

Client Document Intake — Workflow Automation Specification

The document chase consumes 2,100 admin hours a year. This specification turns it into a governed workflow: tracked requests, a three-touch reminder engine, LLM classification, and a human queue for everything the machine shouldn't decide.

PREPARED FOR

Meridian & Frost, PLLC
+ Last Rev build team

VERSION / DATE

v1.2 · June 24, 2026
Go-live gate: Jul 29

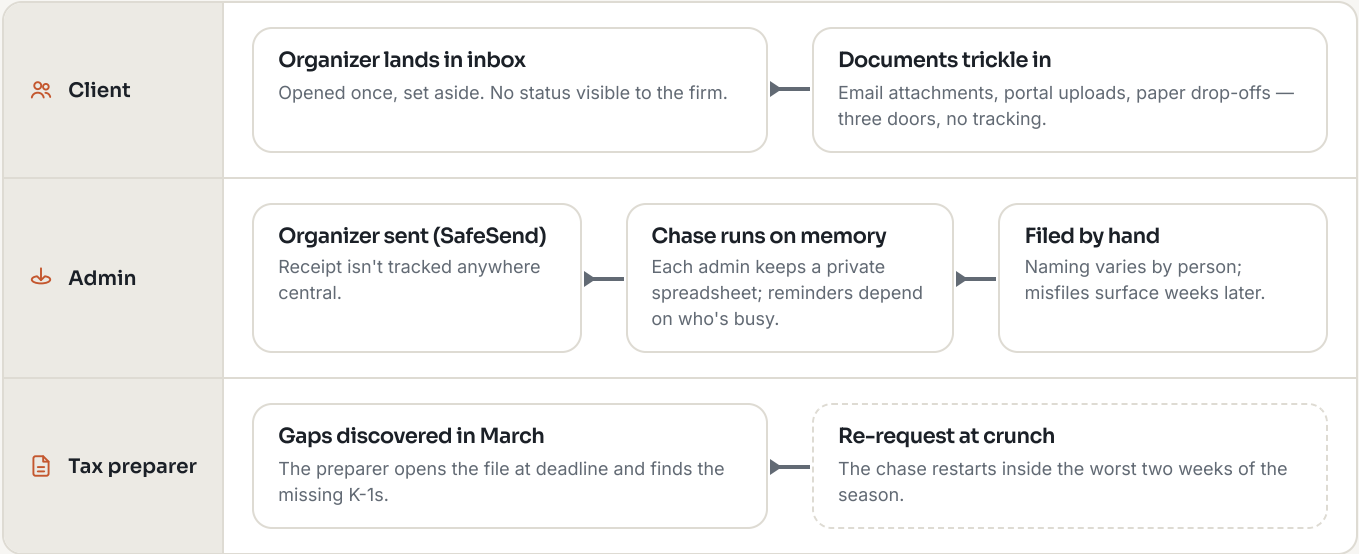
PREPARED BY

Brad Taylor
Fractional Chief AI Officer



The workflow today — and what changes

The current document chase runs on individual memory across three unconnected channels. Nobody can answer "what are we still waiting on?" without asking five people.



What changes

- One door** Every document enters the same pipeline regardless of channel — email, portal, or paper scan.
- One tracker** Karbon holds the state of every request. Private chase spreadsheets are retired.
- Machine chases** A three-touch reminder cadence, then a call task for a human. Never more than three automated touches.
- Machine sorts** An LLM classifies each document and files it by naming convention. People verify; the machine never decides alone.
- Nothing hidden** Every state change is logged and visible on the intake dashboard.

2,100 h

ADMIN HOURS/YR ON THE CHASE

Baseline, measured at assessment

≥60%

REDUCTION TARGET, YEAR ONE

≈ 1,260 hours returned

3

REMINDER TOUCHES, MAXIMUM

Then a human owns it

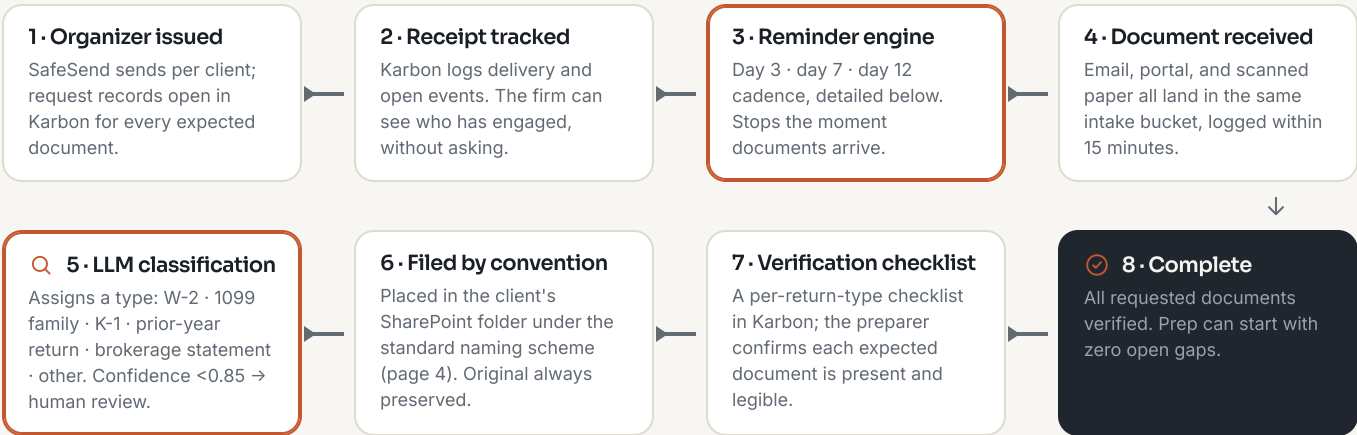
0

\$7216 EXCEPTIONS TOLERATED

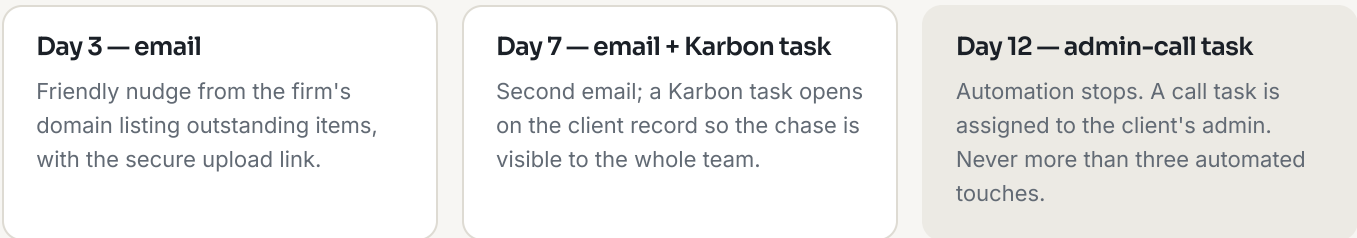
Hard gate — see page 5

→ Future state — the governed pipeline

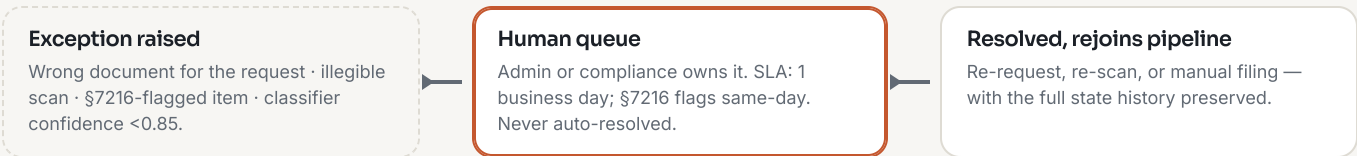
One path for every document request, from organizer to verified file. Anything the pipeline can't handle safely drops to the exception queue at the bottom of this page — it never guesses.



The reminder engine — three touches, then a person



⚠ The exceptions lane — humans only



State machine & data

Every document request is a record with exactly one state. If the build team and I disagree about behavior, this table wins.

STATE	TRIGGER	SYSTEM OF RECORD	OWNER	SLA
requested	Organizer issued via SafeSend	Karbon	Admin team (Devon Marsh)	Day 0
reminded (1-3)	No receipt by day 3 / 7 / 12	Karbon + M365 mail	Automation	Exact-day sends
received	Document arrives, any channel	SafeSend intake	Automation	Logged ≤15 min
classified	LLM assigns type + confidence	Classifier service	Automation	≤5 min or exception
filed	Placed per naming convention	SharePoint client folder	Automation	Immediate on classify
verified	Return-type checklist satisfied	Karbon checklist	Preparer	Before prep starts
complete	Last requested doc verified	Karbon	Automation	Auto on final verify
exception	Wrong doc · illegible · \$7216 flag · low confidence	Exception queue	Human — admin or compliance	1 business day; \$7216 same-day

The request record

```
{
  request_id      rq_2026_004812      // unique per document request
  client_id       cl_10482             // Karbon client key
  doc_type        W2 | 1099_INT | 1099_DIV | 1099_B | 1099_NEC | 1099_R |
                  K1 | PRIOR_YEAR_RETURN | BROKERAGE_STMT | OTHER
  state           requested | reminded_1..3 | received | classified |
                  filed | verified | complete | exception
  source          safesend | email | portal | paper_scan
  classifier_confidence 0.00-1.00      // <0.85 → human review queue
  filed_path       /Clients/10482/TY2025/W2/W2_10482_TY2025_01.pdf
  s7216_flag       true | false        // true → compliance queue, hard stop
  created_at · state_changed_at · completed_at // UTC, immutable log
}
```

The confidence rule, stated once

Below 0.85 confidence the classifier does not file — it queues for a human, full stop. The classifier never deletes, never overwrites, and never renames an already-filed document. The original upload is preserved unmodified alongside every filed copy.

Permissions, privacy & guardrails

This workflow touches Tier 3 (RED) client tax data. Every guardrail below is testable, and every one is tested at the Jul 29 gate — see page 6.

GUARDRAIL	HOW IT WORKS	PROVEN BY
Per-user permissions Entra ID	The automation acts with the requesting preparer's effective permissions — it can read only what that person could read. A broad-access service account was proposed to save build time and rejected; the +4 days were cheap at the price.	UAT permission tests: cross-client read attempts must fail
§7216 consent gate	Consent status is verified per client before any document touches the classifier. No verified consent, no classification — the document waits in a pre-gate hold and an admin task opens.	Gate test with consent flag off; counsel-approved language
DLP coverage	The M365 DLP rules that caught June's two near-misses are extended to the new filing path and the exception queue before go-live.	Scripted DLP test cases in UAT
Client-facing email	Reminders send from the firm's own domain, in the firm's voice. No AI language appears in client-facing text until the Jul 8 partner vote on disclosure lands.	Template review; Marcus Bell sign-off
Audit trail	Every state change writes an immutable log entry: trigger, actor (human or automation), timestamps, before/after state.	Traceability check: any filed document reconstructs its full history

Why the consent refresh is on the critical path

IRC §7216 governs the use and disclosure of tax-return information — and running a client's document through the classifier is a "use." That is why the July consent-language refresh (counsel draft due Jul 3) sits directly on the path to the Jul 29 gate: the automation launches with this gate enforced, or it doesn't launch. There is no soft-launch version of this control.

Three things the automation never does

It never sends a client document anywhere (reminders carry links, not attachments). It never deletes or overwrites a file. And it never closes an exception — a named human does, every time, on the record.

Rollout & acceptance

Milestones

- May 30 — Karbon connector** DONE
Request and state sync working both directions.
- Jun 20 — SafeSend integration** DONE
Organizer issue and receipt events flowing into Karbon.
- Jul 11 — Intake dashboard**
Metrics live, seeded on last season's historical data first.
- Jul 21–25 — UAT**
Five admins (Devon Marsh + 4) replay 40 real requests plus the scripted exception set.
- Jul 29 — Go/no-go gate**
Marcus Bell decides against the acceptance list on this page.
- Aug 3 — Go-live**
Extension-season clients first; full book by Aug 17.
- Aug – Oct 15 — Hypercare**
Last Rev on 1-business-day fixes through the extension deadline.

Acceptance criteria — all six pass, or no-go

- ☐ **Traceability.** Every UAT document reconstructs request → reminders → classification → filed path from the log alone.
- ☐ **Permission tests.** Cross-client and cross-team read attempts fail; the per-user model is confirmed against Entra ID groups.
- ☐ **\$7216 gate.** Zero unconsented documents reach the classifier across all UAT runs.
- ☐ **DLP coverage.** Scripted exfiltration cases are blocked on the new filing path.
- ☐ **Rollback rehearsed.** Manual Karbon-checklist fallback tested; switch-off restores the old process in under a day.
- ☐ **Training done.** All five UAT admins signed off; runbook and exception playbook delivered.

Metrics & dashboard

METRIC	BASELINE	TARGET	SOURCE
Admin hours on the chase	2,100 h/yr	≤840 h/yr (−60%)	Time-study repeat, Jan 2027
Chase touches per client	5.1 avg (2025 season sample)	≤2.5	Karbon activity log
Days, organizer → complete	24 median	≤10 median	State timestamps
Classifier accuracy vs. human	—	≥97% on the 400-doc labeled set	Weekly sample review
Exception rate	—	<8% of documents, trending down	Exception queue

Scope & change control

✓ In scope — v1

Organizer issue and receipt tracking · three-touch reminder engine · LLM classification and conventional filing for the six document families · per-return-type verification checklists · exception queue with SLAs · intake dashboard · amended-organizer sync (confirmed in-SOW, June — \$0 change order).

✗ Out of scope — v1

E-signature chasing — deferred to v1.1 (Nov); adding it now costs +\$9K and +3 weeks and pushes go-live into extension season. Decision: Marcus Bell, Jul 22. Also out: CAAS document requests (backlog #4), entity PBC lists (backlog #6), and any client-facing chatbot (killed list, March).

How changes happen

Change requests route through Brad Taylor as strategic owner. Last Rev prices the cost and date impact in writing before anything is approved — no scope moves by hallway conversation. Two precedents from this build: the amended-organizer sync was confirmed as already in the SOW (\$0 change order, June), and the service-account permissions shortcut was rejected in May at a cost of +4 days (page 5).

Version history

VERSION	DATE	CHANGES
v1.0	May 6, 2026	Initial specification, issued with the \$52K SOW.
v1.1	Jun 3, 2026	Reminder cadence locked at three touches; exception SLAs added.
v1.2	Jun 24, 2026	Scope clarifications from the June oversight review; permission-model language tightened; e-signature deferral recommendation recorded.

About this sample

This is the specification an implementation client's build team works from — every state, owner, SLA, and guardrail written down before code. Meridian & Frost is a fictional composite; the level of rigor is exactly what you'd get.

Related samples

Implementation Oversight Brief — the monthly supervision of this build

Evaluation Plan — how the classifier is accepted

AI Data Foundation Blueprint — where the documents live

bradtaylorai.com/how-i-work · brad@bradtaylorai.com