

Synthetic SOP - MTD Quarterly-Update Pack Preparation

SOP-MTD-02 | Version 2.0 | 30 July 2026

SYNTHETIC DEMONSTRATION MATERIAL - NO CLIENT DATA

1. Document control and purpose

Document ID	SOP-MTD-02
Status	Synthetic golden-input procedure for product demonstration
Purpose	Define a repeatable operational process for converting client digital records into a complete pack ready for qualified review while preserving tax and accounting judgement outside the process boundary.
Process level	Level 3 operational workflow
Boundary	Client records received and logged -> complete quarterly-update pack ready for qualified review.
Data companion	UTF-8 CSV using the frozen 17-column Leanify schema

2. Business questions for Leanify

- Where is capacity consumed between receipt of client records and readiness for qualified review?
- Which recorded input and workflow conditions are most associated with rework and missed turnaround targets?

3. Scope and operating principles

- In scope: Client records received and logged -> complete quarterly-update pack ready for qualified review.
- Professional or regulated judgement remains with appropriately qualified staff downstream of this boundary.
- Leanify may identify patterns and hypotheses; it must not present recorded categories as validated causes.
- All data and identifiers in this procedure and its operational log are fictional.

4. Roles and responsibilities

Role	Responsibility
Client	Supplies digital records and confirms required authorisation.
Client service coordinator	Logs the case and performs the initial completeness check.
Central processing analyst	Structures records, resolves standard operational exceptions and assembles the pack.
Senior operations reviewer	Performs a second operational readiness check where required; does not make tax judgements.
Qualified reviewer (downstream)	Receives the completed pack after this process and applies professional judgement.
Operations manager	Owns the SLA, queues, control thresholds and escalation.

5. Required inputs and readiness checks

- Client identifier and reporting period.
- Digital income and expense records for the period.
- Required client authorisation.
- Document source and intake channel.
- Case complexity and operational second-check indicators.

6. Standard operating procedure

Step	Owner	Activity	Decision / exception	Evidence captured
1	Client service coordinator	Log receipt and create the case record.	Reject exact duplicates or records outside the reporting period.	case_id, received_at, originator_channel
2	Client service coordinator	Check required records and authorisation.	Return to the client where mandatory records or authorisation are missing.	defect_category, missing_fields_count, rework_count
3	Central processing analyst	Structure income and expense records and resolve standard categorisation.	Escalate ambiguous or unsupported items; do not make tax judgements.	processing_minutes, manual_touches
4	Central processing analyst	Assemble the quarterly-update pack and perform	Return failed checks to the controlled repair	queue_wait_minutes, processing_minutes

		operational quality checks.	queue.	
5	Senior operations reviewer	Perform a second operational readiness check where the routing rules require it.	Return operational defects for correction; professional review remains downstream.	secondary_approval_required, high_value_flag
6	Central processing analyst	Mark the pack ready for qualified review and close the operational case.	Escalate SLA breaches and repeated defects to the operations manager.	completed_at, turnaround_minutes, sla_met, outcome_status

7. Service target and completion rule

Target: complete the operational preparation workflow within 480 elapsed minutes. A case is complete only when the defined operational readiness condition is met and the case can be released to the downstream qualified reviewer.

8. Recorded defects and rework

Use one primary recorded defect category per case for the demonstration Pareto. Required fields must not be left blank; clean cases use No recorded defect.

- Missing digital records
- Incomplete income or expense categorisation
- Missing client authorisation
- Unsupported source file
- Duplicate or unclear transaction
- No recorded defect

9. Operational-log field interpretation

Frozen field	Scenario-specific interpretation
high_value_flag	Complex or high-value client case requiring additional operational attention; not a tax-risk judgement.
secondary_approval_required	A senior operational readiness check is required before the pack is released for qualified review.
originator_channel	Client portal, email or spreadsheet upload.
outcome_status	Ready for qualified review.
defect_category	Primary recorded reason for repair or return; clean cases use No recorded defect.
missing_fields_count	Count of required inputs missing at initial review.

10. Data and process controls

- No case is marked complete until the defined end condition is reached.
- Turnaround, queue and processing minutes must reconcile: queue wait + active processing = total turnaround.
- first_time_right is True only when rework_count is zero and defect_category is No recorded defect.
- sla_met is calculated from turnaround_minutes <= sla_target_minutes.
- Boolean values use the exact accepted form True or False.
- Every required column is populated.
- Synthetic identifiers must not resemble real clients, policyholders, taxpayers or organisations.

11. Out of scope and limitations

- Tax computation, tax advice, filing decisions and qualified tax review.
- Client-specific eligibility or exemption advice for MTD.
- System configuration or API implementation.
- Event-level repair timestamps; the demonstrator uses aggregate queue and processing fields.

This procedure is intentionally simplified to test a bounded DMAIC assessment. It is not tax, accounting, underwriting, claims, legal or regulatory advice.