

Compliance Auditing - Schedule PROF-3

Effective Date: January 16, 2026 | Supersedes prior versions.

Service Summary

Service Provider shall provide Compliance Auditing support services (“Compliance Auditing”) to assist Client in preparing for, coordinating with, and completing third-party compliance audits against applicable industry frameworks, which may include SOC 2, HIPAA, ISO 27001, CMMC, or NIST 800-171.

Compliance Auditing services are facilitative and administrative in nature. Service Provider does not act as an auditor, does not issue audit opinions, certifications, or attestations, and does not guarantee audit outcomes.

Scope of Services

Compliance Auditing services may include:

- Coordination with accredited third-party audit firms (e.g., Sensiba or other qualified auditors) recommended by Service Provider for audit planning, scheduling, and execution.
- Assistance with audit readiness activities, including evidence organization, documentation review, and control walkthrough preparation.
- Liaison support between Client, auditor, and internal stakeholders throughout the audit process.
- Administrative support related to audit timelines, requests for information, and status tracking.
- Advisory guidance related to audit expectations and framework requirements.

Exclusions

Compliance Auditing services expressly exclude:

- Acting as an independent auditor, assessor, or certifying body.
- Issuance of audit reports, certifications, or formal attestations.
- Any guarantee of certification, audit success, or compliance status.
- Legal, regulatory, or financial advisory services.
- Remediation or implementation of audit findings, which are scoped and billed separately as projects.
- Third-party audit firm fees, unless expressly included in the executed Payment & Services Schedule.

Third-Party Auditors and Fees

Client acknowledges that all compliance audits are performed by independent third-party audit firms contracted either directly by Client or facilitated by Service Provider. Where Service Provider facilitates or resells audit services, auditor fees are treated as pass-through costs payable by Client unless expressly included in the executed Payment & Services Schedule or Additional Terms. Service Provider may recommend audit firms but does not control auditor methodology, determinations, or outcomes.

Client Responsibilities

Client is responsible for:

- Selecting an accredited third-party auditor in coordination with Service Provider; engagement terms and audit determinations are made by the auditor and Client.
- Providing timely access to personnel, systems, documentation, and evidence required for audit activities.
- Responding promptly to auditor requests and inquiries.
- Implementing remediation or corrective actions identified through the audit process.
- Maintaining responsibility for compliance posture and regulatory obligations at all times.