.		Functional	Reporting & Analytics
F197	The solution must provide the ability for internal users to export reports in Excel (csv or xlsx) or PDF format.		Functional	Reporting & Analytics
F198	The solution must allow internal users the ability to execute ad hoc reporting according to permissions and business rules.		Functional	Reporting & Analytics
F199	The solution must allow external users to produce specified reports according to permissions and business rules.	E.g., - An owner may want to print the RAI report	Functional	Reporting & Analytics
F200	The solution must generate specified reports with the official DHCR branding.	E.g., - Annual Registration Receipt - Branding: - - Official seal - - Headers and/or footers - - Signature image on specified reports according to business rules	Functional	Reporting & Analytics
F201	The solution must autogenerate scheduled reports on a specified basis.	E.g., - Open cases whose fee payment is not received - Borough Rent Office (BRO) reports	Functional	Reporting & Analytics
F202	The solution must provide the ability to save and retrieve previously created reports or report templates in the system.		Functional	Reporting & Analytics
F203	The Vendor must create predefined report templates according to DHCR specifications.	Note: There are 281 reports currently in use.	Functional	Reporting & Analytics
F204	The solution must provide the ability to schedule data file extracts for transfer to external agencies.	Note: Queries are executed at predefined times or related to business events. There are approximately 12 data extracts. E.g., - Bi-annual building and tenant registration data for rent regulated units once in February and an updated file in August. - Annual building and tenant registration data for rent regulated units for New York City Department of Finance (DOF).	Functional	Reporting & Analytics
F205	The solution must provide an in-app contextual training functionality for internal and external users.	E.g., - Splash screens/modals - Alerts - Walk-throughs (user journeys) - In-line help text - Video capability	Functional	Training
F206	The Vendor in partnership with DHCR must assist in crafting in-line help text and the in-app contextual training.	E.g., - Informational/descriptive text - User journeys - Onboarding checklists	Functional	Training
F207	The Vendor must submit a Knowledge Transfer Plan to DHCR for review and approval.	Note: The plan must outline the areas and tasks that require knowledge transfer, indicate the method as well as the criteria for considering the transfer to be complete and successful.	Functional	Training
F208	The Vendor must document and facilitate technical business function knowledge transfer to NYS administrators and ITS.	E.g., - System edits - System Table maintenance - Organizational structure	Functional	Training
F209	DHCR must create and maintain a training repository where the Vendor must post all training artifacts.	E.g., - Training calendar - Documentation (written/video) - Recorded training sessions - Participant attendance and completion surveys	Functional	Training
F210	The Vendor must develop and provide training materials.	Note: Due to the iterative nature of the project the development of a comprehensive training manual evolves over time according to functionality delivery. E.g., Include but not limited to: - Agendas - Schedules - Training manual - Just-in-time documentation - Video tutorials (step-by-step business process)	Functional	Training

F211	The Vendor must develop and submit to DHCR for review and approval the Training Plan for internal and external end-users.	Note: Describes training that will be developed for internal and external users, including, at a minimum, the following: - UAT training - Initial user readiness for system rollout and system iterations following go-live - Administrative user training for updating user accounts and creating system dashboards, reports, and other items - External user training webinars There are approximately 300 internal users that may require training. On-site hands-on training may take place in five DHCR locations (Albany, Syracuse, Utica, Queens, Brentwood).	Functional	Training
F212	The Training Plan must incorporate a variety of instructional methodologies.	Note: Take into consideration the fluid nature of the pandemic and leveraging technology to foster flexibility within the plan and delivery. E.g., - Synchronous - Asynchronous - On-site - Virtual - Blended - Online	Functional	Training
F213	The Vendor must plan and track internal participants who have attended and completed training and submit to DHCR management.	E.g., - Invitations - Staffing	Functional	Training
F214	The Vendor in partnership with DHCR must develop training surveys and determine appropriate actions according to feedback.	E.g., - Pre-training - Post-training	Functional	Training
F215	The Vendor must develop introductory training for internal users on the agile methodology.	E.g., - Definitions - Benefits - Processes - Examples	Functional	Training
F216	The Vendor must train and support UAT participants.	E.g., Include but not limited to: - Initial training/kick-off on UAT processes and procedures - General orientation to the system - Expectations on roles and responsibilities - Time commitments for participants training on incrementally delivered functionality.	Functional	Training
F217	The Vendor must develop and deliver a System User Manual that provides detailed procedures for maintaining and supporting the system post-implementation.	The manual must include, at a minimum, all essential information needed to support daily operations, special operations, troubleshooting, and all other tasks required to keep the system running within the expected performance limits and to prevent unplanned outages. This includes specific procedures for: - Management of user accounts, roles, and security; - Checklist for error and exception diagnosis and handling; - Changing system constants and parameters (e.g., rates and deadlines); - Reviewing system and database logs for general activities, problems; - Creating and modifying system workflows; - Creating and modifying business rules and field validations; - Creating and modifying graphical representations of query/report results (e.g., dashboards and scorecards); - Creating and modifying document types and templates; - Monitoring and managing interfaces and data imports and exports.	Functional	Training
F218	The solution must prepopulate inspection information on the inspection screen that is editable by specified users, according to business rules.	Note: Information may include Tenant, owner and Representative, Building, Apartment (if applicable), Case type, and case sub-type.	Functional	Onsite Inspection
F219	The solution must automatically generate the item/condition and corresponding question in the inspection, according to the items contained in a service case.	Note: Harassment Cases from the Enforcement Compliance Unit must also be considered. E.g., - 90% service compliance cases. - 8% MCI. - 2% Overcharge depending on IAI or part of a horizontal multiple dwelling.	Functional	Onsite Inspection
F220	The solution must provide the ability for the Inspection Supervisor and Inspection Unit Director to identify/visualize an inspector's location at all times during work hours.	Note: The solution must perform Geocoding of data and provide Smart location services. NYS-ITS has some enterprise offerings such as GIS-Esri for Geo location and Smarty Street for address validation.	Functional	Onsite Inspection
F221	The solution must flag an inspection request according to business rules and workflows.	E.g., - When a second request is received for the same building and/or apartment within fifteen days from the day of the first inspection request.	Functional	Onsite Inspection
F222	The solution must provide the ability to check-in, work, check-out, and sync inspection data via a hand-held mobile device.	E.g., - Mobile phone - iPad - Any hand-held device	Functional	Onsite Inspection
F223	The solution must provide the ability to upload documents and pictures and attach them to an inspection report.	Note: Uploaded pictures must have a date and time stamp and the ability to add a comment.	Functional	Onsite Inspection
F224	The solution must be able to automatically assign inspection appointments to inspectors.	Note: Assignments are geographically according to building location and Inspector zone. E.g., - assign an Inspection Supervisor according to Zone/Borough coverage area.	Functional	Onsite Inspection
F225	The solution must provide the ability to manage suggested inspection assignments, inspections, and access case content according to permissions and business rules within the desktop system or via a handheld mobile device.	Note: Offline usage is needed. Manage includes: create, reject, cancel, schedule, reschedule, follow-up, date, and time.	Functional	Onsite Inspection
F226	The solution must be able to organize inspection assignments according to business rules and workflows.	E.g., - Fastest route from the Inspector's designated location or homebase.	Functional	Onsite Inspection
F227	The solution must provide the ability to efficiently calculate the inspection route and recalculate the inspection route, at any time.		Functional	Onsite Inspection
F228	The solution must be able to send inspection notifications and notices, according to business rules and workflows.	E.g., - Seven days after the Inspector was assigned the inspection request and sending notice to the Agency staff who requested the inspection, etc. - Notice Type = No Access, send Notice of Inspection-For Access to owner, tenant and all owner/owner rep, tenant/tenant rep. - Notice Type = Building/premises, send Notice of Inspection to Owner For Building Access RI-2. - Notice Type = Standard Notice, send Notice of Inspection to owner and all owner parties and Tenants. - Notice Type = Reschedule/Cancel, send to applicable parties.	Functional	Onsite Inspection
F229	The solution must provide the ability to manage inspection reports.	E.g., Include but not limited to: - Generate - Submit - Edit - Save	Functional	Onsite Inspection
F300	The solution must be able to prohibit changes to the inspection report according to business rules.	E.g., - Changes cannot be made once the inspection report has been accepted or if it has passed the seven-day period.	Functional	Onsite Inspection
F301	The solution must provide the ability to generate a new inspection report for amended items/conditions.	E.g., Include but not limited to: - Wall - Floor - Ceiling - Stain - Missing	Functional	Onsite Inspection
F302	The solution must be able to store inspection reports with activity history.	Note: Both initial inspection and amended inspection reports would be subject to FOIL.	Functional	Onsite Inspection
S01	The Vendor must be solely responsible for the successful delivery of all contracted deliverables and services, including third-party services.		Service	Project Management

S02	The Vendor must provide an Agile Methodology Plan for DHCR review and approval.	Note: The Vendor must provide training on all aspects of the methodology - please reference Training capability. E.g., Methodology plan to include but not limited to: - Length of sprints - Detailed sprint process (including daily Scrum) - Roles and responsibilities within the Agile methodology - Time commitments - Tools utilized for tracking work.	Service	Project Management
S03	The Vendor must provide project status and reporting at a level of detail agreed to by DHCR and which appropriately estimates agreed upon metrics.	E.g., Metrics may include but not limited to: - Tasks complete - Status of current tasks - Remaining work - Velocity reports - Burndown charts - Sprint progress reports	Service	Project Management
S04	The Vendor must work in coordination with DHCR to agree upon and document appropriate actions if sprint expectations are not met.	Note: Small, incidental changes may be rolled over to the next sprint. E.g., If multiple failed sprints occur, actions include but not limited to: - Replacement of team members - Corrective action plans, etc.	Service	Project Management
S05	The Vendor must provide a comprehensive Project Management Plan for DHCR review and approval.	E.g., Plan must include but not limited to: - Communication Plan - Project Staffing Plan - Stakeholder Plan - Scope Management Plan - Budget Management Plan - Risk and Issue Management Plan - RAIDC Log - Quality Management Plan - Change Control Plan - Acceptance Management - Organizational Change Management Plan All deliverables listed in the NYS PM Guidebook must be covered and agreed to.	Service	Project Management
S06	The Vendor must provide a Project Schedule for DHCR review and approval.	Note: Schedule must be provided in a tool that is agreed upon by DHCR and all appropriate stakeholders must be given access. It must include, at a minimum: - Milestones and associated tasks - Start and completion dates for each task - Task dependencies - Duration - Resources - Percent complete - Notes - An initial schedule and startup plan - Development of a baselined schedule for requirements analysis and backlog development (initial, then per iteration).	Service	Project Management
S07	The Vendor must provide a Requirements Analysis and Management Plan for DHCR review and approval.	The plan must follow the NYS PM Guidebook for SDLC or Agile-equivalent deliverables and include, at a minimum: -Process for information gathering and verifying RFQ requirements, such as staff interviews, job shadowing, and structured walkthroughs; -How requirements, requirement attributes, and any work increments will be stored, maintained, and traced throughout the lifecycle of the project and the term of the contract. This includes the process for verifying RFQ requirements; -Processes for producing requirements documentation during the project and throughout the term of the contract. Requirements documentation must be comprehensive and may include: -- Functional specifications, use cases, or user stories; -- System context and flow diagrams; -- Wireframes, prototypes, or mockups; -- Information architecture and mapping; -- Configuration and customization specifications for screens; -- Business processes, rules, and workflows; -- Functional system interfaces.	Service	Project Management
S08	The Vendor must utilize industry-standard business analysis techniques as part of requirements analysis.	Note: Must follow NYS PM Guidebook for SDLC or Agile equivalent deliverables. E.g., Techniques include but not limited to: - Staff interviews. - Job shadowing. - Requirements workshops. - Structured walkthroughs of as-is and to-be business processes.	Service	Project Management
S09	The Vendor must create a product backlog according to the RFQ Requirements Matrix by defining how DHCR's requirements must be implemented, as mutually agreed by both DHCR and the Vendor, providing sufficient detail to utilize in the sprint process.	E.g., Provides bi-directional traceability between associated requirements as well as other development artifacts such as test descriptions and results. Feeds development, configuration, testing, training, and OCM.	Service	Project Management
S10	The Vendor must maintain the product backlog according to the Requirements Matrix, included in the RFQ, throughout the project lifecycle using a tool provided by the Vendor and per DHCR approval.	Note: DHCR must have access and training on the tool provided. Product backlog items must be prioritized in coordination with DHCR and ITS staff.	Service	Project Management
S11	The Vendor must make the product backlog available to DHCR and ITS throughout the lifecycle of the project.		Service	Project Management
S12	The Vendor must provide a Organizational Change Management Plan for DHCR review and approval.	Note: Must follow NYS PM Guidelines. E.g., Include but not limited to: - Change Control Process. - Change Request Process for assessing, providing recommendations, prioritization documenting changes, and describes how the approved changes must be implemented throughout the lifecycle of the project and operational phases of the total contract period - including updating any appropriate documentation and/or training.	Service	Project Management
S13	The Vendor is required to establish and maintain compatibility with DHCR's standard suite of desktop tools for all project plans and documentation.	E.g., - Microsoft Office suite (Word, Excel, Visio, etc.)	Service	Project Management
S14	The Vendor must provide skilled necessary staff to perform all of the required tasks, produce all required deliverables, and meet the requirements as defined within this RFQ.	Reference Staffing in RFQ.	Service	Project Management
S15	In addition to the DHCR identified key staff positions, the Vendor must also identify any other key staff roles, if any, that the Vendor considers instrumental to the project's successful completion and include them in the Vendor's proposal.		Service	Project Management
S16	The Vendor must ensure the continued availability of key staff for the duration of the contract.		Service	Project Management
S17	The Vendor cannot replace key staff without the prior written approval of DHCR.		Service	Project Management
S18	DHCR must have the ability to remove key staff from the project at the discretion of DHCR Project Leadership.		Service	Project Management
S19	All Vendor staff must be compliant with New York State mandated required training requirements.		Service	Project Management
S20	The Vendor staff must be available to perform implementation work on-site on an agreed upon basis with DHCR Project Leadership.	Note: Vendor staff expected to be on-site for important implementation activities including but not limited to: job shadowing, requirements sessions, key planning and status meetings, calculation work, etc. E.g., - DHCR premises	Service	Project Management
S21	The Vendor must coordinate activities and cooperate with other Vendors and consultants if they are hired by DHCR to assist with the project.		Service	Project Management
S22	The Vendor must work cooperatively with other Vendors and consultants and provide project data and supporting documentation when requested.		Service	Project Management
S23	The Vendor must develop all project management deliverables and documents in collaboration with DHCR.		Service	Project Management
S24	The Vendor must maintain and update all project management deliverables and documents through the end of the contract term.	Note: Updates must occur as a result of some action, such as an approved change and noted in the revision history.	Service	Project Management

S25	The Vendor must submit any updates to DHCR approved plans and project management documents, for DHCR review and approval.		Service	Project Management
S26	The Vendor must provide DHCR with its procedures for tracking the submission, coordination, review, evaluation, changes and approval of all deliverables.		Service	Project Management
S27	The Vendor must submit all contract correspondence (any routine correspondence i.e. transmittal letters, memos, etc.) and deliverables electronically, using DHCR's standard suite of desktop tools in their native format.	E.g., - Microsoft Office suite (Outlook, Word, Excel, Visio, etc.)	Service	Project Management
S28	The Vendor staff must utilize only DHCR provided workstations to connect to the DHCR network and systems while on DHCR premises.	Note: Vendors will not be allowed to access any DHCR systems with their own devices (laptops, removable storage devices - flash/USB drives, smartphones, etc.) for security reasons while on DHCR premises.	Service	Project Management
S29	The Vendor must submit bi-weekly project status reports to the DHCR Project Manager by a DHCR-specified deadline.		Service	Project Management
S30	The Vendor must conduct weekly project management meetings.		Service	Project Management
S31	The Vendor must develop and submit a Deliverable Expectations Document (DED) which provides format expectations and an outline for each deliverable.		Service	Project Management
S32	The Vendor must review, update, and obtain DHCR and ITS sign-off on the System Design and Technical Specification Documentation during any design and development efforts.	This suite of documents must include but is not limited to the following items: - Specifications on implementing each work product; - Configurations and customizations details; - How configuration and customization could affect other areas of the solution; - External connectivity requirements and how data is exchanged with outside entities; - Third-party software details; - Data dictionary and data element specifications; - Business objects and components; - Data objects; - Data entities list; - Application style guide; - Organization structure; - User role structure; - Report specifications; - Print output layouts and designs; - User security, groups, roles, etc.; - Future state process flows (business process models, use cases, context diagrams, etc.); - Interface design documents; - Architecture design documents; and - Any work products necessary to depict, describe, and implement the completed design of the solution, such as user guides and mockups.	Service	Solution Design
S33	The Vendor must conduct periodic walkthroughs and/or demonstrations with appropriate members of DHCR and ITS staff during the design and development to facilitate review and approval by DHCR and ITS.		Service	Solution Design
S34	The Vendor must design and develop system interfaces while working collaboratively with DHCR, ITS and third-party staff.	Note: Including developing reports and identifying results of data transfers (load errors and data changes).	Service	Solution Design
S35	The Vendor must create all custom fields that are identified by DHCR.		Service	Solution Design
S36	The Vendor must configure drop-down menus in an agreed upon order.	Note: Ascending order by alpha or numeric unless otherwise specified by DHCR.	Service	Solution Design
S37	The Vendor must develop and submit to DHCR and ITS for review and approval a System Design and Development Plan during the contract phase of the project.	Note: Defines and describes design activities and deliverables. The plan must incorporate appropriately spaced rounds of usability testing and ensure design activities sit within the framework, capabilities, and constraints of the solution's technology.	Service	Solution Design
S38	The Vendor must develop customizations, configure design elements, and develop the functionality needed to meet DHCR's requirements and support the business.	Note: Support for these items in future patches/builds must be covered too. E.g., content management functionality	Service	Solution Design
S39	The Vendor must hold sessions with DHCR and ITS staff to review and discuss out-of-the-box system functionality, standardization, and any necessary configurations or customizations to address gaps.		Service	Solution Design
S40	The Vendor must create and deliver, to DHCR, any work products necessary to depict, describe and implement the completed design of the solution.	E.g., - User-guides - Mock-ups	Service	Solution Design
S41	The solution must be hosted, either by the Vendor or by a Vendor contracted third-party, in a Government cloud.		Service	Solution Design
S42	The solution must allow for real-time access from external users and from desktop and laptop computers connected to the DHCR network.	Note: Includes any DHCR virtual client or VPN. The majority of ORA Users access the network via Zero Clients, using Horizon View Client application.	Service	Solution Design
S43	All DHCR data must be segregated from other customers of the Vendor.		Service	Solution Design
S44	The solution must operate in all web browsers and platforms (desktop, mobile) supported by NYS ITS and in alignment with NYS standards.	E.g., Include but not limited to: - Chrome - Safari	Service	Solution Design
S45	The solution must conform to the current or future New York State Accessibility Standards (including Americans with Disabilities Act).	http://www.its.ny.gov/document/accessibility-web-based-information-and-applications-compliance-reporting	Service	Solution Design
S46	The solution must conform to NYS Language Access Policies.	https://www.ny.gov/language-access-policy#:~:text=While%20all%20covered%20state%20agencies,serve%20and%20other%20federal%20requirements. Additionally, the portal must be translatable into the twelve NYS languages: Spanish, Chinese, Russian, Bengali, Korean, Haitian, Italian, Yiddish, Polish, Arabic, French, and Urdu.	Service	Solution Design
S47	The solution must be available in multiple environments.	E.g., Include but not limited to: - Development - Test - Staging - Production	Service	Solution Design
S48	The Vendor must not make available outside the borders of the continental United States, physically, electronically, verbally or in any other form or manner, any data (either test or production) provided or produced under the awarded contract.	Note: Includes data in transit or at rest.	Service	Solution Design
S49	The solution must be consistent with the current look and feel of NY.GOV and DHCR style and branding requirements.	https://esd.ny.gov/sites/default/files/rfp/08032015_NYS_BrandGuidelines.PDF	Service	Solution Design
S50	The external (Public Facing) and internal (Business Facing) portions of the solution must share the same data/information, though each will have distinct rules for how that information must be displayed.	Note: Even though the internal and external facing data will share the same data and data types, some data will be internal-only and must not be reachable via the external user portion of the solution.	Service	Solution Design
S51	Search and data entry functions must leverage data relationships wherever possible.	Note: Street addresses must be validated against USPS standards. E.g., Include but not limited to: - If a zip code is entered, automatically suggest the city and state.	Service	Solution Design
S52	The Vendor must develop and submit to DHCR for review and approval a Test Plan, Strategy, and Approach.	Describes the testing of all releases, including planning for and facilitating UAT testing pre- and post-release, and outlines cumulative testing strategies to enable validation of all levels of the application from individual modules through a completely integrated system. The plan must, at a minimum: - Describe methodologies for identifying defects or deficiencies and solutions for corrective action; - Establish quality assurance procedures and processes, risk identification, assessment, impact analysis, and mitigation strategies; - Describe all testing activities.	Service	Solution Testing
S53	The Vendor must coordinate with DHCR and ITS staff in planning, scheduling, and executing testing to ensure the necessary resources are available.		Service	Solution Testing
S54	The Vendor must perform and complete full and comprehensive testing, in collaboration with DHCR and ITS, to ensure that all components function correctly, all interfaces work together properly and that as a whole the system satisfies DHCR's requirements.	E.g., Include but not limited to: - Unit Testing - Incremental Testing - Interface Testing - Security Testing - Performance, Stress and Load Testing - Disaster Recovery Testing - Failover Testing - Accessibility Testing - User Acceptance Testing - Regression Testing - Calculation Testing - End-to-End Testing - Pilot Testing	Service	Solution Testing

S55	The Vendor must provide DHCR and ITS full access at all times to all test plans, documentation, processes, procedures, standards, and results.		Service	Solution Testing
S56	The Vendor must develop in collaboration with DHCR and ITS, and submit for review and approval, all test scripts to be utilized during the testing process.	Note: Including automated test scripts.	Service	Solution Testing
S57	The Vendor must deliver detailed test results for each test type for review and approval by DHCR.		Service	Solution Testing
S58	The Vendor must correct, and validate the correction, for any system component or function that previously failed testing, before releasing it to DHCR for re-testing.		Service	Solution Testing
S59	The Vendor must develop and submit to DHCR for review and approval (during the contract phase) a Defect Remediation Plan.	Describes how all critical defects will be identified, documented, tracked, reported on, and resolved during testing.	Service	Solution Testing
S60	The Vendor must document, track, report, and resolve all defects identified as critical during testing.		Service	Solution Testing
S61	The Vendor must ensure that each functional requirement is traced to one or more test cases.		Service	Solution Testing
S62	The Vendor must provide an environment in which only Development, including configuration and customizations, and Unit Testing must occur.		Service	Solution Testing
S63	The Vendor must provide an environment where Incremental, Interface, and Accessibility testing must be completed.	Note: May also be used to show and/or allow DHCR to interact with system modules as they are completed. This environment must be separate from the environment where Development is performed.	Service	Solution Testing
S64	The Vendor must provide an environment where User Acceptance, Security, Failover, Disaster Recovery, Performance, Load and Stress Testing must occur.	Note: When testing occurs in this environment, it must be cyclical in nature with no changes occurring mid-cycle. The environment must be built to the same specifications as the Production environment.	Service	Solution Testing
S65	The Vendor must provide an environment where Calculation testing must be completed.		Service	Solution Testing
S66	Interface and End-to-End testing must be performed in an environment that has full functionality of all components including all interfaces with which the solution will send and receive data.		Service	Solution Testing
S67	The Vendor must provide staff access for DHCR and ITS throughout User Acceptance Testing (UAT).	Note: May be on-site or virtual as laid out in the Test Plan.	Service	Solution Testing
S68	The Vendor must work collaboratively with DHCR to validate and finalize the User Acceptance test scenarios and test cases developed with DHCR and ITS.		Service	Solution Testing
S69	The Vendor must resolve all defects identified in UAT with severity levels of critical and high, prior to exiting UAT.	Note: Working collaboratively with DHCR and ITS.	Service	Solution Testing
S70	The Vendor must develop a plan and schedule for resolving all defects identified in UAT with severity levels of medium and low, prior to exiting UAT.	Note: Working collaboratively with DHCR and ITS.	Service	Solution Testing
S71	Upon successful completion of UAT, the Vendor must submit, for review and approval by DHCR, a high-level overview of the significant events and activities, success or failure of UAT, specifying the scope of the testing and details of any risks and issues that were raised during UAT as well as a summary of defects, including priority and severity by severity level.	Note: Working collaboratively with DHCR and ITS. This must be considered part of the approval of the current iteration of UAT.	Service	Solution Testing
S72	The Vendor must work collaboratively with DHCR and ITS to continuously update the standard set of test scenarios, test cases, and test scripts.		Service	Solution Testing
S73	The Vendor must develop and submit an Ongoing Operations and Support Plan to DHCR for review and approval during the contract phase of the project.	Note: It is critical that the Vendor is prepared to support production work throughout the entire project.	Service	Operational Support
S74	The Vendor must provide all necessary Operations and Services to operate, maintain, and support the system, including managing all environments, and ensuring the system remains in compliance with the requirements and the service-level agreements (SLAs).	E.g., Include but not limited to: - Development - Test - Production	Service	Operational Support
S75	The Vendor must adhere to the Service-Level Agreement (SLA) defined in the contract.		Service	Operational Support
S76	The Vendor must manage all system maintenance and change requests, using the approved Change Management Process.	Note: Internal changes by NYS administrator must proceed though the change management process.	Service	Operational Support
S77	The Vendor shall be the single point of contact and have sole responsibility for the hosted environments and infrastructure services required to operate the system.	Note: Contact could be from DHCR or ITS.	Service	Operational Support
S78	The Vendor must meet all required staffing needs detailed in the RFQ.		Service	Operational Support
S79	The Vendor must monitor for, and update the system according to, Federal and State regulation, and standards and policy changes.		Service	Operational Support
S80	The Vendor must execute system batches, according to DHCR defined criteria.		Service	Operational Support
S81	The Vendor must maintain all inbound and outbound interfaces with DHCR or third-party systems.	E.g., - RSA Annual Registration updates	Service	Operational Support
S82	The Vendor must identify, resolve, and report to DHCR all inbound and outbound interface transactions that fail to successfully post.		Service	Operational Support
S83	The Vendor must provide system support services via a service desk for all components of the system for the duration of the contract.		Service	Operational Support
S84	The Vendor must develop and perform Ongoing Operations and Support Plan for both business and technical operations.	E.g., - Monitoring and reconciling all system interfaces, including the identification and resolution of transmission failures; - Monitoring daily production; - Monitoring system-generated charges and resolving charge posting failures; - Managing all third-party licenses and maintenance agreements; - Monitoring all scheduled and unscheduled system activities, processes, and functions; - Monitoring system performance; - Job monitoring; - Database administration; - ITS operational support plans; - Processes for trouble reporting, service requests, and enhancements; - Steps for establishing help desk contact.	Service	Operational Support
S85	The Vendor must provide all relevant services for the System.	E.g., Include but not limited to: - Developing and providing a roadmap of planned releases and upgrades (i.e., Release Management Plan). - Maintenance and upgrades to the System. - Notification of all Changes (including Release Notes). - Testing of all releases, including planning for and facilitating UAT testing for pre/post go-live releases. - Management and deployment of updated versions of firmware and software for all environments. - Maintenance and/or replacement of hardware when necessary. - Fulfillment of requests for changes to the System which include updates to system functionality, configurations or customizations, including system tables, drop-downs, data elements, etc. - Maintenance and updates of all inbound and outbound interfaces with DHCR or third-party systems. - Fulfillment of Service Requests for data updates.	Service	Operational Support
S86	The Vendor must provide a formal ticketing system accessible by DHCR and ITS staff, to document and track incidents and other requests.	Note: Including a ticket escalation process.	Service	Operational Support
S87	The Vendor must provide service desk support via toll-free phone number and via e-mail provided by the Vendor.		Service	Operational Support
S88	The Vendor must acknowledge all service desk calls, emails, and tickets within the timeframes defined in the SLA.		Service	Operational Support
S89	The Vendor must provide service desk support services during times defined in the SLA.	E.g., Include but not limited to: - Documenting, identifying, and researching service requests. - Troubleshooting incidents and escalate to higher levels as needed. - If the incident is determined to be outside the Vendor's scope of service, the service desk support must communicate the reported incident to DHCR's System Liaison. - Addressing user connectivity or password issues, and assisting users with system navigation and functionality. - Performing system development and maintenance (or escalating to the appropriate resources as needed).	Service	Operational Support
S90	The Vendor must provide 24 hour service desk support services for critical/emergency technical problems and provide hourly reports on the critical/emergency problems to DHCR.	E.g., Include but not limited to: - Database administration and server repairs. - Issues relating to infrastructure of hosting. - Major, critical or emergency incident resolution such as server crashing, hung process, interface failures. - Rollback or restoration of data due to system backup or interoperability issues. - Security breaches including analysis of corrupted or vulnerable data. - Disaster recovery procedures and implementation.	Service	Operational Support
S91	The service desk staff must speak fluent English and be located in the continental United States.		Service	Operational Support
S92	The Vendor must perform a Root Cause Analysis for repeated or reoccurring critical incidents or defects and a provide a full report to DHCR.		Service	Operational Support

S93	The Vendor must provide a Technical Operations and Support Desk Status Report, every 2 weeks or by request.	Provides an overview of technical operations and support desk activities, including: - Detailed information regarding change requests - Report on upcoming maintenance, releases, and enhancements - If applicable, updates as a result of state and federal regulation changes - Status of open tickets - Report of closed tickets - Status of change requests - Recently resolved tickets and identification of the root cause of the incident or defect - Recurring incidents and a plan for resolution - Results and actions taken to rectify any incidents	Service	Operational Support
S94	The Vendor must collaborate with DHCR and ITS to resolve technical problems when needed.	E.g., Include but not limited to: - Connectivity - Interoperability - Single Sign-On	Service	Operational Support
S95	The Vendor must conduct Support Status Meetings during a critical outage.		Service	Operational Support
S96	The Vendor must develop and submit for review and approval a comprehensive Disaster Recovery plan.	E.g., Include but not limited to: - Operational Redundancy - Minimize Service Interruption - Vendor Staff Responsibilities - DHCR & ITS Staff Responsibilities - Recovery Paths - Critical Systems	Service	Disaster Recovery
S97	The Vendor must obtain DHCR sign-off on the Disaster Recovery Plan during the Contract phase.	Vendors may be asked to provide examples of previous disaster recovery plans.	Service	Disaster Recovery
S98	The Disaster Recovery Plan must be tested at least once per year and test results provided to DHCR annually, or per DHCR request.		Service	Disaster Recovery
S99	The Vendor must provide disaster recovery site and services as outlined in the Disaster Recovery Plan.		Service	Disaster Recovery
S100	The Vendor must involve DHCR/ITS in the disaster recovery planning and testing process.		Service	Disaster Recovery
S101	The Disaster Recovery Plan must be reviewed, updated, and provided to DHCR at least every six months, or per DHCR request.		Service	Disaster Recovery
S102	The disaster recovery site must match production system specifications.	E.g., Include but not limited to: - Network - Infrastructure - Capacity	Service	Disaster Recovery
S103	The system must support off site remote file backup to the disaster recovery site.		Service	Disaster Recovery
S104	The system and database(s) must be backed up daily, or per DHCR request.	Note: Potentially changing timeframe for system according to resource issues/cost. Possible to mirror data live?	Service	Disaster Recovery
S105	System and database(s) backups must be kept for a period of one month.		Service	Disaster Recovery
S106	The disaster recovery site and all servers hosting program data must be located in the continental United States.		Service	Disaster Recovery
S107	The disaster recovery site and all servers hosting program data must comply with all security requirements outlined in project documentation.		Service	Disaster Recovery
S108	The system and data must be replicated on redundant servers at least 50 miles and/or geographically diverse from each other.		Service	Disaster Recovery
S109	The disaster recovery site must be able to run all existing services.	E.g., Include but not limited to: - Storage - Servers	Service	Disaster Recovery
S110	The disaster recovery site must have redundancies in place separate from the primary site services.	E.g., Include but not limited to: - Power - Internet Connection	Service	Disaster Recovery
S111	The system must support data recovery capabilities to restore damaged files from the daily backup files.	Note: Detailed in Disaster Recovery Plan	Service	Disaster Recovery
S112	The Vendor must provide data recovery services as requested.	Note: Detailed in Disaster Recovery Plan	Service	Disaster Recovery
S113	The system's recovery time objective (RTO) must be one day or less.		Service	Disaster Recovery
S114	The system's recovery point objective (RPO) must be one day or less.		Service	Disaster Recovery
S115	For hosted implementations utilizing a third-party for infrastructure services, the Vendor is required to contract for fail over services to an active node.		Service	Disaster Recovery
NF01	The Vendor must collaborate with DHCR and ITS to plan and conduct data cleansing.	Note: DHCR shall determine what needs cleanup and standardization across the data sets. The Vendor may make recommendations and suggestions based on best practices and expertise. Data may go as far back as 1984.	Non-Functional	Transition
NF02	The Vendor must develop a Data Migration Plan for DHCR and ITS review and approval.	E.g., include but not limited to: - Definitions and descriptions of data elements that must be migrated - Dictionary listing data element name, description, type, field length, required or optional, and primary or foreign key designation. - Data transformation and mapping specifications. - Delta Data Migration Plan. - Methodology description. - Required technical resources (i.e., connectivity to DW or legacy systems) and staff/resource responsibilities. - Initial plan and updated plan for each iteration. - Procedures for verifying that records have been migrated.	Non-Functional	Transition
NF03	The Vendor must provide tools required to perform data migration activities.		Non-Functional	Transition
NF04	The Vendor must perform a data gap analysis and provide recommendations for resolution to DHCR and ITS for review and approval.	Note: A gap analysis is expected for each data migration iteration. E.g., - A field in HUTS is not yet present in the new system.	Non-Functional	Transition
NF05	The Vendor must migrate all applicable data.	Note: This must include maintaining the users' connection to their inventory and also maintaining the users' IAL level; external user accounts and profile information; templates, webforms, and reports; and records created manually must be flagged. Internal users must have the old HUTS user ID migrated as part of their profile.	Non-Functional	Transition
NF06	The Vendor must perform data migration testing using production data and validate the test data prior to the final conversion.	Note: Production data used during testing must be removed after testing and validation has been completed.	Non-Functional	Transition
NF07	The Vendor and DHCR must verify that records have been migrated as described in the Data Migration Plan.		Non-Functional	Transition
NF08	The Vendor must collaborate with DHCR and ITS to resolve data migration errors during each round of Data Migration Plan execution.	E.g., - Errors may be missing fields that would need to be added. - Date of migration vs. date of event may need to be corrected.	Non-Functional	Transition
NF09	The Vendor must develop a Cutover and Transition Plan for DHCR and ITS review and approval.	E.g., Include but not limited to: - Strategy and schedule for the transition from the legacy systems to the new solution - Contractor, DHCR, and ITS roles and responsibilities during each cutover and go-live transition period, including enhanced support - Criteria for confirming that each data migration iteration is complete - Resources and procedures for approving legacy data - Stabilization procedures for addressing incidents and defects after go-live - A list of go-live activities and established acceptance criteria for successful go-live completion; to be used in go/no go meeting to approve readiness - Rollback Plan - Cutover and transition dress rehearsals with documented results - Contractor support system - Confirmation of active user accounts - Solution connectivity verification (SSO, communications plan, etc.) If any transitioned functionality does not perform as required, the Contractor must provide an updated Cutover and Transition Plan. This deliverable must be reviewed and approved by ITS.	Non-Functional	Transition
NF10	The Vendor must manage and participate on-site during execution of the Cutover and Transition Plan.	Note: This includes a "war room" to address problems for resolution.	Non-Functional	Transition
NF11	The Vendor must provide on-site stabilization and support services for an agreed upon period after each go-live.	Note: The Vendor's staff who performed configuration and customization services for go-live must be available throughout the stabilization period. DHCR expects adequate support during the next iteration go-live.	Non-Functional	Transition
NF12	The Vendor must roll back functionality if not performing as required.	Note: A Root Cause Analysis Report is expected to be documented and an updated transition plan.	Non-Functional	Transition

NF13	The solution must support a minimum of 350 internal users at go-live.	Note: The number of internal users will grow through the life of the program and the system must accommodate that future growth. Vendor may provide input on what this number should be according to prior experience.	Non-Functional	Solution Performance
NF14	The solution must support a minimum of 175 concurrent internal users at go-live.	Note: The number of internal users will grow through the life of the program and the system must accommodate that future growth. Vendor may provide input on what this number should be according to prior experience.	Non-Functional	Solution Performance
NF15	The solution must support a minimum of 3 million external users at go-live.	Note: The number of external users will grow through the life of the program and the system must accommodate future growth.	Non-Functional	Solution Performance
NF16	The solution must support a minimum of 1.5 million concurrent external users at go-live.	Note: The number of external users will grow through the life of the program and the system must accommodate that future growth. Vendor may provide input on what this number should be according to prior experience.	Non-Functional	Solution Performance
NF17	The solution response time must be as close to instantaneous as possible for simple transactions.	E.g., screen flips: - 0 - 3 seconds - Less than 3 - 5 seconds for more complex transactions (reports on large data sets, etc.)	Non-Functional	Solution Performance
NF18	The solution must have the capacity to support and maintain an increasing transaction size and/or increased number of users without impacting response time.		Non-Functional	Solution Performance
NF19	The solution must maintain system availability uptime of 99.5 percent 24 x 7 x 365 for service other than downtime for scheduled maintenance.		Non-Functional	Solution Performance
NF20	The solution must maintain 99.9% availability during peak usage.	E.g., - Monday through Friday during the hours of 6:00 a.m. ET through 8:00 p.m. ET.	Non-Functional	Solution Performance
NF21	The Vendor must cooperate with DHCR and/or any independent third-party Vendor engaged by DHCR in satisfactorily demonstrating compliance with all applicable State and Federal requirements, regulations, standards, policies, mandates, and industry best practices.	E.g., Include but not limited to: - NYS-P10-006 – Identity Assurance Policy - NYS-S13-004 – Identity Assurance Standard - NYS-S14-003 – Information Security Controls Standard - NYS-S14-005 – Security Logging Standard - NYS-S14-013 – Account Management / Access Control Standard	Non-Functional	Security
NF22	The Vendor must follow the NYS Secure Systems Development Lifecycle (SSDLC).	Note: The Vendor may use their own SSDLC if it meets the minimum NYS SSDLC requirements. The NYS SSDLC is defined at: https://its.ny.gov/secure-system-development-life-cycle-standard.	Non-Functional	Security
NF23	The Vendor's employees and subcontractors must also comply with all security requirements.	Note: Vendor restrictions shall be enforced when accessing legacy systems.	Non-Functional	Security
NF24	The Vendor must schedule and submit to DHCR an Annual Security Assessment of the DHCR System, which must be conducted by a DHCR-approved third-party Vendor, which addresses the security of the system and consultant services.		Non-Functional	Security
NF25	The Vendor must develop and submit to DHCR for review and approval, during the contract phase, a Site and System Security Plan which must address the steps the Vendor will take to secure and protect the System, information, users and services.	Note: Vendor must provide an approach to site and system security in the RFQ response.	Non-Functional	Security
NF26	The Vendor must develop and submit to DHCR for review and approval a detailed Security Incident and/or Breach Response Plan during the contract phase of the project.	Note: Must comply with the requirements of the NYS Cyber Incident Response Standard as well as relevant incident response requirements of all applicable State, and Federal policies and regulations. E.g., Include but not limited to: - Procedures for monitoring and responding to alerts from security monitoring systems. - Standardized process flow for handling incidents. - Identify the incident stakeholders, roles, responsibilities, and communication and contact strategies for a data security incident, including notification of relevant regulatory bodies if applicable. - Describe incident triggering sources, incident types, and incident severity levels. - Business recovery and continuity procedures in the event of an incident. - Data backup processes in the event of an incident. - Analysis of legal requirements for reporting data security incidents. - Coverage and responses of all critical system components. - Additional procedures required by relevant regulatory bodies. - Requirements for annual testing, post-incident lessons-learned activities, and collection of metrics for use in gauging incident response effectiveness.	Non-Functional	Security
NF27	The Vendor must provide notification to DHCR verbally within one hour and written notification within 24 hours of all confirmed security incidents of a severity level of medium or high (per the NYS ITS Cyber Incident Response Standard).		Non-Functional	Security
NF28	The Vendor must provide immediate notification to DHCR verbally upon discovery of a security breach, and written notification within 24 hours of any breach or suspected breach as defined in the Security Breach Response Plan.		Non-Functional	Security
NF29	The Vendor must obtain DHCR sign-off on all security plans (or changes to security plans) before proceeding.		Non-Functional	Security
NF30	The system must meet the security requirements for Moderate Impact Level Systems with the National Institute of Standards and Technology (NIST).		Non-Functional	Security
NF31	The system must meet or exceed Identity Assurance Level 3, as determined by NYS Identity Assurance Assessment AND must meet all NIST requirements for Identity Assurance Level 2, Authenticator Assurance Level 2, and Federation Assurance Level 2.		Non-Functional	Security
NF32	In the event of any apparent conflict between NYS and NIST standards, the more stringent requirements must be applied, unless otherwise agreed by DHCR.		Non-Functional	Security
NF33	All DHCR data must be encrypted in transit and at rest.		Non-Functional	Security

Case Group #	Case Type #	Case Type Shortform	Case Name	Case Description	User(s) that create	Case Group sub-unit (if any)	Source
		AC	Owner Labor Rent increase				Case Types with descriptions.xlsx, OR; Docket Numbers and Case Types.pdf
4	1	AD	Administrative Determinations	These cases are opened to determine the status of a building or apartment or to determine succession rights or the legal regulated rent of an apartment. These cases can be requested by the tenant, landlord, perspective buyer, judge, or opened on Agency's initiative.	Tenant (or rep) Owner (or rep) Prospective buyer Judge HCR user		Case Types list
4	1	AD-REG	Administrative Determinations	Specific to amending registrations for prior years			Case Types list
4	2	AI	Administrative Investigations	This is a case opened on the Agency's initiative based on information received from another government agency, a politician on behalf of constituents, or information from another unit within our Agency or an inspector	HCR user		Case Types list
4	2	AI-OVERCHARGE	Administrative Investigations	Agency Investigations specific to Overcharge	HCR user		Case Types list
4	2	AI-REG	Administrative Investigations	Agency Investigations specific to registrations	HCR user		Case Types list
4	2	AI-Services	Administrative Investigations	Agency Investigations specific to services issues	HCR user		Case Types list
		AM	Increase Occ Rent Increase (NOT NYC)				Case Types with descriptions.xlsx, OR; Docket Numbers and Case Types.pdf
		AN	Increase Operating Costs(NOT NYC)				Case Types with descriptions.xlsx, OR; Docket Numbers and Case Types.pdf
		AV	Administrative Violation				Case Types with descriptions.xlsx, OR; Docket Numbers and Case Types.pdf
		B	Tenant Building-wide Services				Case Types with descriptions.xlsx, OR; Docket Numbers and Case Types.pdf
		BC	MBR Challenge				Case Types with descriptions.xlsx, OR; Docket Numbers and Case Types.pdf
2	?	BO	Owner MBR Challenge		Owner (or rep)	N/A	ITS BRD
2	?	BR	Owner MBR Application	Maximum Base Rent ... increase?	Owner (or rep)	N/A	ITS BRD
2	?	BT	Tenant MBR Challenge		Tenant (or rep)	N/A	ITS BRD
		DP	Owner Determination of Primary Residence (ETPA)				Case Types with descriptions.xlsx, OR; Docket Numbers and Case Types.pdf
		E	Tenant Improper Eviction				Case Types with descriptions.xlsx, OR; Docket Numbers and Case Types.pdf
		F	Tenant Fuel Cost Challenge				Case Types with descriptions.xlsx, OR; Docket Numbers and Case Types.pdf
		FC	Fuel Cost Report				Case Types with descriptions.xlsx, OR; Docket Numbers and Case Types.pdf
		FR	Fuel Cost Revocation/Suspension				Case Types with descriptions.xlsx, OR; Docket Numbers and Case Types.pdf
		G	Overcharge Filed Under CAB				Case Types with descriptions.xlsx, OR; Docket Numbers and Case Types.pdf
5	5	HA	74C Application	The Owner applies for an HA case to lift a Finding of Harassment.	Owner (or rep)	Harassment	Case Types list
5	3	HC	Collection of Civil Penalties	HC Cases are opened by the Agency to collect penalties that were awarded to the agency from other cases such as HL, NC, HI, and FM.	HCR user	Compliance	Case Types list
5	6	HD	Alter/Demolish Report	Owners are required to file RC-50 if there are rent controlled Tenants in the building they plan on demolishing.	Owner (or rep)	Report	Case Types list
5	2	HI	Housing Investigation	HI Cases are opened by the Agency to investigate alleged violations of the rent laws by an Owner.	HCR user	Harassment	Case Types list
5	1	HL	Tenant Harassment/Law	Tenant applies for an HL case to allege that the Owner is harassing them to force them out of their home or to give up rights under the law.	Tenant (or rep)	Harassment/Mediation	Case Types list
		HL-MED	Tenant Harassment/Law - Mediation				Case Types with descriptions.xlsx, OR; Docket Numbers and Case Types.pdf
5	4	HM	Fraud Investigation	HM Cases are opened by the Agency based on referral from another unit or at the request of the Bureau Chief for an investigation on allegation that the Owner submitted false documents.	HCR user	Harassment	Case Types list
		HW	Tenant Heat/Hot Water				Case Types with descriptions.xlsx, OR; Docket Numbers and Case Types.pdf
		LD	Luxury Decontrol				Case Types with descriptions.xlsx, OR; Docket Numbers and Case Types.pdf
		LE	Apartment Exempt from Registration fee (ETPA)				Case Types with descriptions.xlsx, OR; Docket Numbers and Case Types.pdf
		LS	Apartment Exempt from Registration fee (NYC)				Case Types with descriptions.xlsx, OR; Docket Numbers and Case Types.pdf
		MR	Tenant RC Rent Correction				Case Types with descriptions.xlsx, OR; Docket Numbers and Case Types.pdf
		MT	Multi-tier rent correction				Case Types with descriptions.xlsx, OR; Docket Numbers and Case Types.pdf
5	7	NC	Non-Compliance	NC cases are Tenant or Agency initiated to allege that Owner failed to comply with an Agency order.	Tenant (or rep) HCR user	Non-Compliance	Case Types list
		OD	Owner Modification of Services				Case Types with descriptions.xlsx, OR; Docket Numbers and Case Types.pdf
		OD- Elec	Owner Modification of Services _Electric				Case Types with descriptions.xlsx, OR; Docket Numbers and Case Types.pdf
		OE	Owner Eviction				Case Types with descriptions.xlsx, OR; Docket Numbers and Case Types.pdf
		OH	Owner Hardship				Case Types with descriptions.xlsx, OR; Docket Numbers and Case Types.pdf
2	?	OI	Owner Individual Rent Increase	Owner's Notice of Rent Increase based on increases services, new furnishings, equipment, or painting. Also covers owner's application for modification of maximum collectible rent government financed or supervised program. Also covers increased occupancy.	Owner (or rep)	N/A	ITS BRD
		OI -A/C	Owner Individual Rent Increase - A/C				Case Types with descriptions.xlsx, OR; Docket Numbers and Case Types.pdf
		OI-APPL	Owner Individual Rent Increase Appliance				Case Types with descriptions.xlsx, OR; Docket Numbers and Case Types.pdf
		OI-IOCC	Owner Individual Rent Increase Increased Occupancy				Case Types with descriptions.xlsx, OR; Docket Numbers and Case Types.pdf
		OM	Owner Multiple Rent Increase (MCI)				Case Types with descriptions.xlsx, OR; Docket Numbers and Case Types.pdf
2	?	OMESC Form	Operation, maintenance, and essential services	Part of the MBR process	Owner (or rep)	N/A	ITS BRD
		OP	Prior Opinion -MCI				Case Types with descriptions.xlsx, OR; Docket Numbers and Case Types.pdf
		OP-UC	Prior Opinion - Sub Rehab				Case Types with descriptions.xlsx, OR; Docket Numbers and Case Types.pdf
		OR	Owner Restoration of Rent				Case Types with descriptions.xlsx, OR; Docket Numbers and Case Types.pdf
		P	Owner report of lease (not NYC)				Case Types with descriptions.xlsx, OR; Docket Numbers and Case Types.pdf
		R	Rent Overcharge			N/A	ITS BRD
		R- RC	Rent Overcharge - Rent Control				Case Types with descriptions.xlsx, OR; Docket Numbers and Case Types.pdf
		RC	Pre-84 Recontrol				Case Types with descriptions.xlsx, OR; Docket Numbers and Case Types.pdf
2	?	RE	Owner MBR re-entry	Owners who had previously been denied have the right to re-file. This re-filing is called a Re-entry Application.	Owner (or rep)	N/A	ITS BRD
		R-GAR	Rent Overcharge Garage				Case Types with descriptions.xlsx, OR; Docket Numbers and Case Types.pdf
		RK	Reconsideration Proceeding				Case Types with descriptions.xlsx, OR; Docket Numbers and Case Types.pdf
		RK-PAR	Reconsideration Proceeding - PAR				Case Types with descriptions.xlsx, OR; Docket Numbers and Case Types.pdf
1	?	RN-14	Rn-14 Application	After the 35 days for filing of a PAR on an Overcharge case have expired, the tenant can choose one of two alternative methods to collect an overcharge; one is called the "Judgement Method." In this method, where the overcharge is greater than $1,000 or the tenant has vacated, the filing of a judgment with the courts may result in a lien being placed against the owner's real property by a sheriff. To begin, a tenant sends the RN-14 form, or the "Notice of Certification of Overcharge Penalties" to Gertz. In the "Offset Method", the tenant may deduct up to 20% of the penalty from the monthly rent until the penalty is completely offset. See Fact Sheet #16.	Tenant (or rep)	N/A	ITS BRD
		RO	Owner PAR				Case Types with descriptions.xlsx, OR; Docket Numbers and Case Types.pdf
		R-OM	Hotel Reclass				Case Types with descriptions.xlsx, OR; Docket Numbers and Case Types.pdf
		RP	Remand Proceeding				Case Types with descriptions.xlsx, OR; Docket Numbers and Case Types.pdf
		RP-PAR	Remand Proceeding - PAR				Case Types with descriptions.xlsx, OR; Docket Numbers and Case Types.pdf
2	?	RR	Owner Restructure Rent Increase	Owner's Application for Modification of Maximum Collectible Rent Government Finance or Supervised Program	Owner (or rep)	N/A	ITS BRD

			RT	Tenant PAR				Case Types with descriptions.xlsx, OR; Docket Numbers and Case Types.pdf
			R-TPOC	Rent Overcharge TPU				Case Types with descriptions.xlsx, OR; Docket Numbers and Case Types.pdf
	1	?	RV	Lease Violation	Lease violation cases are filed by a tenant/tenant's representative for the following reasons: o The owner refuses to renew the lease o The owner refuses to offer the lease for 'X' years and offered lease for 'Y' years o The owner refuses to renew the lease on same terms and conditions as were contained in expiring lease. Owner has made changes in new lease o Owner failed to furnish signed copy of new/renewal lease o Owner refuses to add spouse's name on renewal lease o Other	Tenant (or rep)	N/A	ITS BRD
			S	Tenant Decreased Services				Case Types with descriptions.xlsx, OR; Docket Numbers and Case Types.pdf
			SD	Statutory Decontrol Report				Case Types with descriptions.xlsx, OR; Docket Numbers and Case Types.pdf
			T	Overcharge Filed Under CAB				Case Types with descriptions.xlsx, OR; Docket Numbers and Case Types.pdf
			TA	Initial Fair Market Rent Appeal Filed by Tenant (Not NYC)				Case Types with descriptions.xlsx, OR; Docket Numbers and Case Types.pdf
N/A		N/A	TC	Tenant Challenge	Eliminated by HCR as a case type (per ITS BRD Case Group 1)	N/A	N/A	ITS BRD
			TS	Tenant Rent Increase Exception (NOT NYC)				Case Types with descriptions.xlsx, OR; Docket Numbers and Case Types.pdf
			U	Registration update				Case Types with descriptions.xlsx, OR; Docket Numbers and Case Types.pdf
			UC	Owner Exemption Determination				Case Types with descriptions.xlsx, OR; Docket Numbers and Case Types.pdf
			US	Rent Control Update by HPD/Court				Case Types with descriptions.xlsx, OR; Docket Numbers and Case Types.pdf
			UT	Rent Controlled Registration Update by Tenant				Case Types with descriptions.xlsx, OR; Docket Numbers and Case Types.pdf
	2	?	VC Form	Violation certification	Part of the MBR process	Owner (or rep)	N/A	ITS BRD
	4	3	X	TAX Abatement	Agency Initiated tax abatement cases are derived from the owner's receipt of J51 tax benefits from the NYC HPD for varying items of improvements or alterations done to the building. Upon determination that these improvements meet their requirements, a Certificate of Eligibility is issued (HPD courteously sends copies of these certificates to HCR). In a like manner, the owners can apply with this Division for an MCI (major capital improvement) rent increase which is passed on to the tenants. Under applicable sections of the Laws and/or Codes the owners are required to pass along the benefit to the tenants if they received a tax abatement for the same items for which an MCI rent increase was granted. X cases will modify the MCIs issued that match the items on the Certificate of Eligibility.	HCR user		Case Types list