

WHAT A TAX OFFICE MUST HAVE IN PLACE BY JANUARY

The FTC Safeguards Rule applies to every paid preparer. Twelve controls, in plain English. Tick what you can prove today.

1	A written risk assessment , updated in the last 12 months · 314.4(b)	☐ Yes ☐ No ☐ Not sure
2	One named person responsible for security (the "Qualified Individual") · 314.4(a)	☐ Yes ☐ No ☐ Not sure
3	Multi-factor sign-in on email, remote access and tax software, for everyone · 314.4(c)(5)	☐ Yes ☐ No ☐ Not sure
4	Encrypted laptops and PCs that hold client data · 314.4(c)(3)	☐ Yes ☐ No ☐ Not sure
5	Backups offsite , and a file restored in the last six months	☐ Yes ☐ No ☐ Not sure
6	Agreements on file with every vendor that handles client data · 314.4(f)	☐ Yes ☐ No ☐ Not sure
7	Security training for staff at least yearly, with a record · 314.4(e)	☐ Yes ☐ No ☐ Not sure
8	Same-day access removal when someone leaves, including seasonal staff · 314.4(c)(1)	☐ Yes ☐ No ☐ Not sure
9	A written breach plan : who to call, and the 30-day FTC notice at 500+ people · 314.4(h), (j)	☐ Yes ☐ No ☐ Not sure
10	Sign-in logging that someone reviews · 314.4(c)(8)	☐ Yes ☐ No ☐ Not sure
11	Supported, updated systems : no Windows 10; Windows 11 24H2 ended Oct 14 · 314.4(d)(2)	☐ Yes ☐ No ☐ Not sure
12	Email domain protected against spoofing (SPF, DKIM, DMARC)	☐ Yes ☐ No ☐ Not sure

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