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## Compliance Manager interview questions

This **Compliance Manager interview questions** profile can serve as a basis for a successful interview process. Adjust the questions to find the compliance manager qualifications you are looking for.

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### Compliance Manager Interview Questions

Compliance managers work proactively to preserve adherence to the law and internal policies. They're found in a wide range of industries like finance and healthcare. Experience and deep knowledge are essential while certification can be an asset during the screening process.

During the interview, excellent candidates will stand out by asking questions about your compliance programs, your requirements and problems you face. They'll be ready to talk about methodical procedures they'd employ to craft an effective compliance program keeping business goals in mind.

Your own questions should be geared towards four critical skills: conscientiousness, communication, planning and proactive thinking. Asking behavioral and situational questions can achieve this purpose. Ideally, candidates should also have knowledge of your industry and its regulations. If you want them to manage a team of compliance professionals, try to assess their leadership abilities as well.

### Operational and Situational questions

- What procedure should be followed when someone violates company policy?
- Imagine you discover an executive has been violating the company's code of conduct. How do you handle it?
- If someone directly or indirectly asked you to overlook a violation of company policy, how would you react?
- Considering our line of business, what compliance risks would you advise us to deal with?
- Tell me about a time you implemented a compliance initiative that helped your company avoid litigation
- Imagine you conduct a site inspection and the manager is behaving aggressively to you. How do you handle this?
- If you had to deal with a C-suite executive who didn't agree with your compliance program/policies, what would you do?

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## Role-specific questions

- What is a whistleblower? How do you protect them?
- How do you create/implement an internal control system?
- What are the main points of an effective compliance program?
- Which are the most common compliance issues you have faced as a compliance manager?
- What's your experience in reporting to regulatory bodies?
- How do you prioritize tasks?
- What's your experience with conducting compliance training?

## Behavioral questions

- Describe the most difficult compliance or ethics issue you've faced. How did you resolve it?
- Tell me about your most significant contribution in your last position
- Explain a procedure you have implemented in the past for employees who want to report violations
- Have you ever encountered resistance when trying to enforce a compliance program? How did you overcome it?
- Tell me about a time you faced issues with your subordinates. How did your leadership abilities help you to resolve them?
- Describe a time you were involved in an official investigation