Stevens Institute of Technology

School of Business

**AACSB
ASSURANCE OF LEARNING PLAN**

**Master of Science in Financial Engineering (FE)**

Summer, 2019

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# 1. INTRODUCTION: FE ASSURANCE OF LEARNING PLAN

|  |  |  |
| --- | --- | --- |
|  | **Credits** | **Courses** |
| **FE Degree Requirements** | 30 | 10 |

**School of Business and FE Vision Statements**

**School of Business Management Vision**
To be a business school with technology at our core that has impact throughout the world. We will attract and delight high caliber students and faculty. Our alumni will be engaged and proud.

**Master of Science in Financial Engineering** **(FE) Vision**We are recognized as a world-class program in Financial Engineering education and research.

**FE Learning Goals**

The Learning Goals for the FE program are listed in Table 1.

**Table 1: MS in Financial Engineering Goals**

|  |
| --- |
| **MS in Financial Engineering Goals** |
| FE-1: Students can communicate effectively in written and oral presentations.  |
| FE-2: Students can interact effectively in teams. |
| FE-3: Students will achieve mastery of the foundational computational methods required for derivative pricing in Financial Engineering. |
| FE-4: Students will achieve mastery in advanced derivatives |

#

# 2. FE ASSURANCE OF LEARNING ASSESSMENT PLAN

**Table 2: FE ASSURANCE OF LEARNING ASSESSMENT PLAN - GOALS 1 through 4**

|  |  |  |  |
| --- | --- | --- | --- |
| **LEARNING GOAL** | **Where and when measured?** | **How measured?** | **Criterion** |
| 1. Students will communicate effectively in oral and written presentations.  | Assessed in the spring semester in FE800 *Project in Financial Engineering* where they are required to present their results in both written and oral forms. | Both the written and oral presentations are graded by the instructors of the course. Evaluated by CAL, the instructor of FE800 will coordinate.  | Obj. 1 passed at 50%, Obj. 2 passed at >40% |
| 2. Students will be able to interact effectively in teams  | Assessed in the spring in FE 630 *Portfolio Theory and Applications* where students work in groups for the final project | The final project is done in groups, so their performance in the group is tied directly to the grade received on this final. Student team evaluation | Passed at 60% |
| 3. Students will achieve mastery of the foundational computational methods required for derivative pricing in Financial Engineering. | Assessed in the spring in FE 621 *Computational Methods in Finance*.  | Assignments, exams, and quizzes over the course of the semester.  | Passed at 60% |
| 4. Students will achieve mastery in advanced derivatives  | Assessed in the fall in FE 680 *Advanced Derivatives*  | Assessed from assignments submitted in FE680 | Passed at 50% for both Objectives 1 and 2 |

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# 3. FE CURRICULUM ALIGNMENT MAP

**Table 3: FE Curriculum Alignment Map – Goals 1 Through 4**

| **Goals/****Required FE Courses** | **1: Students can communicate effectively in oral and written presentations.**  | **2: Students can interact effectively in teams** | **3: Students will achieve mastery of the foundational computational methods required for derivative pricing in Financial Engineering.** | **4:** **Students will achieve mastery in advanced derivatives** |
| --- | --- | --- | --- | --- |
| FE 610 Stochastic Calculus for Finance  |  |  | Provides underlying theory for understanding many methods | Provides underlying theory for understanding many methods |
| FE 620 Pricing and Hedging  |  |  | Provides underlying theory for understanding many methods | Provides underlying theory for understanding many methods |
| FE 621 Computational Methods in Finance  |  |  | **Core Focus of this course** | Provides underlying techniques for implementing methods |
| FE 630 Portfolio Theory and Applications |  | Students work on a project together in this course |  |  |
| FE 680 Advanced Derivatives |  |  | Students use some of these techniques in this course | **Core Focus of this course** |
| FE 800 Project in Financial Engineering | Students are expected to write a report about their work and then present their results |  |  |  |
| FE 530 Into to Financial Engineering |  |  | Sets foundations | Sets foundations |
| FE 535 Intro Financial Risk Management |  |  |  | Related to derivatives |
| FE 540 Probability Theory for FE |  |  | Sets foundations | Sets foundations |
| FE 541 Applied Statistics with Applications in Finance  |  | Students participate in teams for a final project | Sets foundations | Sets foundations |
| FE 542 Time Series with Applications to Finance |  |  | A computational method beyond the scope of FE621 | Useful in pricing derivatives |
| FE 543 Intro to Stochastic Calculus for Finance |  |  | Provides underlying theory for understanding many methods | Provides underlying theory for understanding many methods |
| FE545 Design Pattern Derivative Price |  |  |  | Useful in pricing derivatives |
| FE 550 Data Visualization |  |  |  |  |
| FE 570 Market Microstructure Trading Strategies |  |  |  |  |
| FE 582 Foundation of Financial Data Science |  |  |  |  |
| FE 590 Intro to Knowledge Engineering | Homeworks are to be submitted in report form, including a final homework/project that is more open ended |  | Learn some techniques of machine learning that can be beneficial |  |
| FE 595 Financial Technology |  |  |  |  |
| FE 622 Simulation Methods in Computational Finance |  |  | Applies techniques learned in 621 |  |
| FE 625 Emerging Markets: Risks and Models |  |  |  |  |
| FE 635 Financial Enterprise Risk Engineering |  |  |  | Expands on derivative pricing techniques |
| FE 646 Optimization Models and Methods in Finance |  |  | Improves on existing skills | Improves on existing skills |
| FE 655 Systemic Risk and Financial Engineering |  |  |  | Improves on existing skills |
| FE 670 Algorithmic Trading Strategies |  |  |  |  |
| FE 900 Master’s Thesis in FE | Necessary for Thesis |  | Depends on the thesis how much this is represented, but most will contain some elements. | Depends on the thesis how much this is represented, but most will contain some elements. |

**ETHICS**

|  |  |
| --- | --- |
| FE 625 Emerging Markets: Risks and Models | Some discussion of ethics |

Because ethics is not represented much in the curriculum of the courses in this program, our students are asked to take part in MGT 899 Ethics Quiz as part of their work in FE800 to ensure that this thread is addressed for all students.

**Global Thread**

|  |  |
| --- | --- |
| FE 535 Intro Financial Risk Management | Some global content |
| FE 625 Emerging Markets: Risks and Models | Some global content |
| FE 635 Financial Enterprise Risk Engineering | Some global content |
| FE 655 Systemic Risk and Financial Engineering | Some global content |

4. FE LEARNING GOALS, OBJECTIVES AND RUBRICS

 **Table 4: FE Learning Goals, Objectives and Rubrics**

Note: Goals 1 and 2 are common to all School of Business degree programs.

|  |  |
| --- | --- |
| **FE - 1** | **Learning Goal, Objectives and Traits** |
| **GOAL** | Our students will communicate effectively in writing and oral presentations. |
| **Learning Objectives** |  |
| **Objective 1:** | *Students will be able to write effectively* |
| **Traits** |   |
| Trait 1: | Logical flow |
| Trait 2: | Grammar and sentence structure |
| Trait 3: | Spelling and word choice |
| Trait 4: | Development of ideas |
| **Objective 2:** | *Students will be able to deliver presentations effectively* |
| **Traits** |   |
| Trait 1: | Organization and logic |
| Trait 2: | Voice and body language |
| Trait 3: | Use of slides to enhance communication |
| Trait 4: | Ability to answer questions |
| Trait 5: | Content |

**Table 4: FE Learning Goals, Objectives and Rubrics (continued)**

|  |
| --- |
|  **FE GOAL - 1: RUBRIC 1**  |
| **GOAL** | **Our students will communicate effectively in writing and oral presentations.** |
| **Objective 1** | *Students will be able to write effectively* |   |   |   |
|   | **Trait** | **Poor** | **Good** | **Excellent** | **Score** |
|   | **Value** | **0** | **5** | **10** |  |
| Trait 1: | Logical flow | Unclear introduction or conclusion. Does not use a sequence of material to lead reader through the paper. Draws illogical conclusions | Develops ideas through effective use of paragraphs, transitions, opening & concluding statements. Generally well structured to suggest connection between sub-topics. | Maintains clear focus, uses structure to build the paper's conclusions. Presents analysis using sequence of ideas, clarity of flow and continuous voice or point of view. |   |
| Trait 2: | Grammar and sentence structure | Frequently uses inappropriate grammar and incomplete or poorly structured sentences which interfere with comprehension. | Generally complies with standard English and grammar and sentence usage. | Sophisticated use of English language, using varied sentence structured, phrasing and cadence. Grammar is error-free |   |
| Trait 3: | Spelling and word choice | Frequent misspellings. Poor or limited choice of words for expression ideas. | Has proofread or checked spelling, and uses vocabulary correctly. Minor errors. | Demonstrates good use of words to support written expression of topic. Spelling is error-free. |   |
| Trait 4: | Development of ideas | Many unsupported statements offered. Uses flawed or unclear reasoning. | Most statements supported, ideas explained with examples and written with sufficient explanation. | Shows thoughtful reasoning and explores alternatives. Uses existing, supported ideas to develop well-formed, readable output. |   |

**Criterion: Does not meet expectations: 0 – 19; Meets: 20-30 ; Exceeds: 31-40**

**Table 4: FE Learning Goals, Objectives and Rubrics (continued)**

|  |
| --- |
| **GOAL - 1: RUBRIC 2**   |
| **GOAL** | **FE - 1: Our students will communicate effectively in written and oral presentations.** |
| **Objective 2** | *Students can deliver presentations effectively.* |   |
|   | **Trait** | **Poor** | **Good** | **Excellent** | **Score** |
|   | **Value** | **0** | **5** | **10** |  |
| Trait 1: | Organization and logic | Fails to introduce topic, no evidence of or poor logical flow of topic, does not manage time. | Prepares listeners for sequence and flow of topic. Loses place occasionally. Maintains pace, without need to rush. | Engages listeners with overview, guides listeners through connections between sections, uses time to good effect. |   |
| Trait 2: | Voice and body language | Cannot be heard well due to volume, mumbling, speed, rote delivery, heavily accented English. Turns away from audience or uses distracting gestures, such as scratching or tugging clothing. | Clear delivery with well-modulated voice and self-carriage. | Exemplary delivery, using voice and gestures as part of medium. Uses vocal and physical resources to aid in communicating topic. |   |
| Trait 3: | Use of slides to enhance communications | Misspelled, too busy, too many slides for allotted time, poor use of graphics like charts. | Readable, containing reasonable amount of material per slide, good use of graphics or illustrations | Well written and designed, used as support to verbal content presentation. |   |
| Trait 4: | Ability to answer questions | Does not answer questions that are asked | Responds to questions well and provides sufficient response | Responds convincingly and addresses all aspects of question. Knows own material thoroughly. |   |
| Trait 5: | Content | Does not satisfy assignment requirements. Misuses theory or selects poor examples. | Provides good analysis of subject, satisfying intent of assignment and demonstrating knowledge. | Shows evidence of strong research and highly competent use of analyses to reach conclusions and recommendations. |   |
|  **Criterion: Does not meet expectations: 0 – 20; Meets: 21-40 ; Exceeds: 41-50** |

**Table 4: FE Learning Goals, Objectives and Rubrics (continued)**

|  |
| --- |
| **Learning Goal 2: Students can interact effectively in teams. (New Rubric Adopted Fall 2018)** |
| **Objective 1:** *Students will be able to facilitate task accomplishment within the context of project teams.* |
| **Traits** |   |
| Trait 1: | Anticipates problems and develops contingency plans |
| Trait 2: | Recognizes interrelationships among problems and issues |
| Trait 3: | Suggests new approaches to solving problems |
| Trait 4: | Organizes information into meaningful categories |
| Trait 5: | Helps others to draw conclusions from the facts |
| Trait 6: | Defines task priorities for work sessions and or overall projects |
| Trait 7: | Ensures that goals are understood by all |
| Trait 8: | Clarifies roles and responsibilities of others |
| Trait 9: | Reviews progress throughout work sessions/life of a project |
| Trait 10: | Summarizes the team's position on issues |
| **Objective 2:** *Students will be able to facilitate relationship building within the context of project teams.* |
| **Traits** |   |
| Trait 1: | Conveys interest in what others are saying |
| Trait 2: | Encourages ideas and opinions even when they differ from his/her own |
| Trait 3: | Works towards solutions and compromises that are acceptable to all involved |
| Trait 4: | Shares credit for success with others |
| Trait 5: | Cooperates with others |
| Trait 6: | Encourages participation among all participants |
| Trait 7: | Shares information with others |
| Trait 8: | Reinforces the contributions of others |
| Trait 9: | Involves others in decisions that affect them |

**Table 4: FE Learning Goals, Objectives and Rubrics (continued)**

|  |
| --- |
| **Learning Goal 2 Rubric: Students can interact effectively in teams. (New Rubric Adopted Fall 2018)** |
| **Objective 1:** *Students will be able to facilitate task accomplishment within the context of project teams* |
|   | **Trait** | **Poor** | **Good** | **Excellent** |
|   | **Value** | **0** | **5** | **10** |
| Trait 1: | Anticipates problems and develops contingency plans | Fails to suggest a direction and does not clarify responsibilities  | Suggests some form of direction for the team | Identifies ways to proceed or alternatives to pursue and clarifies roles and objectives |
| Trait 2: | Recognizes interrelationships among problems and issues | Fails to request information from the team | Makes an effort to request information from the team | Asks questions, analyzes knowledge gaps, requests opinions, beliefs and perspectives |
| Trait 3: | Suggests new approaches to solving problems | Fails to provide information needed | Provides some necessary information | Provides data, offers factors, and judgments and highlights conclusions  |
| Trait4 | Organizes information into meaningful categories | Does not expand on others ideas | Makes an effort to build on others' suggestions | Builds on ideas expressed by others; provides examples and illustrations |
| Trait5 | Helps others to draw conclusions from the facts | Fails to suggest to the team to stay focused on the team's task | Makes an effort to keep members focused on the task | Urges team members to stay on task and to achieve team goals |
| Trait6 | Defines task priorities for work sessions and or overall projects | Fails to monitor progress | Tries to check progress | Checks on progress, helps maintain accountability of results |
| Trait7 | Ensures that goals are understood by all | Provides no analysis of team processes | Makes an effort to analyze team processes | Analyzes process and procedures used by the team in order to improve efficiency and timeliness.  |
| Trait8 | Clarifies roles and responsibilities of others | Does not ground comments in reality | Makes an attempt to check whether ideas are grounded in reality | Explores whether ideas presented are practical or workable. |
| Trait9 | Reviews progress throughout work sessions/life of a project | Does not reinforce team rules | Tries to reinforce team agreed upon principles | Helps to reinforce team rules, and maintains agreed upon principles |
| Trait10 | Summarizes the team's position on issues | Fails to summarize points and conclusions reached, and does not clarify conclusions reached | Makes an effort to summarize points and clarify conclusions | Combines ideas; sums up points made; Helps members understand the conclusions reached. |

|  |
| --- |
| **Objective 2:** *Students will be able to facilitate relationship building within the context of project teams.* |
|   | **Trait** | **Poor** | **Good** | **Excellent** |
|   | **Value** | **0** | **5** | **10** |
| Trait 1: | Conveys interest in what others are saying | Fails to praise the contributions of others | Makes an effort to commend the ideas of others  | Praises the ideas of others, shows friendliness, and points out others' contributions |
| Trait 2: | Encourages ideas and opinions even when they differ from his/her own | Does not attempt to find common ground in conflicting points of view.  | Makes an effort to find common ground in disputes | Mediates differences between others and finds a common ground in disputes  |
| Trait 3: | Works towards solutions and compromises that are acceptable to all involved | Fails to motivate team members | Makes an attempt to energize team members | Motivates others towards greater effort |
| Trait4 | Shares credit for success with others | Fails to challenge disruptive behaviors  | Makes an effort to challenge uproductive behaviors | Challenges unproductive behaviors  |
| Trait5 | Cooperates with others | Fails to encourage solidarity  | Makes an effort to ensure proper team behavior | Encourages agreement and helps smooth interactions |
| Trait6 | Encourages participation among all participants | Fails to express empathy for team members  | Attempts to reflect group feelings | Expresses empathy and support for team members |
| Trait7 | Shares information with others | Reluctant to share information with team members | Occasionally disseminates information  | Regularly Shares information willingly with team members |
| Trait8 | Reinforces the contributions of others | Fails to reinforce other team members’ help  | Makes an effort to provide positive feedback following others’ assistance  | Reinforces the contributions of others |
| Trait9 | Involves others in decisions that affect them | Fails to include team members in decisions that will affect them | Makes an effort to involve other team members in decisions that will affect them | Gets team members involvement in decisions that will affect them |
| Trait10 | Encourages others to express their views even when they are contrary to his/her own | Discourages others’ constructive dissent. | Attempts to encourage others’ constructive disagreement. | Urges others’ to express contrary views. |

|  |  |
| --- | --- |
| **FE 3:** | **Learning Goal, Objectives and Traits** |
| GOAL | Students will achieve mastery of the foundational computational methods required for derivative pricing in Financial Engineering. |
| **Objective 1:** | *Students will demonstrate the capability of implementing modern financial derivative pricing models.*  |
| **Traits** |   |
| Trait 1: | The students will implement various tree approximation methods. |
| Trait 2: | The students will implement PDE discretization methods to calculate derivative prices.  |
| Trait 3: | The students will demonstrate understanding of transformation methods to solve PDS’s as well as calibrate stochastic processes to real data. |
| Trait 4: | Students will demonstrate the ability to approximate derivative prices using Monte Carlo simulations. |
| Trait 5: | The students will demonstrate the ability to write, compile, and execute computer programs to solve the problems in the course.  |

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|  **FE LEARNING GOAL - 3: RUBRIC 1** |
| **FE 3** | Students will achieve mastery of the foundational computational methods required for derivative pricing in Financial Engineering. |
| **Objective 1** | *Students will demonstrate the capability of implementing modern financial derivative pricing models.*  |
|   | **Trait** | **Poor** | **Good** | **Excellent** | **Score** |
|   | **Value** | **0** | **5** | **10** |  |
| Trait 1: | The students will implement various tree approximation methods. | Poor understanding of tree approximation methods | Sufficient understanding of tree approximation methods | Excellent understanding of tree approximation methods |   |
| Trait 2: | The students will implement PDE discretization methods to calculate derivative prices.  | Poor understanding of finite difference methods | Sufficient understanding of finite difference methods | Excellent understanding of finite difference methods |   |
| Trait 3: | The students will demonstrate understanding of transformation methods to solve PDS’s as well as calibrate stochastic processes to real data. | Poor understanding of transformation methods and calibration | Sufficient understanding of transformation methods and calibration | Excellent understanding of transformation methods and calibration |   |
| Trait 4: | Students will demonstrate the ability to approximate derivative prices using Monte Carlo simulations. | Poor understanding of Monte Carlo Methods | Sufficient understanding of Monte Carlo Methods | Excellent understanding of Monte Carlo Methods |   |
| Trait 5: | The students will demonstrate the ability to write, compile, and execute computer programs to solve the problems in the course.  | Inability of writing a functional computer program  | Ability of writing a functional computer program  | The computer programs works with a variety of data and it solves all the problems accurately |  |
| **Criterion: Does not meet expectations: 0-19; Meets: 20-34 ; Exceeds: 35-50** |

**Table 4: QF Learning Goals, Objectives and Rubrics (continued)**

|  |  |
| --- | --- |
|  **QF 4:** | **Learning Goal - 4: Objectives and Traits** |
| GOAL | Students will achieve mastery in advanced derivatives. |
| **Objective 1:** | *Students will construct and utilize interest rate models.* |
| **Traits** |   |
| Trait 1: | Students will demonstrate the ability to bootstrap the yield curve |
| Trait 2: | Students demonstrate understanding and implementation of classic interest rate models. |
| Trait 3: | Students demonstrate understanding and implementation of advanced interest rate models. |
| **Objective 2:** | *Students will construct and utilize credit derivative models.* |
| **Traits** |   |
| Trait 1: | Students demonstrate the ability to model single name credit derivatives. |
| Trait 2: | Students demonstrate the ability to model multi-name credit derivatives. |

**Table 4: QF Learning Goals, Objectives and Rubrics (continued)**

|  |
| --- |
| **QF LEARNING GOAL - 4: RUBRIC 1** |
| **QF 4** | Students will achieve mastery in advanced derivatives. |
| **Objective 1** | *Students will construct and utilize interest rate models.* |
|   | **Trait** | **Poor** | **Good** | **Excellent** | **Score** |
|   | **Value** | **0** | **5** | **10** |  |
| Trait 1: | Students will demonstrate the ability to bootstrap the yield curve | Students show no understanding of the yield curve | Student shows average understanding of implementing the bootstrap method for yield curves. | Student is highly competent in implementing the bootstrap method for yield curves. |   |
| Trait 2: | Students demonstrate understanding and implementation of classic interest rate models. | Students show no understanding of classic interest rate models | Student shows average understanding of implementing classic interest rate models | Student is highly competent in implementing classic interest rate models |   |
| Trait 3: | Students demonstrate understanding and implementation of advanced interest rate models. | Students show no understanding of advanced interest rate models | Student shows average understanding of advanced interest rate models | Student is highly competent in implementing advanced interest rate models |   |
| **Criterion: Does not meet expectations: 0 – 14; Meets: 15-20; Exceeds: 20-30** |

**Table 4: QF Learning Goals, Objectives And Rubrics (continued)**

|  |
| --- |
| **QF LEARNING GOAL - 4: RUBRIC 2** |
| **QF 4** | Students will achieve mastery in advanced derivatives. |
| **Objective 2** | *Students will construct and utilize credit derivative models.* |
|   | **Trait** | **Poor** | **Good** | **Excellent** | **Score** |
|   | **Value** | **0** | **5** | **10** |  |
| Trait 1: | Students demonstrate the ability to model single name credit derivatives. | Students show no understanding of single name credit derivatives | Student shows average understanding of single name credit derivatives | Student is highly competent in implementing single name credit derivatives |   |
| Trait 2: | Students demonstrate the ability to model multi-name credit derivatives. | Students show no understanding of multi-name credit derivatives | Student shows average understanding of multi-name credit derivatives | Student is highly competent in implementing multi-name credit derivatives |   |
| **Criterion: Does not meet expectations: 0 – 9; Meets: 10-14; Exceeds:15-20** |

# 5. TEMPLATE FOR RESULTS OF AACSB LEARNING GOAL ASSESSMENTS

The results of the initial learning goal assessments carried out to date are included below.

**Explanation**

Each learning goal has a number of learning objectives and performance on each objective is measured using a rubric that in turn contains a number of desired “traits”. Students are scored individually on each trait.

The grading sheets for each student are used to develop a Summary Results Sheet for each learning goal objective. A selection of these Summaries is included below.

The first table in the Summary Results Sheet for a learning objective and trait gives the counts of students falling in each of the three categories:

- Does not meet expectations
- Meets expectations
- Exceeds expectations

The right-hand column in the table is used to record the average score of the students on each trait. This table provides an indication of the relative performance of students on each trait.

The second table on each sheet provides the counts of students who fall in each of the above three categories for the overall learning objective.

The person doing the assessment provides explanatory comments and recommendations on the bottom of the Results Summary Sheet. The recommendations suggest content or pedagogy changes for the next time the course is given.

**School of Business**

**RESULTS OF AACSB LEARNING GOAL ASSESSMENT**

**PROGRAM: FE (Master of Science in Financial Engineering)**

**LEARNING GOAL #1: Our students will be effective communicators.**

**LEARNING OBJECTIVE # 2: Students will be able to deliver presentations effectively.**

**ASSESSMENT DATE: ASSESSOR:**

**NO. OF STUDENTS TESTED: COURSE:**

|  |  |  |
| --- | --- | --- |
|  | **Number of Students** |  |
| **Learning Goal Traits** | **Not Meet Expectat-ions** | **Meet Expectat-ions** | **Exceed Expectat-ions** | **Avg. Grade on Trait** |
| **1: Organization and logic** |  |  |  |  |
| **2: Voice and body language** |  |  |  |  |
| **3: Use of slides to enhance communication**  |  |  |  |  |
| **4: Ability to answer questions**  |  |  |  |  |
| **5: Content**  |  |  |  |  |
| **Average Grade (Maximum 10)** |  |

|  |  |  |  |
| --- | --- | --- | --- |
| **Total Students by Category**(Based on Average score across all traits) | **Not meet expectations** | **Meet Expectations** | **Exceed Expectations** |
|  |  |  |  |

**COMMENTS:**

**REMEDIAL ACTIONS:**