**Scope Management Plan**

**Project Name: Seedling**

**Department:** Financial Operations, Information Technology

**Focus Area:** Process Automation

**Product/Process:** Financial Statement Intake and Analysis

**Prepared By**: Kate Herrick, Project Manager

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This document serves as the official scope management plan for the Seedling project. It defines the project's boundaries, outlines the processes for managing and controlling the scope, and establishes a baseline against which all future changes will be evaluated. This plan is a living document and will be referenced throughout the project lifecycle to ensure all work remains aligned with the project's objectives.

**1. Project Objectives**

The primary objective of the Seedling project is to implement an automated and integrated system for processing client balance sheets at Compeer Financial. The project aims to:

* Reduce operational costs by minimizing manual data entry.
* Improve data accuracy and integrity by automating the capture and transfer of information.
* Enhance operational efficiency by streamlining financial statement intake and analysis.
* Mitigate data security risks by standardizing data handling and access.

**2. Project Scope Description**

The project will deliver a fully automated system for processing client balance sheets. The system will use an OCR (Optical Character Recognition) solution to capture data from balance sheets provided in two formats: a PDF export from an Excel spreadsheet and a scanned PDF image. The data will then be automatically transferred from the OCR system to Salesforce, and from there to the AgriBank systems.

**Key deliverables include:**

* A configured and fully-operational OCR solution that meets project requirements.
* A custom Salesforce API endpoint and object to receive the OCR data.
* An updated ETL job to transfer data from Salesforce to AgriBank.
* Automated workflows in Salesforce for data processing.
* A comprehensive test plan and completed testing cycles (unit, integration, end-to-end and UAT).
* Final project documentation.

**3. Project Requirements & Specifications**

The solution must be able to process balance sheets in both the Excel-exported PDF format and the scanned PDF format. The system is required to achieve a minimum data accuracy of 90%, ensuring that at least nine out of ten balance sheets are scanned with accurate, usable data without human intervention. The system must also comply with all regulatory and security requirements that Compeer is subject to as an organization.

**4. Project Boundaries**

This project is focused on automating the intake and processing of client balance sheets.

**In scope:**

* OCR solution configuration and integration.
* Salesforce object, API endpoint, and workflow development.
* ETL job updates for AgriBank systems.
* Testing, documentation, and training related to the new process.

**Out of scope:**

* Development or modification of any other business processes.
* Changes to the core functionality of Salesforce or AgriBank systems beyond what is required to enable the planned integration.
* Automating the intake of any documents other than client balance sheets.
* Upgrading or purchasing new hardware for end-user machines.

**5. Product Acceptance Criteria**

Product acceptance will be based on the following:

* The system must successfully scan and process a test set of 100 balance sheets, achieving a minimum of 90% data accuracy.
* The automated data transfer from the OCR to Salesforce and from Salesforce to AgriBank must function as designed in a production environment.
* The final solution must be approved by the project sponsor and key stakeholders from Financial Operations, Information Technology, and AgriBank.

**6. Project Specifications**

The final product must meet the following technical and functional specifications:

* The OCR solution must be able to process PDF documents and output structured data in a format (JSON or XML) that can be accurately consumed by the designated API.
* The API endpoint must be a secure service capable of handling a high volume of transactions.
* The data from the OCR output must be precisely mapped to the designated fields in the custom Salesforce object and to the destination fields in AgriBank’s systems.
* The automated workflow must be triggered when a balance sheet document is successfully scanned.
* The system must include error handling at all integration points, including at the point of ingress and all downstream data storage locations.

**7. Project Assumptions and Constraints**

**Assumptions:**

* Necessary funding and resources will be allocated as planned.
* The OCR solution from our document management vendor is capable of meeting the 90% accuracy requirement.
* Labor, acquisition, and other costs will remain stable.

**Constraints:**

* **Timeline:** The project has a charter-approved timeline of one year, but the current schedule yields a five-month delivery date.
* **Budget:** The total project cost must be less than $1 million.
* **Fund Limitations:** Funding is limited to the approved budget, and any changes that exceed this amount must be approved by the change control governance committee (CCGC).

**9. Project Organization**

The project team will be composed of a project manager (Kate Herrick), three business analysts, an IT lead/developer, a Salesforce developer/administrator, an ETL developer, a project manager with the OCR vendor, an ETL resource at AgriBank, and two quality assurance (QA) analysts. The project manager will be responsible for overall project execution, while the business analysts will gather requirements and the IT lead will handle development and integration. The QA analysts will be responsible for testing and quality control.

**9. Updated Risk Assessment**

Since the project charter was agreed upon, two new risks have been identified:

* International supply chain issues may delay the delivery of the OCR hardware, which would impact the project timeline. Given that the expectation is that similar obstacles would impact vendors in the OCR space, a contingency plan involves either identifying alternative vendors or delaying the project until hardware is available.
* A planned vacation by a key resource at AgriBank during integration testing could cause delays. The team will work proactively to attempt to identify a backup resource and create a knowledge transfer plan to mitigate this risk.
* The data extracted from the balance sheets may, at any point in the integration process, become corrupted or mismatched. The team is making rigorous end-to-end testing plans to account for this possibility and will be engaging subject matter experts to validate the data at each interface point in the full process.

**10. Schedule Milestones**

The following milestones will be tracked to ensure the project stays on schedule:

* Project Charter Approval: **October 2025**
* Requirements Gathering Complete: **December 2025**
* OCR Integration Complete: **December 2025**
* ETL Job Updated: **January 2026**
* UAT Complete: **January 2026**
* Go-Live: **February 2026**
* Project Closeout: **February 2026**

**11. Fund Limitations and Cost Estimate**

The project has a strict budget constraint of less than $1 million. The following is a high-level cost estimate:

* Software Licensing and Hardware Acquisition - $250,000
* Requirements Elicitation, Test Planning, Development and Testing - $540,000
* End User and Administrative Training - $50,000
* Project Contingency Fund - $160,000

*Note: The contingency fund has been established after labor costs were updated to reflect a shorter timeline using allocated budget resources. The fund is reserved for unforeseen costs or scope changes approved by the CCGC. Any costs in excess of the contingency fund require approval from the CCGC.*

**12. Project Configuration Management and Approval Requirements**

This project will follow Compeer’s standard change control process in adherence with project integration management best practices. This process ensures that changes are not made without consideration of the larger project goals and that their impact on the entire project (scope, schedule, budget, and resources) is assessed. For example, if a team member requests a change to the ETL job to include new data fields outside the original scope, the project manager will apply integration management principles by evaluating how this change affects the development schedule, the budget, and the QA testing plan before a decision is made.

The following steps must be followed for any change request:

1. A formal **change request form** must be submitted, detailing the requested change and the business justification.
2. The project manager will conduct an impact analysis to determine the effect on the project's scope, schedule, budget, and resources.
3. The change request and impact analysis will be submitted to the **change control governance committee (CCGC)** for review and approval.
4. Once approved, the updated plan documents (including this scope management plan) will be revised and re-baselined.