MWOMACK FINANCIAL SOLUTIONS | OPTIONS WITHOUT PRESSURE

Tax Professional Compliance Checklist

Due diligence, documentation, and data security essentials for your office. Compliance before shortcuts.

Credentials and Registration

- Current PTIN for every preparer.
- EFIN in good standing and access restricted appropriately.
- Continuing education completed and documented.
- State registration requirements satisfied.

Due Diligence

- Form 8867 completed for applicable credits.
- Contemporaneous notes of questions asked and answers received.
- Copies of documents relied upon retained.
- Consistent intake interview across all clients.

Documentation and Retention

- Signed engagement letters on file.
- Signed consent for disclosure or use where applicable.
- Return copies retained per required periods.
- Clear file naming and retrieval process.

Data Security

- Written Information Security Plan in place and reviewed annually.
- Multi-factor authentication on all systems.
- Encrypted storage and encrypted transmission of client data.
- Documented breach response procedure.
- Access removed promptly when staff depart.

Office Quality Control

- Second review before transmission.
- Standard checklist per return type.
- Tracked rejects and resolutions.

- Annual review of procedures and training.

Questions? Schedule a consultation at mwomackfinancial.com or call 1-844-693-7829.