

● SAMPLE DELIVERABLE

GOVERNANCE · POLICY V2.1

# AI Acceptable Use Policy

One page of rules people can follow. Data tiers, approved tools, and what to do when you're not sure.

PREPARED FOR

Meridian & Frost, PLLC  
All partners & staff

EFFECTIVE

June 1, 2026  
Reviewed monthly

PREPARED BY

Brad Taylor  
Fractional Chief AI Officer

# The policy — this page is all of it

Know your data tier, use an approved tool, and ask before you guess. Everything else in this document is packaging around this page.

<p><b>TIER 1 · GREEN</b></p> <p><b>Public or publishable</b> Marketing, published guidance, blank templates — anything that could sit on the firm website tomorrow without harm.</p> <p><b>Use:</b> any approved tool.</p>	<p><b>TIER 2 · YELLOW</b></p> <p><b>Internal operations</b> SOPs, training material, internal drafts, anonymized examples. Ours, but not the world's.</p> <p><b>Use:</b> approved enterprise tools only.</p>	<p><b>TIER 3 · RED</b></p> <p><b>Client information</b> Client tax-return information (§7216), PII, client financials, audit workpapers.</p> <p><b>Use:</b> governed systems on the approved list only. <b>Never</b> public or personal tools.</p>
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## Approved tools

TOOL	TIERS
<p><b>Claude Enterprise</b> Primary tool. Tier 3 only inside the governed knowledge-layer pilot.</p>	1 2
<p><b>Microsoft 365 Copilot</b> CAAS pilot, 14 seats.</p>	1 2
<p><b>SafeSend built-in AI features</b> Vendor-reviewed; documents already inside SafeSend only.</p>	1 2 3

**⊗ Never, on any tier**

**Personal or free AI accounts.** No firm work in a personal ChatGPT, Claude, or Gemini account — even Green-tier work builds the habit that causes the Red-tier incident.

**Meeting bots on client calls.** No AI recorder or transcriber joins a client call. Consent isn't ours to assume.

**Tools without a no-training commitment.** If the vendor won't put "we don't train on your data" in the contract, we don't use it.

## The six rules

- 1 Know your tier before you paste.** In doubt? Treat it as one tier higher.
- 2 Client tax data never leaves governed systems.** No exceptions, no "just this once."
- 3 You review what you send.** AI drafts, you sign. Your name is on it either way.
- 4 When unsure, ask first.** Marcus or your champion — before, not after.
- 5 Report near-misses.** They're handled as coaching, not discipline.
- 6 New tool? It gets reviewed first.** Nothing is approved just by being useful.

**Owner:** Marcus Bell, COO      **Effective:** June 1, 2026 (v2.1)      **Reviewed:** monthly, in the governance session

## Quick reference — pin this by your desk

If you're holding this...

DOCUMENT	TIER	ALLOWED TOOLS
Draft blog post on a tax-law change	GREEN	Any approved tool
Blank engagement-letter template	GREEN	Any approved tool
Internal SOP or training deck	YELLOW	Claude Enterprise · Copilot
Anonymized "how we handled it" example	YELLOW	Claude Enterprise · Copilot
Client 1040, K-1s, organizer documents	RED	Governed systems only
Client financials or audit workpapers	RED	Governed systems only

### → Can this leave the building?

- **1 · Does it identify a client?**  
Names, numbers, or anything from a client file → **Red**. It stays in governed systems. Stop here.
- **2 · Is it internal-only?**  
SOPs, training, drafts, anonymized examples → **Yellow**. Enterprise tools only.
- **3 · Could we publish it tomorrow?**  
If it could sit on the website without harm → **Green**. Any approved tool.
- **4 · Still unsure? Ask.**  
Marcus Bell or your champion, before you paste. The question takes two minutes; an incident takes two weeks.

## Version history

VERSION	DATE	WHAT CHANGED
v1.0	Mar 24, 2026	First policy, out of the assessment findings. Tiers, approved list, the six rules.
v2.0	Apr 28, 2026	Microsoft 365 Copilot added to the approved list for the 14-seat CAAS pilot.
v2.1	Jun 1, 2026	M365 DLP rule referenced; near-miss reporting made explicit as coaching, not discipline.

### About this sample

This is the acceptable-use policy an advisory engagement produces — one page of rules people can actually follow, plus the reference card that makes it stick. Meridian & Frost is a fictional composite; the format and the level of specificity are exactly what you'd get.

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