Test Objectives & Plan – Client Onboarding System

1. Test Objectives

- Validate that the Client Onboarding System meets all business, functional, and system requirements.
- Ensure compliance with KYC, AML, FATCA/CRS, GDPR.
- Verify end-to-end onboarding workflows (Lead → KYC → Risk → e-Sign → Account Creation → CRM Sync).
- Confirm system stability, performance, and security under load.

2. Scope of Testing

✅ In-Scope:

- - Functional testing of all modules (data capture, document upload/OCR, KYC/AML, risk profiling, consent, account creation).
- - Integration testing with external systems (CRM, Core Banking, Compliance APIs, e-Sign, DMS).
- - Non-functional testing: performance, security, usability, audit logging.
- - UAT with business stakeholders.

❌ Out-of-Scope:

- - Legacy CRM and core banking features not directly integrated.
- - Non-digital onboarding (manual forms).
- - Infrastructure provisioning outside AWS cloud environment.

3. Test Scenarios & Cases (High-Level)

- - UC-001: Client data entry – mandatory/optional field validation.
- - UC-005: Document upload – valid formats, OCR accuracy, duplicate handling.
- - UC-008: AML/KYC screening – PEP, sanctions, false positive handling.
- - UC-011: Risk questionnaire – scoring logic, alternate flows.
- - UC-013: Consent capture – checkbox validations, GDPR compliance.
- - UC-014: e-Sign – DocuSign/AdobeSign workflow, failure handling.
- - UC-015: Account creation – auto account creation, error cases.
- - UC-017: CRM sync – successful push, error logging.
- - UC-018: Ops dashboard – exception workflow validation.

4. Entry & Exit Criteria

Entry Criteria:

- - BRD, FRD, SRS approved and baselined.
- - Test environment setup complete.
- - RTM mapped to all requirements.
- - Test cases designed and reviewed.

Exit Criteria:

- - 95%+ test case execution completed.
- - 100% of critical & high-priority defects resolved.
- - All compliance requirements verified.
- - UAT sign-off from business stakeholders.

5. Roles & Responsibilities

- Business Analyst (Prashant): RTM alignment, requirement clarifications.

- QA Lead: Test planning, scenario design, execution oversight.

- QA Engineers: Test case execution, defect logging, regression testing.

- Developers: Bug fixes, deployment support.

- Product Owner: Prioritization, final UAT acceptance.

- Compliance Officer: Validation of KYC/AML rules.

6. Test Environment

- Frontend: React web app (latest build).
- Backend: Microservices (Onboarding, Compliance, Risk, Account).
- Database: PostgreSQL.
- Storage: AWS S3 for document management.
- External Integrations: Salesforce (CRM), Core Banking sandbox, DocuSign, Refinitiv World-Check.
- Tools: Jira, Zephyr (test management), Postman (API testing), JMeter (performance).

7. Approval & Sign-Off

Stakeholders: QA Lead, Product Owner, Compliance Officer, Tech Lead.

Final Approval: Head of Wealth Management.