

CANDIDATE	INTERVIEWER	DATE	STAGE
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INTERVIEW QUESTIONS · COMPLIANCE AUDITOR

1	What experience do you have in banking and finance compliance?	1 2 3 4 5	
2	How many years of auditing or regulatory compliance experience do you have?	1 2 3 4 5	
3	Have you ever managed a team of compliance personnel before? If so, how did it go?	1 2 3 4 5	
4	What is your familiarity with regulations for managing financial risk?	1 2 3 4 5	
5	Do you stay up to date on new trends and changes in the industry related to financial regulation and risk management?	1 2 3 4 5	
6	Can you tell me about any successes or challenges in handling audits previously?	1 2 3 4 5	
7	Could you explain the methods you implement to guarantee adherence to regulations?	1 2 3 4 5	
8	How would you handle a situation where you are asked to break the rules in order to accomplish a goal?	1 2 3 4 5	
9	Do you consider yourself familiar with the standards and practices of international financial regulations?	1 2 3 4 5	
10	Do you have any experience in dealing with customer complaints or investigations?	1 2 3 4 5	

OVERALL ASSESSMENT

CRITERIA	SCORE (1-5)	NOTES
Educational Background Appropriate qualifications or training for the position.	1 2 3 4 5	
Prior Work Experience Skills or qualifications acquired through past work.	1 2 3 4 5	
Qualifications / Experience The technical skills the position actually needs.	1 2 3 4 5	
Problem Solving Abilities Demonstrated critical problem-solving.	1 2 3 4 5	
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	

CRITERIA

SCORE (1-5) NOTES

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.