

1) UAT Scope Definition

Scope Item	Description	Source
Account Opening Workflow	Full, end-to-end workflow: intake → validation → packet build → review → DocuSign → write-back	Agentic Workflow Def, Arch
Agentic Agents	All agents: Orchestrator, Intake, Validation, Packet Assembly, Human Review, DocuSign Envelope, Submission, Write-back, Audit/Trace, Continuous Improvement	Agent Inv, Arch Blueprint
Agent Decisions	All business-meaningful decisions made by any agent (e.g., validation pass/fail, route for manual review, escalate error)	Agent Def, Control Flow
Data Flows (Bronze/Silver/Gold)	Data ingestion, normalization, transformation, audit trail, and artifact generation	Data Map, Arch Blueprint
Human-in-the-Loop Integration	Manual review and feedback, including escalation and override logic	Agent, Control Flow
Feedback Loop	Capture/action of UAT feedback mapped to agents, workflows, data, and architecture	Principles, Agent Def
Audit/Traceability	End-to-end event and decision logging for compliance and continuous improvement	Audit, Arch Blueprint
Out-of-Scope: BI/Analytics	Business analytics, downstream reporting, dashboarding	Non-Goals
Out-of-Scope: Model Training	Automated model retraining, ML outside specified agent prompts/logic	Non-Goals
Out-of-Scope: Legacy Automation	RPA/non-agentic automation, direct integration bypassing agentic core	Non-Goals
Out-of-Scope: External Data Handling	Any processing or storage outside NorthRock IT environment	Non-Goals, Constraints
Out-of-Scope: Portfolio Management	Account maintenance/changes after onboarding completion	Non-Goals

2) UAT Objectives (Business-Aligned)

Objective ID	Business Objective	Expected Outcome	Success Signal
O1	Efficient and accurate new account onboarding with full audit/tracing	Accounts opened correctly, on time, and traceably to all agent and workflow decisions	SLA adherence, 100% traceability
O2	Compliance with custodial/regulatory/account-type rules	All validation outcomes, packet assemblies, and write-backs conform to explicit rules	Zero NIGO due to rule breach
O3	Minimized manual effort and fast exception handling	Agent auto-resolves routine scenarios; humans only intervene when needed	High auto-completion %, low manual
O4	End-to-end data consistency and fidelity across systems (Salesforce/Edge, Custodians)	All lifecycle states, documents, and status updates are synchronized and complete	No broken syncs, zero mismatch
O5	Continuous improvement and rapid response to process/rule issues	All actionable UAT/stakeholder feedback mapped, tracked, and closed in improvement loop	Feedback loop closure rate 100%

3) UAT Scenarios (Derived from Agentic Workflow)

Scenario ID	Workflow	Agents Involved	Trigger	Expected Behavior
S1	Account Intake	Intake Agent, Orchestrator	New client intake event (API/form/manual)	All forms/documents are ingested, normalized, and properly associated
S2	Intake Validation	Validation Agent, Orchestrator	After intake completes	Fields checked for completeness, consistency, custodian/account rule alignment; exceptions flagged
S3	Packet Assembly	Packet Assembly Agent	After validation passes	Custodian forms correctly mapped, all fields pre-populated, digital packet built
S4	Human-in-the-Loop Exception Review	Human Review Agent	Validation/package error/ambiguous scenario	Reviewer receives relevant context, approves/rejects/requests correction, and action is logged
S5	DocuSign Envelope Routing	DocuSign Envelope Agent	Packet ready for signature	Envelope generated, routed, and tracked through completion
S6	Submission and Synchronization	Submission Agent, Write-back Agent	Packet (signed if needed) ready	Submission to custodian, confirmation obtained, all updates/artifacts written to Salesforce/Edge
S7	Audit/Traceability Pass	Audit/Trace Agent	At any workflow transition/finalization	All agent actions, human interventions, and state transitions recorded and retrievable
S8	Data Layer Consistency Check	All Agents (data-writing stages)	Post-writeback or per batch	Consistency, completeness, and lineage validated for Bronze/Silver/Gold data
S9				

Scenario ID	Workflow	Agents Involved	Trigger	Expected Behavior
	Continuous Improvement Loop Activation	Continuous Improvement Agent, Audit/Trace, Orchestrator	Quarterly/on-demand/ feedback receipt	Agent/process rules assessed, improvements recommended, tracked, and verified
S10	Failure/Escalation Path	Any agent (on error), Human Review Agent	Detection of unrecoverable error or unresolved state	Exception routed for manual remediation, status and audit trail preserved

4) Acceptance Criteria (Agent-Level)

Agent	Decision / Output	Acceptance Criteria	Validation Method
Intake Agent	Normalized intake record	All required intake data present; proper client/household link	Output inspection, conformance check
Validation Agent	Validation result log	100% rule coverage, pass/fail/exception flagged auditable	Rule conformance, trace audit
Packet Assembly Agent	Pre-populated custodian packet/ form	All mapped fields, no missing/incorrect mapping, template current	Output inspection, stakeholder confirm
Human Review Agent	Review action (approve/reject/ correct)	Annotated action, rationale captured, audit entry persists	Log inspection, replay verification
DocuSign Envelope Agent	Envelope generation, signature, status	Correct packet attached, recipient/routing valid, status tracked	Output/state, stakeholder confirmation
Submission Agent	Submission outcome, receipt	Successful transmission, confirmation code, fallback/ notify on fail	Output inspection, log check
Write-back Agent	SFDC/Edge update, artifact persistence	Status, artifacts, and lifecycle state updated and retrievable	Output/state, record query
Audit/Trace Agent	Full trace log	All events/decisions are immutable and tied to workflow/ agents	Trace replay, event audit
Continuous Improvement	Improvement advisory/log	Recommendations are actionable, logged, and tracked	Advisory review, closure tracking

5) Acceptance Criteria (Workflow-Level)

Workflow	Path / Branch	Expected End State	Pass Condition
Account Opening	Core (no errors)	Account open, all data/packets in sync, audit pass	All agents succeed, customer onboarded, audit log closed
Account Opening	Exception (validation/ packet fail)	Human review performed, decision/ action logged	Human action trace exists, result path restarts/ends per correct process
Account Opening	DocuSign required	Signed envelope attached to submission	Valid signature present, status tracked/completed, failover if not possible
Account Opening	Submission error	Escalation or retry paths, audit preserved	Retry logic applied, manual escalation if automated fix not possible, all steps auditable
Audit/Continuous Improvement	Assessment cycle completed	Improvement applied or explicitly deferred w/ reason	Recommendation reviewed, action/deferral logged, effect visible in new run

6) Data Validation Criteria (Bronze / Silver / Gold)

Data Layer	Validation Focus	Agent Responsible	Failure Handling
Bronze	Intake data completeness, traceability	Intake Agent	Route to Human Review Agent, log exception
Silver	Normalization, structure, field mapping, validation log	Validation Agent, Packet Assembly Agent	Mark as exception, require correction/ approval
Gold	End-state correctness for submission, artifact availability	Packet Assembly Agent, Submission Agent, Write-back Agent	Block submission, send to exception/ human queue
Silver/Gold	Audit log event trace, replayability	Audit/Trace Agent	Halt process if non-replayable, compliance alert
Gold	Post-writeback lifecycle/ownership	Write-back Agent	Reconciliation on mismatch, manual intervention

7) UAT Execution Plan

Step	Action	Responsible	Artifact Produced
1	Prepare UAT test data sets and workflow triggers	UAT Lead / Data Analyst	Intake test cases, intake docs
2	Run full agentic workflow with simulated and real life cases	Test Operator, UAT Lead	Agent step logs, workflow run logs

Step	Action	Responsible	Artifact Produced
3	Capture outputs, decision traces at each workflow stage	All Agent Owners	Decision snapshots, trace files
4	Perform data layer inspection (Bronze/Silver/Gold)	Data Quality Analyst	Layer conformance reports
5	Solicit in-workflow stakeholder feedback per manual review	Business SME, Reviewer	Structured feedback records
6	Aggregate scenario-level metrics, compare to targets	UAT Lead, Metrics Owner	Metric dashboard/export
7	Feed feedback/artifacts to continuous improvement agents	UAT/DevOps, CI Agent	Feedback queue/update log
8	Run closure verification on improvement recommendations	Process Architect	Change request log, closure status
9	Prepare UAT summary and pass/fail dossier	UAT Lead	UAT summary, pass/fail report

8) Metrics Definition (Mandatory)

8.1 Agent Performance Metrics

Metric	Agent	Definition	Target
Decision Accuracy	Validation Agent	% of automated decisions correctly matching stakeholder review	>98%
Intake Exception Rate	Intake Agent	% of intakes requiring manual correction	<5%
Retry/Recovery Rate	Submission Agent	# of retries per submission event	<1 per 100
Fallback Invocation Rate	Any (on failure path)	% of workflows requiring escalation to manual	<2%
Trace Completeness	Audit/Trace Agent	% of agent actions/events traceable and replayable	100%

8.2 Workflow Metrics

Metric	Workflow	Definition	Target
End-to-End Completion Rate	Account Opening	% of initiated runs leading to success	≥95%
Average Execution Time	Account Opening	Mean time from intake event to lifecycle close	<60 mins
Branch Distribution	All	% per path: core, exception, manual, retry	As designed; monitored for drift
Escalation Frequency	All	% of workflows triggering human/manual escalation	<3%
Feedback Loop Closure Rate	Continuous Improvement	% of actionable UAT feedback resulting in change	>95%

8.3 Data Quality Metrics

Metric	Data Layer	Definition	Target
Completeness	Bronze/Silver/Gold	% data artifacts with all required fields present	100%
Freshness	Silver/Gold	Median time lag from event to visibility	<10 mins
Structural Conformance	Silver/Gold	% meeting expected normalized/validated structure	100%
Replay Success Rate	Audit Trace (Silver)	% of traceable workflows 100% replayable	100%

8.4 Stakeholder Satisfaction Metrics

Metric	Stakeholder	Capture Method	Target
Confidence Score	Operations/Compliance	Structured survey (0-5 scale)	≥4
Trust Rating	Operations/Compliance	UAT debrief/rating (0-10 scale)	≥8
Manual Override Frequency	Client Service, Reviewer	# of per-100 workflows	<3
Feedback Satisfaction Closure	All	% of feedback closed/resolved	>95%

9) Feedback Capture Mechanism

Feedback Source	Trigger Point	Capture Method	Structured Fields
Agent Output Error/Exception	On validation/packet failure	Automated log and reason-coding	Agent, workflow stage, error code, data ref
Human Review/Override	On manual review	Structured entry in review UI	Decision, reason, related agent/scenario
Continuous Improvement Assessment	On periodic/triggered CI	Logged in CI agent audit trail	Process/rule/metric, outcome, action
Post-Workflow UAT Session	End of UAT workflow	UAT survey (structured, 1-5 scale)	Scenario, agent, workflow, rating, comment
Stakeholder UAT Debrief	After UAT batch	Facilitated form, captured digitally	Goal, experience, pain point, suggestion
Automated Data Layer Check	After write-back/batch	Scripted audit log with diff/alerts	Data layer, anomaly type, affected record

10) Feedback Classification & Routing

Feedback Type	Routed To	Action Type
Agent logic issue	Agent Owner	Prompt/policy update

Feedback Type	Routed To	Action Type
Workflow step flaw	Workflow Designer	Workflow control refinement
Data mapping error	Data Layer Owner	ETL/transformation fix
Rule/process gap	Continuous Improvement	Rule/process adjustment
Audit/integrity gap	Compliance Architect	Trace/persistence revision
System integration issue	IT/Integration Owner	Adapter upgrade/bugfix
Architecture flaw	Solution Architect	Blueprint revision

11) Feedback-to-Change Loop

Feedback Input	Analysis Performed	Change Applied To	Verification Method
Validation exception surge	Root cause (rule gaps? mapping? data structure?)	Validation Agent logic, rules	UAT rerun, metric improvement
High fallback/manual rate	Analyze failure reasons by agent/workflow path	Agent fallback/policy prompt	Path frequency metrics, re-UAT
NIGO due to data mismatch	Data lineage/tracing, ETL log review	Data mapping/transformation	Data re-ingestion test, trace
Slow end-to-end timing	Pinpoint agent/step delays, resource bottlenecks	Workflow config/timeout param	SLA & timing re-measurement
Unreplayable audit logs	Audit pipeline/event sourcing check	Audit/trace pipeline fix	Replay test, trace hash verify
Stakeholder dissatisfaction	Specifics coded, sentiment analysis	Human step/UX process	Stakeholder rating improvement

12) Governance & Approval Gates

Gate	Criteria	Approver	Artifact Required
UAT Pass Gate	All UAT objectives/scenarios passed, metrics on target	Principal Architect/UAT Lead	UAT summary, metric report
Production Readiness	Feedback closure rate >95%, audit drain clean, stable	Product Owner, Compliance	Closure log, system test certs
Architecture Deviation	Any agent/workflow/data path changed from blueprint	Solution Architect	Diff/impact log, rationale
Rule/Process Update	Policy/rule changes validated and signed off	Continuous Improvement, SME	Rule update log, approval note
Data Governance	Any critical data change meets security/retention rules	IT/Data Governance	Data change/tracing log
Audit Compliance	100% trace/replay, WORM/immutable event logs present	Compliance Officer	Audit trial, replay log

13) Explicit Non-Goals

Out of Scope Item	Reason
General analytics/BI/reporting	Not in onboarding workflow/UAT remit
External audit exposure to clients	Ops/compliance only, for security/compliance
Direct RPA/process automation	System is Agentic-core by policy
Ad hoc, unstructured feedback	Only structured, map-able feedback allowed
Portfolio/account maintenance	Only new onboarding is in scope
Data/model training outside agentic core	Security, compliance, scope
Code/implementation specifics	UAT/feedback is for architecture, not code
Non-system/non-agent integrations	Not approved by architectural constraints