

# NEW YORK STATE DIVISION OF HOUSING AND COMMUNITY RENEWAL

## REQUEST FOR INFORMATION RENT REGULATION SYSTEM MODERNIZATION (“RRSM”)

**NOTE:** THIS IS A REQUEST FOR INFORMATION (“RFI”) AND IS NOT A SOLICITATION. THE NEW YORK STATE DIVISION OF HOUSING AND COMMUNITY RENEWAL RESERVES THE RIGHT TO USE INFORMATION RESULTING FROM THIS RFI PROCESS TO DEVELOP A FUTURE SOLICITATION.

### 1. INTRODUCTION

#### 1.1. PURPOSE

[New York State Division of Housing and Community Renewal](#) (“DHCR”) is requesting information from qualified vendors with proven, verifiable expertise in providing and implementing a technical solution for a case processing backend system, which includes complex calculations and a public-facing web-based, self-service portal. Our goal is to modernize our current legacy systems and manual processes to improve staff productivity and provide public self-services (the “Project”).

The purpose of this Request for Information (“RFI”) is to gain knowledge regarding the full range of options available in the marketplace for the Project.

#### 1.2. CALENDAR OF EVENTS AND MILESTONES

Milestone	Date and Time
RFI Release Date	May 6, 2021
Teleconference to be held via WebEx**	May 11, 2021
Closing Date for Inquiries	May 20, 2021, 3:00pm, Eastern Daylight Time (“EDT”)
Responses to Inquiries Posted (Estimated)	May 27, 2021
RFI Response Due Date	June 4, 2021, 12pm, EDT
(Optional) Vendor Demonstrations	To be determined

Vendors submitting a response to this RFI may be invited to provide a demonstration of their solution to DHCR staff. As this RFI is not a solicitation, demonstrations are not scored, but rather are used to gather a general understanding of capabilities and functionality of solutions in the industry.

DHCR reserves the right to modify this schedule at its discretion. Notification of changes in connection with this RFI will be made available to all interested parties via HCR's web page: <https://hcr.ny.gov/procurement-opportunities> . It is the responsibility of the Respondent to check the web site for notifications relating to this RFI.

**\*\*Below is the WebEx information for the Teleconference together with Registration Information.**

The Rent Regulation System Modernization Teleconference has been scheduled for May 11, 2021 at 1:00pm, Eastern Daylight Time (EDT).

Registration is required for each attendee.

To receive a registration form, please email [Philip.chu@hcr.ny.gov](mailto:Philip.chu@hcr.ny.gov). The subject line of the email should indicate "Rent Regulation System Modernization Teleconference Registration Request".

Registration requests should be submitted by May 10, 2021 at 12:00pm, EDT. Registration forms will be emailed on 12:15pm, EDT on the day of the conference.

Please note that the teleconference will be recorded for DHCR use only.

Rent Regulation System Modernization Teleconference  
Hosted by Philip Chu

<https://meetny.webex.com/meetny/j.php?MTID=m6f83ac24a332fee4207ca7c77ad9bc9c>  
Tuesday, May 11, 2021 1:00 pm | 1 hour 30 minutes | (UTC-04:00) Eastern Time (US & Canada)  
Meeting number: 161 169 0101  
Password: RRSM2021

Join by video system  
Dial 1611690101@meetny.webex.com  
You can also dial 173.243.2.68 and enter your meeting number.

Join by phone  
+1-518-549-0500 USA Toll  
Access code: 161 169 0101

## **2. BACKGROUND**

[New York State Homes and Community Renewal](#) ("HCR") consists of all the major housing and community renewal agencies of the State of New York ("State" or "NYS"), including DHCR. DHCR also includes the [Office of Rent Administration](#) ("ORA"), the [Tenant Protection Unit](#) ("TPU"), and the Office of Legal Affairs ("OLA").

ORA administers the **Rent Regulation Laws** throughout NYS. Due to diminishing resources, DHCR's impacted citizens, building owners, and tenants have experienced delays in response to matters affecting their living situations and/or livelihood. By modernizing processes and technology, DHCR can better leverage its resources by allocating them in a more efficient manner while providing increased operative oversight to help identify and mitigate issues before they adversely impact tenants and owners. As such, DHCR seeks to improve public experience and perception of DHCR's rent administration processes.

ORA considers and responds to the complaints/applications and inquiries from tenants and owners of over 900,000 rent regulated apartments. ORA is organized into four bureaus: (i) Stabilized Tenancy and Rent Review Bureau; (ii) Property Management Bureau; (iii) Rent Control/Emergency Tenant Protection Act ("**ETPA**") Bureau; and (iv) the Rent Information Bureau. With the exception of the Rent Information Bureau which fields thousands of rent inquiries monthly via phone, email and walk-in services, all the bureaus are case processing bureaus which handle approximately 50 different case types concerning various areas of the rent regulation system including, but not limited to, rent overcharge, lease violations, apartment and building services, major capital improvements, harassment and compliance.

ORA works collaboratively with TPU and OLA in support of daily operations.

More detailed information on ORA can be found at:

<https://hcr.ny.gov/office-rent-administration-ora>

New York State Rent Laws 2019 and related Fact Sheets:

<https://hcr.ny.gov/rent-laws-updates>

DHCR Office of Rent Administration 2019 Annual Report:

<https://hcr.ny.gov/system/files/documents/2019/12/rent-2019-annual-review-191231.pdf>

DHCR Tenant Protection Unit:

<https://hcr.ny.gov/tenant-protection-unit>

## 3. CURRENT STATE

### 3.1. BACKEND DATABASE

ORA's current database and case processing system known as "Historical Update and Tracking System" ("**HUTS**"), runs on an IBM mainframe Model 204 ("**M204**") mainframe in-house application. The database stores rent regulated metadata records from a timespan of over 40 years. In addition, the M204 application is used to (i) send automated correspondence regarding case processing, (ii) calculate simple and complex rent increases and decreases, (iii) track all case processing activities as well as, (iv) act as a repository for initial and annual apartment and building registrations.

### 3.2. ONLINE APPLICATIONS

ORA has several online applications listed below that are built in various custom applications and are used for public submission of information. Data entered in the online applications is passed to the M204 for case processing.

#### Built in .Net

ORRA Annual Registration (“ARRO”)

ORRA Maximum Base Rent (“MBR”)

ORRA Owner Application to Restore Rent

ORRA ETPA Survey

ORRA Individual Apartment Improvement Notification

.Net Owner Report of Vacancy Decontrol

.Net Master Building Rent Schedule (“MBRS”)

.Net Case Status Inquiry

.Net Rent Regulated Building Search

.Net Application for decreased services

.Net Application for rent overcharge

.Net Application for lease violations

Rent Connect – Tenants can file a complaint, request rent history, and submit a response to an open case. <https://rent.hcr.ny.gov/RentConnect/Tenant/Overview>

Rent Connect Assistant – Tenants can obtain pre-defined answers and fact sheets to Rent Law questions. <https://rent.hcr.ny.gov/RentConnect/Tenant/rentConnectAssistant>

#### Built in Oracle Service Cloud

General Inquiry (Oracle Cloud) - Submit a question about a rent stabilized or rent controlled building or apartment. <https://portal.hcr.ny.gov/app/ask>

### 3.3. AGENCIES / END USERS

In addition to ORA, internal departments such as TPU and OLA must have access and be integrated with the case processing and database systems. External users will include different local municipal partner agencies such as NYC Housing Preservation & Development, NYC Department of Buildings, NYC Department of Finance, and local court systems. However, the primary external users will be tenants, owners, representatives, and different trade organizations that involve rent regulated properties.

### 3.4. CURRENT – CONTENT VOLUMES CALENDAR YEARS 2018 and 2019

Note: Calendar year 2020 is not reflective of DHCR normal workload due to COVID-19.

On average, ORA receives yearly:

- 8,250 tenant complaints
- 7,500 owner applications
- 45,000 building registrations from owners
- 900,000 apartment registrations from owner
- 30,000 tenant requests for rent history

## 4. THE SOLUTION

The Solution is divided into the subject areas listed below.

### 4.1. OBJECTIVES:

The vision for this Project is to be a data driven agency focused on efficient case processing and accessible services to facilitate productive interaction with and between tenants and owners while delivering an experience that is modern, fast, user-friendly, reliable, accessible, and personalized.

### 4.2. GUIDING PRINCIPLES:

- Build streamlined, digital processes for timely and accurate case processing, investigation, and litigation
- Become the primary resource to execute rent regulation practices and facilitate effective tenant/landlord interaction
- Utilize data and technology to develop the most thorough understanding of every case; all relevant data to case decision-making must be readily available to the processor
- Empower our workforce with clear information and intuitive tools to make case workflow more intuitive and less manual (increase system facilitation of processing)
- Design services with a human-centered approach
- Strengthen our reputation to be worthy of public confidence and trust

### 4.3. RENT REGULATION SYSTEM MODERNIZATION (“RRSM”)

The RRSM project (the “**Project**”) will develop a modern, web browser-based application and reporting system that will streamline operational processes, improve customer service, and increase data accuracy and integrity. The new application must include (i) a public facing portal (*Rent Connect*) that will allow building owners and tenants (*and those empowered to act on their behalf*) to complete online transactions that are currently completed using paper forms, (*as well as to continue to accept paper-based forms*) and a (ii) back-end system for electronic processing, automated correspondences, simple and complex rent calculations and analytics and reporting (the “**Solution**”).

DHCR seeks information regarding the full range of options for Off-The-Shelf case processing workflow and online portal systems available in the marketplace together with information that includes:

- An analysis of DHCR’s current custom applications;
- Recommendations of how to either upgrade and/or replace current custom applications to obtain the objectives stated above;
- How such upgrades/replacements will be achieved and integrated;
- Upgrade and/or replace current internal processing and historical data custom applications;
- Integrate ORA custom applications with TPU and OLA custom applications; and
- Upgrade and/or replace current external user interface systems under ORRA and ARRO, which are the current public portal applications used by owners to submit annual registration and select applications to DHCR.

#### 4.4. TWO KEY DELIVERABLES

- **Backoffice Solution** – The Solution will replace the current HUTS application and serve as the core case processing software for ORA, including TPU and OLA. Functionality will include, but not be limited to, docketing of cases received, case assignment, workflow management, mobile inspections, calculations of overcharges and major capital improvements, and correspondence. The Solution must be able to integrate with other internal and external data sources, have an easy way to absorb paper applications, and enable management reporting.
- **Customer facing portals** – The Solution will provide a secure web-based tenant and owner portal that accepts applications from tenants, owners, and representatives. The portal will serve as the one stop shop for all parties to conduct business related to Rent Regulated housing stock—from registration to case filing, and to back and forth case processing. Users should be able to be authenticated, submit information, track status, receive personalized updates, and communicate with the ORA, TPU, and opposing parties. In addition, there should be an option for users to simply submit as a “guest”. Among other things, the portal should be able to send notifications of deadlines and enable uploads of additional required documentation. The customer facing portal must be accessible to individuals with vision impairments (*i.e., usable by screen reader*) and translatable into non-English languages.

#### 4.5. SYSTEM INTEGRATIONS AND CAPABILITY MODEL

##### System Integration

DHCR requires the Solution to address the core capabilities required to manage NYS rent regulation laws by effectively integrating the two deliverables indicated in Section 4.4 of this RFI and the existing systems that manage access, content, etc. listed in the table below:

System Integrations	Technology / Platform
ECM	Electronic Content Management. Open Text Content Server 16 and IBM FileNet
Data Analytics	Data Visualization, Analytical Reports, Dashboards using Tableau
Message Delivery (email, SMS, In-App)	Guaranteed Secure message delivery and tracking using Gov Delivery platforms like Granicus
IAM	Identity Access Management functions to be provisioned by integrating with NY.GOV (Identity Store) and OKTA. Utilizes Active Directory and LDAP Services.
GIS	NYSGIS (Arc GIS)
SFTP	Secure File Transfers via Managed File Transfers using IBM Sterling
Scanning	Automation/ integration utilizing KOFAX and Open Text Content Server 16
Printing	Integrate with Agency print shops and Mailroom printers using SNMP Traps across several Agency BRO offices
Address Validators	USPS approved address validation service for mailing delivery accuracy

## Capability Model

The RRSB Case Management System “Capabilities Model Draft” diagram in Appendix 1 and accompanying “Capabilities Model Terms” in Appendix 2 are intended to illustrate the main capabilities required for the Solution but are not intended to be the full capabilities list. DHCR is interested in learning about solutions that will incorporate these capabilities, and perform any others, that will increase client satisfaction and agency efficiency with all rent regulation business needs and processes.

## High Level Process Flow

The “High Level Process Flow” diagram, attached hereto as Appendix 3, does not reflect final requirements, but is included as a reference to help Vendors understand general RRSB process flow.

## **4.6. USER GROUPS**

The Solution must include the following five key user groups: (i) internal staff; (ii) tenants; (iii) owners; (iv) Tenant and Owner Authorized Representatives, and (v) external partners. The critical business needs for each group are listed below.

### (i) Internal staff:

- Acceptance or rejection of complaints/applications
- Docketing of accepted complaints/applications
- Transmittal of complaints/applications to relevant external parties
- Assignment of cases
- Workflow management
- Integration of workflows between the different case processing disciplines
- Ability to do all calculations
- Ability to correspond with tenants/ landlords to request additional information
- Integration with external data sources during case processing
- Interdepartmental collaboration
- Audit functionality (i.e. ability to see who made what changes to each case)
- Management reporting
- Integrated inspections module

### (ii) Tenants:

- Online case filling
- Management of all communications online
- Personalized interactions/ information
- Personalized portal
- Must account for “verified” users and “non-verified” users
- Must allow for representative

### (iii) Owners:

- Online case filling

- Online registration filing
- Management of all communications online
- Personalized interactions/ information
- Personalized portal

(iv) Tenant and Owner Authorized Representatives:

- Provide same functionality given to tenant and owners
- Provide ability to represent multiple parties at the same time

(v) External partners:

- Personalized data sharing

#### 4.7. DATA MIGRATION

To ensure the planned future state of this Project, it is vital that a complete data migration of existing data can be performed. Existing data will be migrated from the retiring system applications (*M204 and related ancillary applications*) onto a secure, consolidated database.

#### 4.8. DISTRIBUTION LISTS AND NOTIFICATIONS

Currently, DHCR staff members rely heavily on email and phone communication to interact with applicants and clients. In addition to this general communication, DHCR has a need to send reminders, templates, and compliance notifications. The management of all client and applicant communication is maintained offline. While the communication process is not difficult, it can be streamlined and automated to be efficient and in line with current technology practices.

#### 4.9. REPORTING

Reporting on real time data with limited involvement from technology teams, is a high requirement for this Project. The Solution will have the ability to connect with multiple data sources to allow for canned reports, ad hoc reports, and custom queries, all of which can easily be done by users or administrators.

#### 4.10. PROJECT MANAGEMENT

Project Management is defined as the communication mechanisms, controls, tasks, and procedures that will be used to manage all the tasks identified in this RFI. Technology projects in NYS require the use of the State's Project Management Methodology as described in the Guidebook - <http://www.cio.ny.gov/pmmp/guidebook2/index.htm>.

#### 4.11. USER EXPERIENCE (UX) DESIGN

The Solution must include UX design activities as part of the Project. Experience has shown that UX design by an experienced design lead and carried out by practitioners skilled appropriately to each



phase and activity is essential to the success of technology deployment and the application adoption by internal and external users.

#### 4.12. ORGANIZATIONAL CHANGE MANAGEMENT (“OCM”)

Ensuring user adoption of the Solution is key to the Project requirements. OCM includes:

- Align DHCR Change Leadership and Sponsorship for Change
- Identify key changes in the Solution that impact staff
- Recommend process improvements throughout the impacted organizations
- Track change implementation activities
- Manage communication and engagement plan for internal and external stakeholders

#### 4.13. TRAINING

DHCR will require all staff to be trained in the Solution. In addition, training material or “help messages” will be required for external stakeholders. Training deliverable requirements include:

- Training assessment of internal and external stakeholders
- Training management plan
- Training Curriculum
- Training Matrix of Classes and Attendees
- Conducting training
- Training Survey and final assessment
- Updating training material throughout the life of a contract

#### 4.14. TECHNOLOGY STANDARDS

All responses to this RFI must demonstrate adherence to NYS ITS technology Standards, including

- <https://its.ny.gov/document/information-security-policy>
- <https://its.ny.gov/document/information-security-controls-standard>
- <https://its.ny.gov/document/information-classification-standard>
- <https://its.ny.gov/document/information-security-risk-management-standard>
- <https://its.ny.gov/document/encryption-standard>
- <https://its.ny.gov/document/identity-assurance-policy>
- <https://its.ny.gov/document/identity-assurance-standard>
- <https://its.ny.gov/document/account-management-access-control>
- <https://its.ny.gov/document/vulnerability-scanning-standard>
- <https://its.ny.gov/document/cyber-incident-response-standard>
- <https://its.ny.gov/document/remote-access-standard>
- <https://its.ny.gov/document/security-logging>
- <https://its.ny.gov/document/mobile-device-security>
- <https://its.ny.gov/document/80211-wireless-network-security>
- <https://its.ny.gov/document/authentication-tokens-standard>

<https://its.ny.gov/document/information-security-exception-policy>

<https://its.ny.gov/document/internet-privacy-guideline>

<https://its.ny.gov/document/guidance-use-ssns-state-government-entities>

<https://www.ny.gov/services/get-my-nygov-id>

<https://its.ny.gov/document/nys-g04-001-electronic-signatures-and-records-act-ersa-guidelines>

## 5. RFI QUESTIONS AND ANSWERS

Any questions or requests for clarification regarding this RFI must be submitted via email to [Lisa.Pagnozzi@nyshcr.org](mailto:Lisa.Pagnozzi@nyshcr.org) AND [contractunitinfo@nyshcr.org](mailto:contractunitinfo@nyshcr.org), citing the RFI page and section, no later than the Question Submission Deadline indicated in the Calendar of Events and Milestones section of this RFI. The “Subject” line of the email should indicate “Questions - 2021 RFI for RRSN Project.” DHCR will post Questions and Answers to its webpage at <https://hcr.ny.gov/procurement-opportunities> in accordance with the dates indicated in the Calendar of Events and Milestones section of this RFI.

Questions and answers resulting from the WebEx Teleconference, indicated in the Calendar of Events and Milestones section of this RFI, will also be posted to [DHCR’s webpage](#).

DHCR reserves the right to modify this RFI at any time, as necessary. Therefore, prospective RFI Respondents are strongly encouraged to check the above URL for updates throughout the RFI period.

## 6. RFI SUBMISSION REQUIREMENTS

Responses must be delivered by email no later than the RFI Submission Deadline and time indicated in the “[Calendar of Events and Milestones](#)” section of this RFI to [contractunitinfo@nyshcr.org](mailto:contractunitinfo@nyshcr.org) with the subject line of the email labeled “2021 RRSN RFI.” DHCR reserves the right to accept late responses at its sole discretion.

RFI Submissions must be submitted by email to [contractunitinfo@nyshcr.org](mailto:contractunitinfo@nyshcr.org) in searchable portable document format (“PDF”) compatible with Adobe Reader XI. DHCR will not accept discs, flash drives, or FTP file references that require downloading information from the vendor’s or a third party’s website. If the file is large, it may be submitted in multiple email attachments, with the proper Part One or Part Two label (if applicable) and “1 of X”, “2 of X”, etc., and the last email as “X of X – Final”. All submissions shall become the property of DHCR. Note that the Matrix, attached hereto as Appendix 4 in Excel format, must be returned in Excel format.

Responses that make extensive use of color photographs or illustrations, or that include separate brochures or marketing materials and overly elaborate embellishments are discouraged.

All submissions in response to this RFI must be written in the English language.

## 7. CONTENT OF SUBMISSION

A complete response to this RFI includes completion of the RFI Submission Coversheet, Cover Letter, Executive Summary, RRSM Matrix (*Appendix 4*) and additional material in support of the responses in the RRSM Matrix.

### 7.1. RFI SUBMISSION OF COVERSHEET

The Respondent to complete and submit Coversheet, attached hereto as Appendix 5.

### 7.2. RFI SUBMISSION OF COVER LETTER

The Respondent's cover letter should not exceed two (2) pages.

### 7.3. EXECUTIVE SUMMARY

The Executive Summary, limited to three pages, will include a summary of your firm's proposed Solution (see Section 4.3), including the two Deliverables identified in Section 4.4, keeping in mind the Project's Objectives and Guiding Principles identified in Sections 4.1 and 4.2, respectively, with the proposed Solution addressing the core capabilities and integration of two deliverables identified in Section 4.5.

### 7.4. RRSM MATRIX

The Respondent to complete the RRSM Matrix, attached hereto as Appendix 4 in Excel format. The Matrix will include the following five sheets:

- Tab 1a – Firm Information
- Tab 1 - Market Information
- Tab 2 – Experience
- Tab 3 – Approach
- Tab 4 - Technology Platform

Respondent should not revise the font size or cell size in Matrix.

### 7.5. ADDITIONAL MATERIAL IN SUPPORT OF RESPONSES IN MATRIX

Additional material in support of responses in Matrix, limited to ten (10) pages, may be submitted in accordance with the instructions in Section 6 of this RFI. The ten (10) page limit excludes screenshots, charts, etc. Additional material to be bookmarked and labeled as follows:

- Tab 1 - Market Information
- Tab 2 – Experience
- Tab 3 – Approach
- Tab 4 - Technology Platform

## **8. VENDOR DEMONSTRATIONS**

For purposes of this RFI, DHCR may elect to have vendors provide a demonstration as a part of the vendor's response.

Demonstrations may include a demonstration of the vendor's proposed product demonstrating functionality and operation. The demonstrations should provide answers to situational business-related questions as well as illustrations of how the vendor's proposed solution would meet the business challenges described in this RFI. All Vendor staff in attendance must fully understand the response submitted, be able to address concerns and comments, and be able to provide additional information regarding the original information provided within the vendor's response. Marketing/Sales oriented demonstrations that are unable to illustrate functionality of a proposed system may be ended, at the sole discretion of DHCR, prior to the one (1) hour vendor demonstration time limit.

Overall, demonstrations will be held to 1.5 hours. Responses to Section 7 should be addressed in the presentation. Time allotment should be as follows: identification of all parties on the call, 60 minutes vendor presentation and discussion, 30 minutes Q&A period and closeout.

Vendor demonstrations will be held via WebEx and dates/times will be scheduled in the future, as necessary, based on the following:

- Notified vendors are required to provide names and titles of attendees.
- Vendors may be required to setup a teleconference/WebEx to demonstrate their system

\*Note: All materials submitted by a respondent shall become the property of DHCR and may be returned to the respondent at the sole discretion of DHCR. DHCR has the right to adopt, modify, or reject any or all ideas presented in any material submitted in response to this RFI.

DHCR is not liable for any costs incurred by Respondents in the preparation and production of a response to this RFI or for any costs incurred by a Respondent to participate in a demonstration.

## **9. NO AWARD**

DHCR will not make an award for the potential future services described in this RFI. DHCR is conducting this RFI solely for the purpose of gathering information in connection with gaining knowledge regarding the full range of options available in the marketplace for this Project and to determine the feasibility, reliability, and potential of a Solution.

## **10. BUILDING ACCESS PROCEDURES FOR VISITORS**

Due to Covid-19 safety practices no visitors will be granted access to NYS facilities in response to this RFI.

## **11. MULTIPLE SUBMISSIONS**

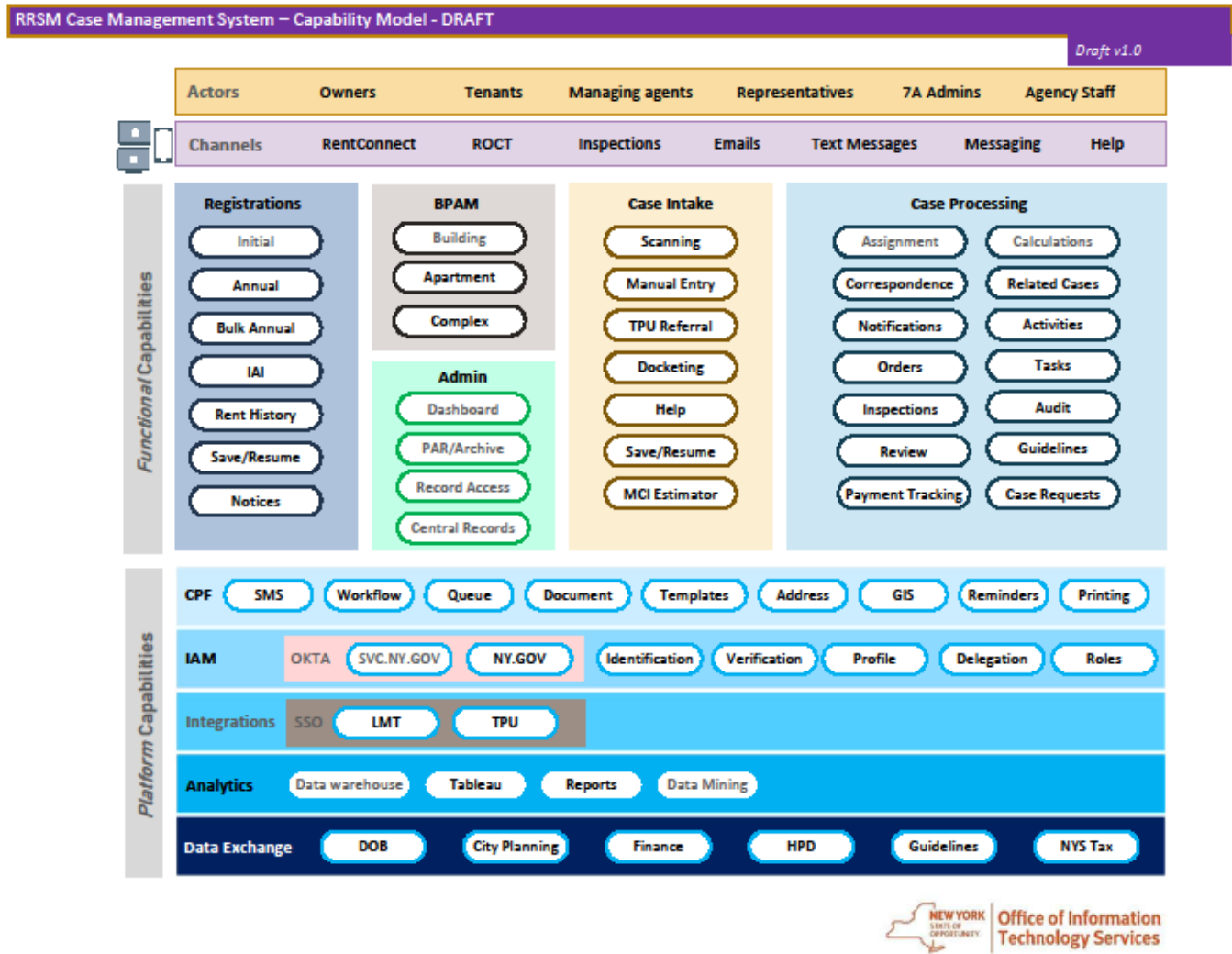
Vendors may submit more than one submission for the purpose of offering alternative possibilities, but each response must be complete.

## 12. FREEDOM OF INFORMATION LAW

Disclosure of information related to this RFI shall be permitted consistent with the laws of the State of New York and specifically Article 6 of the New York State Public Offers Law, the Freedom of Information Law ("FOIL"). DHCR shall take reasonable steps to protect from public disclosure any records or portions thereof relating to this RFI that are exempt from disclosure under FOIL. Information constituting trade secrets or critical infrastructure information for purposes of FOIL must be clearly marked and identified as such by the Respondent upon submission. Requests for exemption of the entire contents of vendor's response to this RFI, and any other documentation, from disclosure have generally not been found to be meritorious and are discouraged. If the Respondent intends to request an exemption from disclosure under FOIL for trade secret materials or critical infrastructure information, the Respondent shall at the time of submission, request the exemption in writing and provide an explanation of (i) why the disclosure of the identified information would cause substantial injury to the competitive position of the Respondent, or (ii) why the information constitutes critical infrastructure information which should be exempted from disclosure pursuant to § 87(2) of FOIL. Acceptance of the identified information by DHCR does not constitute a determination that the information is exempt from disclosure under FOIL. Determinations as to whether the materials or information may be withheld from disclosure will be made in accordance with FOIL at the time a request for such information is received by DHCR.

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# Appendix 1 – Capability Model Draft



## Appendix 2 – Capability Model Terms

Term	Explanation
ORA	Office of Rent Administration division of HCR
OLA	Office of Legal Affairs division of HCR
TPU	Tenant Protection Unit division of OLA
Rent Connect	A public facing modern responsive web application that allows different actors that does business with HCR like Tenants, Owners, Managing agents, Representatives, 7A Admins, HCR Partner Agency users to submit, inquire, verify, review and retrieve data not limited to Registrations, Cases, Building information, Rent Rolls, Reports along with interacting with ORA Agency users from HCR
ROCT (Rent Operations and Case Tracking)	ORA Agency facing modern responsive case management web application automating HCR ORA business processes that allows entire HCR staff to view, assign, process, inspect, report, audit, archive Cases, Registrations, Rent Roll requests submitted/requested by public facing portal users like Managing agents, Representatives, 7A Admins, HCR Partner Agency users. This application also automates the existing paper-based processes.
LMT	Legal Matter Tracking is a Case Management web application automating OLA business processes
TPU System	Case Management web application automating TPU business processes
Registration	ORA Business Process / Functional Unit handling registration data of Buildings, Complexes, Apartments and Co-Op Condominiums that are subject to Rent laws (Rent Controlled and/or Rent Stabilized) filed by owners / managing agents
IAI	IAI - Individual Apartment Increase. In order to collect a temporary rent increase for an IAI, owners of rent controlled and rent stabilized apartments must notify DHCR of an IAI by filing a notification form and before and after photographs on the Owner’s Rent Regulation Application (ORRA) system. If the improvement is made in an occupied apartment, owners must also file a Tenant’s Informed Consent form. After filing the proper forms, owners of rent stabilized apartments can begin to collect a temporary rent increase without a DHCR order of approval. Increases in rent due to IAIs must be removed from the rent 30 years after the date the increase became effective. Some examples of IAI items include the installation of a new stove, refrigerator, security alarm, and flooring. For more information on IAIs, see Operational Bulletin 2016-1.

Term	Explanation
MCI	MCI - Major Capital Improvements. Owners must apply for approval from the Division of Housing and Community Renewal (DHCR) in order to collect a temporary rent increase for an MCI. Increases in rent due to MCIs must be removed from the rent 30 years after the date the increase became effective. Some examples of MCI items include boilers, windows, electrical rewiring, plumbing and roofs. For more information on MCIs, see Fact Sheet #24.
BPAM	Building / Complex Profile and Apartment Management. Rent Controlled and Rent Stabilized complexes, buildings, apartments are the foundational master entities and will be covered under Master Data Management processes on the ORA Case Management system
PAR	Petition for Administrative Review (PAR) is the appeal process on a case outcome. An owner, tenant, or other party to the proceeding who wants to appeal a DHCR Rent Administrator's order may file a Petition for Administrative Review (PAR) with DHCR.
Central Records	ORA functional unit maintaining entire paper records of all Case Proceedings filed with DHCR including supporting documents and case outcomes
CPF	CPF - Case Processing Framework. Core Functional features but not limited to the following Notification (to actors/users of the system), Workflow automation (transaction state management), Document management (user uploads and ECM), Address Validation (USPS Verification), Template Management (HTML based with Transactional data integration), Queue Management (Assignments, Re-Assignments, Automatic routing), Scanning, Printing and Mailing (Paper Intake, Correspondence Printing across different HCR Agency offices across the state)
Data Exchanges	Transaction Data Extract in two various formats not limited to CSV, Custom Delimited Text, XML and general formats. Securely transfer the extract using SFTP to HCR Partner Agencies. Data Extracts should be configurable on a custom schedule and on demand. Partner Agencies include but not limited to Department of Buildings (DOB), Housing Preservation Department (HPD), Department of Finance (DOF), New York Fire City Department (NYFD)
TPU Referral	Full system Integration with existing TPU Case Management System allowing intake and tracking of case application from TPU system on to ROCT
IAM	Identity Access Management. Provisioning Identity feature by integrating on to NY.GOV with extensive role-based access control along with extensive delegation and secure data interchange / access between different actors of the system. Features not limited to Authentication, Authorization, Identification, Verification along with Profile management and notification subscriptions

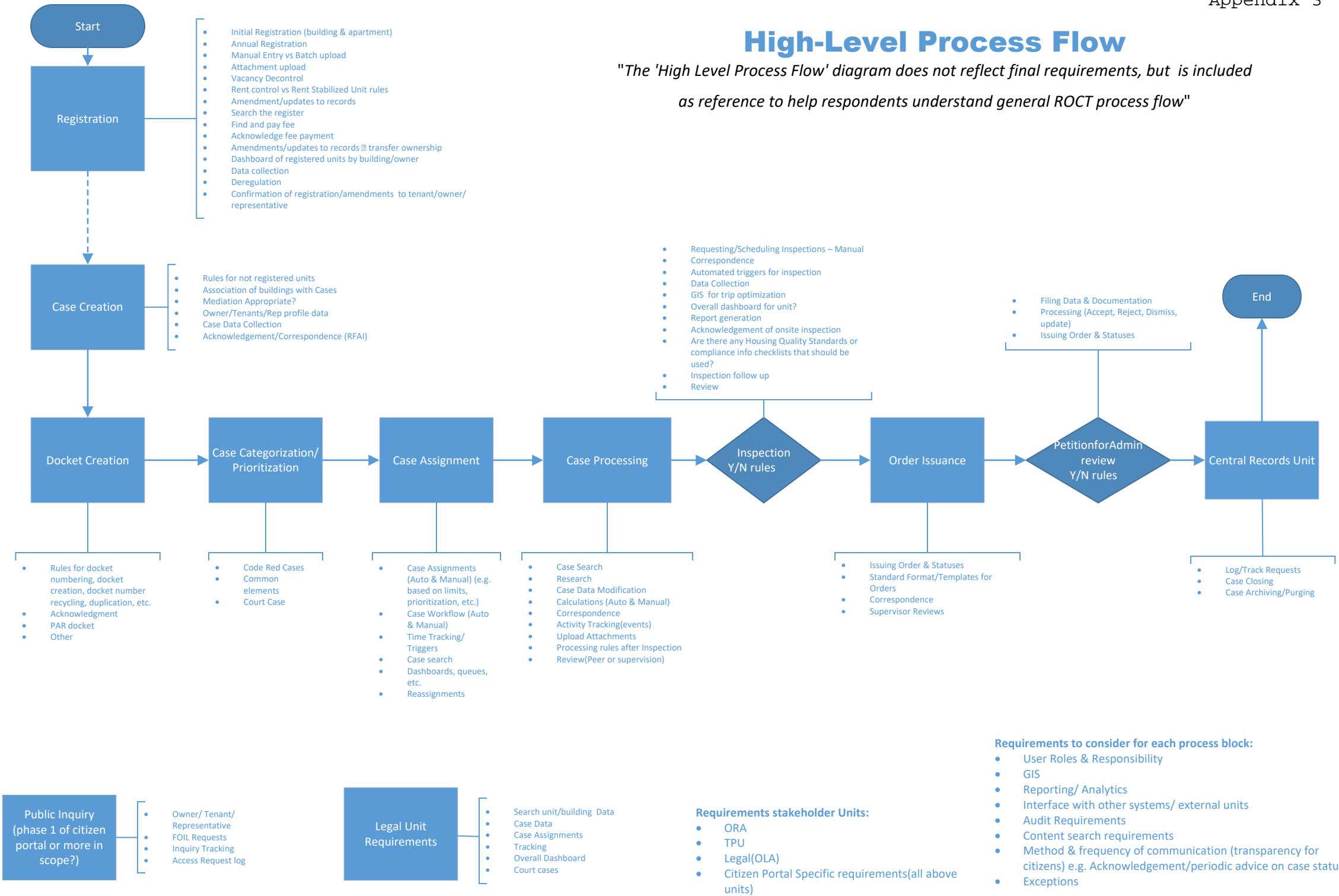


Term	Explanation
MCI Estimator	A complex calculator tool part of the ORA Case Management system operates on transactional data and provides estimated payment fee based on ORA business rules
Overcharge Calculations	A highly complex calculator tool automating business process rules that operate on the case transactional data and other data from Rent Guideline Board and historical data from HCR that aid in determining case outcomes and orders

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# High-Level Process Flow

"The 'High Level Process Flow' diagram does not reflect final requirements, but is included as reference to help respondents understand general ROCT process flow"



## Appendix 4 – Matrix

Matrix may be downloaded, in Excel format, on HCR’s Procurement Opportunities webpage at:

<https://hcr.ny.gov/procurement-opportunities>

## APPENDIX 5 - APPLICATION COVERSHEET

*Attach this form to the top of your proposal.*

**DATE OF APPLICATION:** \_\_\_\_\_

### **GENERAL INFORMATION ON FIRM:**

Legal Name of Firm:

\_\_\_\_\_

Firm's Mailing Address:

\_\_\_\_\_

Firm's Website:

\_\_\_\_\_

Firm's Main Telephone Number (including area code):

\_\_\_\_\_

Firm's Federal Tax ID Number:

\_\_\_\_\_

Firm's MWBE Registration Number (if applicable):

---

Indicate name(s) of MWBE subcontractor(s) (if applicable):

---

Firm's Service-Disabled Veteran-Owned Business (SDVOB) Registration Number (if applicable):

---

Indicate name(s) of SDVOB subcontractor(s) (if applicable):

---

**MAIN CONTACT INFORMATION FOR THIS PROPOSAL:**

Please list the individual that will be the main contact *regarding this proposal*:

Contact Name:

---

Contact Telephone Number (including area code):

---

Contact E-mail Address:

---

Contact Facsimile Number (including area code):

---

**PRINCIPAL IN CHARGE:**

Please list the primary staff person(s) who will provide services to the Agencies. Attach additional sheets if necessary.

Contact Name:

---

Contact Telephone Number (including area code):

---

Contact E-mail Address:

---

Contact Facsimile Number (including area code):

---

**ADDITIONAL CONTACTS (if applicable):**

Contact Name:

---

Contact Telephone Number (including area code):

---

Contact E-mail Address:

---

Contact Facsimile Number (including area code):

---

Contact Name:

---

Contact Telephone Number (including area code):

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Contact E-mail Address:

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Contact Facsimile Number (including area code):

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