

WISPWOLF · COMPLIANCE STARTER KIT

Tax Preparer Compliance Checklist

This is a free starter resource from WISPWolf to help tax preparers and small firms identify their compliance gaps. It is **not** a completed Written Information Security Program. For a customized WISP, compliance score, remediation tracking, and evidence organization, generate yours at **wispswolf.com**.

Who this is for

Solo PTIN holders, CPA firms, Enrolled Agents, and bookkeepers handling client financial data. This checklist maps the IRS Publication 5708 and FTC Safeguards Rule requirements you must be able to evidence.

Annual PTIN-cycle checklist

- WISP on file and accessible
- WISP reviewed, dated, and signed within the last 12 months
- Data Security Coordinator named in the WISP
- Employee confidentiality / acknowledgement records on file
- Annual security awareness training completed by all staff
- MFA enforced on email, tax software, and remote access
- Antivirus / EDR active on every device that touches client data
- Backups encrypted and a restore test completed in last 12 months
- Incident response plan documents IRS Stakeholder Liaison contact
- Vendor inventory with last review date
- 30-day FTC breach notification workflow exists (500+ consumers)
- Risk assessment refreshed in the last 12 months

Common citations under audit

- IRS Publication 5708 — Creating a Written Information Security Plan
- IRS Publication 4557 — Safeguarding Taxpayer Data
- FTC Safeguards Rule — 16 CFR Part 314
- GLBA — 15 U.S.C. §§ 6801–6809

Next step

This checklist surfaces gaps. To produce a customized WISP, get a compliance score, and track remediation evidence, generate yours at wispswolf.com.

Next step

Generate a customized WISP, get a compliance score, and track remediation evidence at **wispwolf.com/quiz**. Want a complete Written Information Security Program instead of a starter template? Generate your WISP with WISPWolf.

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