



Course Title

Business & Tax Firm Compliance Training: Custom Programs for Firms, Service Bureaus, and Multi-Location Practices

Course Description

Modern tax firms face more scrutiny than ever before from EFIN suitability checks to data-security mandates, to multi-office oversight requirements. Whether you operate a single location, manage multiple offices, or run a national service bureau, compliance failures don't just impact your business, they impact every preparer under your umbrella. This comprehensive training program is designed for tax firm owners, multi-location practices, and service bureaus that want to build airtight compliance systems and reduce exposure to penalties, injunctions, EFIN loss, and criminal investigations. Led by Attorney Josie Harris-Walton, known nationally as the "TaxPros Attorney," this program provides real-world, customizable compliance frameworks based on IRS regulations, state rules, and federal enforcement trends.

Participants will receive practical tools, templates, checklists, and system-building strategies to create a fully compliant operation with the internal controls, documentation, and oversight the IRS expects from professional tax businesses.

Learning Objectives

1. Understand IRS, State, and Banking Compliance Requirements

Participants will learn to:

- Identify federal and state obligations for tax firms, E-File Providers, and service bureaus.
- Understand EFIN requirements, continuous suitability rules, and multi-office supervisory duties.
- Recognize bank product compliance rules and prohibited practices.

2. Build a Complete Compliance Framework for Your Firm

Attendees will learn how to:

- Implement firm-wide policies and procedures for onboarding, training, supervision, and documentation.
- Create standardized processes across multiple locations or remote offices.
- Develop a compliance calendar for renewals, EFIN certifications, PTIN oversight, and annual responsibilities.

3. Strengthen Data-Security and Cybersecurity Controls

Participants will be able to:

- Apply IRS Publication 4557's data-security standards.
- Build written information security plans (WISPs).
- Establish access controls, secure file storage, staff permissions, and breach-response procedures.

4. Prevent EFIN, PTIN, and Service Bureau Liability

Participants will learn:

- The top risk factors that trigger IRS monitoring or expulsion.
- How to prevent unauthorized EFIN use, mis-tagged returns, ghost preparers, and unreported office locations.
- How service bureaus can avoid liability for preparer misconduct.

5. Implement Effective Oversight Systems

Attendees will understand how to:

- Conduct internal audits and quality-control checks.
- Monitor preparer activity for suspicious patterns or fraud indicators.
- Create a documentation trail that protects the firm during IRS inquiries or state investigations.

6. Train and Manage Staff for Compliance

Participants will be able to:

- Develop annual and seasonal training plans for all staff roles.
- Establish accountability metrics for preparers, managers, and remote team members.
- Implement policies for disciplinary action, retraining, and termination when required.



7. Prepare for IRS Site Visits, Audits, and Investigations

Attendees will learn:

- How to respond to IRS ERO Site Visits and suitability inquiries.
- How to prepare staff and offices for unannounced IRS or state visits.
- What to say and what not to say when approached by an investigator.

8. Customize Compliance for Multi-Location Firms & Service Bureaus

Participants will leave with:

- A scalable compliance model that works across multiple offices or states.
- Strategies to supervise remote preparers and satellite locations.
- Best practices for communication, reporting, and documentation across the organization.