



WGL Advisory Services

# POPIA & PAIA Compliance Checklist

Client Readiness Checklist

Version / date	Version 1.1   2026-05-04
Document label	Client Readiness Checklist
Website area	Privacy page, governance/compliance page, public-sector and professional services pages
Priority	High
Purpose	Help clients assess whether they have the minimum privacy and access-to-information documentation and controls.

## Who this checklist is for

Responsible officers, business owners and managers reviewing privacy, access-to-information and data-handling readiness.

## When to use this checklist

Use it before reviewing POPIA/PAIA readiness, updating privacy documents, onboarding operators or responding to data requests.

## Client / Matter Details

Client / entity name	Client to complete	Company registration number (if applicable)	Client to complete
Responsible officer	Client to complete	Policy / document owner	Client to complete
Evidence location	Client to complete	Review date	Client to complete
Remediation owner	Client to complete	WGL responsible person	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
Information Officer and Deputy Information Officer	Helps WGL and the client confirm readiness, identify gaps and agree practical next steps before work proceeds.	Information Officer records, PAIA manual, privacy notice, processing inventory, operator agreements and breach-response records.	[ ]	[ ]	[ ]	Client to complete	Client to complete	Client to complete
PAIA manual	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
Privacy notice	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
Personal information inventory	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
Lawful processing basis	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
Operator agreements	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
Data retention	Improves data quality, automation readiness and responsible AI-supported reporting with human review controls.	Information Officer records, PAIA manual, privacy notice, processing inventory, operator agreements and breach-response records.	[ ]	[ ]	[ ]	Client to complete	Client to complete	Client to complete
Security safeguards	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
Breach-response 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
Data-subject access requests	Improves data quality, automation readiness and responsible AI-supported reporting with human review controls.	Information Officer records, PAIA manual, privacy notice, processing inventory, operator agreements and breach-response records.	[ ]	[ ]	[ ]	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
Website/cookie disclosure	Supports clear project, technical and compliance evidence for client, site, audit or handover purposes.	Scope, site file, drawings, method statements, inspection records, certificates, registers, photos and handover documents.	[ ]	[ ]	[ ]	Client to complete	Client to complete	Client to complete
Staff awareness.	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 relying on this privacy or information-governance pack

- Confirm the responsible Information Officer and internal owner.
- Collect current privacy notices, PAIA manuals, policies and operator agreements.
- Document personal information flows and evidence locations.
- Record known incidents, requests or unresolved privacy risks.
- Do not treat this checklist as a formal compliance opinion.
- Escalate legal or regulatory questions for specialist review.

## Red flags

- No Information Officer ownership or PAIA/POPIA accountability.
- Privacy notices, PAIA manual or operator agreements are missing or outdated.
- Personal information flows are not documented.
- No data-retention or breach-response process is evident.
- Access rights are uncontrolled or not reviewed.
- Website or client-facing privacy disclosures are unclear.

## 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	
<b>Reviewer:</b> _____	<b>Date:</b> _____
<b>Key comments:</b> _____	
<b>Recommended next step:</b> _____	

**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 Information Regulator POPIA / PAIA guidance and general information-governance terminology. Requirements may change. Always confirm current official requirements and client facts before external use.