Prologue

The compliance professional continues on the path of evolution; compliance programs are becoming more advanced, and the rules and regulations keep coming. If you are reading this book, you may be new to the field of compliance. The very first thing you need to know is that you are not alone. With “Compliance Professional” being one of the most sought after professions in the country, many individuals are preparing to enter the field. Let me tell you how I started my career in compliance. I was on vacation in the Great Smoky Mountains late in August 1996, when I received a call from my boss at about 6:00 am. That wasn’t so unusual, but this time he was calling to ask a special favor. He said, “When you return from vacation I want you to start up a compliance program for us at the University of Louisville.” After a moment of shocked silence, I stammered, “But I don’t know anything at all about compliance!” “Well,” he replied, “Don’t tell anyone.” I suspect many of you feel you’re in the same boat. Your first steps will be the same as mine—education, networking, and on-the-job training.