Kitlegalia

WISP BUILDER + COMPLIANCE BINDER

See the binder at work

A real Compliance Binder, used by a made-up firm: Maple Row Tax & Accounting, LLC, a 4-person practice in Camp Hill, PA. Nothing here is a mock-up. Every page is a screenshot of the app or a page it prints.

Sample

1. **Linda, the owner**, adds her office manager, Jane Doe.
2. The **Testing** tab is red: two pieces of evidence are missing.
3. Three weeks later **Jane signs in** and files them.
4. The tab turns **green**, with Jane's name and the date on every file.
5. Jane takes the **security training**; her certificate files itself.
6. The binder still shows **what is left**.
7. A look at the **documents** the WISP Builder writes.

$199 for the 2027 edition · kitlegalia.com/wisp-builder

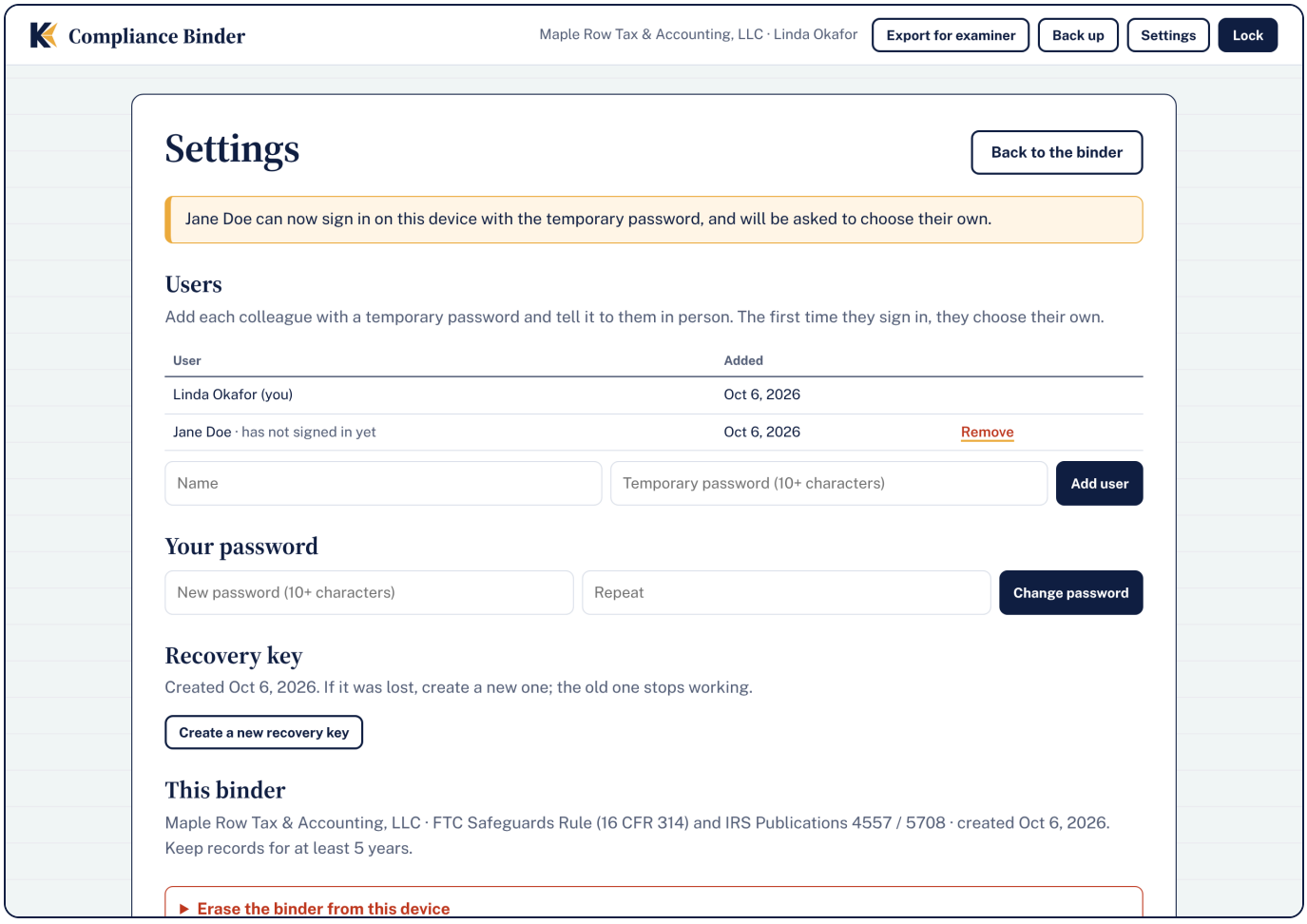
It is not a subscription: nothing is charged automatically. Your plan has to be reviewed every year, so for 2028 you buy the 2028 edition as a new purchase.

Maple Row Tax & Accounting, LLC and its staff are fictional. Names, numbers and files are made up.

STEP 1 OCTOBER 6

Linda adds Jane Doe

Each person gets their own login. Linda gives Jane a temporary password in person; Jane picks her own the first time she signs in.

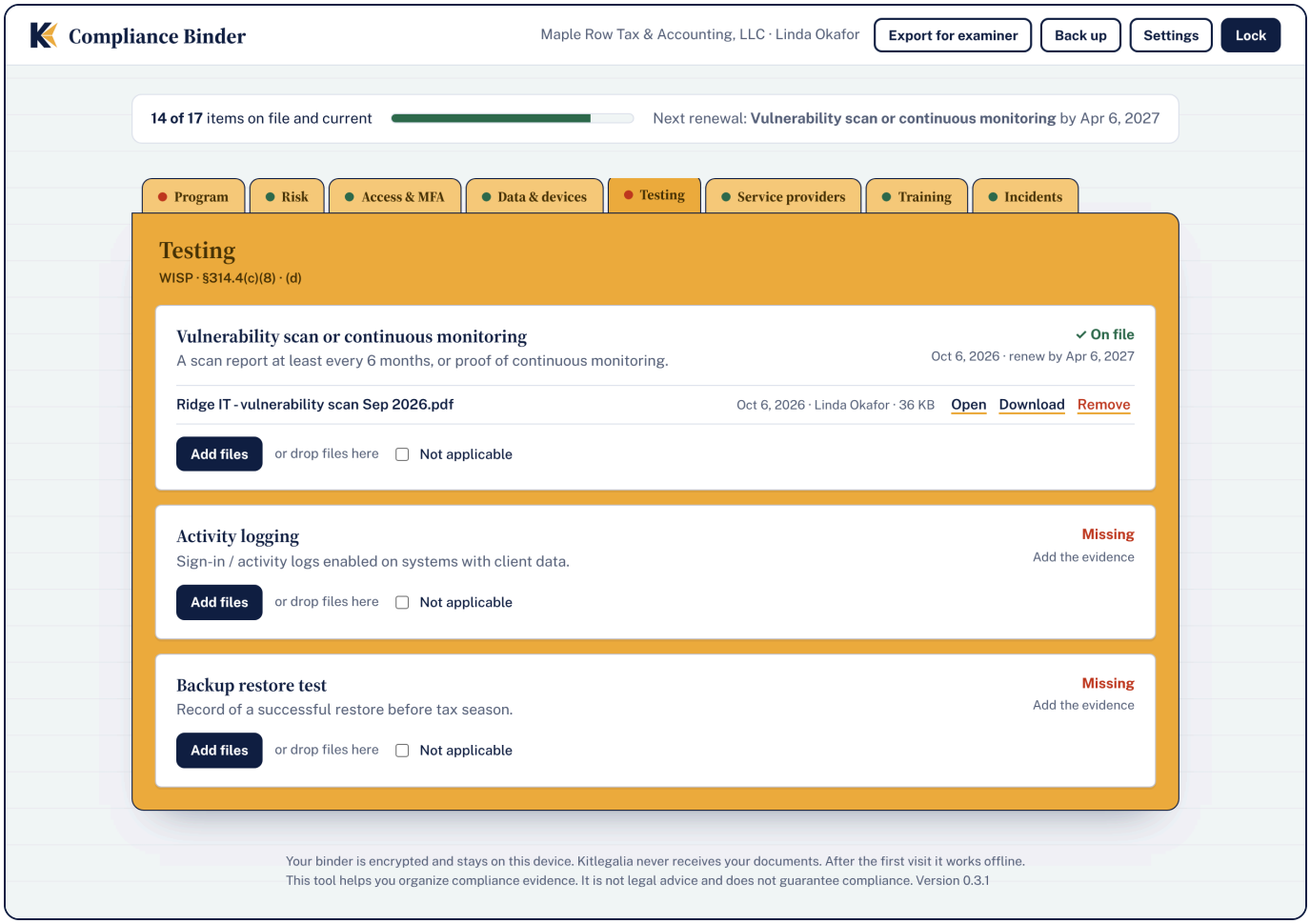


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STEP 2 OCTOBER 6

Before: the Testing tab is red

The vulnerability scan is on file. Activity logging and the backup restore test are missing, so the tab has a red dot and the binder shows 14 of 17 items.

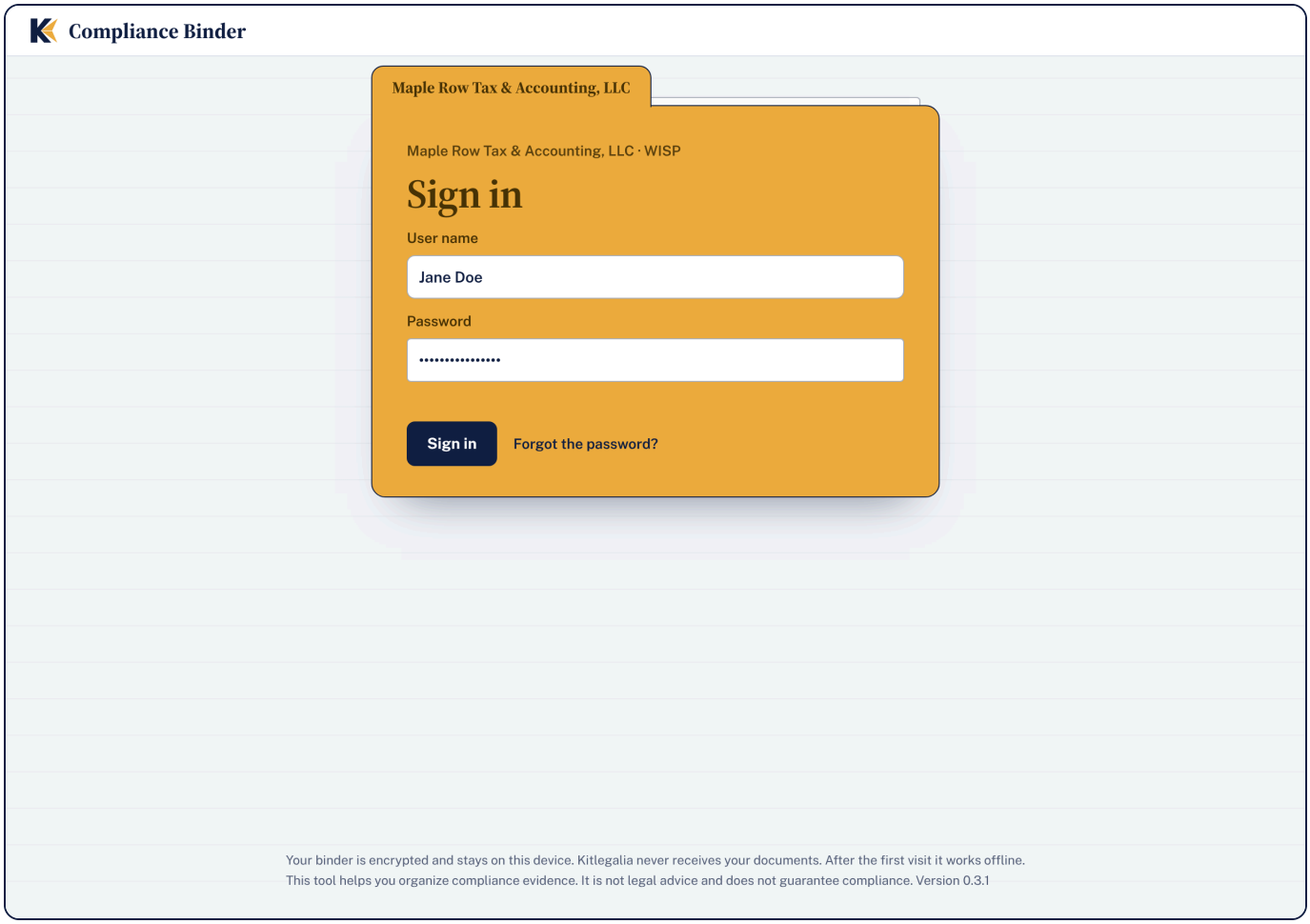


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STEP 3 OCTOBER 28

Jane signs in

The binder is encrypted on the office computer. Without a user name and password, nobody can open it.

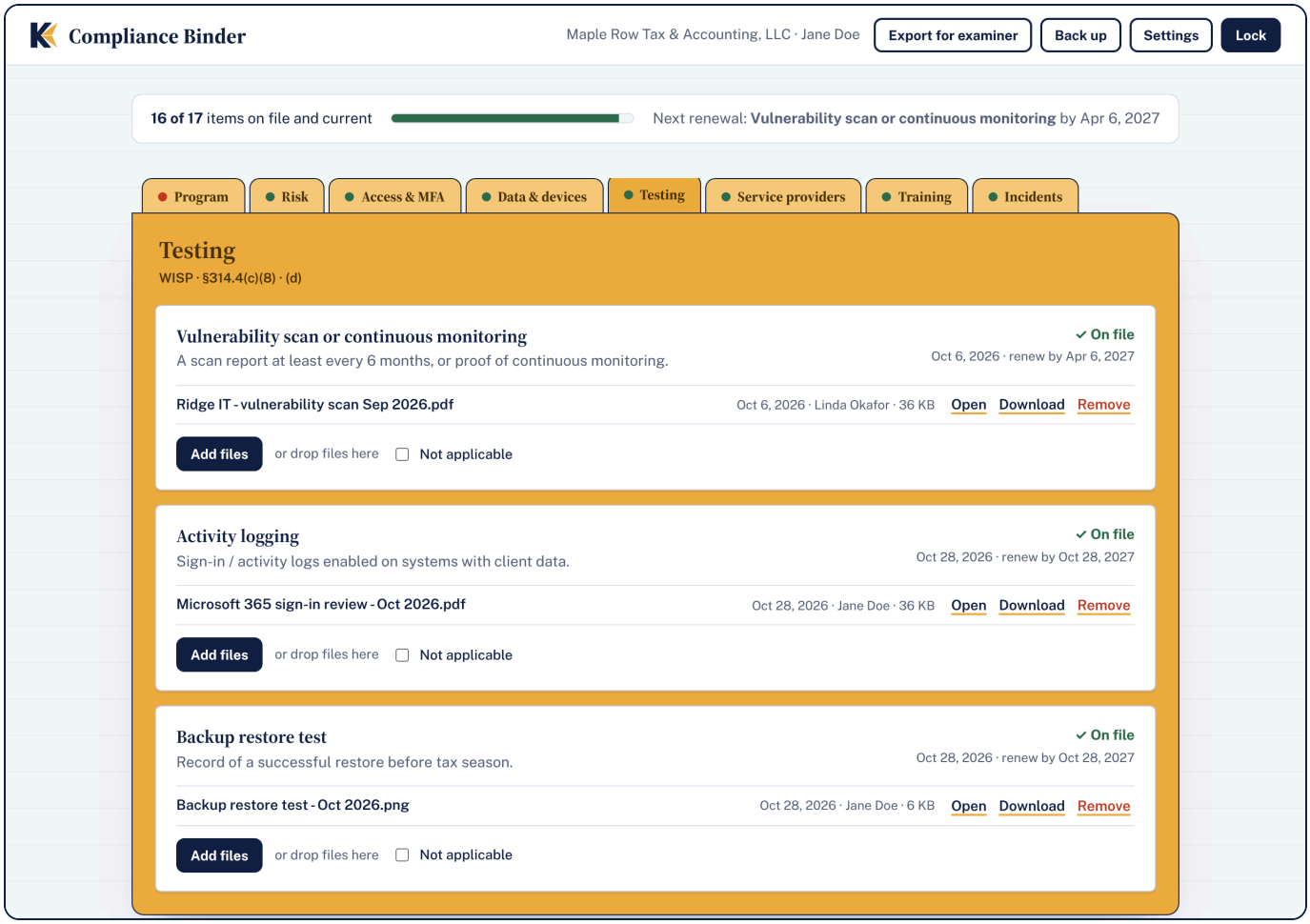


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STEP 4 OCTOBER 28

After: green, with who and when

Jane files the Microsoft 365 sign-in review and the restore test. Both items say On file, the dot turns green and the count goes to 16 of 17. Every file shows the date and who added it, and when it has to be renewed.

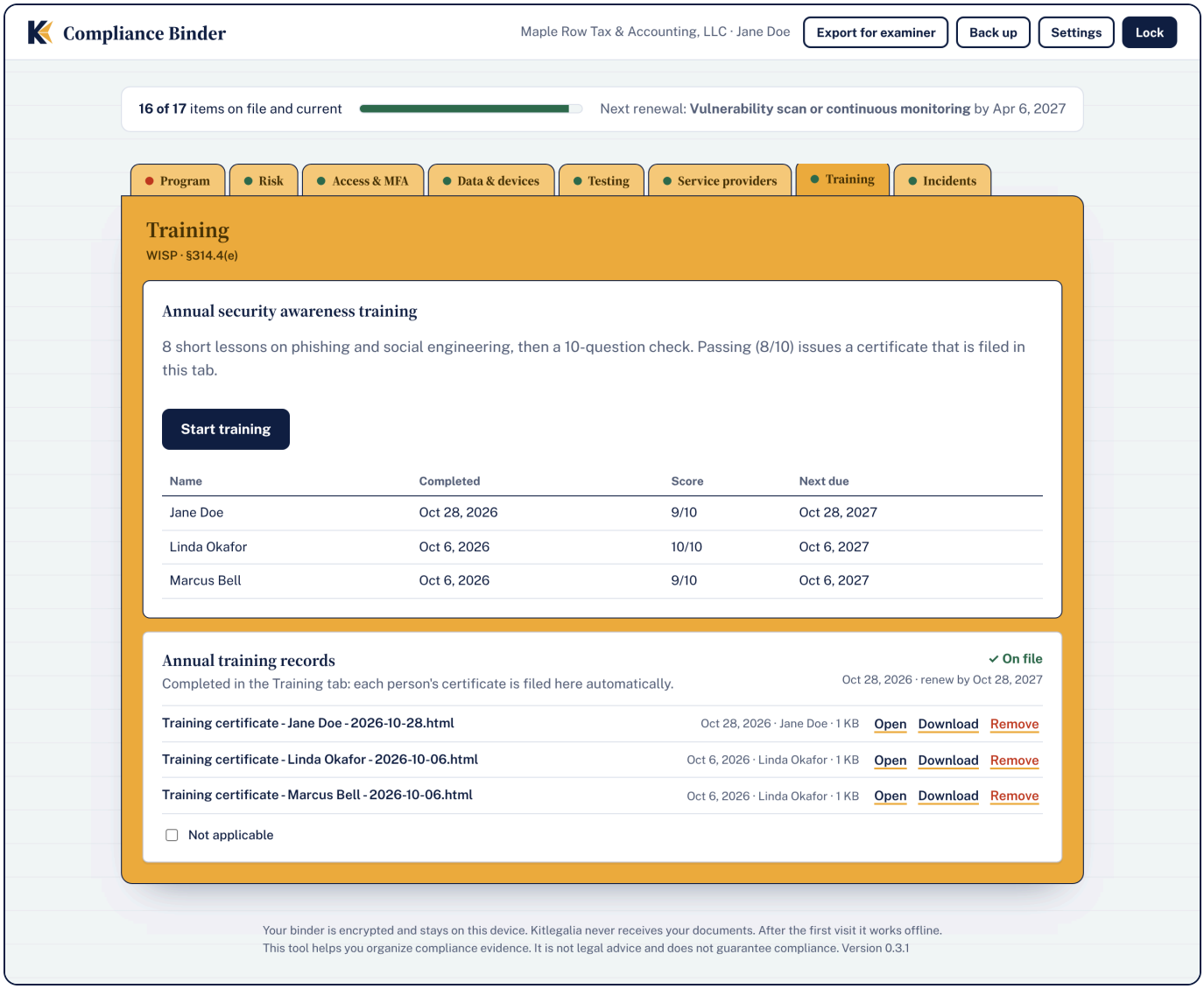


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STEP 5 OCTOBER 28

Jane's training files itself

Jane takes the 8 short lessons and the 10-question check inside the binder. Her certificate is filed in the Training tab with the date and next due date.

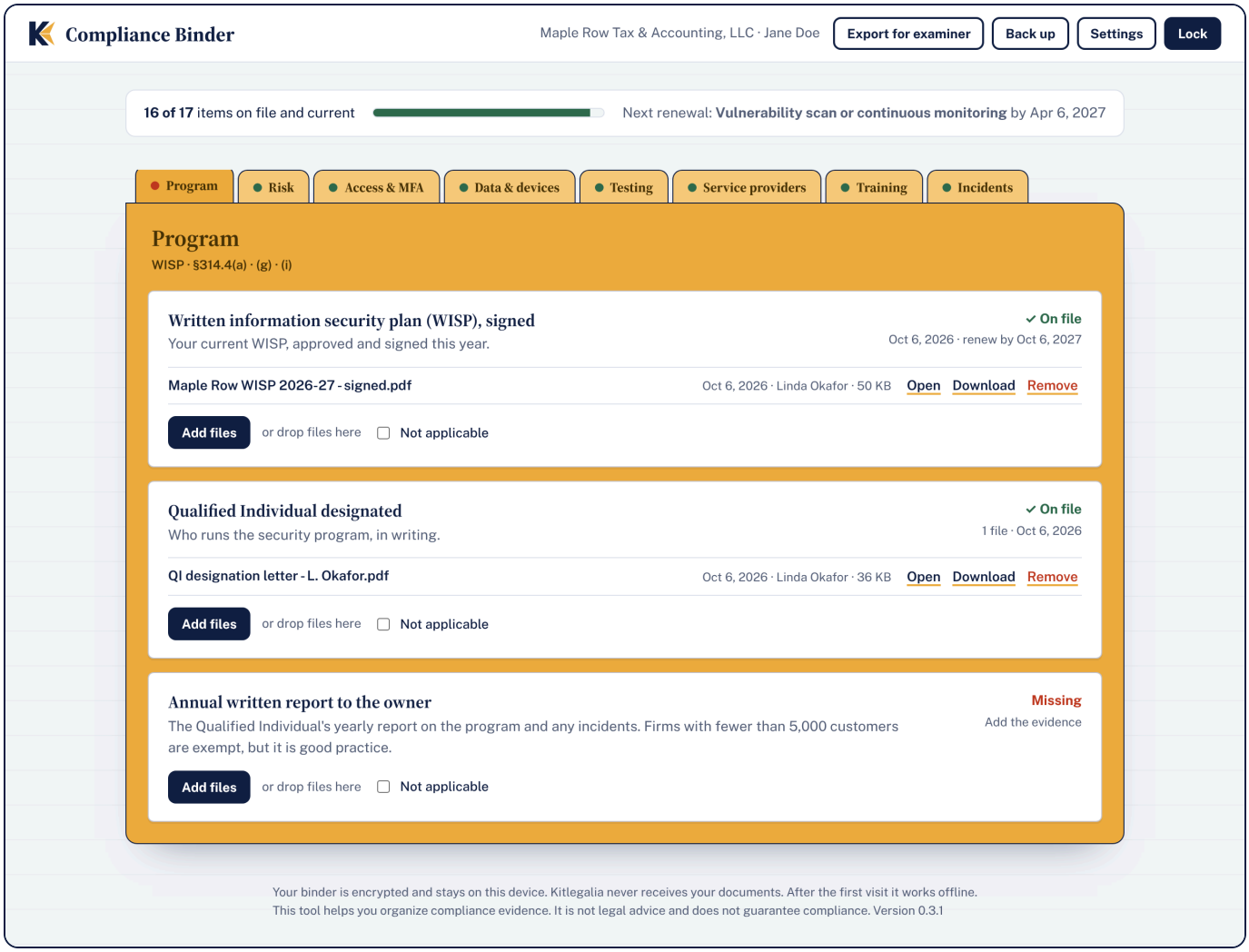


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STEP 6

What is left

One item is still missing: the owner's annual report. The Program tab stays red until it is filed, so nothing gets forgotten.



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STEP 7 THE DOCUMENTS

Written by the WISP Builder from your answers

First page of Maple Row's WISP. Each section points to the part of 16 CFR 314 it covers.

Maple Row Tax & Accounting, LLC

Written Information Security Plan (WISP)
Effective 11/02/2026 · Next review due 11/02/2027
1180 Market Street, Suite 204 · Camp Hill, PA, 17011

1. Purpose and scope

Maple Row Tax & Accounting, LLC (“the Firm”) prepares tax returns and provides related services, and is therefore a financial institution under the Gramm-Leach-Bliley Act and the FTC Standards for Safeguarding Customer Information (16 CFR Part 314). This plan describes the administrative, technical and physical safeguards the Firm uses to protect the security, confidentiality and integrity of client information, in any form: electronic, paper or spoken.

The plan applies to the owner, employees, contractors and anyone else with access to client information, and to all systems, devices and locations where that information is stored or processed. It follows IRS Publication 5708 and the IRS “Taxes-Security-Together” checklist.

2. Qualified Individual (16 CFR 314.4(a))

The Firm designates **Linda Okafor, EA, Owner** as its Qualified Individual, responsible for overseeing, implementing and enforcing this plan. Contact: linda@maplerowtax.com · (717) 555-0142.

3. Information covered and where it lives (314.4(c)(2))

Client information includes names, addresses, Social Security and taxpayer identification numbers, dates of birth, income and financial account information, identity documents and copies of tax returns and supporting documents

The seven documents (16 pages for this firm)	Pages
Written Information Security Plan, with a dated action plan for every gap	4
Risk Assessment · Incident Response Plan	2 + 2
Service Provider Register · Training Log	1 + 1
Staff Acknowledgments (one per person) · Annual Report	4 + 2

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