User Acceptance Test (UAT)

Invoice Automation

September 21, 2021

ATARA BIOTHERAPEUTICS

**Pre-Execution Approval**

This User Acceptance Test document has been reviewed and approved by the functional areas listed below. The pre-approval indicates that the protocol is ready for execution.

**Document Author**

|  |  |  |  |
| --- | --- | --- | --- |
| Author Name | Title | Signature | Date |
| Pritesh Rami | Business Process Analyst | Signature rendered electronically. See attached Document Approvals Form | |

**Pre-Approval**

|  |  |  |  |
| --- | --- | --- | --- |
| Approved by | Title | Signature | Date |
| Nimit Arora | Sr. Director, Corporate Controller | Signature rendered electronically. See attached Document Approvals Form | |
| Satish Krishnan | Sr. Director, IT | Signature rendered electronically. See attached Document Approvals Form | |

**Revision History**

|  |  |  |  |
| --- | --- | --- | --- |
| Version | Date | Description/Reason | Revised by |
| 5.0 | Sep 14, 2020 | Updated scripts to split for 2 bot runner accounts | Krithika Karthikeyan |
| 6.0 | Nov 11, 2020 | Edited scripts relevant to UAT for FedEx/CRO use case | Krithika Karthikeyan |
| 7.0 | Dec 18, 2020 | Edited scripts relevant to UAT for Release 3 (UC 2b, 3); Added vendor list for R3; | Krithika Karthikeyan |
| 8.0 | Feb 16, 2020 | Edited scripts relevant to UAT for Release 4 (Utility/benefit vendors) | Krithika Karthikeyan |
| 10.0 | Apr 27, 2021 | Edited scripts relevant to UAT for Release 5 (3-Way matching, Tax line update logic for UC 2, multiple invoices for same PO in CRO/non-CRO) | Krithika Karthikeyan |
| 11.0 | Sep 17, 2021 | Edited scripts relevant to UAT (Invoice entry in Dynamics using Edge Browser.) | Pritesh Rami |

**Post Approval**

The executed of User Acceptance Test was reviewed, documented and determined to be acceptable for post-approval signatures. The “Reviewed By” signature indicates that the information was accurately documented as per the defined instructions, reviewed the actual test results and confirmed the acceptance criteria has been met.

|  |  |  |  |
| --- | --- | --- | --- |
| **Reviewed By** | **Title** | **Signature** | **Date** |
| Bassam Khawaja | Project Manager | ATARA PM/BA | Signature rendered electronically. See attached Document Approvals Form. | |

The final executed protocol was reviewed successfully, and the signatures below provide evidence that the system is installed acceptably and ready to be released for use.

|  |  |  |  |
| --- | --- | --- | --- |
| **Approved By** | **Title** | **Signature** | **Date** |
| Satish Krishnan | Sr. Director, IT | Signature rendered electronically. See attached Document Approvals Form. | |
| Nimit Arora | Corporate Controller | Signature rendered electronically. See attached Document Approvals Form. | |

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# Objective

The objective of this User Acceptance Test (UAT)protocol is to provide documented evidence that the Automation Anywhere Bots are performing as per the defined and approved User requirements, Functional Specifications and Configuration Specifications

# Scope

The scope of this protocol is limited to the User Acceptance testing in VAL Environment.

The User Acceptance Testing will check if:

1. BOT can enter invoices through Edge browser.

The components within the scope of this protocol are:

* Invoice BOT

# System Description

This project is to create a BOT for automating the invoice processing at Atara Biotherapeutics.

This BOT is created to Automate the AP Invoice Processing process. In this process, bot is designed to fetch the purchase order information from the Microsoft Dynamics and apply invoices against each Purchase Order PO.

# References

|  |  |
| --- | --- |
| Document Title | Document Description |
| URS - VAL-IT-554 | User Requirement Specification |
| FDD- VAL-IT-553 | Functional Specification |
| Config Spec - VAL-IT-555 | Configuration Specification |
| Folder Reference | **Folder Path** |
| SharePoint input folder for R&D invoices (2-way and 3-way) | \\atara.sharepoint.com\sites\FinanceTeam\Shared Documents\General\Accounts Payable\D365 Invoices\D365 invoices - BOT Processing - TEST\R&D\May 2021 Testing\Invoices to be processed by BOT\ |

|  |  |
| --- | --- |
| **Automation Accounts for UAT** | **Details** |
| **BOT\_Runner\_Account** | svc\_automation – for R&D (2-way and 3-way) |

# Responsibility

|  |  |
| --- | --- |
| Role | Responsibility |
| Circulants (Process Analyst) | * Development of protocol including incorporation of comments from Atara Bio team members. * Assist in the execution of the protocol. * Manage and assist in the troubleshooting and resolution of deviations. |
| Atara Bio SME (System Owner) | * Review and approval of the protocol. * Provide technical and business input. * Provide technical and business support in the troubleshooting and resolution of deviations. * Support the execution of the protocol. * Review and approval of the executed protocol and summary report. |
| Atara Bio – AP Clerk – G&A | * Review and validate the data in Dynamics against scanned PDFs. * Complete the UAT scripts instructions and identify Pass or Fail. * Complete the Invoice Validation Checklist for each invoice |
| Atara Bio – AP Clerk – R&D (2-way and 3-way) | * Review and validate the data in Dynamics against scanned PDFs. * Complete the UAT scripts instructions and identify Pass or Fail. * Complete the Invoice Validation Checklist for each invoice |

# General Instructions

* Each person, involved with the execution and/or review of this protocol, must read and understand the protocol prior to commencing.
* Each person should record their printed name, signed name, initials, and date in Section 12 – Signature Log.
* Execute the test cases and steps as stated in the sections that follow. The procedures and test specific acceptance criteria are indicated for each test.
* Complete the actual results column.
* Identify if the step passed or failed by checking the appropriate box.
* If the Verification column request a ‘Screenshot’, capture a screenshot of the transaction and paste it into the attachment column of the attachment log table (located on the last page of this script), identifying the step in the Attachment Step column.
* If the Verification column request a ‘File’, after downloading the file, copy the file associated with the transaction and paste it into the attachment column of the attachment log table (located on

the last page of this script), identifying the step in the Attachment Step column. You should see an Excel or Word icon in the table, not data.

* Upon completion of the test, complete the ‘Tester’ row of the Post Approvers table (Wet signature is NOT required).
* Obtain the test reviewers approval, requesting update of the Post Approvers table (Wet signature is NOT required).
* Email the completed script to the test reviewer for their approval.
* Test Reviewer email the approved script to the change owner.

# Acceptance Criteria

Each individual test case verification step contains specific acceptance criteria. The User Acceptance Test will be considered complete when:

* All test cases have been executed and reviewed.
* All individual test step acceptance criteria are met or contain reference(s) to resolved Deviation(s).
* All Deviations from approved test cases are properly documented and resolved.
* UAT post approval has been obtained.

# Deviation Management

A Deviation is an incident that pertains to a failure or problem that has been evaluated as a potential departure from testing instructions, or established criteria. The Deviation Report Form will be used to document deviation resolution process.

* Multiple occurrences of a related deviation within a Protocol can be combined into one Deviation Form.
* A Deviation that occurs as part of the corrective action or re-testing for an existing Deviation may be documented in the original Test Incident Form

The following steps will be performed to evaluate, document and resolve the Test Incidents:

1. Evaluate the Deviation.

* Provide a description of the Deviation including the circumstances where the Deviation occurred.
* Investigate and identifies the reason for the failure. The documented analysis must define the impact of the root cause on the system, as well as the testing that has already been performed.
  + Deviation Form can also be used to document Deviations that are encountered during User Acceptance Testing that have an impact on the system and/or testing activities, but are not a result of script execution (e.g., Deviations encountered during pre-execution set-up)

1. Perform Corrective Actions

* Provide the action plan to rectify the Deviation based on the root cause analysis, including any system changes, required retesting and/or new or updated test cases. If no action is required, the rationale must be provided.
* Perform the corrective actions and retesting required. Document the results.
* Capture the results of the corrective action(s) and determine whether the Deviation was resolved.

1. Deviation Approval

* Review the Deviation Form and supplemental data (i.e., executed test cases, print-screens, system log/report, etc.)
* Approve and close the Deviation Form.

# Pre-requisites

* Edge Browser should be installed along with the Automation Anywhere extension.
* MS Dynamics Val system is up and running.
* Service Account for BOT has been provisioned within MS Dynamics as per the roles and privileges defined in Configuration specifications.
* Invoice to be tested are available in G&A and R&D folders before UAT.

# User Acceptance Testing Cases (Scenario)

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Test Purpose:** | To test user requirements from Invoice BOT covering following test cases:   1. BOT was scheduled and executed in Edge browser. 2. BOT was able to enter ALL invoices saved in the “Invoices to be processed by BOT” folder in D 365, including attaching renamed invoices copies to the PO in D 365. 3. Verify all invoices entered by BOT appear in the pending invoice screen. 4. Verify all Invoice Elements captured from Vendor Invoice PDF with MS Dynamics. 5. Verify if all invoices processed by BOT were moved to “Invoices processed by BOT” folder. | | | | |
| **Pre-requisites:** | 1. Tester has access to the D365 ERP system in the validation environment. 2. Tester has access to AP Email Inbox 3. Fill yellow fields for each invoice to be tested in the attached “BOT UAT Testing Tracker – May 2021 Release 5”. | | | | |
| **Acceptance Criteria:** | The actual results meet the stated expected results as listed in the table below. | | | | |
| **Test Environment:** | **VAL** | **Run #** | **2** | **Initials/Date** | **V.M. – 5/13/2021**  **CS – 5/13/2021**  **DK – 5/14/2021** |

## 

## User Acceptance Testing Scripts

|  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Step | Procedure | | | Role | Expected Results | Actual Results |  | Pass/Fail | Verification |
| 1.1 | Master BOT starts at scheduled time in Edge browser and runs in unattended mode. | | | Technical Consultant | BOT starts and successfully runs in unattended mode | BOT started and ran successfully in unattended mode |  | Pass  Fail |  |
| 2 |  |  | **BOT was able to enter ALL invoices saved in the “Invoices to be processed by BOT” folder in D 365** | | | | | | |
| 2.1 | Filter the list by Created by = **svc\_automation** and sort it by date (newest first) and verify if all invoices in R&D folder were processed by BOT. | | | AP Clerk | All the invoices processed successfully should be in this list | All invoices processed by BOT is in the list (2 processed, 3 exception) |  | Pass  Fail |  |
| 3 |  |  | **Verify all invoices entered by BOT appear in the pending invoice screen** | | | | | | |
| 3.1 | Sign into Dynamics 365 VAL environment. | | | AP Clerk | Logged In | Logged in |  | Pass  Fail | None |
| 3.2 | Navigate to All Pending Invoices screen. Filter the list by Created By = **svc\_automation** and sort it by date (newest first).  Verify that list above matches with following summary provided under column ‘No of invoices completed Successfully’ in Batch Report email. | | | AP Clerk | Number of invoices in Pending Invoices Should match with email summary | Number of invoices in pending invoices matching the invoices in summary email |  | Pass  Fail | None |
| 4 |  |  | **Verify all Invoice Elements captured from Vendor Invoice PDF with MS Dynamics.** | | | | | | |
| 4.1 | Search for pending invoice based on Vendor Name/Invoice # and validate the invoice elements in MS Dynamics to match with vendor invoice for each vendor invoice pdf.  Enter relevant information for each invoice in the corresponding line in the **BOT UAT Testing Tracker – May 2021 Release 5.xlsx** | | | AP Clerk | Invoice information displays and matches with invoice PDF from vendor | Invoice information matching with invoices. See tracker in attachment section |  | Pass  Fail | Enter Pass/Fail in **BOT UAT Testing Tracker** |
| 5 |  |  | **Verify if all invoices processed by BOT were moved to “Invoices processed by BOT” folder.** | | | | | | |
| 5.1 | Navigate to https://atara.sharepoint.com/:f:/r/sites/FinanceTeam/Shared%20Documents/General/Accounts%20Payable/D365%20Invoices/D365%20invoices%20-%20BOT%20Processing%20-%20TEST/Sep%202021%20UAT%20BOT%20Testing/Invoices%20processed%20by%20BOT?csf=1&web=1&e=NGbgsP  Check if all invoices submitted were processed/moved to this folder. | | | AP Clerk | Invoices were moved to *Invoices processed by BOT* folder | Invoices moved to *Invoices processed by BOT* folder |  | Pass  Fail |  |

# Signature Log

Each person involved in the execution and/or of this protocol must read and understand the document prior to commencing. Upon completion of the training, each person is to record their printed and signed name, initials (as they will appear in the document), and date on the form provided.

Photocopy this page as needed: Sheet \_\_1\_\_ of \_1\_\_\_

|  |  |  |  |
| --- | --- | --- | --- |
| Printed Name | Signed Name | Initials | Date |
|  |  |  |  |
| Carri Sullivan | Carri Sullivan | CS | 5/13/2021 |
| Doh Kim | Doh Kim | DK | 5/14/2021 |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
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# Acceptance

|  |  |  |  |
| --- | --- | --- | --- |
| **Acceptance Criteria** | **Failure Encountered**  **Yes/No**  **(If Yes, record all deviation numbers)** | **Acceptance Criteria Met? (Yes / No)** | **Assessed By**  **(Signature / Date)** |
| All operational qualification acceptance criteria were met, and system functions as expected. | Yes  No | Yes  No | See Veeva |
| **Comments:**  **None** | | | |

# Deviation log

Document the list of deviations encountered during the execution of this protocol.

|  |  |  |  |
| --- | --- | --- | --- |
|  | | **Sheet: \_\_\_\_\_ of \_\_\_\_\_** | |
| **Deviation #** | **Brief Description of Deviation** | **Test case # (refer to UAT test script #)** | **Initiated By / Date** |
| N/A | N/A | N/A | N/A |
|  |  |  |  |
|  |  |  |  |

# Deviation Form

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| Photocopy this page as needed: | | |  | | | | |
| **Deviation #:** | | N/A | | | **Protocol section:** |  | | | |
| **Description:** | | | | | | | | | |
| **Investigation:** | | | | | **Root Cause Category:**  Specification  Execution  Equipment/Material  Software  Test Plan  Other: | | **Impacted Documents:**  URS  Specifications  Assessments  SOP  Other Protocols  NA | | |
| **Resolution and Corrective Actions:** | | | | | | | **Corrective Actions Required:**  Drawing Redline  Hardware/Material Change  Re-Testing  Software Change  Document Redline  NA  Other: | | |
| **Investigated by:** *(sign)* | | |  | | | | **Date:** |  | |
| **Approved by System Owner:** *(sign)* | | |  | | | | **Date:** |  | |
| **Evidence of Completed Corrective Action: NA**  **Redlines Attached Re-Test Attached Revised Software Version: \_\_\_\_\_\_\_\_\_\_\_\_ Comments:** | | | | | | | | | |
| **Completed by:** *(sign)* | | |  | | | | **Date:** |  | |
| **Approved by System Owner:** *(sign)* | | |  | | | | **Date:** |  | |