<table>
<thead>
<tr>
<th>ID</th>
<th>Requirement Test</th>
<th>Notes</th>
<th>Classification</th>
<th>Capability</th>
</tr>
</thead>
<tbody>
<tr>
<td>001</td>
<td>The solution must increase the proportion of case files that are entirely accessible via DHCR systems.</td>
<td></td>
<td>Business</td>
<td>Business</td>
</tr>
<tr>
<td>002</td>
<td>The solution must decrease total case processing time for every case type.</td>
<td></td>
<td>Business</td>
<td>Business</td>
</tr>
<tr>
<td>003</td>
<td>The solution must decrease total transaction time for all inquiries and activities.</td>
<td></td>
<td>Business</td>
<td>Business</td>
</tr>
<tr>
<td>004</td>
<td>The solution must decrease the number of calculation errors.</td>
<td></td>
<td>Business</td>
<td>Business</td>
</tr>
<tr>
<td>005</td>
<td>The solution must decrease the number of forms that are submitted with errors and missing information.</td>
<td>Note: Refers to internal and external user making edits.</td>
<td>Functional</td>
<td>Global System</td>
</tr>
<tr>
<td>F01</td>
<td>NYS administrators must be able to create, read, edit, and delete permissions for inventory assets according to user permissions, business rules, and workflows.</td>
<td>Note: Permission 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. A DHCR user may be permitted to edit inventory asset data for one asset but not another. DHCR users can edit registration data.</td>
<td>Functional</td>
<td>Global System</td>
</tr>
<tr>
<td>F02</td>
<td>NYS administrators must be able to create, design, modify, and delete webforms in templates.</td>
<td>Note: Permission is required to change, view, edit, and modify fields, questions, and validation rules.</td>
<td>Functional</td>
<td>Global System</td>
</tr>
<tr>
<td>F03</td>
<td>NYS administrators must be able to create, design, modify, and delete webforms that have different display rules depending on the permissions.</td>
<td>E.g.: External user may view one case screen for case type “RN” and see fields A, B, C, D, E, &amp; F, while an internal user may view the case screen for case type “GN” and see fields A, B, C, D, E, F, G. Internal users may need to see an “ICH notes field” on a case, but external users must not see the “ICH notes field.”</td>
<td>Functional</td>
<td>Global System</td>
</tr>
<tr>
<td>F04</td>
<td>The solution must display instructions to a user when submitting supporting documents.</td>
<td>Note: “Signature” can be electronic, or simply a stamp of the name of the filer in the audit file. E.g.: Please upload more detailed statement of your question(s) or objection(s), with copies of any supporting documents.</td>
<td>Functional</td>
<td>Global System</td>
</tr>
<tr>
<td>F05</td>
<td>A NYS administrator must be able to specify if a webform requires a signature.</td>
<td>Functional</td>
<td>Global System</td>
<td></td>
</tr>
<tr>
<td>F06</td>
<td>NYS administrator must be able to specify create, read, edit, and delete permissions for inventory assets according to user permissions, business rules, and workflows.</td>
<td>Note: Permission 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. A DHCR user may be permitted to edit inventory asset data for one asset but not another. DHCR users can edit registration data.</td>
<td>Functional</td>
<td>Global System</td>
</tr>
<tr>
<td>F07</td>
<td>NYS administrators must be able to create, design, modify, and delete webforms in templates.</td>
<td>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 trail - Availble application support</td>
<td>Functional</td>
<td>Global System</td>
</tr>
<tr>
<td>F08</td>
<td>The solution must allow the external user the ability to edit, add, delete, and edit information in applicable forms according to permissions and business rules.</td>
<td>Functional</td>
<td>Global System</td>
<td></td>
</tr>
<tr>
<td>F09</td>
<td>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.</td>
<td>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 one or more. A list of major capital improvements are displayed and the user may select more than one. Registration reasons: - Section 102 a (1-15) - Section 421-a (1-15) - Article 11 of PHFL - Article 14 &amp; 15 of PHFL - Section 421-a (16) - Section 421-a (17) - Section 421-a (18) - Section 421-a (19) - Regulatory Agreement - Mitchell Law - Other</td>
<td>Functional</td>
<td>Global System</td>
</tr>
<tr>
<td>F10</td>
<td>NYS administrators must be able to specify which elements require validation rules, and what those validation rules must be.</td>
<td>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.</td>
<td>Functional</td>
<td>Global System</td>
</tr>
<tr>
<td>F11</td>
<td>NYS administrators must be able to specify which questions user answers prior questions.</td>
<td>E.g.: If the user selects option A, then question X must appear. If the user selects option B, then question Y must appear.</td>
<td>Functional</td>
<td>Global System</td>
</tr>
<tr>
<td>F12</td>
<td>NYS administrators must be able to add read-only text to a webform.</td>
<td>E.g.: Form instructions, links to datasets, regulations, or websites. - Affirmation text like “I agree that all information…”</td>
<td>Functional</td>
<td>Global System</td>
</tr>
<tr>
<td>F13</td>
<td>NYS administrators must be able to add browse help tips.</td>
<td>E.g.: Tool tips - Hover text - Help text in text boxes</td>
<td>Functional</td>
<td>Global System</td>
</tr>
<tr>
<td>F14</td>
<td>NYS administrators must be able to give each webform a title.</td>
<td>Functional</td>
<td>Global System</td>
<td></td>
</tr>
<tr>
<td>F15</td>
<td>NYS administrators must be able to specify which elements displayed on a webform are mandatory and which are optional, and under what conditions.</td>
<td>E.g.: Field A is optional, but if Field B is 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.</td>
<td>Functional</td>
<td>Global System</td>
</tr>
<tr>
<td>F16</td>
<td>NYS administrators must be able to create test entry, look-up, and modify box fields on a webform.</td>
<td>Functional</td>
<td>Global System</td>
<td></td>
</tr>
<tr>
<td>F17</td>
<td>NYS administrators must be able to specify webforms that can accept uploaded files and which webforms require uploaded files to submit.</td>
<td>E.g.: Include but not limited to: .pdf .doc .xls .jpg .gif .txt .zip</td>
<td>Functional</td>
<td>Global System</td>
</tr>
</tbody>
</table>
WS administrators must be able to design webforms that access one or more assets (buildings, units, apartments, etc.) in the inventory.

- F30: Uploaded files must have a "type" attribute, selected from a list of options specified by a WS administrator where each list is unique to the form.

The solution must automatically determine and assign the Building Location Type according to the building's location.

- F21: A 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 ETSA.

WS administrators must be able to specify default values for some fields.

- F20: NYS administrators must be able to design webforms that access one or more assets (buildings, units, apartments, etc.) in the inventory.

- F31: WS administrators must be able to specify if a webform can include an additional party according to business rules.

- F32: Functional System

- F33: The solution must automatically determine and assign the Building Location Type according to the building's location.

- F34: The solution must include instructions and user feedback such as informational and error messages.

- F35: 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.

- F36: A NYS administrator must be able to specify which elements auto-populate with data from other fields, and under what conditions and according to business rules.

- F37: A tenant name field must auto-populate with the name of the current user, if they are a tenant.

- F38: Date must auto-populate with the closing date specified on a related form.

- F39: Managing Agent details.

- F40: Building owner information.

- F41: Lease Term (Start and End Dates).

- F42: Building (ID(s) of the Building(s)) associated.

- F43: Apartment (ID(s)(Designation(s)) of the Apartment(s) associated.

- F44: Note: Form designer must be able to require meta-data for uploaded documents.

- F45: Reference Case Management F40 and Global System F40.

- F46: The solution must provide the ability to automatically or manually assign the contact's role according to business rules.

- F47: The solution must allow NYS administrators and ITS the ability to configure and maintain the system.

- F48: E.g., Build workflows

- F49: Build reports and dashboards.

- F50: Maintain and customize applications.

- F51: System F40.

- F52: Historical/Fundmark

- F53: Co-op/condo information include but not limited to:

- F54: Offering/Plan effective date

- F55: Sponsor paid for improvements

- F56: Commercial tenant information include but not limited to:

- F57: Total floor area improvement information

- F58: Tenants/apartment information include but not limited to:

- F59: List of tenants

- F60: Number of windows

- F61: Apartment ID(s)/Designation(s) of the Apartment(s) associated.

- F62: Lease Term: Lease Start and End Dates.

- F63: Managing Agent details.

- F64: Correspondence includes but not limited to:

- F65: Owner(s) Name

- F66: Associated Building and/or Apartment

- F67: DateFiled and Created

- F68: Filer Name

- F69: Case Type

- F70: Case status approval

- F71: Application approval

- F72: Correspondence and Template approval

- F73: Documentation approval

- F74: System F40.

- F75: Correspondence F57, Internal Portal F31, and Global System F31.

- F76: System F40.

- F77: Informational: This field is mandatory.

- F78: Error message: The selected Case <Docket No.> cannot be unassociated. The Case must be associated with at least one Apartment.

- F79: A NYS administrator must be able to add sections on a form to record specific details.

- F80: Number of regulated Apts

- F81: Total number of Apts

- F82: Historical/Fundmark

- F83: Co-op/condo information include but not limited to:

- F84: Offering/Plan effective date

- F85: Sponsor paid for improvements

- F86: Commercial tenant information include but not limited to:

- F87: Total floor area improvement information

- F88: Tenants/apartment information include but not limited to:

- F89: List of tenants

- F90: Number of windows

- F91: Apartment ID(s)/Designation(s) of the Apartment(s) associated.

- F92: Lease Term: Lease Start and End Dates.

- F93: Managing Agent details.

- F94: Correspondence includes but not limited to:

- F95: Owner(s) Name

- F96: Associated Building and/or Apartment

- F97: DateFiled and Created

- F98: Filer Name

- F99: Case Type

- F100: Case status approval

- F101: Application approval

- F102: Correspondence and Template approval

- F103: Documentation approval

- F104: System F40.
The solution must provide a parent-child relationship for contacts.

- Owner = tenants

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.

The solution must allow internal users to manually update contact details according to permissions and business rules.

Note: Additionally, have the ability search, filter, and sort.

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.

The solution must require document details when uploading documentation.

Note: Document type must be identified for upload as well as details recorded.

The solution must allow owners of Coop and Condo buildings to register at the DHCR.

- Owner = tenants

The solution must provide an overview of a contact’s system interactions (current and historical) according to permissions and business rules.

- Owner = tenants

The solution must allow internal users to indicate if a registration submission or record needs to be shared and with which agency, if applicable.

Note: Includes external users as well.

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.

The solution must provide the ability to bulk upload data.

Note: Internal contacts

The solution must provide a list of all currently registered contacts.

Note: Currently registered contacts

The solution must require document details when uploading documentation.

Note: Document type must be identified for upload as well as details recorded.

The solution must allow users the ability to create and update registration data manually and/or automatically according to permissions, business rules, and workflows.

The solution must require document details when uploading documentation.

Note: Document type must be identified for upload as well as details recorded.

The solution must support 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
- Radiobutton
- Checkbox
- Currency
- Location
- Percent
- URL
- E.g., Validation to include but not limited to:
- Phone number
- Email address
- Address types
- Date
- Numerical
- State

The solution must automate standard internal procedures and processes according to business rule logic.

Note: Include in cases, record requests, registration, inventory, correspondence, contacts, etc.

- Time-based
- Involved
- 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, the user has not logged in to update the case, and the user has not provided a mobile phone number, the system must send a follow-up text message.
  - When a 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).

The solution must provide an identifier(s) to specified documents according to business rules.

- E.g., Watermark
- Date and time stamp
- Certification (e.g., Public Records, uploaded documentation)

The solution must allow users to scan, sort, filter, view, search (i.e., cases, order 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.


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.

The solution must apply an identifier(s) to specified documents according to business rules.

- E.g., Watermark
- Date and time stamp
- Certification (e.g., Public Records, uploaded documentation)

The solution must provide an overview of a contact’s system interactions (current and historical) according to permissions and business rules.

Note: Currently registered contacts

The solution must have the ability to manually enter data into the system.

Note: Includes external users as well.

The solution must require external users the ability to submit a registration electronically.

Note: External users send a request or response that requires DHCR to create, review, and/or validation rules.

The solution must allow users to access shared registration information.

Note: Includes current and historical registration information.

The solution must allow external users to access a read-only view of shared registration information. DHCR has provided, according to permissions, business rules, and workflows.

When a registration is submitted, the solution must associate registrations with buildings and apartments already in the solution. E.g., if an owner is submitting a 2023 registration for 100 Broadway, the 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.

The solution must allow registration statuses to be automatically and manually assigned, according to business rules and workflows.

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. Note: Submission needs to be reviewed by DHCR.

The solution must provide the ability to identify a secondary registration type. E.g., Annual, Amended, Add-On Amendment, Add-On registrations.

The solution must not allow a secondary registration until the Initial Registration is approved.

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 F133, F144, F145, and Registration Management F4B.

The solution must allow supervisors the ability to view all cases assigned/unassigned and associated with 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 submitting entity. However, the external user may view their submission even if locked.

The solution must allow users and information entered in the registration record.

The solution must provide a viewable field that identifies the internal user assigned to the case.

The solution must provide the ability to create and organize cases into a defined hierarchy.

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. Note: Submission needs to be reviewed by DHCR.

The solution must provide the ability to view potential case duplicates according to permissions, business rules, and workflows.

The solution must allow internal users to view potential case duplicates in batch, merge when duplicates are found, and mark identified as not a duplicate. 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.

The solution must allow internal users the ability 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, Supervision review.

The solution must allow status and sub-status assignments to be automatically and manually applied.

The solution must allow internal users the ability to view potential case duplicates in batch, merge when duplicates are found, and mark identified as not a duplicate. Note: One case selected as the 'mother' or 'source of truth,' and the others are merged or voided. All related lists, contacts, etc., are added to the 'mother.'

The solution must provide internal and external users the ability to view case details and rules, according to permissions, business rules, and workflows.

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-ins, Phone, Group, Emails into the solution.

The solution must provide a convenient search on the case page.

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.

The solution must provide the ability to create and organize cases into a defined hierarchy.

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.

- AKA or apartment number is not in system there needs to be another verification process.
- Alert to user that an order is being issued for a case.
- Acknowledgement email upon receipt.
- Confirmation number must be provided to submitter via user feedback and/or confirmation correspondence. Additionally, the confirmation number must be searchable in the system.
- Emails into the solution
- Drop-off
- Logging walk-in
- Phone
- Group, Emails into the solution
- Status may include but not limited to:
  - Incomplete draft
  - Open
  - Initial Response
  - Avoiding Assignment
  - Hearing requested
  - Avoiding Response
  - Transfer
  - Processing
  - Hold - Article 78
  - Hold - FOS
  - Hold - FIM
  - Determination review
  - Closed (closed sub statuses to further qualify)
  - Sub status include but not limited to:
    - Withdrawn
    - Extension
    - Expedite
    - Inspection

The solution must allow access to instructions and FAQs as well as the ability for owners to request help during the registration process. E.g., if helpful information cannot be captured in the request, the current procedure for owners to request assistance is e-mail. Consider dynamic help requests that pre-prepare field data to mitigate unnecessary information.

Note: Certain statuses must prevent external users from updating a case, such as Hold or Closed, while external users may not view that field. Permissions and business rules apply.

The solution must allow supervisors the ability to view all cases assigned/unassigned and associated with permissions, business rules, and workflows. Note: Any case that is directly related to the Decreased Service Case.

E.g., Status may include but not limited to:
  - Hold - PAR
  - Hold - FOIL
  - Hold - Article 78
  - Awaiting Response
  - Open
  - Incomplete draft
  - Pending
  - Withdrawn
  - Extension
  - Expedite
  - Inspection

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.

The solution must provide the ability to view potential case duplicates in batch, merge when duplicates are found, and mark identified cases as not a duplicate. Note: 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.

- Inspection
- Expedite
- Extension
- Withdrawal
- Determination review
- Hold - PAR
- Hold - FOIL
- Hold - Article 78
- Awaiting Response
- Open
- Incomplete draft
- Pending
- Withdrawn
- Extension
- Expedite
- Inspection

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. Note: Submission needs to be reviewed by DHCR.

- Add-On registrations
- Annual
- Amended
- Add-On Amendment
- Amended
- Add-On Amendment
<table>
<thead>
<tr>
<th>ID</th>
<th>Description</th>
<th>Requirement Details</th>
<th>Functional</th>
<th>Module</th>
</tr>
</thead>
<tbody>
<tr>
<td>F78</td>
<td>The solution must allow the internal user to edit case-related correspondence to multiple contacts related to the case, according to business rules and workflows.</td>
<td>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.</td>
<td>functional</td>
<td>Case Management</td>
</tr>
<tr>
<td>F79</td>
<td>All correspondence referencing a case must contain the case file or ticks to allow the external or external user to open and reference the case.</td>
<td>Note: Access to a case is according to permissions and business rules.</td>
<td>functional</td>
<td>Case Management</td>
</tr>
<tr>
<td>F80</td>
<td>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.</td>
<td>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.</td>
<td>functional</td>
<td>Case Management</td>
</tr>
<tr>
<td>F81</td>
<td>The solution must provide internal users with one place to view all of their assigned cases and related activities and tasks.</td>
<td>functional</td>
<td>Case Management</td>
<td></td>
</tr>
<tr>
<td>F82</td>
<td>The solution must assign and display a unique identifier for every case created, according to business rules and workflows.</td>
<td>functional</td>
<td>Case Management</td>
<td></td>
</tr>
<tr>
<td>F83</td>
<td>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.</td>
<td>functional</td>
<td>Case Management</td>
<td></td>
</tr>
<tr>
<td>F84</td>
<td>The solution must provide segmented information on the case layout page with links to view related information as required.</td>
<td>functional</td>
<td>Case Management</td>
<td></td>
</tr>
<tr>
<td>F85</td>
<td>The solution must provide WYSIWYG editor, the ability to modify, edit, and delete case record hierarchies according to governance processes and SOLC.</td>
<td>functional</td>
<td>Case Management</td>
<td></td>
</tr>
<tr>
<td>F86</td>
<td>The solution must provide notifications to internal users of events in a related case or an associated case.</td>
<td>functional</td>
<td>Case Management</td>
<td></td>
</tr>
<tr>
<td>F87</td>
<td>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 notification is posted to the record with the corresponding case/docket number.</td>
<td>functional</td>
<td>Case Management</td>
<td></td>
</tr>
<tr>
<td>F88</td>
<td>The solution database must hold millions of inventory assets (e.g., buildings, apartments, complexes, etc.) each of which can have hundreds of attributes.</td>
<td>functional</td>
<td>Inventory Management</td>
<td></td>
</tr>
<tr>
<td>F89</td>
<td>Some inventory attribute fields may include multiple values.</td>
<td>functional</td>
<td>Inventory Management</td>
<td></td>
</tr>
<tr>
<td>F90</td>
<td>Each inventory asset may have many uploaded files.</td>
<td>functional</td>
<td>Inventory Management</td>
<td></td>
</tr>
<tr>
<td>F91</td>
<td>Whenever possible, inventory attribute format must be validated using third-party data standards.</td>
<td>functional</td>
<td>Inventory Management</td>
<td></td>
</tr>
<tr>
<td>F92</td>
<td>The solution must accommodate at least 10 different types of inventory asset.</td>
<td>functional</td>
<td>Inventory Management</td>
<td></td>
</tr>
</tbody>
</table>

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

E.g., Building may have associated documents that must be scanned and uploaded which may include photos.

E.g., Building 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 in F283 and Solution Design LLC.

E.g., Inventory assets include but not limited to: Building, Unit, Complex, Condo, Co-op, Apartment, Hotel, Single room occupancy (SRO), Loft, Dormitory houses
Inventory assets have parent-child dependencies and 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.

Each inventory asset may be linked to many tenants, owners, or delegated representatives. E.g., Single building (not a complex) may have many owners. Owner may have many tenants. Multiple delegated representations 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.

Each inventory asset must have designated points of contact for notifications and correspondence. Note: Must always be the most recent tenants and owners according to permissions and business rules.

Authorized DHCR users must be able to edit and delete inventory assets according to permissions, business rules, and workflows. 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 perform edits themselves.

The solution must have the ability to allocate and relocate inventory assets individually and/or 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. Group/Combine transition to own or absorb.

Each inventory asset must have a systematic "activity history" which users can search and view according to permissions and business rules established by the NYS administrator. E.g., Activities in history but not linked to Prior year registrations, amendments, or add-ons. Edits and changes to building attributes. Record of cases (e.g., complaints, or N/A applications). Digital copies of orders or notices. Reason for creation (e.g., create via subdivide). Phone call manually entered.

Each activity in an inventory asset's history must have meta-data. E.g., Meta-data include but not limited to: Transaction dates, Effective date, Changed by. The list of activities in an inventory asset’s history must be sortable, filterable, and searchable. E.g., Search for activities with a date range. Sort for only registration activity. Sort by effective date or transaction date.

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. 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. The submitted online registration may not be altered/edited.

The solution must allow authorized users to save a draft registration for completion at a later date. 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.

The solution must have the ability to allocate and relocate inventory assets individually and/or 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. Group/Combine transition to own or absorb.

Functional Inventory Management

Functional ID Management

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.

External users can request certain edits, but cannot perform edits themselves. Editing and deleting functions may be constrained by business rules or by workflows. Permissions must be set at the role level by a NYS administrator. 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.

DHCA system administrators must be able to create, assign, and modify roles for internal and external users. Note: DHCA 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 file. In the future, documentation will be digitally stored. How can this process be accommodated via permission sets and/or automation?

- Deauthorizes/decommission account
- Reset certifications and verifications
- Re-certification

External users must be able to delegate 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.

External users can request certain edits, but cannot perform edits themselves. Editing and deleting functions may be constrained by business rules or by workflows. Permissions must be set at the role level by a NYS administrator. 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.

DHCA system administrators must be able to assign, and modify roles for internal and external users. Note: DHCA 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 file. In the future, documentation will be digitally stored. How can this process be accommodated via permission sets and/or automation?

- Deauthorizes/decommission account
- Reset certifications and verifications
- Re-certification

External users must be able to access the solution in accordance with their permissions. Note: DHCA system administrator must establish permissions according to a combination of the internal user’s business units and roles. Includes: TPU, ORA, OLA, and others within DHCA.

External users must be able to access the solution in accordance with their permissions. Note: DHCA system administrator must establish permissions according to a combination of the internal user’s business units and roles. Includes: TPU, ORA, OLA, and others within DHCA.

External users must be able to access the solution in accordance with their permissions. Note: DHCA system administrator must establish permissions according to a combination of the internal user’s business units and roles. Includes: TPU, ORA, OLA, and others within DHCA.

External users must be able to access the solution in accordance with their permissions. Note: DHCA system administrator must establish permissions according to a combination of the internal user’s business units and roles. Includes: TPU, ORA, OLA, and others within DHCA.

External users must be able to access the solution in accordance with their permissions. Note: DHCA system administrator must establish permissions according to a combination of the internal user’s business units and roles. Includes: TPU, ORA, OLA, and others within DHCA.

External users must be able to access the solution in accordance with their permissions. Note: DHCA system administrator must establish permissions according to a combination of the internal user’s business units and roles. Includes: TPU, ORA, OLA, and others within DHCA.

External users must be able to access the solution in accordance with their permissions. Note: DHCA system administrator must establish permissions according to a combination of the internal user’s business units and roles. Includes: TPU, ORA, OLA, and others within DHCA.

External users must be able to access the solution in accordance with their permissions. Note: DHCA system administrator must establish permissions according to a combination of the internal user’s business units and roles. Includes: TPU, ORA, OLA, and others within DHCA.

External users must be able to access the solution in accordance with their permissions. Note: DHCA system administrator must establish permissions according to a combination of the internal user’s business units and roles. Includes: TPU, ORA, OLA, and others within DHCA.

External users must be able to access the solution in accordance with their permissions. Note: DHCA system administrator must establish permissions according to a combination of the internal user’s business units and roles. Includes: TPU, ORA, OLA, and others within DHCA.
<table>
<thead>
<tr>
<th>Page</th>
<th>Text</th>
</tr>
</thead>
<tbody>
<tr>
<td>F127</td>
<td>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 7B” is created, ONLY users need access to a closed case. Additional External Portal</td>
</tr>
<tr>
<td>F128</td>
<td>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. Additional External Portal</td>
</tr>
<tr>
<td>F129</td>
<td>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. Additional External Portal</td>
</tr>
<tr>
<td>F130</td>
<td>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 &quot;type&quot; they are searching for (Building, apartment, complex, condo, etc.) Reference Inventory Management regarding editing and deleting inventory assets. Additional External Portal</td>
</tr>
<tr>
<td>F131</td>
<td>DHCR users must be able to configure, view, 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 &quot;address&quot;), filter by &quot;type,&quot; and display columns (&quot;owner&quot;). 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). Additional External Portal</td>
</tr>
<tr>
<td>F132</td>
<td>Authorized DHCR users must be able to search for, sort, filter, view orders and notices according to permissions, business rules, and workflows. Note: DHCR users must have the ability to search for orders by unique identifier, date, related cases, inventory asset EID, 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. Additional External Portal</td>
</tr>
<tr>
<td>F133</td>
<td>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 External Portal</td>
</tr>
<tr>
<td>F134</td>
<td>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. The solution must be flexible enough to accommodate changes and extensions to these permissions and business rules. Functional External Portal</td>
</tr>
<tr>
<td>F135</td>
<td>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 &quot;cases&quot; 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 &quot;building-wide&quot; submission in draft state, and DHCR would like to prepare. Reference Case Management F1.3. Additional External Portal</td>
</tr>
<tr>
<td>F136</td>
<td>The solution must display a &quot;work queue&quot; for DHCR staff that summarizes and enables access to all their assigned tasks. Note: The work queue may display different types of tasks depending on the user. E.g., Joe’s work queue may include cases, record requests, and correspondence. Jane’s work queue may include cases, and overcharge calculations. Functional External Portal</td>
</tr>
<tr>
<td>F137</td>
<td>Authorized DHCR staff must be able to search, sort, filter, view, and fulfill &quot;records request&quot; made by external users, according to permissions, business rules, and workflows. Note: Records requests are initiated by external users (e.g., 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 requests for which the user is assigned. Searching for old or lost records requests. Functional External Portal</td>
</tr>
<tr>
<td>F138</td>
<td>Authorized external users can register, search for, sort, filter, and view their inventory assets (e.g., 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. View inventory assets must follow complex workflows and business rules. Functional External Portal</td>
</tr>
<tr>
<td>F139</td>
<td>Authorized external users must be able to search for, view, sort, and filter their cases 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 rules, 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-keeper 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</td>
</tr>
</tbody>
</table>
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/rental info/public info
- Submissions
- Other elements
- Some correspondence from DHCR to the external user, requires response as defined in business rules and/or workflows.

Authenticated external users must be able to edit or update active cases or registration according to permissions, business rules, and workflows. Note: Includes updating file attachments to cases excluding ones with a status of closed:
- Case Activity
- Case History
- Building Registration

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 trail that can be searched, filtered, and sorted.

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.

Authenticated external users can request relists to their inventory asset(s) (buildings, apartments, complexes, condos, etc.) according to permissions, business rules, and workflows.

Authenticated external users must be able to view their profiles according to permissions, business rules, and workflows. Note: Updated a document to prove their identity.
- Change their address because they moved.

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.

Authenticated external users must be able to initiate a submission while viewing an inventory asset according to permissions, business rules, and workflows.

Authenticated external users must be able to view all records associated with an inventory asset according to permissions, business rules, and workflows.

External users must be able to set their communication preferences.

External users must be able to view any and all documents uploaded by an external user to be retrieved by that user on multiple form submissions, inventory updates, or other activities, with a new warning visible to all users.

External users must be able to use a PDF version of a submission. Know the site, and return later to complete the submission.

Authenticated external users must be able to make submissions to DHCR, so that a case may be created and addressed.

The solution must provide chatbot software.
- E.g., Must include but not limited to:
  - Natural language Processing
  - Flexible data connectors
  - Multi-channel capability
  - Fast onboarding process (i.e., plug and talk)
  - Well-designed user interfaces and experiences
  - Ongoing optimization
  - Analytics and reporting

The solution must support and allow external users access to a calculator(s) to run their own WIS tenant and owner calculations.

The solution must provide the ability for WIS administrators the ability to configure when notifications, correspondence, and messages in any format (e.g., email, text, postal) may be automatically sent according to workflows, triggers, and/or business rules. Note: This includes bulk email capability.
The solution must provide the ability for NYCHCR administrators to create branded (e.g., NYC Housing Authority) and non-branded correspondence templates that may be retrieved, edited, or customized by internal users.

The solution must provide a functional Interoperability feature to allow internal users to view, filter, and/or search records in other agencies' systems. However, the address must be able to be entered. A manual override may be necessary to accommodate these rare instances.

In collaboration with O365 Outlook Calendar and O365, 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.

The solution must allow internal users to access integrated data, tools, and documentation for processing. Processing may include tasks such as inquiry, case processing, registration, etc.

The solution must be able to digitize prefilled documents. E.g., Written information could be OCR'd and populated into applicable fields. Paper documents into the solution to be processed the same as electronic records.

The solution must be able to digitize profiled 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.

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 information on any record. The solution must be able to track and display the full history of any changed value.

The solution must provide the ability for NYS administrators to create branded (e.g., HCR NYC Housing Board) and non-branded correspondence templates that may be retrieved, edited, or customized by internal users.

The solution must provide a functional Interoperability feature to allow internal users to view, filter, and/or search records in other agencies' systems. However, the address must be able to be entered. A manual override may be necessary to accommodate these rare instances.

The solution must provide a functional Correspondence Management service. 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 information on any record. The solution must be able to track and display the full history of any changed value.

The solution must include a no-reply mailbox. The solution must create mailing address labels when printing correspondence for postal service. The solution must provide internal users with the ability to retrieve a template, edit, and/or add to template content, save as a draft that has a draft watermark to alert internal users to the status of the document.

The solution must be able to digitize prefilled documents. E.g., Written information could be OCR’d and populated into applicable fields. Paper documents into the solution to be processed the same as electronic records.

The solution must provide internal users with the ability to retrieve a template, edit, and/or add to template content, save as a draft that has a draft watermark to alert internal users to the status of the document.

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.

The solution must include a no-reply mailbox. The solution must create mailing address labels when printing correspondence for postal service. The solution must provide internal users with the ability to retrieve a template, edit, and/or add to template content, save as a draft that has a draft watermark to alert internal users to the status of the document.

The solution must be able to digitize prefilled documents. E.g., Written information could be OCR’d and populated into applicable fields. Paper documents into the solution to be processed the same as electronic records.

The solution must provide the ability to digitize profiled 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.

The solution must provide a functional Interoperability feature to allow internal users to view, filter, and/or search records in other agencies' systems. However, the address must be able to be entered. A manual override may be necessary to accommodate these rare instances.

The solution must include a no-reply mailbox. The solution must create mailing address labels when printing correspondence for postal service. The solution must provide internal users with the ability to retrieve a template, edit, and/or add to template content, save as a draft that has a draft watermark to alert internal users to the status of the document.

The solution must be able to digitize prefilled documents. E.g., Written information could be OCR’d and populated into applicable fields. Paper documents into the solution to be processed the same as electronic records.

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.

The solution must include a no-reply mailbox. The solution must create mailing address labels when printing correspondence for postal service. The solution must provide internal users with the ability to retrieve a template, edit, and/or add to template content, save as a draft that has a draft watermark to alert internal users to the status of the document.

The solution must be able to digitize prefilled documents. E.g., Written information could be OCR’d and populated into applicable fields. Paper documents into the solution to be processed the same as electronic records.

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.

The solution must include a no-reply mailbox. The solution must create mailing address labels when printing correspondence for postal service. The solution must provide internal users with the ability to retrieve a template, edit, and/or add to template content, save as a draft that has a draft watermark to alert internal users to the status of the document.

The solution must be able to digitize prefilled documents. E.g., Written information could be OCR’d and populated into applicable fields. Paper documents into the solution to be processed the same as electronic records.
The solution must securely transfer data file extracts with external entities on a specified basis.

- Functional Reporting & Analytics
  - The solution must allow external users to produce specified reports according to selected metrics.
  - The solution must allow access to data fields and attributes for reporting and analytics according to permissions and business rules.
  - The solution must integrate with other external HCR applications/systems and external systems as needed for business operations in real-time.
  - The solution must provide the ability to sort, filter, group, sum, and aggregate data.
  - The solution must provide internal users with the ability to define reporting criteria, according to selected metrics, select the preferred reporting format, and generate the report.
  - The solution must provide the ability to schedule data file extracts for transfer to external entities.

- Interoperability
  - The solution must allow external users to produce specified reports according to selected metrics.
  - The solution must provide internal users the ability to print reports.
  - The solution must allow access to data fields and attributes for reporting and analytics according to permissions and business rules.
  - The solution must integrate photos of buildings into the corresponding records.

- Training
  - Functional Reporting & Analytics
  - The solution must provide the ability to export reports in Excel (csv or pdf format).
  - The solution must provide the ability for internal users to export reports in Excel (csv or pdf format).
  - The solution must provide the ability to save and retrieve previously created reports or report templates in the system.
  - The solution must allow users the ability to execute ad hoc reporting according to selected metrics.

- Note:
  - There are 281 reports currently in use.
  - Note: Permissions and business rules apply to data visibility.
  - Number of open cases and closed cases per month, quarter, or year for the unit and the processor.

- Functional Training
  - The solution must provide the ability to sort, filter, group, sum, and aggregate data.
  - The solution must provide the ability for internal users to export reports in Excel (csv or pdf format).
  - The solution must provide the ability to sort, filter, group, sum, and aggregate data.
  - The solution must provide the ability to sort, filter, group, sum, and aggregate data.
  - The solution must provide the ability to sort, filter, group, sum, and aggregate data.

- Note:
  - Current ECM is Content Server (legacy documentation storage solution). The Vendor may use Content Server for legacy documentation search and retrieval.
| F211 | The Vendor must develop and submit to DHCR for review and approval the Training Plan for internal and external end-users. Note: Description training that will be developed for internal and external users, including, at a minimum, the following: UAT training; Initial user training for system cut-off 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 hand-on training may take place in five DHCR locations (Albany, Syracuse, Utica, Queens, Brentwood).
Assigned | 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
Assigned | Training |
| F213 | The Vendor must plan and track internal participants who have attended and completed the training and submit to DHCR.
- E.g., Injections
- Staffing
Assigned | Training |
| F214 | The Vendor is in partnership with DHCR, must develop training surveys and determine appropriate actions according to feedback.
- E.g., Pre-training
- Post-training
Assigned | Training |
| F215 | The Vendor must develop introductory training for internal users on the agile methodology.
- E.g., Definitions
- Processes
- Examples
Assigned | Training |
| F216 | The Vendor must train and support UAT participants.
- E.g., Include but not limited to:
- Initial training/brief-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.
Assigned | Training |
| F217 | The Vendor must develop and deliver a System User Manual that provide 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:
- Assignment 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 reports);
- Creating and modifying document types and templates;
- Monitoring and managing interfaces and data exports and exports.
Assigned | Training |
| F218 | The solution must provide inspection information on the inspection screen that is viewable by specified users, according to business rules.
Note: Information may include tenant, owner and representation, building, apartment (if applicable), case type, and case sub-type.
Assigned | Online Inspection |
| F219 | The solution must automatically generate the inspection request 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., 50% service compliance cases.
- ESP: 2% Overflow depending on ARI or part of a horizontal multiple dwelling.
Assigned | Online Inspection |
| F220 | The solution must provide the ability for the Inspector to select an Inspector’s location as the closest location to the inspection.
Note: The solution must perform decoding of data and provide short location services.
Note: W3S-ITS has some enterprise offerings, such as GIS-City for Geo-location and Streetly Street for address validation.
Assigned | Online 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.
Assigned | Online Inspection |
| F222 | The solution must provide the ability to check in, work, check-out, and query inspection data via a hand-held mobile device.
- E.g., Mobile phone
- Tablet
- iPad
- Android

Any hand-held device
Assigned | Online Inspection |
| F223 | The solution must provide the ability to upload documents and pictures and attach them to an inspection request.
Note: Uploaded pictures must have a date and time stamp and the ability to add a comment.
Assigned | Online Inspection |
| F224 | The solution must be able to automatically assign inspection appointments to inspectors.
- E.g., Assign an inspection Supervisor according to Zone/Borough coverage area.
Assigned | Online Inspection |
| F225 | The solution must provide the ability to manage suggested inspection assignments, inspectors, 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. Managing includes: create, reject, cancel, schedule, reschedule, follow-up, date, and time.
Assigned | Online 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 headquarters.
Assigned | Online Inspection |
| F227 | The solution must provide the ability to efficiently calculate the inspection route and calculate the inspection route at any time.
- 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 to owner, tenant and all owner/tenant rep, tenant/tenant rep.
- Notice Type = Building/Promissary, send Notice of Inspection to Owner for Building Access #2.
- Notice Type = Standard/Notice, send Notice of Inspection to owner and all owner parties and tenants.
- Notice Type = Rescheduled/Cancel, send to applicable parties.
Assigned | Online Inspection |
| F228 | The solution must provide the ability to manage inspection reports.
- E.g., Include but not limited to:
- Generate
- Submit
- Call
- Save
Assigned | Online Inspection |
| F229 | 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.
Assigned | Online Inspection |
| F230 | 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
- Stairs
- Altering
Assigned | Online Inspection |
| F231 | 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.
Assigned | Online 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 |
| 502 | 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. |
| 503 | The Vendor must provide project status and reporting at a level of detail agreed to by DHCR and at appropriate intervals document appropriate actions if sprint expectations are not met. Note: Minimum and associated tasks. |
| 504 | The Vendor must work in coordination with DHCR to agree upon and document appropriate actions if sprint expectations are not met. Note: Small, incident changes may be rolled over to the next sprint. |
| 505 | The Vendor must provide a comprehensive Project Management Plan for DHCR review and approval. Note: Plan must include but not limited to: |
| 506 | 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. |
| 507 | The Vendor must provide a requirements Analysis and Management Plan for DHCR review and approval. The plan must include the NYS PM Checklist for SDLC or Agile-equivalent deliverables and include, at a minimum: |
| 508 | The Vendor must offer industry-standard business analysis techniques as part of requirements analysis. Note: Must follow NYS PM checklist for SDLC or Agile-equivalent deliverables. |
| 509 | The Vendor must create a product backlog according to the Requirements Matrix included in the RFP, throughout the project lifecycle using a tool provided by the Vendor and DHCR. |
| 510 | The Vendor must maintain the product backlog according to the Requirements Matrix included in the RFP, throughout the project lifecycle using a tool provided by the Vendor and DHCR. |
| 511 | The Vendor must create the product backlog available on DHCR and IT system throughout the lifecycle of the project. Note: DHCR must have access and training on the tool provided. Product backlog items must be prioritized in coordination with DHCR and ITS staff. |
| 512 | The Vendor must provide a Change Control Management Plan for DHCR review and approval. Note: Must follow NYS PM checklists. |
| 513 | The Vendor is required to establish and maintain compatibility with DHCR’s standard suite of development tools for all project plans and documentation. Note: Microsoft Office suite (Word, Excel, Visio, etc.) |
| 514 | The Vendor must provide skilled training staff to perform all of the required tasks, produce all required deliverables, and meet the requirements as defined within the RFP. |
| 515 | In addition to the DHCR identified key staff positions, the Vendor must also identify any other key staff roles, titles, that the Vendor considers instrumental to the project’s successful completion and include them in the Vendor’s proposal. |
| 516 | The Vendor must ensure the continued availability of key staff for the duration of the contract. |
| 517 | The Vendor cannot replace key staff without the prior written approval of DHCR. |
| 518 | DHCR must have the ability to remove key staff from the project at the discretion of DHCR Project Leadership. |
| 519 | All key staff must be compliant with New York State mandated training requirements. |
| 520 | The Vendor must make sure all project management deliverables and documents through the end of the contract are in place. Note: Updates must occur as a result of some action, such as an approved change and noted in the revision history. |
| 521 | The Vendor must coordinate activities and cooperate with other Vendors and consultants if they are hired by DHCR to assist with the project. |
| 522 | The Vendor must work cooperatively with other Vendors and consultants and provide project data and supporting documentation when requested. |
| 523 | The Vendor must develop all project management deliverables and documents in collaboration with DHCR. |

**Service** Project Management
The Vendor must submit any updates to DHCR approved plans and project management documents, for DHCR review and approval.

The Vendor must provide DHCR with all procedures for tracking the submission, coordination, review, evaluation, changes and approval of all deliverables.

The Vendor must submit to all contract correspondence (any routine correspondence on transaction letters, names, etc.) and deliverables electronically, using DHCR's standard suite of desktop tools in their native format.

The Vendor must utilize only DHCR provided workstations to connect to the DHCR network and systems while on DHCR premises.

The Vendor must submit to a weekly project status report to the DHCR Project Manager by a DHCR-specified deadline.

The Vendor must contact weekly project management meetings.

The Vendor must develop and submit a Deliverable Expectations Document (DED) which provides format expectations and an outline for each deliverable.

All DHCR data must be segregated from other customers of the Vendor.

The Vendor must create all custom fields that are identified by DHCR.

The solution must be available in multiple environments.

The solution must be hosted, either by the Vendor or by a Vendor contracted third-party, in a Government cloud.

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.

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.

The Vendor must configure drop-down menus in an agreed upon order. Note: Ascending order by alpha or numeric unless otherwise specified by DHCR.

The Vendor must conduct periodic walkthroughs and/or demonstrations with appropriate members of DHCR and ITS staff during the contract phase of the project.

The solution must be consistent with the current look and feel of NY.GOV and DHCR style guide and specification.

The solution must be translatable into the twelve NYS languages: Spanish, Chinese, Russian, Bengali, Korean, Ukrainian, Italian, Hebrew, Polish, Arabic, French, and Urdu.

The Vendor must create all custom fields that are identified by DHCR.

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 or data types, including data in transit or at rest.

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.

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.

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.

The Vendor must create and deliver, to DHCR, any work products necessary to depict, describe and implement the complete design of the solution.

The plan must, at a minimum:

- Use product requirements, functional requirements, test strategies, test plans, test cases, system requirements, system architecture, data models, and other deliverables as inputs.

- Detail the main testing activities in terms of the planned testing effort and test approach, test methodology, quality assurance, and risk management.

- Include a test strategy for each deliverable.

- Include a test plan that includes test cases.

- Summarize the test plan and test cases.

- Detail the main testing activities in terms of the planned testing effort and test approach, test methodology, quality assurance, and risk management.

- Include a test strategy for each deliverable.

- Include a test plan that includes test cases.

- Summarize the test plan and test cases.

- Detail the main testing activities in terms of the planned testing effort and test approach, test methodology, quality assurance, and risk management.

- Include a test strategy for each deliverable.

- Include a test plan that includes test cases.

- Summarize the test plan and test cases.

- Detail the main testing activities in terms of the planned testing effort and test approach, test methodology, quality assurance, and risk management.

- Include a test strategy for each deliverable.

- Include a test plan that includes test cases.

- Summarize the test plan and test cases.
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)

The Vendor must develop, test, or acquire, as required, all the test plans, documentation, processes, procedures, standards, and results. (Note: Including automated test scripts) (service Solution Testing)

The Vendor must deliver detailed test results for each test type for review and approval. (Note: Test results are to be utilized during the testing process.) (service Solution Testing)

The Vendor must conduct, and enable the correction, for any system component or function that produces failed testing, before releasing it to DHCR for re-testing. (service Solution Testing)

The Vendor must develop and submit to DHCR for review and approval (during the contract phase) a Defect Remediation Plan. (Note: Describes how all critical defects will be identified, documented, tracked, repaired or fixed, and resolved during testing). (service Solution Testing)

The Vendor must document, track, report, and resolve all defects identified as critical during testing. (service Solution Testing)

The Vendor must ensure that each functional requirement is traced to one or more test cases. (service Solution Testing)

The Vendor must provide an environment in which development, upgrade, and accessibility testing must be completed. (service Solution Testing)

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 compliant with no changes occurring in production. The environment must be built to the same specifications as the Production environment.) (service Solution Testing)

The Vendor must provide an environment where Calculation testing must be completed. (service Solution Testing)

Interim and final testing must be performed in an environment that has full functionality of all components including all interfaces with which the solution will be used and reviewed. (service Solution Testing)

The Vendor must provide all relevant services for the System. (service Operational Support)

The Vendor must develop and submit an Ongoing Operations and Support Plan to DHCR and ITS for review and approval during the contract phase of the project. (service Operational Support)

The Vendor must develop and submit an ongoing Operations and Support Plan to DHCR and ITS. (service Operational Support)

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). (Note: Include but not limited to: - Development - Production) (service Operational Support)

The Vendor must provide all necessary Services to operate, maintain, and support the system, including all environments, and ensuring the system remains in compliance with the requirements and the service-level agreements (SLAs). (Note: Include and submit to DHCR and ITS.) (service Operational Support)

The Vendor must perform a Root Cause Analysis for repeated or reoccurring critical defects. (service Solution Testing)

The Vendor must work collaboratively with DHCR to validates and finalize the User Interface. (service Solution Testing)

The Vendor must develop and perform standard set of test scenarios, test cases, and test scripts. (service Operational Support)

The Vendor must control, maintain, and provide a standard set of test scenarios, test cases, and test scripts. (service Operational Support)

The Vendor must provide an environment where all technical problems and provide hourly reports on the critical/emergency problems to DHCR. (service Operational Support)

The Vendor must implement all required staffing needs detailed in the BCP. (service Operational Support)

The Vendor must provide an internal plan for system maintenance and change requests, using the approved Change Management Process. (Note: Internal changes by NYS administrators must proceed through the Change Management process.) (service Operational Support)

The Vendor must maintain all inbound and outbound interface updates with DHCR or third-party systems. (Note: RSA Annual Registration updates.) (service Operational Support)

The Vendor must develop and provide Ongoing Operations and Support Plan for both technical and business operations. (service Operational Support)

The Vendor must develop an Ongoing Operations and Support Plan for both technical and business operations. (service Operational Support)

The Vendor must provide all required services for the System. (Note: Include but not limited to: - Development and providing a roadmap of planned releases and upgrades (i.e., Release Management Plan) - Maintenance and upgrades for 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 restoration of hardware when necessary - Fulfillment of requests for changes to the System which include update to system functionality, configurations or customizations, including systemтуality, database administration, IT operational support plans, IT operational support plans, and support for established help desk contracts.) (service Operational Support)

The Vendor must provide a Service Desk ticketing system accessible by DHCR and ITS staff, to document and track incidents and other requests. (service Operational Support)

The Vendor must acknowledge all service desk calls, emails, and tickets within the timesframes defined in the SLA. (service Operational Support)

The Vendor must provide service desk support 24/7 via telephone number and e-mail provided by the Vendor. (Note: Includes but not limited to - Documenting, identifying, and researching service requests - Troubleshooting incidents and escalating 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 Support Center - 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)

The Vendor must provide the 24-hour service desk support services for all technical/emergency technical problems and provide hourly reports on the critical/emergency problems to DHCR. (service Operational Support)

The service desk staff must speak fluent English and be located in the continental United States. (service Operational Support)

The Vendor must perform a Root Cause Analysis for repeated or recurring critical incidents or defects and provide a full report to DHCR. (service Operational Support)
<table>
<thead>
<tr>
<th>The Vendor must provide a Technical Operations and Support Status Report, every 2 weeks or by request.</th>
<th>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 on any state and federal regulation changes - Status of open tickets - Report of showstoppers - Status of change requests Recently resolved tickets and identification of the root cause of the incident or defect - Recurring incidents and plans for resolution - Results and action taken to rectify any incidents</th>
<th>Service</th>
<th>Operational Support</th>
</tr>
</thead>
<tbody>
<tr>
<td>The Vendor must collaborate with DHCR and ITS to resolve technical problems when needed.</td>
<td>e.g., Include but not limited to: - Connectivity - Interoperability - Single Sign-On</td>
<td>Service</td>
<td>Operational Support</td>
</tr>
<tr>
<td>The Vendor must conduct Support Status Meetings during a critical outage.</td>
<td>Service</td>
<td>Disaster Recovery</td>
<td></td>
</tr>
<tr>
<td>The Vendor must develop and submit for review and approval a comprehensive Disaster Recovery plan.</td>
<td>Service</td>
<td>Disaster Recovery</td>
<td></td>
</tr>
<tr>
<td>The system and database(s) must be backed up daily, or per DHCR request.</td>
<td>Service</td>
<td>Disaster Recovery</td>
<td></td>
</tr>
<tr>
<td>The system must support off site remote file backup to the disaster recovery site.</td>
<td>Service</td>
<td>Disaster Recovery</td>
<td></td>
</tr>
<tr>
<td>The system must support data recovery capabilities to restore damaged files from the disaster recovery site.</td>
<td>Service</td>
<td>Disaster Recovery</td>
<td></td>
</tr>
<tr>
<td>The Vendor must collaborate with DHCR and ITS to plan and conduct data cleansing.</td>
<td>Note: A Root Cause Analysis Report is expected to be documented and an updated transition plan.</td>
<td>Service</td>
<td>Disaster Recovery</td>
</tr>
<tr>
<td>The Vendor must perform data gap analysis and provide recommendations for each iteration.</td>
<td>Non-Functional Transition</td>
<td></td>
<td></td>
</tr>
<tr>
<td>The Vendor must develop a Data Migration Plan for DHCR and ITS review and approval.</td>
<td>Non-Functional Transition</td>
<td></td>
<td></td>
</tr>
<tr>
<td>The Vendor must provide tools required to perform data migration activities.</td>
<td>Non-Functional Transition</td>
<td></td>
<td></td>
</tr>
<tr>
<td>The Vendor must provide a Technical Operations and Support Status Report, every 2 weeks or by request.</td>
<td>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 on any state and federal regulation changes - Status of open tickets - Report of showstoppers - Status of change requests Recently resolved tickets and identification of the root cause of the incident or defect - Recurring incidents and plans for resolution - Results and action taken to rectify any incidents</td>
<td>Service</td>
<td>Operational Support</td>
</tr>
<tr>
<td>The Vendor must collaborate with DHCR and ITS to resolve technical problems when needed.</td>
<td>e.g., Include but not limited to: - Connectivity - Interoperability - Single Sign-On</td>
<td>Service</td>
<td>Operational Support</td>
</tr>
<tr>
<td>The Vendor must conduct Support Status Meetings during a critical outage.</td>
<td>Service</td>
<td>Disaster Recovery</td>
<td></td>
</tr>
<tr>
<td>The Vendor must develop and submit for review and approval a comprehensive Disaster Recovery plan.</td>
<td>Service</td>
<td>Disaster Recovery</td>
<td></td>
</tr>
<tr>
<td>The system and database(s) must be backed up daily, or per DHCR request.</td>
<td>Service</td>
<td>Disaster Recovery</td>
<td></td>
</tr>
<tr>
<td>The system must support off site remote file backup to the disaster recovery site.</td>
<td>Service</td>
<td>Disaster Recovery</td>
<td></td>
</tr>
<tr>
<td>The system must support data recovery capabilities to restore damaged files from the disaster recovery site.</td>
<td>Service</td>
<td>Disaster Recovery</td>
<td></td>
</tr>
<tr>
<td>The Vendor must collaborate with DHCR and ITS to plan and conduct data cleansing.</td>
<td>Note: A Root Cause Analysis Report is expected to be documented and an updated transition plan.</td>
<td>Service</td>
<td>Disaster Recovery</td>
</tr>
<tr>
<td>The Vendor must perform data gap analysis and provide recommendations for each iteration.</td>
<td>Non-Functional Transition</td>
<td></td>
<td></td>
</tr>
<tr>
<td>The Vendor must develop a Data Migration Plan for DHCR and ITS review and approval.</td>
<td>Non-Functional Transition</td>
<td></td>
<td></td>
</tr>
<tr>
<td>The Vendor must provide tools required to perform data migration activities.</td>
<td>Non-Functional Transition</td>
<td></td>
<td></td>
</tr>
<tr>
<td>The Vendor must provide a Technical Operations and Support Status Report, every 2 weeks or by request.</td>
<td>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 on any state and federal regulation changes - Status of open tickets - Report of showstoppers - Status of change requests Recently resolved tickets and identification of the root cause of the incident or defect - Recurring incidents and plans for resolution - Results and action taken to rectify any incidents</td>
<td>Service</td>
<td>Operational Support</td>
</tr>
<tr>
<td>The Vendor must collaborate with DHCR and ITS to resolve technical problems when needed.</td>
<td>e.g., Include but not limited to: - Connectivity - Interoperability - Single Sign-On</td>
<td>Service</td>
<td>Operational Support</td>
</tr>
<tr>
<td>The Vendor must conduct Support Status Meetings during a critical outage.</td>
<td>Service</td>
<td>Disaster Recovery</td>
<td></td>
</tr>
<tr>
<td>The Vendor must develop and submit for review and approval a comprehensive Disaster Recovery plan.</td>
<td>Service</td>
<td>Disaster Recovery</td>
<td></td>
</tr>
<tr>
<td>The system and database(s) must be backed up daily, or per DHCR request.</td>
<td>Service</td>
<td>Disaster Recovery</td>
<td></td>
</tr>
<tr>
<td>The system must support off site remote file backup to the disaster recovery site.</td>
<td>Service</td>
<td>Disaster Recovery</td>
<td></td>
</tr>
<tr>
<td>The system must support data recovery capabilities to restore damaged files from the disaster recovery site.</td>
<td>Service</td>
<td>Disaster Recovery</td>
<td></td>
</tr>
<tr>
<td>The Vendor must collaborate with DHCR and ITS to plan and conduct data cleansing.</td>
<td>Note: A Root Cause Analysis Report is expected to be documented and an updated transition plan.</td>
<td>Service</td>
<td>Disaster Recovery</td>
</tr>
<tr>
<td>The Vendor must perform data gap analysis and provide recommendations for each iteration.</td>
<td>Non-Functional Transition</td>
<td></td>
<td></td>
</tr>
<tr>
<td>The Vendor must develop a Data Migration Plan for DHCR and ITS review and approval.</td>
<td>Non-Functional Transition</td>
<td></td>
<td></td>
</tr>
<tr>
<td>The Vendor must provide tools required to perform data migration activities.</td>
<td>Non-Functional Transition</td>
<td></td>
<td></td>
</tr>
<tr>
<td>The Vendor must provide a Technical Operations and Support Status Report, every 2 weeks or by request.</td>
<td>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 on any state and federal regulation changes - Status of open tickets - Report of showstoppers - Status of change requests Recently resolved tickets and identification of the root cause of the incident or defect - Recurring incidents and plans for resolution - Results and action taken to rectify any incidents</td>
<td>Service</td>
<td>Operational Support</td>
</tr>
<tr>
<td>The Vendor must collaborate with DHCR and ITS to resolve technical problems when needed.</td>
<td>e.g., Include but not limited to: - Connectivity - Interoperability - Single Sign-On</td>
<td>Service</td>
<td>Operational Support</td>
</tr>
<tr>
<td>The Vendor must conduct Support Status Meetings during a critical outage.</td>
<td>Service</td>
<td>Disaster Recovery</td>
<td></td>
</tr>
<tr>
<td>The Vendor must develop and submit for review and approval a comprehensive Disaster Recovery plan.</td>
<td>Service</td>
<td>Disaster Recovery</td>
<td></td>
</tr>
<tr>
<td>The system and database(s) must be backed up daily, or per DHCR request.</td>
<td>Service</td>
<td>Disaster Recovery</td>
<td></td>
</tr>
<tr>
<td>The system must support off site remote file backup to the disaster recovery site.</td>
<td>Service</td>
<td>Disaster Recovery</td>
<td></td>
</tr>
<tr>
<td>The system must support data recovery capabilities to restore damaged files from the disaster recovery site.</td>
<td>Service</td>
<td>Disaster Recovery</td>
<td></td>
</tr>
<tr>
<td>The Vendor must collaborate with DHCR and ITS to plan and conduct data cleansing.</td>
<td>Note: A Root Cause Analysis Report is expected to be documented and an updated transition plan.</td>
<td>Service</td>
<td>Disaster Recovery</td>
</tr>
<tr>
<td>The Vendor must perform data gap analysis and provide recommendations for each iteration.</td>
<td>Non-Functional Transition</td>
<td></td>
<td></td>
</tr>
<tr>
<td>The Vendor must develop a Data Migration Plan for DHCR and ITS review and approval.</td>
<td>Non-Functional Transition</td>
<td></td>
<td></td>
</tr>
<tr>
<td>The Vendor must provide tools required to perform data migration activities.</td>
<td>Non-Functional Transition</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
The solution must support a minimum of 150 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

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

The solution must support a minimum of 3 in total 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. Vendor may provide input on what this number should be according to prior experience.

Non-Functional Solution Performance

The solution must support a minimum of 3.5 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 future growth. Vendor may provide input on what this number should be according to prior experience.

Non-Functional Solution Performance

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

The solution must meet system availability uptime of 99.5 percent 24 x 7 x 365 service other than downtime for scheduled maintenance.

Non-Functional Solution Performance

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

The Vendor must cooperate with DHCR and/or any independent third-party vendor engaged by DHCR in unificationally demonstrating compliance with all applicable State and federal requirements, regulations, standards, policies, mandates, and industry best practices.

Non-Functional Security

The Vendor must follow the NYS Secure System 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

The Vendor’s employees and subcontractors must also comply with all security requirements.

Non-Functional Security

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

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.

Non-Functional Security

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.
- Incident response triggering sources, incident types, and incident priority 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

The Vendor must provide notification to DHCR verbally within one hour and written notification within 24 hours of all confirmed security incidents of a security level of medium or high (per the NYS ITS Cyber Incident Response Standard).

Non-Functional Security

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

The Vendor must obtain DHCR sign-off on all security plans (or changes to security plans) before proceeding.

Non-Functional Security

The system must meet the security requirements for Moderate Impact Level Systems with the National Institute of Standards and Technology (NIST).

Non-Functional Security

The system must meet all Identity Assurance and/or Security Breach Notification requirements.

Non-Functional Security

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, Authentication Assurance Level 2, and Federation Assurance Level 2.

Non-Functional Security

The IT system must ensure that all data is encrypted at rest according to prior experience.

Non-Functional Security

All DHCR data must be encrypted in transit and at rest.

Non-Functional Security

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

The solution 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, Authentication Assurance Level 2, and Federation Assurance Level 2.

Non-Functional Security

The solution must support a minimum of 350 internal 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. Vendor may provide input on what this number should be according to prior experience.

Non-Functional Solution Performance

The solution must meet the security requirements for Moderate Impact Level Systems

Non-Functional Security

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, Authentication Assurance Level 2, and Federation Assurance Level 2.

Non-Functional Security

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.

Non-Functional Security

The solution must support a minimum of 3 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

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

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

The solution must meet system availability uptime of 99.5 percent 24 x 7 x 365 service other than downtime for scheduled maintenance.

Non-Functional Solution Performance

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

The Vendor must cooperate with DHCR and/or any independent third-party vendor engaged by DHCR in unificationally demonstrating compliance with all applicable State and federal requirements, regulations, standards, policies, mandates, and industry best practices.

Non-Functional Security

The Vendor must follow the NYS Secure System 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

The Vendor’s employees and subcontractors must also comply with all security requirements.

Non-Functional Security

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

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.

Non-Functional Security

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.
- Incident response triggering sources, incident types, and incident priority 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

The Vendor must provide notification to DHCR verbally within one hour and written notification within 24 hours of all confirmed security incidents of a security level of medium or high (per the NYS ITS Cyber Incident Response Standard).

Non-Functional Security

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

The Vendor must obtain DHCR sign-off on all security plans (or changes to security plans) before proceeding.

Non-Functional Security

The system must meet the security requirements for Moderate Impact Level Systems with the National Institute of Standards and Technology (NIST).

Non-Functional Security

The system must meet all Identity Assurance and/or Security Breach Notification requirements.

Non-Functional Security

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, Authentication Assurance Level 2, and Federation Assurance Level 2.

Non-Functional Security

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

All DHCR data must be encrypted in transit and at rest.

Non-Functional Security
<table>
<thead>
<tr>
<th>Case Type</th>
<th>Case Type description</th>
<th>Owner (or rep)</th>
<th>Non-Compliance</th>
</tr>
</thead>
<tbody>
<tr>
<td>AC</td>
<td>Owner Labor Rent Increase</td>
<td>Tenant (or rep)</td>
<td>Case Types with descriptions.xlsx, OR; Docket Numbers and Case Types.pdf</td>
</tr>
<tr>
<td>4 1 AO</td>
<td>Administrative Determinations</td>
<td>Owner (or rep)</td>
<td>Case Types list</td>
</tr>
<tr>
<td>4 1 AO-REG</td>
<td>Administrative Determinations</td>
<td>Owner (or rep)</td>
<td>Case Types list</td>
</tr>
<tr>
<td>4 2 AK</td>
<td>Administrative Investigations</td>
<td>Owner (or rep)</td>
<td>Case Types list</td>
</tr>
<tr>
<td>4 2 AK-RK</td>
<td>Administrative Investigations</td>
<td>Owner (or rep)</td>
<td>Case Types list</td>
</tr>
<tr>
<td>AM</td>
<td>Increase Occ. Rent Increase (MST NCH)</td>
<td>Owner (or rep)</td>
<td>Docket Numbers and Case Types.pdf</td>
</tr>
<tr>
<td>AN</td>
<td>Increase Operating Costs(NOT NCH)</td>
<td>Owner (or rep)</td>
<td>Docket Numbers and Case Types.pdf</td>
</tr>
<tr>
<td>AV</td>
<td>Administrative Violation</td>
<td>Owner (or rep)</td>
<td>Docket Numbers and Case Types.pdf</td>
</tr>
<tr>
<td>5</td>
<td>Tenant Building-wide Services</td>
<td>Owner (or rep)</td>
<td>Docket Numbers and Case Types.pdf</td>
</tr>
<tr>
<td>2 7 8D</td>
<td>Owner MBM Challenge</td>
<td>Owner (or rep)</td>
<td>Docket Numbers and Case Types.pdf</td>
</tr>
<tr>
<td>2 7 8F</td>
<td>Tenant MBM Challenge</td>
<td>Owner (or rep)</td>
<td>Docket Numbers and Case Types.pdf</td>
</tr>
<tr>
<td>OP</td>
<td>Owner Determination of Privacy Residence (ETPA)</td>
<td>Owner (or rep)</td>
<td>Docket Numbers and Case Types.pdf</td>
</tr>
<tr>
<td>G</td>
<td>Tenant Eviction Appeal</td>
<td>Owner (or rep)</td>
<td>Docket Numbers and Case Types.pdf</td>
</tr>
<tr>
<td>F</td>
<td>Tenant Fuel Cost Challenge</td>
<td>Owner (or rep)</td>
<td>Docket Numbers and Case Types.pdf</td>
</tr>
<tr>
<td>FC</td>
<td>Fuel Cost Report</td>
<td>Owner (or rep)</td>
<td>Docket Numbers and Case Types.pdf</td>
</tr>
<tr>
<td>FR</td>
<td>Fuel Cost Reconsideration/Suspension</td>
<td>Owner (or rep)</td>
<td>Docket Numbers and Case Types.pdf</td>
</tr>
<tr>
<td>5 2 IC</td>
<td>Collection of Civil Penalties</td>
<td>Owner (or rep)</td>
<td>Docket Numbers and Case Types.pdf</td>
</tr>
<tr>
<td>5 6 ID</td>
<td>Alien Discrimination</td>
<td>Owner (or rep)</td>
<td>Docket Numbers and Case Types.pdf</td>
</tr>
<tr>
<td>5 6 IN</td>
<td>Alien Discrimination Investigation</td>
<td>Owner (or rep)</td>
<td>Docket Numbers and Case Types.pdf</td>
</tr>
<tr>
<td>5 7 IH</td>
<td>Tenant Harassment</td>
<td>Tenant (or rep)</td>
<td>Case Types list</td>
</tr>
<tr>
<td>HS-BSD</td>
<td>Tenant Harassment/Liability - Mediation</td>
<td>Tenant (or rep)</td>
<td>Case Types list</td>
</tr>
<tr>
<td>6 6 HM</td>
<td>Fraud Investigation</td>
<td>Owner (or rep)</td>
<td>Docket Numbers and Case Types.pdf</td>
</tr>
<tr>
<td>LD</td>
<td>Tenant Heat/Hot Water</td>
<td>Owner (or rep)</td>
<td>Case Types with descriptions.xlsx, OR; Docket Numbers and Case Types.pdf</td>
</tr>
<tr>
<td>LS</td>
<td>Luxury Decorations</td>
<td>Owner (or rep)</td>
<td>Case Types with descriptions.xlsx, OR; Docket Numbers and Case Types.pdf</td>
</tr>
<tr>
<td>LL</td>
<td>Tenant Abatement - Registration fee (ETPA)</td>
<td>Owner (or rep)</td>
<td>Case Types with descriptions.xlsx, OR; Docket Numbers and Case Types.pdf</td>
</tr>
<tr>
<td>LN</td>
<td>Tenant Abatement - Registration fee (NCH)</td>
<td>Owner (or rep)</td>
<td>Case Types with descriptions.xlsx, OR; Docket Numbers and Case Types.pdf</td>
</tr>
<tr>
<td>NR</td>
<td>Tenant MBM Rent Correction</td>
<td>Owner (or rep)</td>
<td>Case Types with descriptions.xlsx, OR; Docket Numbers and Case Types.pdf</td>
</tr>
<tr>
<td>NT</td>
<td>Multi-gen rent correction</td>
<td>Owner (or rep)</td>
<td>Case Types with descriptions.xlsx, OR; Docket Numbers and Case Types.pdf</td>
</tr>
<tr>
<td>7 7 NC</td>
<td>Tenant MBM Non-Compliance</td>
<td>Owner (or rep)</td>
<td>Case Types list</td>
</tr>
<tr>
<td>OD</td>
<td>Owner Modification of Services</td>
<td>Owner (or rep)</td>
<td>Case Types with descriptions.xlsx, OR; Docket Numbers and Case Types.pdf</td>
</tr>
<tr>
<td>OD-Elec</td>
<td>Owner Modification of Services - Electric</td>
<td>Owner (or rep)</td>
<td>Case Types with descriptions.xlsx, OR; Docket Numbers and Case Types.pdf</td>
</tr>
<tr>
<td>OB</td>
<td>Owner Eviction</td>
<td>Owner (or rep)</td>
<td>Case Types with descriptions.xlsx, OR; Docket Numbers and Case Types.pdf</td>
</tr>
<tr>
<td>OH</td>
<td>Owner Habitation</td>
<td>Owner (or rep)</td>
<td>Case Types with descriptions.xlsx, OR; Docket Numbers and Case Types.pdf</td>
</tr>
<tr>
<td>2 7 CH</td>
<td>Owner Individual Rent Increase</td>
<td>Owner (or rep)</td>
<td>Docket Numbers and Case Types.pdf</td>
</tr>
<tr>
<td>CH-A/C</td>
<td>Owner Individual Rent Increase - A/C</td>
<td>Owner (or rep)</td>
<td>Docket Numbers and Case Types.pdf</td>
</tr>
<tr>
<td>CH-HFFP</td>
<td>Owner Individual Rent Increase -HFFP</td>
<td>Owner (or rep)</td>
<td>Docket Numbers and Case Types.pdf</td>
</tr>
<tr>
<td>CH-OCC</td>
<td>Owner Individual Rent Increase - OCC</td>
<td>Owner (or rep)</td>
<td>Docket Numbers and Case Types.pdf</td>
</tr>
<tr>
<td>CH-CM</td>
<td>Owner Multiple Rent Increase (CM)</td>
<td>Owner (or rep)</td>
<td>Docket Numbers and Case Types.pdf</td>
</tr>
<tr>
<td>2 7 OMCDC Form</td>
<td>Operation/ Maintenance, and related services</td>
<td>Part of the MBM process</td>
<td>Owner (or rep)</td>
</tr>
<tr>
<td>OP</td>
<td>Prior Opinion - AOC</td>
<td>Owner (or rep)</td>
<td>Docket Numbers and Case Types.pdf</td>
</tr>
<tr>
<td>OF-UC</td>
<td>Prior Opinion - UC</td>
<td>Owner (or rep)</td>
<td>Docket Numbers and Case Types.pdf</td>
</tr>
<tr>
<td>OR</td>
<td>Owner Restoration of Rent</td>
<td>Owner (or rep)</td>
<td>Docket Numbers and Case Types.pdf</td>
</tr>
<tr>
<td>P</td>
<td>Owner report of lease (not MBM)</td>
<td>Owner (or rep)</td>
<td>Docket Numbers and Case Types.pdf</td>
</tr>
<tr>
<td>H</td>
<td>Rent Overcharge</td>
<td>Owner (or rep)</td>
<td>Docket Numbers and Case Types.pdf</td>
</tr>
<tr>
<td>H-RC</td>
<td>Rent Overcharge - Rent Control</td>
<td>Owner (or rep)</td>
<td>Docket Numbers and Case Types.pdf</td>
</tr>
<tr>
<td>HC</td>
<td>Rent Overcharge - Rent Control</td>
<td>Owner (or rep)</td>
<td>Docket Numbers and Case Types.pdf</td>
</tr>
<tr>
<td>R</td>
<td>Remedy Action</td>
<td>Owner (or rep)</td>
<td>Docket Numbers and Case Types.pdf</td>
</tr>
<tr>
<td>2 7 RC</td>
<td>Owner MBM Re-examination</td>
<td>Owner (or rep)</td>
<td>Docket Numbers and Case Types.pdf</td>
</tr>
<tr>
<td>R-GAR</td>
<td>Tenant Overcharge -Garage</td>
<td>Owner (or rep)</td>
<td>Docket Numbers and Case Types.pdf</td>
</tr>
<tr>
<td>RL</td>
<td>Remand Proceeding</td>
<td>Owner (or rep)</td>
<td>Docket Numbers and Case Types.pdf</td>
</tr>
<tr>
<td>RP</td>
<td>Remand Proceeding - HA</td>
<td>Owner (or rep)</td>
<td>Docket Numbers and Case Types.pdf</td>
</tr>
<tr>
<td>2 7 IR</td>
<td>Owner Retraction Rent Increase</td>
<td>Owner (or rep)</td>
<td>Docket Numbers and Case Types.pdf</td>
</tr>
<tr>
<td>1.7</td>
<td>RV</td>
<td>Lease Violation</td>
<td>Tenant (or rep)</td>
</tr>
<tr>
<td>------</td>
<td>----</td>
<td>----------------</td>
<td>----------------</td>
</tr>
<tr>
<td>S</td>
<td>Tenant Decreased Services</td>
<td></td>
<td></td>
</tr>
<tr>
<td>SD</td>
<td>Statutory Decerral Report</td>
<td></td>
<td></td>
</tr>
<tr>
<td>T</td>
<td>Overcharge Filed Under CAB</td>
<td></td>
<td></td>
</tr>
<tr>
<td>TA</td>
<td>Vacated Fair Marked Rent Against (Not NYC)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>N/A</td>
<td>N/A</td>
<td>(TS 105)</td>
<td></td>
</tr>
<tr>
<td>TL</td>
<td>Tenant Rent Increase Exception (Not NYC)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>U</td>
<td>Registration Update</td>
<td></td>
<td></td>
</tr>
<tr>
<td>UC</td>
<td>Owner Exemption Determination</td>
<td></td>
<td></td>
</tr>
<tr>
<td>US</td>
<td>Rent Control Update by HPD/Court</td>
<td></td>
<td></td>
</tr>
<tr>
<td>UT</td>
<td>Rent Controlled Registration Update by Tenant</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.7</td>
<td>WC</td>
<td>Violation Certification</td>
<td>Part of NYC Violation process</td>
</tr>
<tr>
<td>3.11</td>
<td>X</td>
<td>Tax Abatement</td>
<td></td>
</tr>
</tbody>
</table>