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5 Interview Questions to Ask Every COMPLIANCE OFFICER

Finding the right compliance officer for your company starts with asking the right questions. That includes questions that demonstrate the candidate has the specific skills and industry experience needed to tackle your company's most significant regulatory challenges. **Here are five questions that should be part of your assessment for every compliance candidate.**

one

Describe the last compliance program you successfully directed, including key initiatives and challenges, what made it successful and who the program impacted

- How did the candidate delegate responsibility?
- How well did he or she make use of available resources or identify new ones?
- How did the candidate overcome obstacles?

two

Tell me about a specific compliance plan you developed or implemented for a program. Explain how you convinced staff at all levels to adopt it and how you ensured its effectiveness.

- Did the candidate use data and facts to persuade the team?
- How did the candidate respond to resistance?

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three

Describe an effective method you have used to assess and manage possible compliance risks.

- Did the candidate use a proactive approach based on a thorough, timely knowledge of regulations?
- Did the candidate provide an example that was detailed and relevant to your industry?

four

Describe a method you have used to ensure monitoring and testing procedures meet the goals of a compliance program.

- Did the candidate demonstrate experience in auditing and using technology?
- How did the candidate identify goals for evaluating programs?

five

Share an experience in which you accurately predicted the compliance impact of an industry change. What methods help you stay informed on these changes?

- Did the candidate use a strategic approach to staying ahead of the law?
- How did the candidate research the issues?

These five questions alone aren't enough, but they'll put you well on your way to gaining a better understanding of your candidate's abilities.

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