

RFP

Compliance Questions Template

Use these five questions in your next workforce service or technology RFP to verify genuine compliance versus self-assessment theatre. These questions separate providers who use independent third-party auditors from those who simply audit themselves.

Not in an RFP process? Send these questions to your current provider today as a standalone compliance inquiry.

Question 1: Independent Third-Party Auditing

Do you engage independent third-party compliance auditors to verify your compliance attestations?

- If Yes: Name the independent auditing firm(s) you use. Provide the auditing firm's direct contact information. Describe the scope of their audits.
- If No: Describe your internal audit process: Who conducts your compliance audits (title, qualifications). Explain why you do not use independent verification.

Why this matters: Independence is everything. An MSP auditing itself has an inherent conflict of interest. When issues are found, fixing them costs money and may require difficult client conversations. Self-audits are incentivised to show green, not truth.

Question 2: Audit Results and Transparency

Provide the results summary from your last four quarterly independent compliance audits. For each quarter, include:

- Audit date and scope
- Number of compliance areas reviewed
- Number of findings requiring remediation

- Status of remediation (open/closed)
- Overall compliance rating or certification status
- Name of the auditor who signed off

Why this matters: Real audits find real issues. If an MSP presents four quarters of perfect compliance with zero findings, one of two things is true: either they're extraordinary (rare), or the audit isn't rigorous (common). Patterns of findings and remediation show a provider takes compliance seriously enough to surface and fix problems.

Question 3: Audit Rigor and Finding Rates

What percentage of your compliance audits in the past 12 months resulted in findings requiring remediation?

- 0-10% (Few or no issues found)
- 11-30% (Some issues requiring attention)
- 31-50% (Moderate issues identified)
- 51%+ (Significant compliance gaps)
- Explain your approach to remediation when non-compliance findings are identified

Why this matters: Counterintuitively, a 0% finding rate is a red flag. Real audits uncover issues because compliance is complex, regulations change, and human error exists. An audit that finds nothing often isn't looking hard enough.



Question 4: Auditor Qualifications and Expertise

Do the individuals conducting compliance audits hold professional certifications in the specific areas they audit?

For each compliance domain you audit (check all that apply and provide certifications):

- Insurance compliance (required certifications: insert)
- Employment law/worker classification (required certifications: insert)
- Tax compliance (required certifications: insert)
- Data protection & information security (required certifications: insert)
- Health & safety (required certifications: insert)
- Industry-specific regulations (required certifications: insert)
- Provide resumes/CVs or qualification summaries for your compliance audit team.

Why this matters: Reviewing a certificate of insurance means nothing if the reviewer doesn't understand insurance. Auditing worker classification

requires knowledge of employment law. Tax compliance audits demand tax expertise. Yet many 'compliance auditors' are operations staff with no specialised training. Would you trust a financial audit conducted by someone without accounting credentials?

Question 5: Client Access to Audit Documentation

Will you provide our organisation with direct access to full independent audit reports (not summaries) throughout our contract term?

- Yes, full audit reports will be provided quarterly.
- Yes, available upon request.
- No, only compliance summaries will be provided.
- If No or limited access, explain why:

Why this matters: Summary slides can hide anything. 'Everything is compliant' is easy to write. The details matter. Direct access to audit methodology, findings, evidence, and remediation plans allows you to verify that compliance isn't just claimed, it's proven. Providers confident in their compliance welcome this transparency. Those who resist it should raise immediate concerns.

What Happens When You Ask These Questions

Providers using independent auditors will welcome these questions. They'll provide detailed responses because they have nothing to hide. In fact, they'll use their independent certification as a competitive differentiator.

Providers who don't use independent auditors will struggle. They'll explain why their internal process is 'just as rigorous.' They'll emphasise their 'experienced team.' They'll talk about their technology and workflows. What they won't provide is independent verification. That difference should tell you everything.