

CANDIDATE	INTERVIEWER	DATE	STAGE
-----------	-------------	------	-------

INTERVIEW QUESTIONS · CHIEF COMPLIANCE OFFICER

1

Can you describe your experience with developing and implementing compliance programs in previous roles?

12345

2

How do you stay updated on changes in regulations and industry standards that may impact compliance?

12345

3

What strategies would you use to foster a culture of compliance within our organization?

12345

4

Can you share an example of a difficult compliance issue you've encountered and how you handled it?

12345

5

How do you decide which compliance initiatives to prioritize when resources are limited?

12345

6

What methods do you utilize for conducting compliance audits, and how do you ensure thoroughness?

12345

7

How do you approach training employees on compliance topics to ensure their understanding and engagement?

12345

8

In your opinion, what are the most significant compliance risks facing our industry currently?

12345

9

How would you handle a situation where a senior executive does not comply with established policies?

12345

10

Can you discuss your experience in liaising with regulatory bodies, and how you ensure effective communication?

12345

OVERALL ASSESSMENT

CRITERIA	SCORE (1-5)	NOTES
Educational Background Appropriate qualifications or training for the position.	12345	
Prior Work Experience Skills or qualifications acquired through past work.	12345	
Qualifications / Experience The technical skills the position actually needs.	12345	
Problem Solving Abilities Demonstrated critical problem-solving.	12345	

CRITERIA	SCORE (1-5)	NOTES
Communication Team building and communication skills.	① ② ③ ④ ⑤	
Organizational Fit Would this hire steer the organization the right way?	① ② ③ ④ ⑤	
Directional Fit A step forward, or backward, in their career?	① ② ③ ④ ⑤	

RECOMMENDATION

☐ Advance ☐ Hold ☐ Decline

1 = well below the bar · 3 = meets it · 5 = clearly above it

AvaHR — hiring software for teams without a recruiter
Use the same scorecard for every candidate in this role.