

## Brothers, Sheila

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**From:** Cramer, Aaron  
**Sent:** Saturday, April 13, 2019 1:14 PM  
**To:** Bird-Pollan, Jennifer; Brothers, Sheila; Ett-Mims, Joanie  
**Cc:** Vines, Cynthia  
**Subject:** NEW UC: Financial Planning  
**Attachments:** Financial planning certificate (1) amended for aaron 412.pdf

Proposed New Undergraduate Certificate: Financial Planning

This is a recommendation that the University Senate approve the establishment of a new Undergraduate Certificate: Financial Planning, in the Department of Finance and Quantitative Methods within the Gatton College of Business and Economics.

Rationale: The proposed undergraduate certificate is a collaboration between the Von Allmen School of Accountancy and the Department of Finance and Quantitative Methods. The program would be the first such program offered in the Lexington area and is a first step for those intending to complete the Certified Financial Planning exam. The Bureau of Labor Statistics projects a 15% increase in personal financial advisors by 2026, and a large fraction of the current labor force is expected to retire in the next decade. The curriculum is comprised of required courses in accounting and finance. Initial enrollment of 45 students growing to 98 students is anticipated.

Aaron

Aaron M. Cramer  
Associate Professor, Electrical and Computer Engineering  
Director of Graduate Studies, Electrical Engineering  
Chair, Senate Academic Programs Committee  
University of Kentucky  
859-257-9113  
[aaron.cramer@uky.edu](mailto:aaron.cramer@uky.edu)

## NEW UNDERGRADUATE CERTIFICATE

**Certificate Description.** An Undergraduate Certificate is an integrated group of courses (as defined here 12 or more credits) that are 1) cross-disciplinary, but with a thematic consistency, and 2) form a distinctive complement to a student’s major and degree program, or 3) leads to the acquisition of a defined set of skills or expertise that will enhance the success of the student upon graduation. Undergraduate Certificates meet a clearly defined educational need of a constituency group, such as continuing education or accreditation for a particular profession; provide a basic competency in an emerging area within a discipline or across disciplines; or respond to a specific state mandate.

**Approval process.** Once approved at the college level, your college will send the proposal to the appropriate Senate academic council (possibly HCCC and/or UC) for review and approval. Once approved at the academic council level, the academic council will send your proposal to the Senate Council office for additional review via a committee and then to the SC and University Senate. (The contact person listed on the form will be informed when the proposal has been sent to committee and other times as appropriate.) The last step in the process is Senate approval; upon Senate approval, students can enroll in the new certificate.

Please click [here](#) for more information about undergraduate certificates.

1. GENERAL INFORMATION			
1a	Home college: Gatton College of Business and Economics		
1b	Home educational unit (department, school, college <sup>1</sup> ): Department of Finance and Quantitative Methods		
1c	Office of Strategic Planning and Institutional Effectiveness (OSPIE) (Please contact OSPIE ( <a href="mailto:OSPIE@L.uky.edu">OSPIE@L.uky.edu</a> ) for help with questions in this section.)		
	Date of contact with OSPIE: Nov. 19, 2018		
	<input checked="" type="checkbox"/> Appended to the end of this form is a PDF of the reply from OSPIE.		
	<input checked="" type="checkbox"/> Appended to the end of this form is a letter(s) of administrative feasibility from the dean(s) of the college(s) offering the certificate.		
	CIP Code (confirmed by OSPIE): 52.0804		
1d	Proposed certificate name: <i>Undergraduate Certificate in Financial Planning</i>		
1e	Requested effective date:	<input type="checkbox"/> Fall semester following approval.	OR <input checked="" type="checkbox"/> Specific Date <sup>2</sup> : <i>Fall 2019</i>
1f	Contact person name: <i>Cynthia Vines</i>	Email: <i>cvines@uky.edu</i>	Phone: <i>859-257-4675</i>
2. OVERVIEW			
2a	Provide a brief description of the proposed new undergraduate certificate. (300 word limit)		
	<i>The Certificate in Financial Planning is offered by the Von Allmen School of Accountancy and the Department of Finance and Quantitative Methods in the Gatton College of Business and Economics. It will be the first such program offered in Lexington area and is a first step in preparation for a career as a Financial Planning</i>		

<sup>1</sup> Only cross-disciplinary certificates may be homed at the college level.

<sup>2</sup> Certificates are typically made effective for the semester following approval. No program will be made effective unless all approvals, up through and including University Senate approval, are received.

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	<p><i>professional. The certificate is open for non-degree students, current UK undergraduate or graduate students from any major, current CPAs or other working professionals interested in pursuing financial planning as a career. The certificate is a first step for those intending to complete the Certified Financial Planning (CFP) exam given by Certified Financial Planning Board of Standards, Inc. Our program will register with the CFP Board of Standards and students who complete a CFP Board-Registered Program are eligible to sit for the CFP® Certification Exam. CFP Board partners with financial planning educators across the country to</i></p>		
2b	<p><i>establish programs designed to prepare individuals with the competency required to deliver financial planning services to clients, and to ensure the ongoing competency of CFP® professionals.</i></p> <p>This proposed undergraduate certificate (check all that apply):</p> <p><input checked="" type="checkbox"/> Is cross-disciplinary<sup>3</sup>.</p> <p><input type="checkbox"/> Is certified by a professional or accredited organization/governmental agency.</p> <p><input type="checkbox"/> Clearly leads to advanced specialization in a field.</p>		
2c	<p><b>Affiliation.</b> Is the undergraduate certificate affiliated with a degree program?</p>	Yes <input type="checkbox"/>	No <input checked="" type="checkbox"/>
	<p>If "yes," include a brief statement of how it will complement the program. If it is not affiliated with a degree program, incorporate a statement as to how it will provide an opportunity for a student to gain knowledge or skills not already available at UK. (300 word limit)</p>		
2d	<p><b>Duplication.</b> Are there similar regional or national offerings?</p>	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
	<p>If "Yes," explain how the proposed certificate will or will not compete with similar regional or national offerings.</p> <p><i>Currently there is no online CFP certificate program in the state of Kentucky. Two universities offer certificate programs certified by the CFP Board include Bellarmine University, which offers an Executive Certificate in Financial Planning (\$4,200) and Western Kentucky University, which offers a certificate to non-finance majors (in addition to the B.S. degree in Finance - Financial Planning Option to finance majors at WKU). Murray State University also has a degree program in financial planning. We believe our online certificate program fills in a niche not served by these programs: Our target audience is a combination of non-degree students, working professionals, and UK undergraduate and graduate students in local area who would like the flexibility of scheduling while fulfilling the educational component of obtaining the CFP certification. Our program also offers high quality teaching, accessibility to instructors and career development help to participants in Lexington area. Discussions with the Program Director at WKU, current students and working professionals in Lexington area indicate market demand in local area.</i></p>		
2d	<p><b>Rationale and Demand.</b> Explain the need for the new undergraduate certificate (e.g. market demand and cross-disciplinary considerations). (300 word limit)</p>		
	<p><i>The Bureau of Labor Statistics projected employment of personal financial advisors (2016-2026) to increase by 15%, from 271,900 to 312,300 (<a href="https://www.bls.gov/ooh/business-and-financial/personal-financial-advisors.htm#tab-6">https://www.bls.gov/ooh/business-and-financial/personal-financial-advisors.htm#tab-6</a> ) A recent article by a renowned author and practitioner in the financial planning world, Michael Kitces (<a href="https://en.wikipedia.org/wiki/Michael_Kitces">https://en.wikipedia.org/wiki/Michael_Kitces</a> ), discusses compensation for and the market shortage of CFPs. 1 Mr. Kitces in his online article dated September 17, 2018 notes that 1/3 of all financial advisors are expected to retire in the next 10 years leading to an expected increase in demand for new financial planners. There is also a shift in the industry from commission based compensation to a recurring fees system resulting in a new model for the employment of financial planners that will accelerate the demand for this industry. (The full article is available at <a href="https://www.kitces.com/">https://www.kitces.com/</a>). In the past few years, numerous UK students</i></p>		

<sup>3</sup> An undergraduate certificate must be cross-disciplinary and students must take courses in at least two disciplines, with a minimum of three credits to be completed in a second discipline.

**NEW UNDERGRADUATE CERTIFICATE**

*expressed interests in learning about financial planning and searched for internships and full-time positions in financial planning. Discussions with current UK students, recent UK alumni, financial planning practitioners (CFP holders) in Lexington area and educations in the CFP program in Western Kentucky University provided strong anecdotal evidence on potential demand for high quality financial planning courses. This certificate program aims to meet the CFP registration criteria and help students to compete in the financial planning industry by providing the necessary knowledge and satisfying the educational component of the CFP Certificate.*

2e **Target audience.** Check the box(es) that apply to the target student population.

Currently enrolled undergraduate students.

Post-baccalaureate students.

2f Describe the demographics of the intended audience. (150 word limit)

*Our target audience is a combination of non-degree students, working professionals, and UK undergraduate and graduate students in local area who would like the flexibility of scheduling while fulfilling the educational component of obtaining the CFP certification eventually.*

2g **Projected enrollment.** What are the enrollment projections for the first three years?

	Year 1	Year 2 (Yr. 1 continuing + new entering)	Year 3 (Yrs. 1 and 2 continuing + new entering)
Number of Students	45	88	98

2h **Distance learning (DL).** Initially, will any portion of the undergraduate certificate be offered via DL? Yes  No

If "Yes," please indicate below the percentage of the certificate that will be offered via DL.

1% - 24%       25% - 49%       50% - 74%       75 - 99%       100%

If "Yes," describe the DL course(s) in detail, including the number of required DL courses. (200 word limit)

*We plan to offer six new DL courses (18 credit hours) as follows: 1. Principles for the Financial Planner (ACC 356) introduces the principles of financial planning. 2. Tax Planning (ACC 357) covers tax planning for the personal financial planner. 3. Investment Planning (FIN 357) covers the principles of investments and their application to financial planning. 4. Risk, Insurance and Retirement Planning (FIN 358) discusses key topics in risk management and insurance, selecting the right retirement plan for the business and on individual retirement planning. 5. Estate Planning (ACC 457) discusses estate planning and taxation for the personal financial planners. 6. Financial Plan Development (FIN 359) is the capstone course of the program. It offers a comprehensive overview of the financial planning process and requires students to integrate and apply their knowledge of financial planning topics through case analysis.*

**3. ADMINISTRATION AND RESOURCES**

3a **Administration.** Describe how the proposed undergraduate certificate will be administered, including admissions, student advising, retention, etc. (150 word limit)

*All courses are open for registration to UK students and public. Upon successful completion of all the courses, the certificate will be awarded. Business student advising in the Gatton college is provided by the Undergraduate Advising Office. Any additional advising or information needed by the students will be provided by the director of*

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<p><i>the program and/or supporting staff. We do not foresee an issue with retention, but if retention becomes a problem, the director will take action to ensure continued enrollment.</i></p>	
3b	<p><b>Faculty of Record.</b> The Faculty of Record consists of the undergraduate certificate director and other faculty who will be responsible for planning and participating in the certificate program. Describe the process for identifying the certificate director. Regarding membership, include the aspects below. <i>(150 word limit)</i></p> <ul style="list-style-type: none"> <li>• Selection criteria;</li> <li>• Whether the member is voting or non-voting;</li> <li>• Term of service; and</li> <li>• Method for adding/removing members.</li> </ul>
<p><i>Faculty of record will include any faculty who has taught in the program for the two previous years and are expected to teach or stay involved in the next calendar year. A faculty member who ceases to teach in the program and hasn't taught in the prior year, will no longer be considered as a faculty of record. All faculty of record are voting members. Director of the program will be appointed by the Dean with consultation of the faculty of record. The position is subject to annual renewal and is a voting position.</i></p>	
3c	<p><b>Advisory board.</b> Will the undergraduate certificate have an advisory board<sup>4</sup>?      Yes <input type="checkbox"/>      No <input checked="" type="checkbox"/></p>
<p>If "Yes," please describe the standards by which the faculty of record will add or remove members of the advisory board. <i>(150 word limit)</i></p>	
<p>If "Yes," please list below the <u>number</u> of each type of individual (as applicable) who will be involved in the advisory board.</p>	
	Faculty within the college who are within the home educational unit.
	Faculty within the college who are outside the home educational unit.
	Faculty outside the college who are within the University.
	Faculty outside the college and outside the University who are within the United States.
	Faculty outside the college and outside the University who are outside the United States.
	Students who are currently in the program.
	Students who recently graduated from the program.
	Members of industry.
	Community volunteers.
	Other. Please explain:
	<b>Total Number of Advisory Board Members</b>
3d	<p><b>Course utilization.</b> Will this undergraduate certificate utilize courses from other academic units?      Yes <input type="checkbox"/>      No <input checked="" type="checkbox"/></p>
<p>If "Yes," two pieces of supporting documentation are required.</p>	

<sup>4</sup> An advisory board includes both faculty and non-faculty who advise the faculty of record on matters related to the program, e.g. national trends and industry expectations of graduates.

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	<input type="checkbox"/> Check to confirm that appended to the end of this form is a letter of support from the other units' chair/director <sup>5</sup> from which individual courses will be used. The letter must include demonstration of true collaboration between multiple units <sup>6</sup> and impact on the course's use on the home educational unit.  <input type="checkbox"/> Check to confirm that appended to the end of this form is verification that the chair/director of the other unit has consent from the faculty members of the unit. This typically takes the form of meeting minutes.
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3e	<b>Financial Resources.</b> What are the (non-course) resource implications for the proposed undergraduate certificate, including any projected budget needs? <i>(300 word limit)</i>  <i>The program tuition revenue will support administrative help, teaching assistants, career advising staff support, if needed. With the \$25,000 online initiative from the University, we will be able to pay for administrative support, course development, and faculty release time to prepare courses. We do not expect additional significant financial outlay otherwise.</i>
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3f	<b>Other Resources.</b> Will the proposed undergraduate certificate utilize resources (e.g. departmentally controlled equipment or lab space) from additional units/ programs? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> If "Yes," identify the other resources that will be shared. <i>(150 word limit)</i>
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	If "Yes," two pieces of supporting documentation are required.  <input type="checkbox"/> Check to confirm that appended to the end of this form is a letter of support from the appropriate chair/director <sup>7</sup> of the unit whose "other resources" will be used.  <input type="checkbox"/> Check to confirm that appended to the end of this form is verification that the chair/director of the other unit has consent from the faculty members of the unit. This typically takes the form of meeting minutes.
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**4. IMPACT**

4a	<b>Other related programs.</b> Are there any related UK programs and certificates? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> If "Yes," describe how the new certificate will complement these existing UK offerings. <i>(250 word limit)</i>
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	If "Yes," two pieces of supporting documentation are required.  <input type="checkbox"/> Check to confirm that appended to the end of this form is a letter of support from the appropriate chair/director of the unit whose "other resources" will be used.  <input type="checkbox"/> Check to confirm that appended to the end of this form is verification that the chair/director has input from the faculty members of the unit. This typically takes the form of meeting minutes.
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**5. ADMISSIONS CRITERIA AND CURRICULUM STRUCTURE**

5a	<b>Admissions criteria.</b> List the admissions criteria for the proposed undergraduate certificate. <i>(150 word limit)</i>  <i>All courses require the student to have successfully completed 60 credit hours at the undergraduate or graduate level. professional. The certificate is open for non-degree students, current UK undergraduate or graduate students from any major, current CPAs or other working professionals interested in pursuing financial planning as a career.</i>
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<sup>5</sup>A dean may submit a letter only when there is no educational unit below the college level, i.e. there is no department/school.  
<sup>6</sup>Show evidence of detailed collaborative consultation with such units early in the process.  
<sup>7</sup>A dean may submit a letter only when there is no educational unit below the college level, i.e. there are no departments/schools.



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5b	<b>Core Courses.</b> List the required courses below.		
Prefix & Number	Course Title	Credit Hrs	Course Status <sup>8</sup>
ACC 356	<i>Financial Planning for Professionals</i>	3	New
ACC 357	<i>Tax Planning</i>	3	New
FIN 357	<i>Investment Planning</i>	3	New
FIN 358	<i>Risk, Insurance and Retirement Planning</i>	3	New
ACC 457	<i>Estate Planning</i>	3	New
FIN 359	<i>Financial Plan Development (Capstone)</i>	3	New

5c	<b>Elective courses.</b> List the electives below.		
Prefix & Number	Course Title	Credit Hrs	Course Status <sup>9</sup>
			Select one....
			Select one....
			Select one....
			Select one....
			Select one....

*Total Credit Hours:*

5d	Are there any other requirements for the undergraduate certificate? If “Yes,” note below. (150 word limit) <i>The certificate requires each student to complete the 6 3 hour courses for a total of 18 hours.</i>	Yes <input type="checkbox"/>	No <input checked="" type="checkbox"/>
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5e	Is there any other narrative about the undergraduate certificate that should be included in the Bulletin? If “Yes,” please note below. (300 word limit)	Yes <input type="checkbox"/>	No <input checked="" type="checkbox"/>
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**6. ASSESSMENT**

6a	<b>Student learning outcomes.</b> Please provide the student learning outcomes for this undergraduate certificate. List the knowledge, competencies, and skills (learning outcomes) students will be able to do upon completion. (Use action verbs, not simply “understand.”) (250 word limit)  <i>This certificate will provide the foundational components for a well-rounded approach to personal financial planning. Key objectives include: 1. Prepare personal financial statements. 2. Use time value of money calculations to determine appropriate savings for retirement, school and long term care. 3. Evaluate risk and design investment strategies. 4. Explain tax consequences of key financial decisions. 5. Recommend strategies for managing risk and explain most commonly used insurance (life, property casualty and disability).</i>
6b	<b>Student learning outcome (SLO) assessment.</b> How and when will student learning outcomes be assessed? Please map proposed measures to the SLOs they are intended to assess. Do not use grades or indirect measures

<sup>8</sup> Use the drop-down list to indicate if the course is a new course (“new”), an existing course that will change (“change”), or if the course is an existing course that will not change (“no change”).

<sup>9</sup> Use the drop-down list to indicate if the course is a new course (“new”), an existing course that will change (“change”), or if the course is an existing course that will not change (“no change”).

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	(e.g. focus groups, surveys) as the sole method. Measures likely include artifacts such as course-embedded assessment (e.g., portfolios, research papers or oral presentations); and test items (embedded test questions, licensure/certification testing, nationally or state-normed exams). (300 word limit)
	<i>Each course will include test items that directly test course objectives as well as student projects that will tie to the course objectives. The capstone course will incorporate a project that will allow students to demonstrate knowledge learned in the prerequisite courses. Key learning outcomes include effectively communicating the financial plan, analyzing personal financial situations, evaluating client’s objectives, needs, and values to develop an appropriate strategy within the financial plan.</i>

6c	<b>Certificate outcome assessment<sup>10</sup>.</b> Describe program evaluation procedures for the proposed undergraduate certificate. Include how the faculty of record will determine whether the program is a success or a failure. List the benchmarks, the assessment tools, and the plan of action if the program does not meet its objectives. (250 word limit)
	<i>We have a benchmark of 45 new students in our certificate program each year. We will measure retention rates in comparison to UK's overall retention rate of 86.64% in years 2011-2016. We will compare the number of certificates issued within 5 years to our goal of 100 certificates. The director and advisors will evaluate whether we are meeting our objectives each year. If not, we will modify our advertising and publicity model as well as our courses.</i>

**7. OTHER INFORMATION**

7a	Is there any other information about the undergraduate certificate to add? (150 word limit)

**8. APPROVALS/REVIEWS**

Information below does not supersede the requirement for individual letters of support from educational unit administrators and verification of faculty support (typically takes the form of meeting minutes).

	Reviewing Group Name	Date Approved	Contact Person Name/Phone/Email
8a	<i>(Within College) In addition to the information below, attach documentation of department and college approval. This typically takes the form of meeting minutes but may also be an email from the unit head reporting department- and college-level votes.</i>		
			/ /
			/ /
			/ /
			/ /
8b	(Collaborating and/or Affected Units)		
			/ /
			/ /
			/ /

<sup>10</sup> This is a plan of how the certificate will be assessed, which is different from assessing student learning outcomes.



**NEW UNDERGRADUATE CERTIFICATE**

			/	/
			/	/
			/	/
			/	/
8c	(Senate Academic Council)	<b>Date Approved</b>	<b>Contact Person Name</b>	
	Health Care Colleges Council (if applicable)			
	Undergraduate Council	2/12/19	Joanie Ett-Mims	



October 29, 2018

Kathi Kern  
Center for the Enhancement of Learning &  
Teaching (CELT)  
518 King Building  
179 Funkhouser DR.  
Lexington, KY 40506-0039

Dear Dr. Kern:

The Certificate in Financial Planning is offered by the Von Allmen School of Accountancy and the Department of Finance and Quantitative Methods in the Gatton College of Business and Economics. It will be the first such certificate offered in Lexington area and is a first step in preparation for a career as a Financial Planning professional. The certificate is open for non-degree students, current UK undergraduate or graduate students from any major, current CPAs or other working professionals interested in pursuing financial planning as a career. The certificate is a first step for those intending to complete the Certified Financial Planning (CFP) exam given by Certified Financial Planning Board of Standards, Inc. Our program will register with the CFP Board of Standards and students who complete a CFP Board-Registered Program are eligible to sit for the CFP® Certification Exam. The college fully supports this certificate.

Currently we plan that the departments will cover the cost of this program.

Sincerely,



Simon Sheather  
Dean, Gatton College

Cc: Nicole Jenkins, Executive Associate Dean  
Paul Childs, Department Chair, Economics  
Wendy Liu, Senior Lecturer Finance Department  
Urton Anderson, Department Chair, Accounting  
Cindy Vines, Associate Professor, Economics

see blue.

**From:** [Sheather, Simon](#)  
**To:** [B&E Faculty](#)  
**Subject:** Results of last week's online vote  
**Date:** Monday, December 17, 2018 10:36:35 AM  
**Attachments:** [image001.png](#)

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Colleagues,

Thank you to all those who participated in last week's online vote. As you can see from the detailed results below, there was very strong support for each of the proposals under consideration.

Sincerely,

Simon



Simon J. Sheather

Dean  
Gatton College of Business & Economics

Melissa Richards  
Executive Assistant  
859-257-8939  
[Melissa.richards@uky.edu](mailto:Melissa.richards@uky.edu)

University of Kentucky  
Gatton College  
371 Gatton Building  
Lexington, KY 40506-0034  
[simon.sheather@uky.edu](mailto:simon.sheather@uky.edu)

The Undergraduate Studies Committee moves to approve:

- Proposed updates to course titles and descriptions: AN 300, 306, 324, 420G, and 450G  
100% approve                      0% disapprove
- Proposed Business Analytics Minor  
100% approve                      0% disapprove

The Undergraduate Studies Committee moves to approve:

- Online delivery of MGT 292  
100% approve                      0% disapprove
- Proposed updates to ACC 221 course description and credit hours (from 2-credit hour to 3-credit hour)  
100% approve                      0% disapprove
- Proposed Undergraduate Certificate in Business  
97% approve                      3% disapprove

The Undergraduate Studies Committee moves to approve:

1. Proposed new courses: ACC 356, 357, 457; FIN 357, 358, 359  
100% approve                      0% disapprove
  
2. Proposed Undergraduate Certificate in Financial Planning  
100% approve                      0% disapprove

The Undergraduate Studies Committee moves to approve:

1. Proposed new courses: ACC 360 and FIN 310  
98% approve                      2% disapprove (ACC 360) 100%  
approve                      0% disapprove (FIN 301)
2. Online delivery of: ECO 391, FIN 300, MGT 340, ECO 311, MGT 410, ACC 201  
100% approve                      0% disapprove (except for FIN 300 98%  
approve 2% disapprove)
3. Proposed Online General Business degree  
93% approve                      7% disapprove

## Ett-Mims, Joanie

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**From:** Bird-Pollan, Jennifer  
**Sent:** Monday, April 01, 2019 2:28 PM  
**To:** Cox, Nancy  
**Cc:** Sheather, Simon; Grabau, Larry; Spriggs, Amy; Ett-Mims, Joanie  
**Subject:** Re: CAFE Approval

Dear Nancy,

This is excellent, thank you for this. I've copied Amy Spriggs and Joanie Ett-Mims, who can let us know if anything else is needed from the perspective of the Undergraduate Council.

I appreciate your help with this,  
Best,  
Jennifer

Jennifer Bird-Pollan  
Senate Council Chair  
Robert G. Lawson Professor of Law  
University of Kentucky  
jbirdpollan@uky.edu  
Senate Council Office: 859.218.4014  
College of Law Office: 859.257.3325

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**From:** "Cox, Nancy" <ncox@email.uky.edu>  
**Date:** Monday, April 1, 2019 at 2:25 PM  
**To:** "Bird-Pollan, Jennifer" <jbirdpollan@uky.edu>  
**Cc:** "Sheather, Simon" <simon.sheather@uky.edu>, "Grabau, Larry" <larry.grabau@uky.edu>, "Cox, Nancy" <ncox@email.uky.edu>  
**Subject:** CAFE Approval

Dear Jennifer

I don't recall preparing a letter of support before and I feel sure Dr. Grabau knows more about the format and probably can advise me. That said, please let this note indicate my support, on behalf of CAFE for the Certificate in Financial Planning being proposed by Gatton, which we discussed as a group on March 29, 2019. .

Best  
Nancy

Nancy Cox  
Dean, UK College of Agriculture, Food and Environment  
123 Ag North, Lexington KY 40546  
859-257-4772 office

859-230-7759 cell



April 3, 2019

Office of the Senate Council  
203E Main Building, -0032

This Letter is in regard to Gatton College, Department of Finance proposal for an Undergraduate Certificate in Financial Planning. The program will use three course offered by the Von Allmen School of Accounting – ACC 356, ACC 357, and ACC 457. As the Von Allmen School is a strong support of this certificate program and voted unanimously to approve it, we give permission for the program to use these courses.

Sincerely,

Urton Anderson  
Director and EY Professor of Accounting  
Von Allmen School of Accountancy

seeblue.



**Gatton**  
COLLEGE OF BUSINESS & ECONOMICS  
UNIVERSITY OF KENTUCKY

**UK**  
UNIVERSITY OF KENTUCKY

October 29, 2018

Associate Provost Kathi Kern

Dear Dr. Kern:

The Von Allmen School of Accountancy and the Department of Finance and Quantitative Methods plan to jointly offer a new Certificate in Financial Planning. We think it will appeal to UK students and to non-degree students interested in pursuing financial planning as a career.

We have worked up a detailed plan of the expected costs. Please see the attached Excel workbook to view the detailed expenses. The two departments will share these costs equally.

Thank you for your consideration.

Sincerely,

Dr. Urton Anderson  
Director, Von Allmen School of Accountancy

Dr. Paul Childs  
Chair, Department of Finance and Quantitative Analysis

