

# User Acceptance Testing (UAT) Plan – Client Onboarding System

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## 1. Objectives

- Validate that the system meets business requirements and provides a smooth client onboarding experience.
- Ensure compliance features (KYC, AML, FATCA/CRS, GDPR) work as expected.
- Gain formal acceptance from Business, Compliance, and Operations.

## 2. Scope

✓ In-Scope: End-to-end onboarding workflows (Client data → Document upload/OCR → KYC/AML → Risk profiling → Consent/e-Sign → Account creation → CRM sync → Ops dashboard).

✗ Out-of-Scope: Performance testing, low-level technical integration testing (already done in SIT).

## 3. Test Approach

- UAT scenarios derived from business workflows and use cases (UC-001 → UC-018).
- Executed by business users, RMs, and compliance officers, guided by QA.
- Defects logged in Jira; must be fixed & retested before sign-off.

## 4. Entry Criteria

- SIT completed; no critical/severe defects open.
- UAT environment deployed with stable build.
- Test data prepared (dummy clients, docs).
- UAT plan & scenarios reviewed and approved.

## 5. Exit Criteria

- 100% of UAT cases executed.
- 95%+ test cases passed.
- All critical defects closed.
- Business & compliance stakeholders provide sign-off.

## **6. Roles & Responsibilities**

- Business Analyst (Prashant): Coordinate UAT, clarify requirements.
- QA Lead: Facilitate execution, monitor progress.
- Business Users/RMs: Execute test cases, provide feedback.
- Compliance Officer: Validate AML/KYC/Regulatory scenarios.
- Product Owner: Final approval & acceptance.

## **7. UAT Environment**

- Web & mobile onboarding app.
- CRM sandbox (Salesforce).
- Core Banking sandbox.
- Compliance API sandbox (Refinitiv/World-Check).
- DocuSign sandbox for e-sign.

## **8. Approval & Sign-Off**

Stakeholders: Product Owner, Compliance Officer, Operations Manager.

Final Approval: Head of Wealth Management.