



WGL Advisory Services

# AI Finance Readiness Checklist

Client Readiness Checklist

Version / date	Version 1.1   2026-05-04
Document label	Client Readiness Checklist
Website area	AI-enabled finance/Insights content, accounting operations, advisory page
Priority	Medium
Purpose	Assess whether a client's finance data and processes are ready for AI-supported reporting, automation or analytics without weakening human review controls.

## Who this checklist is for

Finance teams and owners considering AI-supported reporting, automation or analytics with human review controls.

## When to use this checklist

Use it before deploying AI-supported finance workflows, dashboards, automated reconciliations or analytics tools.

## Client / Matter Details

Client / business name	Client to complete	Responsible client contact	Client to complete
WGL responsible person	Client to complete	Deadline / target date	Client to complete
Date completed	Client to complete		

## How to use this checklist

Work through each requirement and tick one of the separate status boxes: Ready, Not Ready or N/A. Add notes/gaps, assign an owner and insert a due date. Attach or organise supporting documents before submitting the checklist to WGL. Where a requirement does not apply, mark N/A and explain why in the Notes / gaps column.

## Main readiness checklist

Requirement	Why it matters	Evidence / documents to prepare	Ready	Not Ready	N/A	Notes / gaps	Owner	Due date
Clean chart of accounts	Helps WGL and the client confirm readiness, identify gaps and agree practical next steps before work proceeds.	System access, chart of accounts, sample transactions, source documents, privacy approvals, workflows and review controls.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Client to complete	Client to complete	Client to complete

Requirement	Why it matters	Evidence / documents to prepare	Ready	Not Ready	N/A	Notes / gaps	Owner	Due date
Consistent transaction coding	Helps WGL and the client confirm readiness, identify gaps and agree practical next steps before work proceeds.	Client to complete with current records, supporting documents and relevant evidence for WGL review.	[ ]	[ ]	[ ]	Client to complete	Client to complete	Client to complete
Reliable source documents	Helps WGL and the client confirm readiness, identify gaps and agree practical next steps before work proceeds.	Client to complete with current records, supporting documents and relevant evidence for WGL review.	[ ]	[ ]	[ ]	Client to complete	Client to complete	Client to complete
Cloud accounting access	Improves data quality, automation readiness and responsible AI-supported reporting with human review controls.	System access, chart of accounts, sample transactions, source documents, privacy approvals, workflows and review controls.	[ ]	[ ]	[ ]	Client to complete	Client to complete	Client to complete
Bank feeds	Improves reliability of financial information and helps identify cash, working-capital and reconciliation gaps.	Bank statements, bank confirmations, reconciliations, debtor/creditor age analysis, loan schedules and inventory reports.	[ ]	[ ]	[ ]	Client to complete	Client to complete	Client to complete
Data privacy consent	Strengthens accountability, evidence discipline and control visibility before problems become more difficult to fix.	Information Officer records, PAIA manual, privacy notice, processing inventory, operator agreements and breach-response records.	[ ]	[ ]	[ ]	Client to complete	Client to complete	Client to complete
Role-based access	Helps WGL and the client confirm readiness, identify gaps and agree practical next steps before work proceeds.	Client to complete with current records, supporting documents and relevant evidence for WGL review.	[ ]	[ ]	[ ]	Client to complete	Client to complete	Client to complete
Approval workflows	Improves data quality, automation readiness and responsible AI-supported reporting with human review controls.	System access, chart of accounts, sample transactions, source documents, privacy approvals, workflows and review controls.	[ ]	[ ]	[ ]	Client to complete	Client to complete	Client to complete
Exception review process	Helps WGL and the client confirm readiness, identify gaps and agree practical next steps before work proceeds.	Client to complete with current records, supporting documents and relevant evidence for WGL review.	[ ]	[ ]	[ ]	Client to complete	Client to complete	Client to complete
Human review controls	Strengthens accountability, evidence discipline and control visibility before problems become more difficult to fix.	Policies, delegated authority, process maps, approval evidence, control checklists, risk registers and management review records.	[ ]	[ ]	[ ]	Client to complete	Client to complete	Client to complete
Audit trail	Improves data quality, automation readiness and responsible AI-supported reporting with human review controls.	System access, chart of accounts, sample transactions, source documents, privacy approvals, workflows and review controls.	[ ]	[ ]	[ ]	Client to complete	Client to complete	Client to complete

Requirement	Why it matters	Evidence / documents to prepare	Ready	Not Ready	N/A	Notes / gaps	Owner	Due date
Output validation.	Helps WGL and the client confirm readiness, identify gaps and agree practical next steps before work proceeds.	Client to complete with current records, supporting documents and relevant evidence for WGL review.	[ ]	[ ]	[ ]	Client to complete	Client to complete	Client to complete

#### Before using AI-supported finance outputs

- Confirm the intended AI use case and the finance process affected.
- Do not upload sensitive client information into unapproved tools.
- Check data quality, access rights and human review responsibilities.
- Document assumptions, review controls and validation checks.
- Keep audit trails for AI-assisted outputs.
- Do not rely on AI outputs without professional review.

## Red flags

- Chart of accounts and transaction coding are inconsistent.
- Source documents are incomplete or stored across uncontrolled channels.
- Staff use AI tools without confidentiality or access controls.
- No human review is assigned for AI outputs.
- No audit trail exists for adjustments, prompts, outputs or approvals.
- Automated reports are used without reconciliation or validation.

## Risk rating

Risk rating	Readiness interpretation	Recommended next step
<b>GREEN</b>	Mostly ready. Key records are available, current, complete, and internally consistent.	Proceed with normal review and keep evidence organised.
<b>AMBER</b>	Gaps require attention. Work can proceed, but issues may delay completion or increase review time.	Prioritise the action plan and agree responsibilities with WGL.
<b>RED</b>	Urgent remediation needed. Significant missing records, compliance gaps, unresolved risks, or contradictions exist.	Book a scoping session with WGL before external submission, reliance, or use.

## Next-step action plan

Gap	Action required	Responsible person	Target date	WGL support needed
Client to complete	Client to complete	Client to complete	Client to complete	Client to complete

Client to complete	Client to complete	Client to complete	Client to complete	Client to complete
Client to complete	Client to complete	Client to complete	Client to complete	Client to complete
Client to complete	Client to complete	Client to complete	Client to complete	Client to complete

WGL Review Outcome	
<input type="checkbox"/> Ready for submission / use <input type="checkbox"/> Minor gaps to resolve <input type="checkbox"/> Significant remediation required <input type="checkbox"/> Scope discussion required <input type="checkbox"/> Not suitable for submission / reliance yet	
Reviewer: _____	Date: _____
Key comments: _____	
Recommended next step: _____	

**WGL call-to-action**

Send this completed checklist and supporting documents to WGL Advisory Services for review and practical next steps.

### Disclaimer

This checklist is a practical readiness guide for discussion and preparation purposes only. It does not constitute legal, tax, audit, assurance, engineering, safety, regulatory certification, or investment advice. Client circumstances, current laws, current regulatory requirements, and source documents must be reviewed before reliance is placed on any output.

### Source note

Prepared as a practical readiness aid using AI governance, data quality and responsible automation readiness principles. Requirements may change. Always confirm current official requirements and client facts before external use.