

Information Technology Capital Investment Program
Project Status Report

To: Information Technology Strategy and Investment Committee
John Vittner, Office of Policy and Management

From: Liz Ryder, Project Manager

Email: Liz.Ryder@po.state.ct.us

Agency: Department of Revenue Services

Project: Scanning, Imaging, Workflow and Document Management

Project Manager: Liz Ryder

Reporting Period: Project Inception through 12/31/2021

Total Funds Requested: \$5,220,000

Total Funds Allotted to Agency: \$5,220,000

Accumulative Total Capital Fund Expenditures to Date: \$5,112,593

Brief Project Description/Summary:

The Department of Revenue Services (DRS) has embarked on an Enterprise Content Management (ECM) initiative that will provide (1) scanning and imaging, (2) FileNet conversion and (3) document management. The deliverables for ECM scanning and imaging will replace existing outdated and obsolete remittance and data entry equipment and enable streamlined processes. Such a system would allow DRS to convert paper checks, returns, and correspondence into digital -only format. This will enable better revenue processing, improved communications with taxpayers regarding the status of tax returns, control access to such information, route business processes through our imaging data (enhanced workflow), and adopt document retention schedules as set forth by the Office of Public Records Administrator (OPRA).

Summary of Progress Achieved to Date:

ECM STATUS - BY PHASE
 Phase Related to: Status
 1a1 High Priority - Global Issue High Impact all Phases Done
 1a2 Coupons (R Notices), 2016 1040ES, 2016 1041ES, 2015 1040V, Quick Reports Done
 1b 2016 CT-941 Done
 1c SUT/BUT (Periods 2/2016 - 7/1/2011) Done
 1d1 2017 - 1040ES, 2017 - 1041ES, 2017 - 941; 2016 - 1040V, 2015 & 2016 - 1041V, OP-424 (Current - 2004) Done
 1d2 2016 CT-1040EXT Done
 1d2 CT-1040, CT-WH, CT-6251, CT-CHE, CT-EITC, CT-IT, CT-1040EXT Done
 1d3 CT-1040NRPY Done
 1d4 CT-1040X (2012 - 2016), CT-1120EXT (2013 - 2016), CT-1041EXT (2014 - 2016), CT-PSCEXT (2013 - 2016) Done
 1e1 Deposit Only Done
 2a O-255, CT-15, CT-15A, CT-30, OP-216, OP-161, OP-300, CT-706/709, CT-706/709 EXT Done
 2b OP-374, CT-1041, CT-1041FA, CT-1041C, 115RRG, 115NIN, CT-W3, CT-W3 HHE, CT-1096, CT-1096 ATHEN, CT-945 ATHEN, CT-941X, CT-941HHE Done

2017 Roll-Over 2017 Rollover ~ Legislative Change Implementation

CT-1040ES, CT-1040EXT, CT-1040, CT-1040NRPY, CT-EITC, CT-CHE, CT-IT, CT-WH, CT-6251, CT-1040V, CT-1120EXT, CT-PSCEXT, OS-114SUT, OS-114BUT, CT-1041ES, CT-1041V, CT-1041EXT, CT-941, CT-W3, CT-W3 HHE, CT-1096, CT-1096 ATHEN, CT-945, CT-945 ATHEN, CT-941X, CT-941HHE, CT-15, CT-15A, OP-300, CT-1040X, CT-1041, CT-1041FA, CT-1041C Done
 2c CT-1120ESA, CT-1120ESB, CT-1120ESC, CT-1120ESD, CT-1120X, CT-1120CR, CT-1120, CT-1120K, CT-1120U, CT-1065/1120SI CT-1120A, CT-1120ATT Done
 3a AU-724, AU-725, AU-736, AU-737, AU-738, AU-741 Done
 3b OP-153, OP-383, OP-210, OP-337, O-MF, O-MF1, 207, 207ES, 207EXT, 207K, 207F, 207FES, 207FEXT 207C EXT, 207HCC, 207HCC ES, 207HCC EXT Done
 3c CT-990T, CT-990TES, CT-990TEXT, CT-1120CU, CT-1120CU-NI, CT-1120CU-NCB, CT-1120A-CU, CT-1120CU-MTB, O-372, FORM 472, AU-330, OP-236 Done
 3d COUPONS (MULTIS), CHECK ONLY (VIRTUAL VOUCHER) Done

2018 Rollover 2018 Forms Rollover ~ Update for Current Year and Legislative Changes

CT-1040ES, CT-1040EXT, CT-1040, CT-1040NRPY, CT-EITC, CT-CHE, CT-IT, CT-WH, CT-6251, CT-1040V, CT-1040X, CT-1120EXT, CT-1120ES, CT-1120, CT-1065/1120SIES, CT-1065/1120SIEXT, CT-1065/1120SI, Schedule AB, Schedule CE OS-114 SUT, OS-114 BUT, OP-186 CT-1041ES, CT-1041V, CT-1041EXT, CT-1041, CT-1041FA, CT-1041C, CT-941, CT-W3, CT-W3 HHE, CT-1096, CT-1096 ATHEN, CT-945, CT-945 ATHEN, CT-941HHE, CT-15, CT-15A, OP-300, 115NIN, 115RRG, CT-1120, CT-1120A, CT-1120ATT, CT-1120ES, CT-1120K, CT-1120X, CT-1120CU, FORM 207, FORM 207/207HCC EXT, FORM 207FES, FORM 207F, FORM 207FEXT, FORM 207FES, FORM 207C EXT, FORM 207HCC, FORM 207HCC ESA OP-153, OP-383, O-255 CT-990T, CT-990TES, CT-990TEXT Done

2019 Rollover

For 7/1/2019 OP-216, OP-153, CT-706/709, CT-706/709 EXT OR-204, REG-10, O-252, Done

1/13/2020 2019 Forms Rollover ~ Update for Current Year / Legislative Changes

OS-114 SUT, FORM O-255 CT-1040ES, CT-1040EXT, CT-1040, CT-1040NRPY, CT-EITC, CT-CHE, CT-IT, CT-WH, CT-6251, CT-1040V, CT-1040X, CT-1065/1120SIES, CT-1065/1120SIEXT, CT-1065/1120SI, Schedule AB, Schedule CE CT-1041ES, CT-1041V, CT-1041EXT, CT-1041, CT-1041FA, CT-1041C, CT-941, CT-941HHE, CT-W3, CT-W3 HHE, CT-1096, CT-1096 ATHEN, CT-945, CT-945 ATHEN, CT-15, CT-15A, OP-300, 115NIN, 115RRG, CT-1120EXT, CT-1120ES, CT-1120, CT-1120ATT, CT-1120ES, CT-1120K, CT-1120X, CT-1120CU, FORM 207, FORM 207/207HCC EXT, FORM 207FES, FORM 207F, FORM 207FEXT, FORM 207FES, FORM 207C EXT, FORM 207HCC, FORM 207HCC ESA FORM OP-153, FORM OP-383, FORM 115RRG, FORM O-255 CT-990T, CT-990TES, CT-990TEXT Done

Quick Web Edit Tool Quick Web Edit Tool to allow for the ability to edit data captured information and images when errors are discovered by DRS staff or during ECM Quality Assurance review. UAT

12/31/2020 Update

2020 Rollover

For Go Live
01/2021**2020 Forms Rollover ~ Update for Current Year**

CT-1040ES, CT-1040EXT, CT-1040, CT-1040NRPY, CT-EITC, CT-CHET,
CT-IT, CT-WH, CT-6251, CT-1040V, CT-1040X,

CT-1065/1120SIES, CT-1065/1120SIEXT, CT-1065/1120SI, Schedules AB & CE

CT-1041ES, CT-1041V, CT-1041EXT, CT-1041, CT-1041FA, CT-1041C

CT-941, CT-941HHE, CT-W3, CT-W3 HHE, CT-1096, CT-1096 ATHEN,
CT-945, CT-945 ATHEN

CT-1120EXT, CT-1120ES, CT-1120, CT-1120A, CT-1120ATT, CT-1120ES,
CT-1120K, CT-1120X, CT-1120CU

FORM 207, FORM 207/207HCC EXT, FORM 207FES, FORM 207F, FORM 207FEXT, FORM 207FES,
FORM 207C EXT, FORM 207HCC, FORM 207HCC ESA

CT-990T, CT-990TES, CT-990TEXT, 115RRG

CTAX Phase 2 - rollout 2021 - For go live 9/4/201

1. Corporation Business
2. Cigarette (Cigarette Distributor, Cigarette Manufacturer, Cigarette Dealer/Retailer, and Cigarette Floor Tax)
3. Income (Fiduciary, Partnership, and S-Corp)
4. Insurance Taxes (Domestic, Foreign, Healthcare Centers, Captive, Non-admitted, and Unauthorized)
5. Unrelated Business Income
6. Motor Vehicle Fuels (Gasoline/Gasohol, Special Fuels, and MF Floor Tax)
7. Petroleum Products Gross Earnings
8. Tobacco Products

6/30/2021 Update

HTML 5 Upgrade For Go Live 1/2022

- Upgrade to Microsoft Edge to replace Internet Explorer and Silverlight which are at end of life with Microsoft.

2021 Rollover - For Go Live 1/2022**2020 Forms Rollover ~ Update for Current Year**

CT-1040ES, CT-1040EXT, CT-1040, CT-1040NRPY, CT-EITC, CT-CHET,
CT-IT, CT-WH, CT-6251, CT-1040V, CT-1040X,

CT-1065/1120SIES, CT-1065/1120SIEXT, CT-1065/1120SI, Schedule CT-AB,
Schedule CT- CE, Schedule CT-NR

CT-1041ES, CT-1041V, CT-1041EXT, CT-1041, CT-1041FA, CT-1041C, CT-1041I

CT-941, CT-941HHE, CT-W3, CT-W3 HHE, CT-1096, CT-1096 ATHEN,
CT-945, CT-945 ATHEN

CT-1120EXT, CT-1120ES, CT-1120, CT-1120A, CT-1120ATT, CT-1120ES, CT-1120K,
CT-1120CU, CT-1120XCH, CT-1120CU-MI, CT-1120CU-NI, CT-1120CU-MTB, CT-1120A-CU,

CT-1120CU-NCB

FORM 207, FORM 207EXT, FORM 207HCCEXT, FORM 207FES, FORM 207F,

FORM 207FEXT, FORM 207FES, FORM 207CEXT, FORM 207HCC, FORM 207HCCESA

CT-990T, CT-990TES, CT-990TEXT, 115RRG

2022 rollover for Go Live 7/1/2022

OP-153, OP-216, AU-724, AU-725, AU-736, AU-737, AU-738, AU-741
CT-706/709, CT-706/709 EXT

CTAX Phase 3 - rollout - 2022

1. Attorney Occupational
2. Gift and Estate, Income (Individual)
3. Individual Use
4. Individual Income Tax
5. Controlling Interest Transfer
6. Real Estate Conveyance

2022 Rollover - For Go Live 01/2023**2020 Forms Rollover ~ Update for Current Year**

CT-1040ES, CT-1040EXT, CT-1040, CT-1040NRPY, CT-EITC, CT-CHET,
CT-IT, CT-WH, CT-6251, CT-1040V, CT-1040X,
CT-1065/1120SIES, CT-1065/1120SIEXT, CT-1065/1120SI, Schedule CT-AB,
Schedule CT- CE, Schedule CT-NR
CT-1041ES, CT-1041V, CT-1041EXT, CT-1041, CT-1041FA, CT-1041C, CT-1041I
CT-941, CT-941HHE, CT-W3, CT-W3 HHE, CT-1096, CT-1096 ATHEN,
CT-945, CT-945 ATHEN
CT-1120EXT, CT-1120ES, CT-1120, CT-1120A, CT-1120ATT, CT-1120ES, CT-1120K,
CT-1120CU, CT-1120XCH, CT-1120CU-MI, CT-1120CU-NI, CT-1120CU-MTB, CT-1120A-CU,
CT-1120CU-NCB
FORM 207, FORM 207EXT, FORM 207HCCEXT, FORM 207FES, FORM 207F,
FORM 207FEXT, FORM 207FES, FORM 207CEXT, FORM 207HCC, FORM 207HCCESA
CT-990T, CT-990TES, CT-990TEXT, 115RRG

2023 Rollover - For Go Live 7/1/2023

OP-153, OP-216, AU-724, AU-725, AU-736, AU-737, AU-738, AU-741
CT-706/709, CT-706/709 EXT

CTAX Phase 4 - rollout 2023

1. Alcoholic Beverages (Alcoholic Floor Tax)
2. Business Entity

12/31/2021 Update

Summary of Progress Achieved to Date:

The ECM Project Status by Phase is provided below and indicates where the project stands as of **December 31, 2021**.

		2018 Forms Rollover ~ Update for Current Year and Legislative Changes CT-1040ES, CT-1040EXT, CT-1040, CT-1040NRPY, CT-EITC, CT-CHET, CT-IT, CT-WH, CT-6251, CT-1040V, CT-1040X, CT-1120EXT, CT-1120ES, CT-1120, CT-1065/1120SIES, CT-1065/1120SIEXT, CT-1065/1120SI, Schedule AB, Schedule CE OS-114 SUT, OS-114 BUT, OP-186 CT-1041ES, CT-1041V, CT-1041EXT, CT-1041, CT-1041FA, CT-1041C CT-941, CT-W3, CT-W3 HHE, CT-1096, CT-1096 ATHEN, CT-945, CT-945 ATHEN, CT-941HHE CT-15, CT-15A, OP-300, 115NIN, 115RRG, CT-1120, CT-1120A, CT-1120ATT, CT-1120ES, CT-1120K, CT-1120X, CT-1120CU FORM 207, FORM 207/207HCC EXT, FORM 207FES, FORM 207F, FORM 207FEXT, FORM 207FES, FORM 207C EXT, FORM 207HCC, FORM 207HCC ESA OP-153, OP-383, O-255 CT-990T, CT-990TES, CT-990TEXT
2019 Rollover For 7/1/2019		OP-216, OP-153, CT-706/709, CT-706/709 EXT OR-204, REG-10, O-252,
2019 Rollover For 1/13/2020		2019 Forms Rollover ~ Update for Current Year / Legislative Changes OS-114 SUT, FORM O-255 CT-1040ES, CT-1040EXT, CT-1040, CT-1040NRPY, CT-EITC, CT-CHET, CT-IT, CT-WH, CT-6251, CT-1040V, CT-1040X, CT-1065/1120SIES, CT-1065/1120SIEXT, CT-1065/1120SI, Schedule AB & CE CT-1041ES, CT-1041V, CT-1041EXT, CT-1041, CT-1041FA, CT-1041C CT-941, CT-941HHE, CT-W3, CT-W3 HHE, CT-1096, CT-1096 ATHEN, CT-945, CT-945 ATHEN CT-15, CT-15A, OP-300, 115NIN, 115RRG, CT-1120EXT, CT-1120ES, CT-1120, CT-1120A, CT-1120ATT, CT-1120ES, CT-1120K, CT-1120X, CT-1120CU FORM 207, FORM 207/207HCC EXT, FORM 207FES, FORM 207F, FORM 207FEXT, FORM 207FES, FORM 207C EXT, FORM 207HCC, FORM 207HCC ESA FORM OP-153, FORM OP-383, FORM 115RRG, FORM O-255 CT-990T, CT-990TES, CT-990TEXT
Quick Web Edit Tool		Quick Web Edit Tool to allow for the ability to edit data captured information and images where errors are discovered by DRS staff or during ECM Quality Assurance review.
Correspondence		Scanning Correspondence ~ Initiative to scan and process mail addressed to 450 Columbus Blvd through ECM for creation of an image file which will be output to SharePoint site.
CTAX Phase1	1.	Sales and Use (Business Use) 2. Room Occupancy Tax (B&B Occupancy) 3. Prepaid Wireless E-911 Fee 4. Tourism Surcharge 5. Rental Surcharge 6. Admissions and Dues 7. Dry Cleaning Surcharge 8. Withholding
2020 Rollover For Go Live 01/2021		2020 Forms Rollover ~ Update for Current Year CT-1040ES, CT-1040EXT, CT-1040, CT-1040NRPY, CT-EITC, CT-CHET, CT-IT, CT-WH, CT-6251, CT-1040V, CT-1040X, CT-1065/1120SIES, CT-1065/1120SIEXT, CT-1065/1120SI, Schedules AB & CE CT-1041ES, CT-1041V, CT-1041EXT, CT-1041, CT-1041FA, CT-1041C CT-941, CT-941HHE, CT-W3, CT-W3 HHE, CT-1096, CT-1096 ATHEN, CT-945, CT-945 ATHEN CT-1120EXT, CT-1120ES, CT-1120, CT-1120A, CT-1120ATT, CT-1120ES, CT-1120K, CT-1120X, CT-1120CU FORM 207, FORM 207/207HCC EXT, FORM 207FES, FORM 207F, FORM 207FEXT, FORM 207FES, FORM 207C EXT, FORM 207HCC, FORM 207HCC ESA CT-990T, CT-990TES, CT-990TEXT, 115RRG
2021 Rollover For 7/1/2019		OP-153, OP-216, AU-724, AU-725, AU-736, AU-737, AU-738, AU-741 CT-706/709, CT-706/709 EXT FT-TFT, FT-FFT
CTAX Phase 2 1.		Corporation Business

	For Go Live 09/04/2021	2. Cigarette (Cigarette Distributor, Cigarette Manufacturer, Cigarette Dealer/Retailer, and Cigarette Floor Tax) 3. Income (Fiduciary, Partnership, and S-Corp) 4. Insurance Taxes (Domestic, Foreign, Healthcare Centers, Captive, Non-admitted, and Unauthorized) 5. Unrelated Business Income 6. Motor Vehicle Fuels (Gasoline/Gasohol, Special Fuels, and MF Floor Tax) 7. Petroleum Products Gross Earnings 8. Tobacco Products
	HTML 5 Upgrade For Go Live 1/2022	Upgrade to Microsoft Edge to replace Internet Explorer and Silverlight which are at end of life with Microsoft.
	2020 Forms Rollover ~ Update for Current Year CT-1040ES, CT-1040EXT, CT-1040, CT-1040NRPY, CT-EITC, CT-CHET, CT-IT, CT-WH, CT-6251, CT-1040V, CT-1040X, CT-1065/1120SIES, CT-1065/1120SIEXT, CT-1065/1120SI, Schedule CT-AB, Schedule CT- CE, Schedule CT-NR CT-1041ES, CT-1041V, CT-1041EXT, CT-1041, CT-1041FA, CT-1041C, CT-1041I CT-941, CT-941HHE, CT-W3, CT-W3 HHE, CT-1096, CT-1096 ATHEN, CT-945, CT-945 ATHEN CT-1120EXT, CT-1120ES, CT-1120, CT-1120A, CT-1120ATT, CT-1120ES, CT-1120K, CT-1120CU, CT-1120XCH, CT-1120CU-MI, CT-1120CU-NI, CT-1120CU-MTB, CT-1120A-CU, CT-1120CU-NCB FORM 207, FORM 207EXT, FORM 207HCCEXT, FORM 207FES, FORM 207F, FORM 207FEXT, FORM 207FES, FORM 207CEXT, FORM 207HCC, FORM 207HCCESA CT-990T, CT-990TES, CT-990TEXT, 115RRG	
	2022 Mid -Year Rollover For Go Live 7/1/2022	OP-153, OP-216, AU-724, AU-725, AU-736, AU-737, AU-738, AU-741 CT-706/709, CT-706/709 EXT
	CTAX Phase 3 For Go Live 09/2022	1. Attorney Occupational 2. Gift and Estate, Income (Individual) 3. Individual Use 4. Individual Income Tax 5. Controlling Interest Transfer 6. Real Estate Conveyance 7. Alcoholic Beverages (Alcoholic Floor Tax)
	2020 Forms Rollover ~ Update for Current Year CT-1040ES, CT-1040EXT, CT-1040, CT-1040NRPY, CT-EITC, CT-CHET, CT-IT, CT-WH, CT-6251, CT-1040V, CT-1040X, CT-1065/1120SIES, CT-1065/1120SIEXT, CT-1065/1120SI, Schedule CT-AB, Schedule CT- CE, Schedule CT-NR CT-1041ES, CT-1041V, CT-1041EXT, CT-1041, CT-1041FA, CT-1041C, CT-1041I, CT-1041 ESBT CT-941, CT-941HHE, CT-W3, CT-W3 HHE, CT-1096, CT-1096 ATHEN, CT-945, CT-945 ATHEN CT-1120EXT, CT-1120ES, CT-1120, CT-1120A, CT-1120ATT, CT-1120ES, CT-1120K, CT-1120CU, CT-1120XCH, CT-1120CU-MI, CT-1120CU-NI, CT-1120CU-MTB, CT-1120A-CU, CT-1120CU-NCB FORM 207, FORM 207EXT, FORM 207FES, FORM 207F, FORM 207FEXT, FORM 207FES, FORM 207CEXT, FORM 207HCC, FORM 207HCCEXT, FORM 207HCCESA, FORM 207K CT-990T, CT-990TES, CT-990TEXT, 115RRG, OP-383	
	2023 Rollover For Go Live 7/1/2023	OP-153, OP-216, AU-724, AU-725, AU-736, AU-737, AU-738, AU-741 CT-706/709, CT-706/709 EXT
	CTAX Phase 4 For Go Live 09/2023	1. Business Entity 2. Any additional taxes types (returns) or payments not included in previous 3 Rollouts

Issues and Risks:

Development and User Acceptance Testing will be completed prior to any migration to the ECM Production environment to minimize any potential issues on the forms already "live" and processed through the ECM system.

Next Steps & Project Milestones:

1. Update ECM for CTAX Rollout 3 Forms being migrated September 12, 2022. (CTAX Project is an agency-wide, four phase IT modernization project)

ECM Process updated to include changes needed for the way payments and returns process through the current ECM system. CTAX is a transactional tax system and ITAS is a batch tax system. Therefore, specific changes are needed in ECM to change the way each tax type specific transaction processes as it is transitioned from ITAS to CTAX.

The changes needed for each phase of the CTAX implementation are as follows:

- Update ECM process to capture taxpayer ID and period the payment is for prior to the money being sent to bank. NOTE: CTAX processes the payment and return as separate and distinct pieces of a transaction whereas ITAS processes them as one transaction with the payment needing the return to tell it the taxpayer's id, tax type, and period to post to.
- Generation of 2nd Image Cash Letter (ICL) to BofA for CTAX payments. This will keep CTAX and ITAS payments in separate ICL to allow for better control.
- Generation of new Output Payment file in XML format for CTAX payments. This file will stitch together all CTAX payments in one file.
- Generation of new Output Return file in XML for each transaction (return, estimate, extension, voucher, etc.).
- Generation of image file for each Work Object which will be sent to CTAX and allow employees to view entire contents of transaction within CTAX system by clicking on a hyperlink.
- Update the current Patch Sheet process for CTAX to output the image file of the additional information and tie it to the transaction in CTAX. It will be able to be viewed with the transaction it is supporting.
- Multiples will be greatly improved with CTAX as the new system is able to handle all types of multiples (any number of returns and checks due to it being that it is transactional system. In depth development and testing will be performed to confirm the handling of any combination of returns and checks within one transaction.

2. ECM development, testing, and migration for all tax returns requiring 2022 mid-year form changes and any possible Legislative Changes enacted during the 2022 Legislative Session.
3. Update ECM for CTAX Rollout 3 Forms being migrated on September 12, 2022. (CTAX Project is an agency-wide, four phase IT modernization project)
4. 2022 Rollover Annual Returns ~ Go Live January 2023 – ECM development, testing, and migration to all tax returns requiring annual changes.

ECM has processed **2,276,770** checks for **\$7,162,851,207.68** as of close of business on December 31, 2021, since initial "Go Live" date of 11/16/2016.