



FBE 599
SUSTAINABLE FINANCE – CONCEPTS AND APPLICATIONS

Fall 2022
Units - 3.0

Class days/times: Mondays and Wednesdays 3:30 – 4:50 PM

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COURSE DESCRIPTION

The financial sector is critical for achieving environmental, social and governance (ESG) transformation across a broad universe of corporations, industry sectors, and other organizations. Environmental and climate sustainability would require adjustments in our production and consumption patterns across food production, fossil fuel usage, and physical pollution. It is expected that \$20-30 trillion will be invested over the next two decades towards this transformation, and to arrest the rise in atmospheric temperatures and prevent catastrophic impact to our planet. Financial institutions and markets will be instrumental in allocating investments to sustainable projects and corporations in order to accelerate the transition to low-carbon and more circular economies.

This course covers ESG concepts, their applications, and transition challenges. We will learn how the broad goals for ESG transformation apply to current economic models that were developed in the age of resource abundance. On the environmental front, we will cover climate change, land-use adjustment, biodiversity loss, and depletion of natural resources.

The central question we will address in this course is how capital and financial systems can be mobilized towards climate-mitigation, environmental, and societal goals. We will learn how capital investment should be feasibly deployed to ensure that current and future generations have the resources needed – sustainable energy, food, water, and health care – without stressing our planet's natural resources and processes.

In the second half the course, we will cover practical applications in the creation and quantification of economic and shareholder value for corporations and banks. This will include thematic concepts including strategy, return expectations, governance, and integrated reporting. Several case studies will provide practical insights into sustainable finance investment across equity and bonds, and implementation of ESG strategies. The course will conclude with hands-on experience in bank loans and portfolio management on an institutional bank-lending system (GREENCAP) with “real-life” loan portfolios.

COURSE OBJECTIVES

At the end of this course, students will be able to:

1. Explain environmental, social and governance (ESG) policies their importance.
2. Demonstrate and apply the stages of sustainable finance and policy and technology uncertainties.
3. Critically analyze and the changing objectives of corporates in the context of market short-termism.
4. Analyze why and how companies should connect sustainability to their competitive positions.
5. Connect and apply corporate sustainability performance with corporate financial performance.
6. Explain and connect business models, intangible assets, and strategies to incorporate ESG initiatives.
7. Explain the benefits and limitations of traditional internal and external reporting in the context of ESG.
8. Illustrate the importance of regulation, corporate ethics, and compliance.

Please see additional learning objectives from group projects below:

GROUP PROJECTS

Project 1: ESG value creation

This project is designed for student groups to apply value based ESG investing concepts and framework learnt in first half of the course to one public company for each group selected by them in consultation with the instructor.

Learning outcomes from this project:

9. Explain and apply fundamental factors that drive value creation through ESG investments and projects.
10. Quantify and apply ESG contribution to shareholder value creation.
11. Analyze business enterprises investments in sustainable projects while increasing returns for their stakeholders.

Project 2: Sustainable Lending

In this project students will learn and practice how loans for environmentally sustainable projects should be evaluated, priced, and managed.

Learning outcomes from this project:

12. Apply factors that should be considered for creditworthiness and pricing of loans for sustainable projects.
13. Explain how these factors are quantified and incorporate them into credit ratings and pricing for loans.
14. Explain the management of legacy loans to fossil-fuel intensive borrowers.
15. Critically analyze how loan portfolios that comprise "green" (low carbon footprint) and "brown" (high carbon footprint) should be managed to optimize capital charge and return on assets/capital

COURSE MATERIALS

- Required Readings
 - A. Class presentations prepared by instructor (in three parts for the course) with power point slides and illustrations. These will be provided in advance.
 - B. Nine cases listed below – a case pack will be referenced for students to procure the cases from Harvard Business School case library – this is a one step process. A web link to the course pack will be provided.
 1. Reversing Climate Change Through Sustainable Food: Patagonia Provisions Attempts to Scale a "Big Wall"
 2. Stripe: Encouraging Customers to invest in carbon removal
 3. Building Better Ventures
 4. Making Impact Investing Markets: IFC
 5. Massachusetts Bay Transit Authority Sustainable Bonds
 6. Waste not, want not: Eliminating Patagonia's Pre- and Post-Customer Textile Waste
 7. Patagonia's Path to Carbon Neutrality by 2025
 8. IMPAAKT - Harnessing Collective Intelligence to Improve ESG Ratings
 9. McDonald's: A Sustainable Finance Case Study

- Papers

1. IPCC puts the world on high alert
2. Agricultural sustainability – what the banking sector must do
3. EU's green policies need essential support by financial institutions
4. Climate change disclosures leave banks exposed
5. Banking is the foundation of sustainable buildings
6. Banks risk becoming a weak link in the greening of supply chains
7. Banks need to square the circular economy or risk significant credit losses

Authors: Marcus Cree and Sanjay Sharma

Source: <https://www.greencap.live>

- Recommended Text

- C. Principles of Sustainable Finance - Dirk Schoenmaker and Willem Schramade, Oxford University Press.

- Required Online Resources

D. Students will be expected to keep current on topical areas that will be discussed in class. Specific current articles will be cited and discussed. The following list of publications is suggested:

1. Wall Street Journal
2. New York Times
3. Financial Times
4. Bloomberg.com
5. Business Insider
6. www.unsdg-un.org

- Supplementary Materials

Several publications by global organization and corporations will be posted and discussed in class.

All materials will be posted on Blackboard. If you have any questions or need assistance with the Blackboard Course Pages, please contact the Marshall HelpDesk at 213-740-3000 (option 2) or HelpDesk@marshall.usc.edu.” Alternatively, (213) 740-5555 will get you the USC ITS Help Desk.

GRADING

Assignments	Points	% of Overall Grade
Class Quizzes	15	15%
Individual Case Assignments	15	15%
Group Case Project	35	35%
Class Participation	10	10%
Final Exam	25	25%
TOTAL	100	100%

CLASS QUIZZES

There will be a multiple-choice, open-book quiz with 10-15 questions at the beginning of each class with expected completion time of 10 minutes.

INDIVIDUAL CASE ASSIGNMENTS

For each case and other assigned topic covered in class, students will be required to submit short (1-2-pages) analysis of the main learning objectives of the case at the beginning of the following class. Late submissions will not be accepted.

GROUP CASE ANALYSES

Groups of four students each will be formed in the class through random selection as per schedule. Case groups will prepare a comprehensive analysis and present their cases in class. These analyses would not have any limitation of the length for words or number of pages. In class presentations will be limited to 20-30 minutes depending on class size and number of groups. Specific questions that should be addressed for each case will be provided. The first draft of case submission will be due as per schedule.

It is expected that case submissions will identify problems and issues in a scenario, to demonstrate students' knowledge of theories and corporate policies and to make decisions and recommendations based on these to either prevent or solve some of the issues in that scenario.

CLASS PARTICIPATION

This course is oriented from practitioners' perspectives and decisions in real life situations, and thus class participation is an extremely important part of the learning experience. The challenges and opportunities faced by firms/individuals in the cases will be discussed in a "boardroom" setting, with debates on options and decisions. The ability to present one's ideas concisely and persuasively and to respond effectively to the ideas of others is a key business skill. You will be expected to provide their opinions in group settings in their professional careers and thus, class participation is integrated in this course to prepare you for this experience.

One of the primary goals of this course is to help you develop the ability to clarify your own position on an issue, and to be able to articulate and defend it clearly. Sharing your perceptions and ideas with others is crucial for learning and for understanding how the diverse opinions that you are likely to encounter in an organization are debated. You will find yourself presenting and testing new ideas that are not wholly formulated and assisting others in shaping their ideas as well. You should be prepared to take some risks.

The richness of the learning experience will largely depend upon the degree of preparation by all students prior to each class session. My expectation (and that of your classmates) will be that you are prepared for all classes and will actively participate in and meaningfully contribute to class discussions. Cold calling may take place to encourage active participation and to gain multiple perspectives and points of view.

In-class participation grading will be based on students' demonstrated willingness to participate, and critical thinking of the comments expressed, rather than quantity. While some students are far more comfortable than others with class participation, all students should make an effort to contribute meaningfully and be supportive of the efforts of others.

Effective class participation consists of analyzing, commenting, questioning, discussing, and building on others' contributions; it is not repeating facts or monopolizing class time. One of the goals of this course is to help you sharpen that ability.

- **Outstanding Contribution:** Your contributions reflect considerable preparation; they are substantive and supported by evidence from the case, readings, and logic. Your comments or questions create a springboard for discussion by making a critical insight.

You synthesize and build upon what has already been said in the discussion. The class learns from you when you speak; in your absence, the discussions would suffer.

- **Good Contribution.** You come prepared with substantiated comments. You demonstrate good insight and clear thinking. You are able to make some connection to what has been said in prior discussion. The class notices when you're not part of the discussion.
- **Minimal Contribution.** You participate but are unprepared. You rarely offer interesting insights into the discussion. It appears that you are not listening to what others are saying during discussion.
- **No Contribution.** You say little or nothing in class. If you were not in the class, the discussion would not suffer.

The evaluating of in-class participation is based on the following:

1. Relevance – Does the comment or question meaningfully bear on the subject at hand? Irrelevant or inappropriate comments can detract from the learning experience.
2. Responsiveness – Does the comment or question connect to what someone else has said?
3. Analysis – Is the reasoning employed consistent and logical? Has data from course materials, personal experience, or general knowledge been employed to support the assertions/findings?
4. Value – Does the contribution further the understanding of the issues at hand?
5. Clarity – Is the comment concise and understandable?

During case discussions, the instructor will be the facilitator to encourage a discussion that includes perspectives from a variety of viewpoints and, secondly, to pull together prevailing analyses and recommendations. The direction and quality of a discussion will be the collective responsibility of the class.

Grading for each in class-session:

1. Two (2) points will be awarded to a student for relevant and meaningful participation,
2. One (1) point for modest contributions to the class
3. Zero (0) points for no participation or absence.

To underscore the importance of participation, 10% of the course grade is allocated to the assessment component.

FINAL EXAM

The final exam will be a 120-minute closed book test with approximately 110 multiple choice questions. The final exam will be conducted in class on Blackboard. Final exam date and time may be adjusted for students with special circumstances if approved by USC Administration.

In case of a declared emergency if travel to campus is not feasible, the USC Emergency Information web site (<https://emergency.usc.edu/>) will provide safety and other information, including electronic means by which instructors will conduct class using a combination of USC's Blackboard learning management system (blackboard.usc.edu), teleconferencing, and other technologies.

COURSE OUTLINE AND ASSIGNMENTS

	Topics/ Daily Activities	Readings and Homework Before Class	In- and after- Class Deliverables
Week 1 Dates TBD	Sustainability and the transition challenge <u>Learning Objectives:</u> i. Explain the planet’s social and environmental challenges. ii. List and understand UN Sustainable Development Goals (SDGs). iii. Understand transition of the economic system. iv. Explain main functions of the financial system and their deployment towards sustainable finance. v. Explain various stages of SF.	A. Course description, deliverables and deadlines. B. Slide presentation provided by instructor in advance covering: – Sustainability challenges and transition – Why does sustainability matter – Foundations of sustainability and development – System interactions and uncertain thresholds	A. In-class informational questionnaire
Week 2 Dates TBD	Externalities—internalization <u>Learning Objectives:</u> i. Explain the concepts of externality and internalization. ii. Understand the role of government regulation and taxation. iii. Understand the integrated value approach for measuring externalities. iv. Explain policy and technology uncertainty. v. Use scenario analysis.	A. Read materials from previous class to prepare for in-class quiz B. Slide presentation provided by instructor in advance covering: – Externalities - social and environmental factors – Cobb-Douglas production function – Internalization of externalities – Government interaction – Measuring and pricing externalities – Scenario analysis and stress testing	A. Read class presentations B. In class multiple-choice quiz on concepts covered in previous class

		<p>C. Read Case 1 - Reversing Climate Change Through Sustainable Food: Patagonia Provisions Attempts to Scale a "Big Wall"</p> <p>D. Read Paper 1 - IPCC puts the world on high alert</p>	
<p>Week 3 Dates TBD</p>	<p>Governance and behavior <u>Learning Objectives:</u></p> <ul style="list-style-type: none"> i. Explain behavioral biases against change. ii. Understand changing objective of corporates. iii. Explain the role of corporate governance steering companies' behavior. iv. Explain how markets reinforce short-termism. v. Understand the design of incentives for long-term thinking. 	<p>A. Slide presentation provided by instructor in advance covering:</p> <ul style="list-style-type: none"> – Objective of the corporation – Behavioral bases against sustainable development – Corporate governance mechanisms – Short-term and long-term market and investment thinking – Guidelines governing sustainable finance <p>B. Read Paper 2 - Stripe: Encouraging Customers to invest in carbon removal</p>	<p>A. Case 1 analysis submitted at start of class</p> <p>B. In class multiple choice quiz on concepts covered in previous class</p>
<p>Week 4 Dates TBD</p>	<p>Coalitions for sustainable finance <u>Learning Objectives:</u></p> <ul style="list-style-type: none"> i. Understand the role of institutional investors. ii. Explain the functioning of private coalitions. iii. Understand the mechanisms used to increase the effectiveness of coalitions. 	<p>A. Slide presentation provided by instructor in advance covering:</p> <ul style="list-style-type: none"> – Increasing role of institutional investors – System approach towards sustainability – Carbon budgeting – Coalitions for sustainability finance <p>B. Read Papers 3, 4</p> <p>3. EU's green policies need essential support by financial institutions</p>	<p>A. In class multiple-choice quiz on concepts covered in previous class</p>

		4. Climate change disclosures leave banks exposed	
Week 5 Dates TBD	Strategy and intangibles—changing business models <u>Learning Objectives:</u> i. Explain how companies can prepare for the transition to sustainable economies. ii. Explain why and how companies should connect sustainability to their competitive position, business model, intangible assets, and strategy. iii. Connect corporate sustainability performance with corporate financial performance. iv. Identify the materiality of sustainability issues.	A. Slide presentation provided by instructor in advance covering: – Preparing for transformational change – Business model theories – Material ESG issues – Circular business models B. Read Case 2 - Stripe: Encouraging Customers to invest in carbon removal	A. In class multiple-choice quiz on concepts covered in previous class
Week 6 Dates TBD	Integrated reporting—metrics and data <u>Learning Objectives:</u> i. Describe the benefits and limitations of traditional and ESG reporting. ii. Explain the emergence and relevance of integrated reports and obstacles. iii. Illustrate the characteristics of an integrated report. iv. Understand the range of sustainability data.	A. Slide presentation provided by instructor in advance covering: – Merits and limitations of financial reporting – Non-financial metrics, data and value drivers – Integrated reporting (IR) – Formation of International Integrated Reporting Council (IIRC) – Sustainable Accounting Standards Board (SASB) – IS IR a success or failure B. Read Paper 5 - Banking is the foundation of sustainable buildings	A. In class multiple-choice quiz on concepts covered in previous class B. Case 2 - Analysis submitted at start of class
Week 7 Dates TBD	Investing for long-term value creation <u>Learning Objectives:</u>	A. Slide presentation provided by instructor in advance covering:	A. In class multiple-choice quiz on concepts

	<ul style="list-style-type: none"> i. Explain the (over)reliance on market metrics in traditional finance. ii. Explain key differences between active and passive investment approaches. iii. Identify different parties, and their role, in the investment chain. iv. List and understand conditions for long-term value creation by investors. v. Contrast traditional performance measures with alternative ones. 	<ul style="list-style-type: none"> – Reliance an market on market-termism in finance – Limitations for including ESG factors – Active instrument approach – ESG and portfolio diversification – Alternative performance measures – ESG and long-term value creation <p>B. Read Case 3 - Building better ventures</p> <p>C. Read Paper 6 - Banks risk becoming a weak link in the greening of supply chains</p>	<p>covered in previous class</p> <p>B. Project groups formed</p>
<p>Week 8 Dates TBD</p>	<p>Equity—investing with an ownership stake <u>Learning Objectives:</u></p> <ul style="list-style-type: none"> i. Explain state of play on ESG integration, and its impact on financial and non-financial returns. ii. Understand how fundamental equity investing can foster deeper understanding of companies, their value drivers, and their investment case. iii. Explain that fundamental equity investing is more inductive to ESG integration than quant and passive investment approaches. iv. Explain that impact investing takes societal impact as the first selection criterion. 	<p>A. Slide presentation provided by instructor in advance covering:</p> <ul style="list-style-type: none"> – Drivers of equity valuation – Impact of ESG on equities and evidence – Integrating sustainability into equity investing – Impact investing framework and mechanisms 	<p>A. In class multiple-choice quiz on concepts covered in previous class</p> <p>B. Case 3 - Analysis submitted at beginning of class</p>
<p>Week 9 Dates TBD</p>	<p>Bonds—investing without voting power <u>Learning Objectives:</u></p> <ul style="list-style-type: none"> i. Understand how ESG integration in bonds can bring 	<p>A. Slide presentation provided by instructor in advance covering:</p> <ul style="list-style-type: none"> – Bond valuation and its drivers – Credit ratings 	<p>A. In class multiple-choice quiz on concepts covered in</p>

	<p>about a deeper understanding of issuers.</p> <p>ii. Explain that bond investors are more focused on downside protection and lack voting power.</p> <p>iii. Explain that bond investors can choose from a wide range of issuers and projects.</p> <p>iv. Identity green bond market as a fast-emerging sector.</p>	<p>– ESG impact on bond valuation</p> <p>– Green and Social Bonds</p> <p>B. Read Paper 7 - Banks need to square the circular economy or risk significant credit losses</p>	<p>previous class</p> <p>B. Submit group project company name</p>
<p>Week 10 Dates TBD</p>	<p>Banking—new forms of lending <u>Learning Objectives:</u></p> <p>i. Explain the role of banks in evaluating and monitoring borrowers.</p> <p>ii. Explain the relevance of sustainability for banking.</p> <p>iii. Understand how ESG risks can be incorporated in credit risk assessment.</p> <p>iv. List the barriers and incentives to sustainable lending.</p> <p>v. Understand various forms of impact lending and microfinance.</p>	<p>A. Slide presentation provided by instructor in advance covering:</p> <ul style="list-style-type: none"> – Economics of lending business – Types of lending – Material ESG risks in banking – Risk-based approach towards ESG – Value-based lending – Financing climate business models <p>B. Read Case 4 - Making Impact Investing Markets: IFC</p>	<p>A. In class multiple-choice quiz on concepts covered in previous class</p>
<p>Week 11 Dates TBD</p>	<p>Insurance—managing long-term risk <u>Learning Objectives:</u></p> <p>i. Explain nature of the insurance business.</p> <p>ii. Identify physical risk of catastrophes.</p> <p>iii. Appreciate liability risk for environmental hazards.</p> <p>iv. Understand basics of catastrophe modelling.</p> <p>v. Explain the function of microinsurance.</p>	<p>A. Slide presentation provided by instructor in advance covering:</p> <ul style="list-style-type: none"> – Fundamentals of insurance business – Modelling insurance exposures – Impact of catastrophic disasters – Re-insurance – Material ESG risks in insurance – Managing long-term catastrophic risk 	<p>A. In class multiple-choice quiz on concepts covered in previous class</p> <p>B. Case 4 - Analysis submitted of beginning of class</p>
<p>Week 12 Dates TBD</p>	<p>Transition management and ESG Reporting <u>Learning Objectives:</u></p>	<p>A. Slide presentation provided by instructor in advance covering:</p>	<p>A. In class multiple-choice quiz on concepts</p>

	<ul style="list-style-type: none"> i. Understand dynamics of transition management. ii. Apply integrated thinking concepts. iii. Understand the importance of ESG reporting. iv. Analyze and assess current ESG reporting practices. v. Compare and contrast ESG reporting across industries and corporates. vi. Design an ESG reporting template. 	<ul style="list-style-type: none"> – Transition management and governance – Initiating and managing change in mindset towards integrated thinking – ESG reporting templates <p>B. Read Cases 5 and 6</p> <ul style="list-style-type: none"> 5. Massachusetts Bay Transit Authority Sustainable Bonds 6. Waste not, want not: Eliminating Patagonia's Pre- and Post-Customer Textile Waste 	covered in previous class
<p>Week 13 Dates TBD</p>	<p>Undertaking of ESG Implementation and Value Creation <u>Learning Objectives:</u></p> <ul style="list-style-type: none"> i. Understand how ESG strategies are integrated in corporations. ii. Apply value drivers to ESG strategies in corporate performance indicators including sales growth, margins, cashflow, and return on capital. iii. Quantify the impact of ESG strategies on performance indicators disclosed by public companies. iv. Practical integration of ESG into corporate strategies v. Quantity value creation through ESG investment 	<p>A. Slide presentation provided by instructor in advance covering:</p> <ul style="list-style-type: none"> – Understanding ESG integration – Business model – Strategy – Valuation – Investment conclusions <p>B. Read Cases 7, 8 and 9</p> <ul style="list-style-type: none"> 7. Patagonia's Path to Carbon Neutrality by 2025 8. IMPAAKT - Harnessing Collective Intelligence to Improve ESG Ratings 9. McDonald's: A Sustainable Finance Case Study 	<p>A. In class multiple-choice quiz on concepts covered in previous class</p> <p>B. Submit case analyses 5 and 6 at beginning of class</p> <p>C. Submit final draft of group case presentation, schedule office hours with instructor</p>
<p>Week 14 Dates TBD</p>	<p>Student Group Presentations Project 1: ESG value creation</p> <p>This project is designed for student groups to apply value-based ESG</p>	<p>A. Student Group Presentations</p>	<p>A. Submit case analyses 7, 8 and 9 at beginning of class</p>

	<p>investing concepts and framework learnt in first half of the course to one public company for each group selected by them in consultation with the instructor.</p> <p>The learning outcomes from this project:</p> <ol style="list-style-type: none"> 1. Which fundamental factors drive value creation through ESG investments and projects 2. How can ESG contribution to shareholder value be qualified 3. How can business enterprises invest in sustainable projects while increasing returns for their stakeholders 		
<p>Week 15 Dates TBD</p>	<p>Student Group Presentations</p> <p>Project 2: Sustainable Lending</p> <p>In this project students will learn and practice how loans for environmentally sustainable projects should be evaluated, priced, and managed.</p> <p>Learning outcomes from this project.</p> <ol style="list-style-type: none"> 1. Which factors should be considered for creditworthiness and pricing of loans for sustainable projects. 2. How are these factors quantified and incorporated into credit ratings and pricing for loans. 3. How should banks legacy loans to fossil-fuel intensive borrowers be managed. 4. How should loan portfolios that comprise "green" (low carbon footprint) and "brown" (high carbon footprint) be managed to optimize capital change and return on assets/capital 	<p>A. Student Group Presentations</p>	<p>A. Complete group peer reviews</p>

FINAL Date as per Final Exam Schedule	90/120 minutes – closed book with multiple choice questions. Time and Location - TBD		
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STATEMENT ON ACADEMIC CONDUCT AND SUPPORT SYSTEMS
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Academic Conduct:

Plagiarism – presenting someone else’s ideas as your own, either verbatim or recast in your own words – is a serious academic offense with serious consequences. Please familiarize yourself with the discussion of plagiarism in SCampus in Part B, Section 11, “Behavior Violating University Standards” policy.usc.edu/scampus-part-b. Other forms of academic dishonesty are equally unacceptable. See additional information in SCampus and university policies on [Research and Scholarship Misconduct](#).

Students and Disability Accommodations:

USC welcomes students with disabilities into all of the University’s educational programs. The Office of Student Accessibility Services (OSAS) is responsible for the determination of appropriate accommodations for students who encounter disability-related barriers. Once a student has completed the OSAS process (registration, initial appointment, and submitted documentation) and accommodations are determined to be reasonable and appropriate, a Letter of Accommodation (LOA) will be available to generate for each course. The LOA must be given to each course instructor by the student and followed up with a discussion. This should be done as early in the semester as possible as accommodations are not retroactive. More information can be found at osas.usc.edu. You may contact OSAS at (213) 740-0776 or via email at osasfrontdesk@usc.edu.

Support Systems:

Counseling and Mental Health - (213) 740-9355 – 24/7 on call
studenthealth.usc.edu/counseling
Free and confidential mental health treatment for students, including short-term psychotherapy, group counseling, stress fitness workshops, and crisis intervention.

National Suicide Prevention Lifeline - 1 (800) 273-8255 – 24/7 on call
suicidepreventionlifeline.org
Free and confidential emotional support to people in suicidal crisis or emotional distress 24 hours a day, 7 days a week.

Relationship and Sexual Violence Prevention Services (RSVP) - (213) 740-9355(WELL), press “0” after hours – 24/7 on call
studenthealth.usc.edu/sexual-assault
Free and confidential therapy services, workshops, and training for situations related to gender-based harm.

Office for Equity, Equal Opportunity, and Title IX (EEO-TIX) - (213) 740-5086

eeotix.usc.edu

Information about how to get help or help someone affected by harassment or discrimination, rights of protected classes, reporting options, and additional resources for students, faculty, staff, visitors, and applicants.

Reporting Incidents of Bias or Harassment - (213) 740-5086 or (213) 821-8298

usc-advocate.symplicity.com/care_report

Avenue to report incidents of bias, hate crimes, and microaggressions to the Office for Equity, Equal Opportunity, and Title for appropriate investigation, supportive measures, and response.

The Office of Student Accessibility Services (OSAS) - (213) 740-0776

osas.usc.edu

OSAS ensures equal access for students with disabilities through providing academic accommodations and auxiliary aids in accordance with federal laws and university policy.

USC Campus Support and Intervention - (213) 821-4710

campussupport.usc.edu

Assists students and families in resolving complex personal, financial, and academic issues adversely affecting their success as a student.

Diversity, Equity and Inclusion - (213) 740-2101

diversity.usc.edu

Information on events, programs and training, the Provost's Diversity and Inclusion Council, Diversity Liaisons for each academic school, chronology, participation, and various resources for students.

USC Emergency - UPC: (213) 740-4321, HSC: (323) 442-1000 – 24/7 on call

dps.usc.edu, emergency.usc.edu

Emergency assistance and avenue to report a crime. Latest updates regarding safety, including ways in which instruction will be continued if an officially declared emergency makes travel to campus infeasible.

USC Department of Public Safety - UPC: (213) 740-6000, HSC: (323) 442-120 – 24/7 on call

dps.usc.edu

Non-emergency assistance or information.

Office of the Ombuds - (213) 821-9556 (UPC) / (323-442-0382 (HSC)

ombuds.usc.edu

A safe and confidential place to share your USC-related issues with a University Ombuds who will work with you to explore options or paths to manage your concern.

Occupational Therapy Faculty Practice - (323) 442-3340 or otfp@med.usc.edu

chan.usc.edu/otfp

Confidential Lifestyle Redesign services for USC students to support health promoting habits and routines that enhance quality of life and academic performance.

Appendix I. MARSHALL GRADUATE PROGRAMS LEARNING GOALS

How FBE 599 Contributes to Marshall Graduate Program Learning Goals

Marshall Graduate Program Learning Goals	FBE 599 Objectives that support this goal	Assessment Method
<p><i>Learning Goal #1: Develop Personal Strengths.</i> Our graduates will develop a global and entrepreneurial mindset, lead with integrity, purpose, and ethical perspective, and draw value from diversity and inclusion.</p>	LO: 1-8	Quizzes, class participation, case analyses and final exam.
1.1 Possess personal integrity and a commitment to an organization's purpose and core values.		
1.2 Expand awareness with a global and entrepreneurial mindset, drawing value from diversity and inclusion.		
1.3 Exhibit awareness of ethical dimensions and professional standards in decision making.		
<p><i>Learning Goal #2: Gain Knowledge and Skills.</i> Our graduates will develop a deep understanding of the key functions of business enterprises and will be able to identify and take advantage of opportunities in a complex, uncertain and dynamic business environment using critical and analytical thinking skills.</p>	LO: 1-14	Quizzes, class participation, case analyses and final exam.
2.1 Gain knowledge of the key functions of business enterprises.		
2.2 Acquire advanced skills to understand and analyze significant business opportunities, which can be complex, uncertain and dynamic.		
2.3 Use critical and analytical thinking to identify viable options that can create short-term and long-term value for organizations and their stakeholders.		
<p><i>Learning Goal #3: Motivate and Build High Performing Teams.</i> Our graduates will achieve results by fostering collaboration, communication and adaptability on individual, team, and organization levels.</p>	LO: 9-14	Project analyses and presentations
3.1 Motivate and work with colleagues, partners, and other stakeholders to achieve organizational purposes.		
3.2 Help build and sustain high-performing teams by infusing teams with a variety of perspectives, talents, and skills and aligning individual success with team success and with overall organizational success.		
3.3 Foster collaboration, communication, and adaptability in helping organizations excel in a changing business landscape.		

Appendix II Sample Peer Input Forms

The two samples provided below are meant to assist faculty in developing input forms appropriate to their individual courses – not as required templates.

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Grades for individual student contributions to team projects are assigned by me, based on my observations of the team’s working dynamics, my assessment of the team’s project quality, and thoughtful consideration of the information provided through your peer evaluations.

### Peer Input/Evaluation Form

*Complete one form for each of your teammates/group members, including yourself.*

**Name of group member:**

| <i>Assess your teammate's contributions on a scale of 1-5 (5 is excellent)</i>                    | <b>5</b> | <b>4</b> | <b>3</b> | <b>2</b> | <b>1</b> |
|---------------------------------------------------------------------------------------------------|----------|----------|----------|----------|----------|
| Attended and was engaged in team meetings from beginning to end                                   |          |          |          |          |          |
| Asked important questions                                                                         |          |          |          |          |          |
| Listened to and acknowledged suggestions from every team mate                                     |          |          |          |          |          |
| Made valuable suggestions                                                                         |          |          |          |          |          |
| Took initiative to lead discussions, organize and complete tasks                                  |          |          |          |          |          |
| Contributed to organizing the assignment                                                          |          |          |          |          |          |
| Contributed to writing the assignment                                                             |          |          |          |          |          |
| Reliably completed tasks on time in a quality manner                                              |          |          |          |          |          |
| Demonstrated commitment to the team by quality of effort                                          |          |          |          |          |          |
| Was cooperative and worked well with others                                                       |          |          |          |          |          |
| I would want to work with this team member again.                                                 |          |          |          |          |          |
| Describe your teammate's (or your) contributions to the assignment:                               |          |          |          |          |          |
| How might your teammate (or you) have made <b>more effective</b> contributions to the assignment? |          |          |          |          |          |
| Your name:                                                                                        |          |          | Date:    |          |          |

**PEER EVALUATION FORM**

Please identify your team and team members for the \_\_\_\_ Project(s) that you worked on. Then rate all of your team members, *including yourself*, based on the contributions of each team member for the selected assignment according to the criteria listed below. On a scale of 0 – 2 with 0 equal to does not meet expectations, 1 meets expectations and 2 exceeds expectations, rate each person on each of the five criteria. Last, add up the points for each person with the maximum number of points for each person being 10.

| <b>Team Members/<br/>Assessment Criteria of Team<br/>Contributions</b> | <b>Team<br/>Member 1</b> | <b>Team<br/>Member 2</b> | <b>Team<br/>Member 3</b> | <b>Yourself</b> |
|------------------------------------------------------------------------|--------------------------|--------------------------|--------------------------|-----------------|
| <b>1. Role Performance</b>                                             |                          |                          |                          |                 |
| <b>2. Assists Team Members</b>                                         |                          |                          |                          |                 |
| <b>3. Listening and Discussing</b>                                     |                          |                          |                          |                 |
| <b>4. Research and<br/>Information Sharing</b>                         |                          |                          |                          |                 |
| <b>5. Time Management</b>                                              |                          |                          |                          |                 |
| <b>Total</b>                                                           |                          |                          |                          |                 |

Comments: