



香港考試及評核局
Hong Kong
Examinations and
Assessment Authority

香港中學文憑考試

Hong Kong Diploma of Secondary Education Examination

校本評核學校領導人手冊

Handbook for School Leaders on School-based Assessment

TABLE OF CONTENTS		Page
Preface		1
Chapter 1	SBA in the HKDSE	2
	1.1 Aims and Rationale	
	1.2 Integrating SBA with Internal Assessment	
	1.3 Implementation of SBA in the HKDSE	
	1.4 Assessment Requirements	
Chapter 2	Roles and Responsibilities of Different Parties	7
	2.1 HKEAA, EDB, Schools and Students	
	2.2 SBA Supervisors, District Coordinators and School Coordinators	
Chapter 3	Administrative Guidelines and Procedures	11
	3.1 Participating in SBA	
	3.2 Arrangements for Repeaters, Transfer Students and Private Candidates	
	3.3 Provision of Information to Students	
	3.4 Late Submission and Absence from Assessment	
	3.5 Students with Special Educational Needs	
	3.6 Handling Queries against Assessment Decisions	
	3.7 Record Keeping	
	3.8 Declaration Requirements	
	3.9 Security Requirements	
Chapter 4	Authentication and Malpractice	16
	4.1 Authentication of Students' Work	
	4.2 Malpractice	
	4.3 How to Handle Malpractice	
	4.4 Prevention of Malpractice	
Chapter 5	Quality Assurance	18
	5.1 Development Stage	
	5.2 Assessment Stage	
	5.3 Moderation of SBA Marks	
	5.4 Within-school Standardisation	

Chapter 6	Managing the Implementation of SBA	21
	6.1 Strategic Implementation of SBA	
	6.2 SBA as an Integral Part of the Curriculum	
	6.3 Provision of Support to Teachers	
	6.4 Staggering SBA throughout the Course	
	6.5 Coordination of Mark Submission	
	6.6 Good Practices for Implementation of SBA	
Appendices	A. Student Declaration Form	28
	B. Channels of Communication	29
	C. Frequently Asked Questions	30

Preface

This Handbook gives a general overview of the administration of school-based assessment (SBA) in the Hong Kong Diploma of Secondary Education (HKDSE) Examination, to be examined for the first time in 2012. It aims to assist school leaders to acquire a good understanding of the SBA initiative and to carry out proper planning for the conduct of the SBA. Further information regarding the conduct of SBA at subject level can be found in the SBA Teachers' Handbooks for individual subjects.

While individual subjects may have special features due to the nature of the subject and previous experience in assessing students that need to be taken into account, it is important to have coherence and consistency across subjects in administering SBA. The SBA guidelines in this Handbook are based on the existing practices of the Hong Kong Certificate of Education Examination and the Hong Kong Advanced Level Examination. They are to be adopted for all subjects and will lay a good foundation for ensuring the quality, fairness and consistency of SBA in the HKDSE. Many of the procedures suggested in this Handbook are in fact practices currently adopted in schools. Schools can exercise their professional autonomy to continue with their existing practices or make reference to suggested practices provided in this Handbook.

A summary of good practices for implementation of SBA is given in *Paragraph 6.6* on Page 27.

Chapter 1 SBA in the HKDSE

1.1 Aims and Rationale

In the context of public assessment, SBA refers to assessments administered in schools and marked by students' own teachers. The primary rationale for SBA is to enhance the validity of the overall assessment and extend it to include a variety of learning outcomes that cannot be assessed easily through public examinations. SBA typically involves students in activities such as making oral presentations, developing a portfolio of work, undertaking fieldwork, carrying out an investigation, doing practical laboratory work or completing a design project etc. These learning activities help students to acquire important skills, knowledge or work habits that cannot readily be assessed or promoted through paper and pencil test.

There are, however, some additional reasons for SBA. It reduces dependence on the results of public examinations, which may not always provide the most reliable indication of the actual abilities of candidates. Obtaining assessments based on student performance over an extended period of time and developed by those who know the students best – their subject teachers – provides a more reliable assessment of each student.

Another reason for SBA is to promote a positive “backwash effect” on students and teachers. SBA can serve to motivate students by requiring them to engage in meaningful activities that lead to useful feedback on their strengths and weaknesses. For example, in the SBA for science subjects, students are required to carry out a number of practical and investigative activities throughout the course. Since science teachers make formative assessment of students' achievements, they are able to identify the strengths and weaknesses of their students and thus able to provide diagnostic feedback to them during their course of study. In Liberal Studies, students have to complete individually an enquiry study, formulate project titles, collect the relevant data and prepare a project report after analysing the data collected. These examples illustrate the formative role of SBA in learning and teaching and the fact that it helps students to master valuable processing and other higher-order skills, through incorporating new understanding with the help of constructive feedback. For teachers, it can reinforce curriculum aims and good teaching practice, and provide structure and significance to an activity they are in any case involved in on a daily basis, namely assessing their own students.

1.2 Integrating SBA with Internal Assessment

Assessment is an integral part of the curriculum, pedagogy and assessment cycle. It involves collecting evidence about student learning, interpreting information and making judgments about students' performances with a view to providing feedback to students, teachers, schools, parents and other stakeholders.

It is useful to distinguish between the two main purposes of assessment, namely “assessment for learning” and “assessment of learning”. Assessment for learning is concerned with obtaining feedback on learning and teaching, and utilising this to make learning more effective and to indicate which changes are necessary with regard to teaching strategies. This kind of assessment is referred to as formative assessment because it is all about forming or shaping learning and teaching. Formative assessment often takes place in the daily process of learning and teaching. Assessment of learning is concerned with determining progress in learning, and is referred to as summative assessment, because it is all about summarising how much learning has taken place. Summative assessment is normally undertaken at the conclusion of a significant period of instruction. In practice, a sharp distinction cannot always be made between formative and summative assessments, because the same assessment can in some circumstances serve both formative and summative purposes.

Another distinction to be made is between internal assessment and public assessment. Internal assessment refers to the assessment practices that teachers and schools employ as part of the ongoing learning and teaching process. Assessments should be aligned with student learning and make reference to the curriculum aims, objectives and the intended learning outcomes. Schools may refer to the curriculum and assessment guides of individual subjects for guidance on good internal assessment practices. In contrast, public assessment in the HKDSE refers to the public examinations and the SBA conducted by the Hong Kong Examinations and Assessment Authority (HKEAA). On balance, internal assessment should be more formative, whereas public assessment is more summative. Nevertheless, this need not be seen as a simple dichotomy. The inclusion of SBA in public assessment enhances formative assessment or assessment for learning within the context of the HKDSE.

SBA is designed as an integral part of the learning and teaching process, with curriculum time allocated for key activities to be done within the regular school day. Schools are encouraged to integrate SBA with their internal assessment practices so that SBA forms a natural part of their daily work and replaces some of their existing assessment practices. Effective use of assessment for learning, including SBA, can improve students’ learning and eventually help them to perform better in public examinations.

School leaders may refer to the *Senior Secondary Curriculum Guide – The Future is Now: from Vision to Realisation (Secondary 4 – 6) Booklet 4 Assessment – An Integral Part of the Curriculum, Pedagogy and Assessment Cycle* (http://cd1.edb.hkedcity.net/cd/cns/sscg_web/html/english/index.html) prepared by the Curriculum Development Council for further guidance in conducting assessments, providing quality feedback, and developing a school assessment policy and assessment plan.

1.3 Implementation of SBA in the HKDSE

After extensive consultation with schools and teachers, school councils and committees responsible for the relevant subjects and other stakeholders in 2007 and 2008, the Curriculum and Development Council and the Public Examinations Board of the HKEAA approved the strategic implementation timetable for SBA for the 24 subjects in mid 2008 (see *Table 1*). The implementation

Table 1 Strategic Implementation Timetable of SBA

Year of Exam	Subjects				
	Chinese Language, English Language, Liberal Studies, Chinese History, Design & Applied Technology, History, Information & Communication Technology, Visual Arts	Biology, Chemistry, Physics, Science	Chinese Literature, Economics, Ethics & Religious Studies, Geography, Health Management & Social Care, Technology & Living, Tourism & Hospitality Studies, Literature in English, Physical Education	Music	Business, Accounting & Financial Studies
2012	Implementation	Partial Implementation (laboratory work)	Defer Implementation	Defer Implementation	Defer Implementation
2013	Implementation	Partial Implementation (laboratory work)	Defer Implementation	Defer Implementation	Defer Implementation
2014	Implementation	Implementation	Implementation	School Trial	School Trial
2015	Implementation	Implementation	Implementation	Implementation	School Trial
2016	Implementation	Implementation	Implementation	Implementation	Implementation

Note:

1. During a school trial, all schools will implement SBA and submit marks to the HKEAA for feedback, but SBA marks will not be counted towards the subject result.
2. There is no time-line for the implementation of SBA in Mathematics, which is subject to review in the 2012/13 school year.

of SBA in some subjects will be deferred to allow more time for preparation and development work and to avoid some of the pressures that would occur in 2011 and 2012 as a result of teachers having to simultaneously prepare students for both Advanced Level and HKDSE examinations.

According to this timetable, SBA will be implemented fully in eight HKDSE subjects in the 2012 examination, including seven that currently have SBA in the Certificate of Education Examination plus Liberal Studies, for which project work has been part of the Advanced Level Examination for over 15 years. For this subject, SBA involving an Independent Enquiry Study is critical to its design in the new senior secondary curriculum. For the four science subjects, key stakeholders have agreed that laboratory work is an essential component of science learning in the senior secondary education and thus SBA of laboratory work will be implemented in 2012, with full implementation of SBA deferred until 2014.

For the other eleven subjects, implementation of SBA will be deferred until 2014 to 2016. There is no time-line for the implementation of SBA in HKDSE Mathematics (Compulsory Part) for the time being. The Education Bureau (EDB) and the HKEAA will conduct a review of the new senior secondary curriculum and assessment in the 2012/13 school year, including the implementation of SBA for the subject. During the transition years, the curricula of the above subjects will remain unchanged and schools will be expected to conduct, as part of the learning and teaching process, the assessment activities as suggested in the curriculum and assessment guides. The HKEAA will publish SBA Handbooks (Trial Version) for these twelve subjects, which will serve to familiarise subject teachers with the administration of the planned SBA activities. In the light of the experience gathered and feedback from schools during the transition years, a finalised version of the Handbook will be published for each subject concerned when SBA for that subject is implemented.

During the transition years, the public examination will count for 100% of candidates' results in the HKDSE Examination for the twelve subjects with deferred SBA (the deferral subjects). (Note: For the subjects Literature in English, Music and Physical Education, candidates will be required to undertake an alternative assessment in lieu of SBA during the transition years. Details are specified in the assessment framework of the respective subjects.)

The strategic implementation of SBA will enable schools and teachers to familiarise themselves with the new senior secondary curriculum and facilitate the smooth implementation of SBA in the HKDSE.

1.4 Assessment Requirements

School leaders may refer to the documents shown in *Table 2* for detailed information related to the conduct of SBA for individual subjects:

Table 2 Documents Related to SBA for HKDSE Subjects

Document	Information
Curriculum and Assessment Guide http://334.edb.hkedcity.net/EN/curriculum.php http://www.hkeaa.edu.hk/en/hkdse/Subject_Information/	<ol style="list-style-type: none">1. Public assessment design;2. Curriculum time allocation;3. Roles of assessment in learning and teaching; and4. Guidance on internal assessment and public assessment.
Assessment Framework http://www.hkeaa.edu.hk/en/hkdse/Subject_Information/	Public assessment design and requirements
SBA Teachers' Handbook http://www.hkeaa.edu.hk/en/sba/sba_hkdse/	<ol style="list-style-type: none">1. Schedule of work;2. Administrative procedures;3. Guidance in assessment process;4. Guidance in setting / preparing assessment tasks /activities;5. Assessment criteria; and6. Mark submission requirements.

Language Requirements

Students are expected to complete their assessment tasks/activities for bilingual subjects in the same language as the medium of instruction according to schools' medium of instruction policy.

Chapter 2 Roles and Responsibilities of Different Parties

The following summarises the roles and responsibilities of different parties involved in the administration of the SBA, including the HKEAA, the EDB, schools, students, SBA Supervisors, District Coordinators and School Coordinators.

2.1 HKEAA, EDB, Schools and Students

(a) HKEAA

HKEAA will:

1. develop the assessment framework, assessment/administrative guidelines and marking criteria for SBA;
2. conduct research in SBA (e.g. with regard to international policies and practices, moderation methods, psychometric issues involved and implementation issues);
3. lead and organise teacher professional development courses on assessment in collaboration with the EDB;
4. monitor the conduct of SBA in schools to ensure compliance with SBA requirements;
5. appoint SBA Supervisors and District Coordinators to oversee and support the implementation of SBA in individual subjects;
6. process assessment records submitted by schools;
7. moderate SBA marks submitted by schools; and
8. provide feedback to schools.

(b) EDB

EDB will:

1. develop the curriculum framework;
2. sponsor and organise teacher professional development courses on assessment in collaboration with the HKEAA;
3. provide learning and teaching resources to facilitate the implementation of SBA in schools;
4. support the WebSAMS system to facilitate retention of SBA teacher/class data and assessment records; and
5. evaluate quality assurance processes of school assessments including SBA (e.g. through inspection of teaching facilities, observation of lessons and the external school review process).

(c) Schools

Principals (or their designates) will:

1. establish appropriate regulations and procedures for the proper administration of SBA within the school;
2. send representatives to attend SBA conferences and coordinator-teacher meetings;

3. nominate a School Coordinator for each subject to oversee the conduct of the SBA in that subject;
4. provide information on the administration of SBA as required by the HKEAA;
5. endorse the SBA marks for submission to the HKEAA;
6. facilitate visits by HKEAA subject managers and examination personnel (e.g. supervisors, district coordinators and moderators) who may need to review students' work and assessment records;
7. maintain a quality assurance system for SBA; and
8. provide feedback to the HKEAA.

Teachers will:

1. explain to students the aims, requirements and assessment criteria of SBA as well as the relevant school regulations and procedures;
2. administer SBA as an integral part of learning and teaching;
3. administer SBA according to the regulations and procedures set by the HKEAA and the school;
4. provide information on the administration of SBA as required by the HKEAA;
5. assess students' work/performance using the assessment criteria set by the HKEAA;
6. authenticate students' SBA work and performance records;
7. submit SBA marks and assessment records to the HKEAA on schedule;
8. retain students' assessment records and make them available for inspection if required; and
9. provide feedback to the HKEAA.

(d) Students

Students should:

1. understand that:
 - SBA tasks are part of learning and teaching of the respective subject;
 - the process of SBA, including feedback from teachers, helps them develop skills and knowledge that may not be reflected in public examinations;
 - learning through SBA complements learning in other parts of the curriculum;
2. become familiar with the task requirements, the assessment criteria, critical dates, school regulations and procedures for SBA;
3. complete the assessment tasks honestly and responsibly in accordance with the stipulated requirements;
4. complete the assessment tasks on time; and
5. keep a proper record of their SBA-related work till the end of the examination cycle and present it for inspection at the request of the school or the HKEAA.

2.2 SBA Supervisors, District Coordinators and School Coordinators

When SBA is implemented in a certain subject, the HKEAA will appoint an SBA Supervisor and District Coordinators to oversee and support the implementation of SBA. School principals will be requested to nominate a teacher to be the School Coordinator for a particular subject, who will serve as a link between the subject teachers within the school and the HKEAA and the District Coordinators. Their roles and responsibilities are summarised below:

(a) SBA Supervisor

The duties of the SBA Supervisor are to:

1. be responsible to the HKEAA for the proper monitoring of SBA;
2. make any necessary arrangements with District Coordinators to familiarise them and subject teachers with the SBA, and to align assessment standards;
3. bring any irregularities to the notice of the HKEAA together with recommendations for action(s) to be taken, including SBA mark adjustment;
4. keep the HKEAA informed of the progress of SBA and recommend amendments when deemed desirable;
5. oversee the appointed District Coordinators; and
6. write a report on the conduct of SBA and submit it to the HKEAA at the end of the school year.

(b) SBA District Coordinators

SBA District Coordinators provide a link between the Supervisor and School Coordinators/teachers. The duties of a District Coordinator are to:

1. liaise with School Coordinators and oversee the implementation of SBA in an assigned group of schools;
2. conduct meetings with School Coordinators/teachers involved in his/her group as necessary, pass on information about SBA to teachers and discuss difficulties and receive comments/feedback from teachers;
3. report to the Supervisor any difficulties or irregularities in the implementation of SBA in the schools in his/her group and recommend any necessary action;
4. provide guidance and support to teachers in the implementation of SBA in schools and ensure adherence to the guidelines;
5. help teachers in the schools in his/her group to establish as far as possible a uniform standard in assessment;
6. assist the Supervisor in matters concerning the operation of SBA;
7. inspect samples of students' work and relevant assessment records provided by teachers in his/her group and provide feedback to teachers on the standards of marking and students' work in his/her group; and
8. complete a report concerning each of the schools in his/her group at the end of the school year.

(c) SBA School Coordinators

The School Coordinator for each subject, who is nominated by the school principal, provides a link between the subject teachers within a school and the District Coordinator and the HKEAA. The duties of a School Coordinator include, but are not limited to, the following:

1. liaise with the HKEAA and the District Coordinator regarding SBA matters;
2. plan the assessment schedule (i.e. number, timing and sequence of assessment tasks) in consultation with all subject teachers teaching the same cohort of students;
3. coordinate the reporting of marks to the HKEAA; and
4. report to the District Coordinator any difficulties or irregularities in the implementation of SBA in his/her school.

Chapter 3 Administrative Guidelines and Procedures

3.1 Participating in SBA

SBA is compulsory for all school candidates. Schools which cannot comply with the requirements specified in individual subject handbooks will not be eligible to present candidates to enter for the subject concerned in the examination. School leaders may refer to the HKDSE Examination Regulations regarding the procedures for applying to participate in the examination.

Permission for schools to continue with the SBA in a particular subject will be automatically renewed unless the SBA Supervisor's recommendation is to the contrary. In cases where the HKEAA considers that a particular school does not meet the stipulated requirements for the implementation of SBA, the HKEAA may consider taking the following action(s) as appropriate to remedy the situation:

- providing further guidance to the school or teachers concerned;
- issuing a warning letter to the school concerned and granting a grace period for the school to meet the requirements;
- barring the school from entering candidates for the subject in subsequent examinations until the school is able to demonstrate compliance with the stipulated requirements of the SBA component.

3.2 Arrangements for Repeaters, Transfer Students and Private Candidates

Repeaters and Transfer Students

School repeaters are candidates who have sat the HKDSE Examination in previous year(s) and are currently enrolled as S6 students in a school to retake the examination as school candidates.

Generally speaking, SBA is compulsory for school repeaters. For the core subjects, repeaters have to be re-assessed in S6 and meet the SBA requirements stipulated below. Their SBA results obtained in previous examinations will not be counted. If a repeater studies in a school that offers the elective subject that they have previously been examined on, the student has to be re-assessed in S6 for this subject and meet the stipulated SBA requirements. Their SBA results obtained in previous examinations will not be counted. If a repeater studies in a school that does not offer the elective subject that the repeater wishes to re-take in the examination, special permission may be granted for the student to be exempted from the SBA for this subject and his/her subject result will be based on the public examination result only. The school has to submit an application for exemption to the HKEAA when the repeater applies to enter for the examination and certify that the subject concerned is not offered by the school. (Note: For Visual Arts, repeaters who have been granted exemption from the SBA will still be required to complete a portfolio and forward it to the HKEAA for assessment.)

Transfer students are S6 students sitting the examination for the first time, but who have transferred from one school to another after S5. Transfer students have to meet the stipulated SBA requirements. Their SBA results obtained in S5 in the former school will not be counted. Transfer students should provide information to their new school about the school in which they attended the S5 course and the assessments completed for their teachers' reference.

Both school repeaters and transfer students will need to submit SBA marks for S6 only, which will be proportionally adjusted to the full weighting of individual subjects and incorporated into their subject mark. Detailed arrangements are specified in the Teachers' Handbooks for individual subjects.

Students who repeat S5 or who have transferred to an S5 class in another school are not considered to be school repeaters or transfer students. They must meet the full SBA requirements as normal S5 students.

Private Candidates

Private candidates are not required to complete the SBA component. Their subject mark will be based entirely on their public examination results. Private candidates who have SBA marks obtained from previous examinations will not be allowed to carry forward these marks to subsequent examinations. (Note: For Visual Arts in which the SBA carries a subject weighting of 50%, private candidates have to complete a portfolio and forward it to the HKEAA for assessment. Detailed arrangements are specified in the assessment framework and SBA Teachers' handbook of Visual Arts.)

3.3 Provision of Information to Students

Students should be informed clearly at the beginning of the course of the various requirements and regulations regarding the SBA component, including:

- task requirements and assessment criteria;
- schedule of assessment and critical deadlines;
- the school's regulations and administrative procedures for conducting SBA; and
- record keeping requirements.

After the completion of the marking, teachers are expected to provide feedback to students, e.g. their marks or grades on individual assessment tasks. Other appropriate feedback may include students' strengths and weaknesses as revealed in the assessments, and advice on how improvements can be made.

3.4 Late Submission and Absence from Assessment

Students should submit their completed work on schedule. Those submitting the work late may be subject to a penalty in accordance with their school's regulations.

Students failing to complete the assessment for legitimate reasons should give those reasons and provide relevant supporting documents (e.g. medical certificates) to the HKEAA via their schools for special consideration, which will be given for medical and other legitimate reasons.

Students failing to submit work for assessment without legitimate reasons will get zero marks in the assessment(s) concerned. Schools may consider issuing a warning letter to the student concerned to remind him/her of the consequences of absence from assessment or failure to complete the work.

3.5 Students with Special Educational Needs

Students with special educational needs will not be deprived of their right to the HKDSE school-based assessment. When conducting SBA tasks, schools have the autonomy to provide special arrangements to these students depending on the nature and severity of their disabilities. The provision of such arrangements allows these students to be equitably assessed under suitable conditions without having an unfair advantage. Examples of such arrangements may include:

- extension of preparation time;
- extension of assessment time;
- provision of ancillary aids; and
- provision of special assistance during the conduct of the assessment etc.

In cases where a school cannot provide special arrangements for a particular student, the matter should be brought to the attention of the HKEAA by the principal of the school for further action, which may include exemption from part or whole of the SBA tasks.

3.6 Handling Queries against Assessment Decisions

In general, schools already have procedures to handle any queries from their students regarding internal assessment results and can continue with their existing practice for handling SBA results. Some schools may consider setting up a panel to handle those queries that cannot be resolved by the subject teacher (to whom students should first address any queries). The panel may consist of the principal or his/her designate, and the panel head. The panel will adopt appropriate procedures to investigate the case, such as

- listening to the points raised by the student;
- listening to the views and justifications provided by the subject teacher;
- assigning the panel head or another teacher to serve as a third-party to re-assess the student's work;
- asking the student to complete a task of a similar nature for verification.

Based on the investigation of the panel, the school will make a judgment as to whether the student's query is valid or not. The student will be informed of the result within a reasonable period of time in accordance with the school's procedures.

Schools are expected to resolve students' queries before submitting SBA marks to the HKEAA. After the release of public assessment results, candidates may submit an application to the HKEAA for rechecking of results, including the SBA component. However, they cannot appeal for a re-assessment of their performance in SBA.

3.7 Record Keeping

Schools are required to keep a proper record of the following until the end of the examination cycle, which normally means the completion of the appeal process after the release of public assessment results:

- SBA assessment tasks and activities administered;
- students' SBA marks and relevant assessment records; and
- documentation of any special or irregularity cases and the actions taken.

The keeping of a proper record of assessment will enable another teacher to take over from a predecessor who leaves the school during the course. To ensure a smooth handover of SBA duties to the succeeding teacher, schools are expected to arrange for the leaving teacher to hand over the relevant mark records and documents to the panel head (or other responsible person in the school).

Generally speaking, it is the students' responsibility to keep a good record of their work. Schools can have their own policy regarding the timeframe for returning assessed work to students. Whenever assessed work is returned to students, they should be informed that they are responsible for keeping safe custody of their work until the end of the assessment process, as it may be required for inspection at the request of the school or the HKEAA. For some subjects, the HKEAA may conduct sample inspections of students' work and assessment records. Schools will be informed in advance about the details of the sample inspection.

Schools are encouraged to keep samples of students' work at different levels of performance as archive material, which may be useful for future reference as well as maintaining assessment standards across years.

3.8 Declaration Requirements

To prevent potential/perceived conflicts of interest, teachers conducting SBA have to declare whether the students they assess are their relatives (relatives include children, brothers and sisters, nephews and nieces, cousins and others living in the same home). The declaration records will be submitted to the HKEAA through the School-based Assessment System.

3.9 Security Requirements

As SBA marks will count towards students' public assessment results, for fairness and security purposes, schools have to adopt appropriate measures, including those adopted in internal examinations, in the conduct of those assessments, where preservation of secrecy is deemed necessary before the assessment.

Chapter 4 Authentication and Malpractice

SBA in the HKDSE is designed and administered in ways that enable teachers to authenticate students' work, hence minimising the possibility of malpractice. This means that a significant proportion of the assessment activities are expected to be completed during school hours under teachers' supervision. Where, because of the subject nature, students have to undertake fieldwork, planning, reading, research or other activities outside the classroom, checks will be built into the process at critical stages for authentication purposes. Guidance will also be provided to clarify the kinds of help that can be offered to students in completing their work for SBA and the extent to which they may work with each other.

4.1 Authentication of Students' work

Depending on the nature of the assessment activities, specific guidance has been provided in the SBA Teachers' Handbooks for individual subjects to illustrate the conditions under which the assessments are to be undertaken to facilitate the supervision and authentication of students' work by teachers. Schools may consider adopting suitable measures to authenticate students' work.

For tasks involving work outside class, students have to sign a declaration form to confirm that the work they produce is their own (see *Appendix A*). When submitting the SBA marks online, teachers are required to confirm that, to the best of their knowledge, the work presented for assessment is the student's own work. School principals are required to confirm that the SBA is conducted in accordance with the requirements of the HKEAA.

Students should be asked to keep a proper and complete record of their work.

4.2 Malpractice

Malpractice refers to any activities that allow a student to gain an undue advantage over others, examples of which include, but are not limited to:

- presenting work completed by others, in part or in whole, as one's own work;
- including material copied directly, in part or in whole, from books, newspapers, magazines, CDs, the Internet or other sources without proper acknowledgement.

These behaviours are generally referred to as plagiarism.

4.3 How to Handle Malpractice

Students are forbidden to indulge in any malpractice when completing their assessment activities. Teachers are expected to provide sufficient supervision to ensure that the work which is assessed is that of the student concerned. Teachers know their students well and hence should be able to detect plagiarism and other malpractices through a close monitoring of students' work.

Schools should establish procedures for handling suspected malpractice cases. These procedures may include investigating suspect cases and determining appropriate action for proven incidents of malpractice. During the investigation, students may be required to:

- provide evidence of the development of their work;
- discuss the content of the work with teachers and answer questions to demonstrate their knowledge and understanding of the work submitted;
- complete, under supervision, a supplementary assessment task related to the original task; and
- attend an interview or complete a test to demonstrate the work submitted is their own.

If malpractice is proven, schools could impose a penalty in accordance with the schools' regulations, and taking into consideration the seriousness of the malpractice. This may include:

- issuing a warning letter to the student;
- deducting marks from the task concerned;
- awarding zero marks for the task concerned;
- awarding zero marks for the whole SBA component.

The HKDSE Examination Regulations stipulate that a candidate may be liable to disqualification from part or the whole of the Examination or suffer a mark or grade penalty for breaching the regulations.

Schools need to keep a proper record of malpractice cases, including the disciplinary action imposed, if any.

4.4 Prevention of Malpractice

At the beginning of the course, schools are expected to advise students on what malpractice is and what its consequences are. To avoid plagiarism, guidance needs to be provided to students on how to acknowledge sources properly in their work.

Chapter 5 Quality Assurance

As SBA marks count towards students' public assessment results, the following measures will be adopted at different stages of the whole process to ensure reliability and consistency of the assessment standards.

5.1 Development Stage

The following are the essential procedures to be adopted by the HKEAA in the assessment development stage for all subjects, with an aim to lay a good foundation for promoting the quality of SBA and improving the shared understanding of assessment criteria by teachers:

- (1) Detailed guidelines and procedures have been developed for teachers' reference in conducting the SBA. These guidelines and procedures have been devised by working groups comprising front-line subject teachers, and curriculum and assessment experts. Teachers' comments and suggestions were taken into consideration when finalising the arrangements.
- (2) Before the implementation of SBA, teachers will be provided with sufficient professional development training which will help them become familiar with how to conduct SBA.
- (3) The learning objectives to be assessed in each assessment activity will be specified and detailed assessment criteria will be provided to help to align the assessment standards of different teachers.
- (4) Exemplar assessment tasks or activities will be developed for teachers' reference. For activities involving the setting of tasks by teachers, training and guidance will also be provided to teachers in this regard. Furthermore, teachers will also be provided with exemplars of students' assessed work at different levels of performance. These exemplars will help to make the implicit performance criteria explicit and improve the consistency in teachers' interpretation of the performance standards.

5.2 Assessment Stage

The following quality control measures will be adopted during the assessment process, both for supporting teachers and maintaining assessment standards:

- (1) The HKEAA will appoint district coordinators to support schools in the conduct of SBA for individual subjects. These coordinators are mostly front-line subject teachers who are

experienced in SBA administration. They will oversee and provide support to an assigned group of schools.

- (2) The HKEAA will organise various events, such as SBA conferences, workshops and inter-school sharing sessions, to provide the latest updates and feedback to schools and discuss samples of students' work for further promoting teachers' understanding of the performance standards. For the deferral subjects, pilot studies will be conducted for consolidating schools' experience and evaluating the implementation of SBA.
- (3) During S5 and S6, the HKEAA will provide feedback to schools on students' performance, assessment standards of teachers and areas of the process requiring further improvement, if appropriate.

5.3 Moderation of SBA Marks

The moderation process deals with the assessment results (namely the marks of students awarded by teachers) and takes place after the assessment is completed and marks have been submitted to the HKEAA. The main reason for having moderation is to ensure the fairness of SBA. Teachers know their students well and thus are best placed to judge their performance. In consultation with their colleagues, they can reliably judge the performance of all students within the school in a given subject. However, they are not necessarily aware of the standards of performance across all schools. Despite training in carrying out SBA, and even given that teachers will assess students on the same tasks and using the same assessment criteria, teachers in one school may be harsher or more lenient in their judgments than teachers in other schools. They may also vary in the awarded mark ranges.

To address these potential problems, the HKEAA (like most other examination authorities) makes use of various methods for "moderating" assessments submitted by different schools, with an aim to ensuring the comparability of SBA scores across schools. There are mainly two methods adopted by the HKEAA: Statistical Moderation and Moderation by Expert Judgment.

Statistical Moderation

For the majority of subjects, the HKEAA adopts a statistical method to moderate the SBA scores submitted by schools. This is done by adjusting the average and the spread of SBA scores of students in a given school with reference to the public examination scores of the same group of students. During the moderation process, students' SBA marks may be adjusted but the rank order determined by the school will remain unchanged. Any outliers identified during the moderation process will be followed up with appropriate action, including sample inspection of students' work.

The moderation model adopted will be based on the one adopted in the HKCEE Chinese

Language and English Language Examinations since 2007, subject to further refinement based on feedback from live examinations. For details of the HKCEE moderation mechanism, teachers may refer to the booklet “*Statistical Moderation of School-based Assessment Scores*” which is available on the HKEAA website (<http://www.hkeaa.edu.hk/en/sba/>). Details of the moderation mechanism to be adopted in the HKDSE will be provided in the booklet “*Moderation of School-based Assessment Scores in the HKDSE*”, which is scheduled to be published in 2010.

Moderation by Expert Judgment

The moderation is conducted by HKEAA appointed personnel (e.g. moderators, coordinators) through inspection of samples of students’ work covering the full range of attainment, followed by recommendations for mark adjustment. The HKEAA will specify the sample size required for inspection, which will be sufficient for evaluating a school’s judgment at different performance levels. Additional samples may be requested if necessary. Students’ SBA marks may be adjusted but the rank order determined by the school will remain unchanged. Details of this moderation mechanism will also be provided in the booklet “*Moderation of School-based Assessment Scores in the HKDSE*”. This method will be adopted for subjects with a small candidature or that involve outcomes that are very different from those assessed through the written examination. Subjects adopting this method in the 2012 HKDSE Examination include Visual Arts, and Design and Applied Technology.

Feedback to Schools

After the examination each year, SBA moderation reports will be sent to schools for their reference. The report will specify the extent of adjustment made to the marks submitted by schools.

5.4 Within-school Standardisation

The moderation of SBA marks submitted by schools to the HKEAA is conducted on a school basis, i.e. taking each individual school as a moderation unit. If there is more than one subject teacher teaching the subject to the same cohort of students in the school, it is necessary for the teachers involved to agree on the criteria for awarding marks so that the same standard of assessment is applied to all students. Below are some recommended practices for schools’ consideration:

- to conduct meetings among teachers to align the marking criteria;
- to set common SBA tasks across classes;
- to conduct trial marking of samples of students’ work;
- to adjust marks of some teachers, if necessary, to ensure consistency of assessment standards for the whole school; and
- to use reference materials (such as those provided by the HKEAA) and archive materials (such as samples of students’ work from previous years) to help standardise marking within the school.

Chapter 6 Managing the Implementation of SBA

Hong Kong has a long history of implementing SBA and valuable experience has been gained from previous examinations in this regard. Teachers in a number of subjects have already gained experience in conducting SBA in the Certificate of Education Examination and Advanced Level Examination. In spite of this, it is understandable for schools and teachers to be concerned regarding the effort required by students and teachers in view of the involvement of more teachers in the SBA in the new system and the goal of extending SBA to all subjects in the HKDSE. This concern is addressed through the adoption of the following measures.

6.1 Strategic Implementation of SBA

In finalising SBA requirements and the implementation timetable, views of the school sector, particularly on the amount of effort required by students and teachers to complete SBA, have been carefully considered. The strategic implementation timetable (see *Paragraph 1.3* for details) has taken into consideration the state of planning and the readiness of schools to implement SBA, particularly during the initial stage of implementing the new senior secondary curriculum. In light of feedback from the school sector, SBA requirements for a significant number of subjects have been trimmed, with a corresponding reduction in the weighting given to SBA for these subjects.

6.2 SBA as an Integral Part of the Curriculum

One of the guiding principles in designing the requirements for SBA is that the assessment activities chosen are all integral to the learning of the subject, i.e. the activities are normal in-class /out-of-class activities that students are expected to be involved in during the learning process. In the curriculum planning process, ample curriculum time has been allocated for conducting the assessment activities, e.g. 90 hours have been allocated for the Independent Enquiry Study in Liberal Studies, 30 hours for SBA in Information and Communication Technology and 27 hours for Chinese History. Students are expected to be able to complete a significant part of their work for SBA within class time. Schools are expected to integrate SBA with their normal teaching cycle and internal assessment activities so that SBA forms an integral part of their students' learning process.

Simplified requirements are to be adopted for school repeaters and S6 transfer students, so that they have sufficient time to complete their assessment activities in S6.

6.3 Provision of Support to Teachers

The following resources and support are provided to teachers to enable them to conduct the assessments in an effective and efficient manner:

- detailed guidance on how to conduct the assessments;
- detailed assessment criteria and exemplars to illustrate performance standards;
- professional development programmes to enhance teachers' understanding of SBA;
- a system of district coordinators to support teachers;
- detailed guidance and exemplars on how to record students' performance; and
- an online system to store and submit SBA marks.

6.4 Staggering SBA throughout the Course

The SBA is designed to be completed over a period of two years, namely S5 and S6. To help schools to stagger the assessments over the two years, the HKEAA will specify the minimum number of assessments to be completed in each year for each subject. Marks for the assessments completed in S5 will be collected towards the end of that school year.

Table 3 shows a summary of the number of marks to be submitted to the HKEAA for each subject at the end of each year. The minimum part of the SBA to be completed in S5 for each subject, typically accounting for one third to half of the assessment, is devised by taking into consideration the nature of the assessment activities and how they align with the learning and teaching process. As different schools may devise their own teaching sequence that best meets the needs of their students, autonomy is provided for schools to decide upon the schedule and exact number of assessments to be completed in each year for different subjects.

This arrangement should help to alleviate the cumulative effect of students' workload and prevent them from being overloaded with assessments towards the end of the course.

Table 3 A Summary of SBA Requirements for HKDSE Subjects

A. Subjects with SBA Implemented in the 2012 HKDSE

Subject	Assessment Requirements	Marks to be submitted in S5	Marks to be submitted in S6
English Language	Oral assessments	One assessment	Two assessments
Chinese Language	Reading activities; Coursework/other language activities; Electives modules	- - Marks of one module	One mark One mark Marks of two modules
Liberal Studies	An independent enquiry study	Stage 1	Stages 2 and 3
Biology*	Practical related tasks: Ability area A; Ability area B	- One mark	Two marks One mark
Chemistry*	Practical related tasks: Basic Chemical Analysis; Experiments	One mark One mark	- Two marks
Physics*	Practical related tasks: Experiments	One mark	Two marks
Combined Science*	Biology Part Practical related tasks: Ability area A; Ability area B	- -	One mark One mark
	Chemistry Part Practical related tasks: Volumetric analysis; Experiments	One mark One mark	- One mark
	Physics Part Practical related tasks: Experiments	One mark	One mark
Integrated Science*	Practical related tasks: Ability area A; Ability area B	One mark One mark	One mark One mark
History	A two-task assignment	Task 1	Task 2
Chinese History	A learning and assessment plan	One mark	One mark
Information & Communication Technology	A project assignment	Part 1	Rest of the assignment
Design & Applied Technology	A design project	Part 1	Part 2
Visual Arts	Portfolios	One portfolio	One portfolio

* The non-practical related tasks will be implemented in the 2014 HKDSE Examination. Please refer to the Teachers' handbooks of the science subjects for details.

B. Subjects with SBA Deferred

Subject	SBA Requirements	Marks to be submitted in S5	Marks to be submitted in S6
Economics	News commentaries or essays/reports	One task	Two tasks
Geography	A fieldwork study	Stages (a) and (b)	Rest of the study
Ethics & Religious Studies	Faiths in Action	Proposal	Report and overall performance
Tourism & Hospitality Studies	Course assignments; An in-depth study	Two course assignments -	- In-depth study
Health Management & Social Care	A field learning task; A project for electives	Field learning Task -	- Project for electives
Technology & Living	A prescribed task; A project/design folio	Prescribed task Proposal	- Realisation and evaluation
Chinese Literature	Creative writing; Reading report; Elective modules	Three marks One mark Marks of one module	One mark One mark Marks of two modules
Literature in English	A review of a film/play/performance or a piece of creative work; An extended essay	Review of a film/play/performance or a piece of creative work -	- Extended essay
Physical Education	Assessments in two physical activities; Assessments in physical fitness	Two assessments	One assessment
Music	Solo performance & viva voce; Ensemble performance; Sight-singing	- Ensemble performance -	Solo performance & viva voce - Sight-singing
Business, Accounting & Financial Studies	A study on business issues	Theme/title of the study	Analysis of results, written and oral presentations
Mathematics	Assessment tasks	One task	One task

Note:

Please refer to the Teachers' Handbooks of the respective subjects for detailed information related to the assessment requirements.

6.5 Coordination of Mark Submission

In addition to staggering the assessments over S5 and S6, the HKEAA will also coordinate the deadlines of mark submissions for different subjects. *Table 4* shows the arrangement (tentative) for SBA mark submission of the HKDSE and Advanced Level subjects in the 2010/11 and 2011/12 school years. School leaders should note that during these two years, which are often referred to as the “double cohort” years, schools will be simultaneously teaching Advanced Level subjects to some students and the new HKDSE subjects to others. For the Advanced Level subjects, the current mark submission arrangements will continue to remain in place. SBA marks for HKDSE subjects will generally be submitted before those for Advanced Level subjects. For the final stage of mark submission in S6 for the HKDSE, subject teachers may submit their marks to the HKEAA starting from January 2012, when the candidates’ information from all schools is finalised. Different deadlines will be set for individual subjects, being spread over a couple of months. The deadlines for different subjects will be set by taking into consideration the nature of the assessment activities and how they relate to the learning and teaching process, e.g. schools will be expected to complete the Independent Enquiry Study in Liberal Studies by the middle of S6 and hence an earlier deadline will be set for this subject; while SBA for Chinese Language involves coursework and assessment of elective modules, and hence a later deadline will be set.

In view of the fact that mark submission is not required for the twelve deferral subjects in 2012 HKDSE and schools have to handle SBA for the Advanced Level Examination in the same year, the above mark submission schedule is only applicable to the 2012 examinations. In the light of feedback collected in the 2012 examinations and the experience gained in the conduct of SBA for the deferral subjects during the transition years, the mark submission schedule will be revised for subsequent years. This revised schedule will be included in the SBA handbooks for the 2014 HKDSE Examination, which will be published in due course.

It must be emphasised that the submission deadlines do not mean deadlines for students to complete their work, as ample time should be left for finalising the assessment results and records as well as following up on any irregularities so that marks can be submitted to the HKEAA on time. Schools are advised to coordinate the timing for students to complete SBA tasks across subjects, taking into account the workload of students and teachers, so that students’ work for assessment is not concentrated into one or two critical months but spread out over two years.

All schools have to submit the SBA marks using the online School-based Assessment System. A user manual for the system will be available and training sessions provided to help teachers to become familiar with the system before they need to submit SBA marks. Before the school principal endorses the marks for submission to the HKEAA, teachers have to check carefully the marks entered in the system to ensure the marks awarded to each student are correct.

Table 4 Mark Submission Schedule for 2012 HKDSE and HKALE (Tentative)

(a) Mark Submission in the 2010/11 School Year (S5 for HKDSE and S6 for HKALE)

Exam	Subjects	Early May	Mid May	Late May	Early June	Mid June	Late June	Early July	Mid July	Late July
HKDSE	Liberal Studies (Stage 1)	■	■							
	DAT, ICT		■	■	■					
	Biology, Chemistry, Physics, Combined Science		■	■	■	■				
	Chinese Language, Integrated Science		■	■	■	■	■			
	History, Visual Arts				■	■	■	■		
	English Language, Chinese History				■	■	■	■	■	
HKALE	Chemistry					■	■			
	Chinese Language & Culture, Chinese Literature						■	■		

(b) Mark Submission in the 2011/12 School Year (S6 for HKDSE and S7 for HKALE)

Exam	Subjects	Oct	Early Jan	Mid Jan	Late Jan	Early Feb	Mid Feb	Late Feb	Early Mar	Mid Mar	Late Mar
HKDSE	Liberal Studies (Stage 2)	■									
	Liberal Studies (Stage 3)		■	■							
	History, DAT, Visual Arts		■	■	■						
	Biology, Chemistry, Physics, Combined Science		■	■	■	■					
	Chinese History, Integrated Science, ICT		■	■	■	■	■				
	Chinese Language				■	■	■	■	■		
	English Language				■	■	■	■	■	■	■
HKALE	Liberal Studies, Electronics, Computer Studies, Computer Applications							■	■		
	Biology, Chemistry, Physics, GPA								■	■	
	Chinese Language & Culture, Chinese Literature, Visual Arts									■	■

Note: ■ denotes marks submission period.

6.6 Good Practices for Implementation of SBA

As SBA in the HKDSE will commence from the 2010/11 school year, schools are expected to have the preparatory work completed within the 2009/10 school year. It is necessary for schools to set up and maintain the following practices for ensuring the quality, reliability and consistency of the assessment standards in SBA:

- (1) Assign suitable teachers to conduct the assessment for individual subjects. Provide opportunities for them to receive proper training on SBA.
- (2) Provide SBA-related information to students and help them to understand the rationale of SBA and its requirements. *(Please refer to Paragraph 3.3. for details.)*
- (3) Administer the SBA of different subjects according to the regulations and requirements stipulated by the HKEAA and schools' internal procedures.
- (4) Establish practices to align the marking standards of subject teachers. *(Please refer to Paragraph 5.4 for details.)*
- (5) Handle special and irregularity cases according to the school's established procedures *(Please refer to Paragraphs 3.4, 3.5, 3.6 and 4.3 for details.)*
- (6) Keep a proper record of students' marks and assessment records. *(Please refer to Paragraph 3.7 for details.)*
- (7) Ensure that declaration and security requirements for SBA are met. *(Please refer to Paragraphs 3.8 and 3.9 for details.)*

Schools are also encouraged to adopt the following good practices in administering SBA to facilitate smooth and successful implementation:

- (1) Administer SBA as an integral part of the learning, teaching and internal assessment processes.
- (2) Develop an assessment plan for individual subjects specifying the schedule and amount of assessments that best meets the needs of their students.
- (3) Coordinate the conduct of SBA across subjects so that students' work can be evenly spread out throughout the course.

**Hong Kong Diploma of Secondary Education
(Subject Name)
Student Declaration Form**

School Name: _____

Student's Name: _____

Class: _____ **Class No:** _____

Supervising Teacher: Mr/Ms* _____

I certify that:

- the task (*or appropriate name of the assessment*) submitted/completed is my own work;
- it does not include materials copied directly, in part or in whole, from any sources without proper acknowledgement; and
- I have not submitted this piece of work for assessment in any other course in the HKDSE Examination.

Student's signature: _____ **Date:** _____

* Delete as appropriate

Channels of Communication

- (1) Teachers may contact the HKEAA via one of the following means:

	Examination Arrangements and Application for Special Consideration	Subject-specific Information and Operation of SBA in Schools
Tel No.:	3628 8860	3628 8070
Fax No.:	3628 8928	3628 8091
Address:	Manager - DSE (SBA) School Examinations and Assessment Division Hong Kong Examinations and Assessment Authority 12/F, Southorn Centre 130 Hennessy Road, Wan Chai Hong Kong	SBA Team, Assessment Development Division Hong Kong Examinations and Assessment Authority 13/F, Southorn Centre 130 Hennessy Road, Wan Chai Hong Kong

- (2) Teachers may view the latest SBA information or download useful documents from the HKEAA website:
- URL: <http://www.hkeaa.edu.hk>
 - For general information, please click “HKDSE” on the homepage and then choose “SBA”.
- (3) School Coordinators/teachers may contact the District Coordinator assigned for their schools for guidance and advice on matters concerning SBA.

Frequently Asked Questions

Administrative Arrangements

1. How much guidance/support can teachers provide in conducting the assessments?

It varies depending on the nature of the assessment activities. As SBA is conducted during the learning and teaching process, teachers are expected to provide appropriate guidance to assist students in preparing for the completion of their work. The guiding principle is that the ability of an individual student is fairly assessed and undue assistance should not be given in such a way as to put into question the student's authorship of the work. Specific guidelines on the appropriate amount of support can be obtained from the SBA handbooks for individual subjects.

2. What kind of feedback should schools provide to students regarding the SBA?

As SBA is an integral part of the learning and teaching process, teachers are expected to provide appropriate feedback to students, e.g. their marks or grades, their strengths and weaknesses, and advice on how improvements can be made. It is desirable for students to know where they stand so that they can work towards the next level of achievement.

3. How should students' late submission of work be dealt with?

Schools may impose a penalty for failing to submit work in time in accordance with their regulations.

4. Can schools use students' SBA results as their internal examination results?

Schools are encouraged to integrate SBA with their internal assessment practices and use students' SBA results as a part of internal examination results.

5. Can students submit the same piece of work for the SBA of two subjects?

Unless otherwise specified in the SBA handbook, students cannot submit the same piece of work to more than one subject for assessment.

6. Do schools need to submit SBA tasks/students' work to the HKEAA for vetting?

The HKEAA will conduct sample inspections of students' work and assessment records, as a part of the quality assurance mechanism for SBA. Schools will be informed of details of the sample inspection in advance.

7. If a student suspends his/her study for an extended period of time during the course due to medical or other reasons (such as engagement in an exchange programme in a foreign country), will his/her SBA results obtained before the suspension of study be counted in his/her final SBA results when he/she resumes his/her study?

If the student resumes study in S5, he/she has to be assessed all over again. He/she has to fulfil the same SBA requirements as other S5 students. However, if the student resumes study in S6, he/she will be considered as a "transfer student". He/she will have to fulfil the assessment requirements of a "transfer student" in S6. In both cases, the student's previous SBA results obtained before the suspension of study will not be counted. However, the student should keep a full record of his/her previous SBA work done prior to the suspension of study for the reference of his/her teachers.

8. Can school repeaters re-submit their earlier work for re-assessment during the repeating year?

School repeaters have to submit their SBA marks for S6. As they are under their teacher's guidance and curriculum time is provided for completing their SBA tasks, they are expected to complete their assessment work during the repeating year in accordance with their school's S6 requirements.

9. Can a school candidate enter for an additional subject in the HKDSE Examination that is not taught in his/her class at school? Does the student need to complete the SBA for that subject?

According to the examination regulations, candidates may enter for the HKDSE Examination either as school candidates or as private candidates but not both in the same year. If a school candidate intends to enter for an additional subject that is not taught in his/her school, he/she should bring this to the attention of the school in advance and seek consent from the school to enter for that subject. If that subject has an SBA component, the student has to complete that component as well. The student should consult the school in advance whether the school is able to assign a suitable teacher to conduct the SBA for him/her during the course, before deciding to enter for that subject.

10. Can schools make special accommodation for those students with special educational needs?

Yes, schools can make special arrangements for these students in conducting SBA, examples of which include extension of assessment/preparation time, provision of ancillary aids or special assistance etc, so that they can be equitably assessed without having an unfair advantage.

11. Who is eligible to conduct the SBA?

School principals are expected to assign suitable teachers to conduct SBA in accordance with EDB's regulations. Since SBA is an integral part of classroom learning and teaching, the assessor should normally be the subject teacher of the students.

12. What can students do if they have any queries regarding the assessment results?

Students should first discuss their concerns with their subject teachers. If necessary, the student may lodge an application for re-consideration of assessment results to the school, in accordance with school regulations and procedures.

13. Can students appeal against their SBA results?

Schools are expected to resolve students' queries on assessment results before submitting their SBA marks to the HKEAA. After the release of examination results, candidates may only submit an application to the HKEAA for rechecking of the SBA marks. They cannot apply for a re-assessment of their performance in SBA.

14. Can schools refer complaints from students regarding SBA to the HKEAA?

Cases can be referred to the HKEAA via school principals if they cannot be resolved within the school. The HKEAA has established procedures for dealing with complaints related to public examinations and will be able to handle cases related to SBA.

Authentication and Malpractice

15. Will students be penalised if they plagiarise when completing their SBA work?

Students will be subject to severe penalties for proven plagiarism. The HKDSE Examination Regulations stipulate that a candidate may be liable to disqualification from part or the whole of the examination, or suffer a mark penalty for breaching the regulations.

16. Can the HKEAA suggest methods to prevent plagiarism in SBA?

The development of integrity is an important element in moral education. Both schools and parents play a role in teaching their students/children. It is of utmost importance that honesty is maintained in tests and examinations as well as in SBA. Students should be informed of what plagiarism is and its consequences at the beginning of the course of study.

17. How can teachers ensure that the SBA related work submitted is the students' own work?

Teachers can adopt the following measures to ensure the authenticity of students' work: arranging for critical parts of the SBA to be completed in class under teacher supervision, monitoring students' progress regularly, and asking students to keep journals and drafts of their work and to present their work orally and answer questions, if necessary.

Assessment Standards

18. Is it fair to moderate SBA marks submitted by schools using public examination results?

The areas assessed in the public examination and SBA are the key learning objectives of the curriculum. As such, it is fair to refer to students' results in the public examination (or results of the parts in the public examination which are closely related to the SBA of that subject) to moderate their SBA marks to eliminate any inconsistency in marking standards among schools. For subjects that involve outcomes that are very different from those assessed through the public examination, moderation by expert judgment involving sample inspection of students' assessed work will be adopted.

19. Why is standardisation among teachers within a school necessary if the HKEAA is going to moderate the SBA marks anyway?

The moderation by the HKEAA is conducted on a school basis, i.e. taking each individual school as a moderation unit. Hence it is necessary to standardise the marking among teachers within the school so as to produce a fair overall rank order of students for the school as a whole.

20. Why is the moderation conducted on a school basis but not on a teacher basis?

Students following the same curriculum in a school should be judged against the same standards in the assessment process, irrespective of which class they are attending or which teachers are teaching them. This internal comparability is vital to the learning and teaching process and can be achieved through professional collaboration and sharing among teachers within a school. In addition, treating schools as a single group can increase the size of the moderation group, which enhances the reliability of the results of the moderation.

Record Keeping

21. How long do schools need to keep students' SBA records?

Schools should keep a proper record of SBA, including the assessment activities, students' marks and assessment records, and documentation of any special considerations until the end of the examination cycle, which normally means the completion of the appeal process after the release of public assessment results. Samples of students' work can be kept as reference material for subsequent years.

Reporting of Results

22. Will SBA results be reported separately in the Diploma?

No, there will not be separate reporting of SBA results in the Diploma. As the areas assessed in the public examinations and SBA are both key learning objectives of the curriculum, candidates' performance will be reported on a subject basis in the Diploma. This practice will be adopted for all HKDSE subjects, including the two language subjects, which will have profile reporting of various language skills but not separate reporting of SBA results.

23. What results will be indicated in the Diploma for students who have completed the SBA but are absent from all public examination papers of a subject in the HKDSE Examination?

Students who do not sit any of the public examination papers will be regarded as absent from the subject concerned, whether or not their SBA marks have been submitted to the HKEAA before the examination. In such cases, the word "ABSENT" will be printed against the subject on the result notice and the subject will not be listed on the Diploma.

Supporting Measures

24. What kinds of support will the HKEAA provide to schools?

The HKEAA will provide assessment guidelines, detailed marking criteria and exemplars to ensure consistency in assessment standards. Professional development courses will be offered to subject teachers teaching senior secondary subjects. These programmes will continue to be run as long as there is demand.

25. Will the HKEAA disseminate SBA information and requirements to parents and students?

Yes, SBA related information will be posted on the HKEAA website for the information of teachers, students, parents and different stakeholders. Leaflets will also be published to inform parents and students of SBA requirements.

Arrangements for Deferral Subjects

26. How will candidates be assessed in the 2012 HKDSE for deferral subjects?

During the transition years, schools are not required to submit marks to the HKEAA, and public examination results will constitute 100% of the final subject result. For Literature in English, Music and Physical Education, candidates will be required to undertake an alternative assessment in lieu of SBA.

27. With regard to deferral subjects, will there be any feedback to schools during the transition years?

The HKEAA will conduct pilot studies during the transition years to monitor the conduct of SBA in schools. Feedback gathered through sharing sessions, focus groups and workshops etc will be shared with subject teachers in due course.

28. How can schools prepare for the SBA of deferral subjects?

During the transition years, schools are expected to conduct SBA activities as an integral part of the learning and teaching process as recommended in the curriculum and assessment guide, and as a part of schools' internal assessment practices. This will enable teachers to gain experience and get well prepared for the full implementation of SBA. A trial version of the SBA handbook for each of these subjects will be published for teachers' reference.