



Hong Kong Diploma of Secondary Education

Examination

2024

Literature in English

School-based Assessment Teachers' Handbook

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Preface

This Handbook serves as a guide for subject teachers administering school-based assessment (SBA) at their schools for the Hong Kong Diploma of Secondary Education (HKDSE) Examination Literature in English subject. Teachers are expected to comply with the requirements and procedures stipulated in this Handbook when conducting assessment activities.

Chapter 1 Introduction

1.1 Assessment Framework

The public assessment of this subject is based on the Literature in English Curriculum and Assessment Guide (Secondary 4 – 6) jointly prepared by the Curriculum Development Council and the Hong Kong Examinations and Assessment Authority (HKEAA).

The following table outlines the various components of the public assessment of Literature in English in the HKDSE Examination.

Component		Weighting	Duration	
Public Examination	Paper 1	Essay Writing	50%	3 hours
	Paper 2	Appreciation	30%	2 hours
SBA		20%		

1.2 Aims and Objectives

In the context of public assessment, SBA refers to assessments administered in schools and marked by the students' own teachers. The primary rationale for SBA in Literature in English is to enhance the validity of the overall assessment and extend it to include a more extensive range of learning outcomes through employing an assessment mode that is not possible in an examination setting.

SBA requires learners to demonstrate a range of skills related to the study of literature and the arts in the world beyond the classroom, to develop the ability to work independently and to adapt and improve on successive drafts as a result of teachers' feedback. To a certain extent, SBA also helps to prepare learners for the other components of the public examination.

There are some additional reasons for SBA in Literature in English. For example, it reduces dependence on the results of the examinations, which may not always provide the most reliable indication of the actual abilities of candidates. Assessments based on student work prepared over an extended period of time, and conducted by those who know the students best – their subject teachers – provide a more reliable assessment of each student.

Another reason for including SBA is to promote a positive 'backwash effect' on students, teachers and school staff. SBA can serve to motivate students by requiring them to engage in meaningful activities that lead to a more comprehensive assessment of their performance. It can also reinforce curriculum aims and good teaching practice, and provide structure and significance to an activity teachers are involved in on a daily basis in any case, namely, assessing their own students.

It should be noted that SBA is not an ‘add-on’ element in the curriculum. The modes of SBA adopted for Literature in English are normal in-class and out-of-class activities suggested in the curriculum. The requirement to implement the SBA will take into consideration the wide range of student ability and efforts will be made to avoid unduly increasing the workload of both teachers and students.

Chapter 2 Assessment Requirements

2.1 SBA Requirements

The SBA component of Literature in English constitutes 20% of the total weighting for the subject. It involves the preparation of

- an extended essay on a theme/work/writer connected to the learner's study in the subject OR
- an analytical study/review of a film/play/performance OR
- (a) piece(s) of creative writing

of around 2000 to 2500 words.

Work for the SBA component should be related to, but not exclusively or extensively based on, the set texts. Learners can use the texts they study as an inspiration for their SBA work, but they should not include detailed analysis of those works. Instead they should focus on other arts-related materials. In the context of this subject, 'arts' refers to activities such as literature, cinema, television, music, painting and dance, which people can take part in for the purposes of enjoyment, or to create various impressions and/or meanings.

The main prose or film works chosen for study should have been written or made originally in English. Studies of other cultural media should centre on the works of English-speaking artists or performers. Candidates should be encouraged to make connections between what they read and things occurring in Hong Kong and around the world. Cross-cultural references can be made in the work, e.g. comparing the set film with local films/television. Extended essays which deal exclusively with such subjects as history, sociology, psychology, science or liberal studies are not appropriate.

Submissions for SBA work should not exceed the word limit, which includes footnotes. Work should be typed on A4 paper with the task type(s) clearly indicated on the front cover and presented in a folder. SBA work will be collected by the school at the end of December preceding the year of the examination.

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. If a repeater studies in a school that offers Literature in English, the student has to be re-assessed in S6 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 Literature in English, 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.

Transfer students are S6 students sitting the examination for the first time, but who have transferred from one school to another after S5. Their SBA results obtained in S5 in the former school will not be counted.

S6 repeaters and transfer students may submit completely new work OR work which is largely the same as previously-submitted work, for example on the same texts or theme, as long as this has been reworked to some extent. They should not resubmit work which is exactly the same as that which was previously submitted. 'Reworking' refers to changing previously submitted work by, for example, adding, changing or removing sections or paragraphs; adding or removing citations to secondary sources; or rephrasing portions of the work.

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.

2.2 Guidance in Assessment Process

The SBA task provides students with an opportunity to work independently on producing a review or analytical study of a film/play/performance, (a) piece(s) of creative work such as a short story/play, or an extended essay on a theme/work/writer connected to learners' study of the subject. Parts of the SBA work should be completed in class for authentication purposes, but students should be encouraged to access resources at home or in the community to give substance to their work.

Although classwork may include discussions of themes relating to the curriculum which might be explored in the task, SBA work should be developed by individual students alone, and not be a collaborative effort.

Teachers should periodically check the students' work-in-progress and the sources cited to ensure that they are appropriate to the required tasks, do not stray beyond the specifications of the syllabus and that there is no plagiarism. Teachers should also encourage students to check their work for errors of grammar and spelling, and that there are no missing pages or sections. This will help to standardise the assessment process.

The SBA tasks can be easily integrated into learning and teaching activities in the classroom. A review, for example, requires the application of critical faculties, the expression of personal feelings and opinions, and demonstration of the knowledge of appropriate terminology relating to the genre being described. All of these are essential skills needed for the public examination. Similarly, an imaginative

expansion of one of the set texts, say, for example, a task requiring students to write an alternative ending to a novel or short story, practises skills common to both the public examination and the SBA task, and enhances knowledge and understanding of the themes, characters, tone etc. of the set texts. The extended essay on a theme/work/writer connected to learners' study in the subject might also shed light on the set writers/texts.

Due to the fact that the SBA tasks are complementary to the study of the set texts, along with the long time frame given for the completion of the tasks and the word limit, the demands on students' time are designed to be reasonable and to minimise the chance of them being overloaded.

Schools/teachers may, if they wish, request students to provide more than one piece of work during the course of study, and select the best one to submit as the SBA task.

2.3 Setting Assessment Tasks

As the objective of the Literature in English SBA component is to encourage independent study, teachers should in general avoid setting actual SBA tasks for students and should invite them to choose their own topics or texts to explore. Teachers can, of course, provide models of appropriate text-types for students' reference. For example, reviews from newspapers, magazines, internet sites and so forth can be used in the classroom to illustrate the features of the genre, and students may be given practice in different narrative or dramatic techniques in preparation for producing a piece of creative work. In general, encouraging students within the same class or school to look at different aspects/themes of the same work/writer is acceptable, providing it does not lead to situations where students are producing work with similar content, which would make discrimination more difficult. It should be remembered that SBA provides an opportunity for broadening the scope of creativity and independent thinking, so focusing students' attention narrowly on a restricted number of themes/writers would be contrary to the spirit of SBA. Care should also be taken to help students select a genre or topic which is not overly ambitious and which allows them to produce work commensurate with their ability.

2.4 Assessment Criteria

Each SBA submission must be considered on its own merits and should not be compared to work submitted by other candidates. Marks should be awarded according to the table on the following pages, which sets out the specific requirements for essays/reviews and creative work at each score band.

Teachers should give marks for what students have written and not deduct marks for what they have not written. The emphasis is on effective communication rather than language accuracy *per se*. Emphasising the ability to communicate effectively means rewarding those candidates who can write coherently and in a manner that is logical and easy to follow, and argue a case or give an opinion in a rational and lucid manner. Tone too is important.

Students who discuss films will probably need to include clearly-presented screen shots in their SBA submission, particularly if they are discussing cinematic or technical aspects of the work.

To aid in assessment, some guidance is given below on to what to expect from candidates in terms of content and structure. These guidelines are not prescriptive but are meant as suggestions and teachers should use their own discretion when using them.

The **film/play/performance review or analytical study** should be similar to those appearing in magazines or newspapers which attract a sophisticated, literate audience. These may convey impressions quite informally or in a humorous style. It may be necessary to include a background to the story/film/drama, and perhaps some biographical material, but the heart of the piece must still be the review/study, which involves critical analysis of the text in performance or on the screen. The nature of the text reviewed will largely dictate the tone and, in general, both should be congruent. Bibliographies are probably out of place in reviews/analytical studies.

Creative writing should tackle themes and issues in an imaginative and stimulating way. Desirable characteristics of creative work include the following:

Short fiction

- protagonist is believable and well-rounded
- plot contains only those elements which best take the drama forward
- there is a clear sense of development and time sequence
- dialogue (if any) is believable and fulfills the purpose of the story
- if there is a sub-plot, there is an appropriate balance between this and the main plot
- writing is linguistically accurate, and in a style appropriate to the chosen genre
- work demonstrates a clear understanding of the conventions of the intended genre, even if it subverts or plays with them

Poetry

- the linguistic elements of poetry (e.g. metre, rhyme) are well handled
- where the poem is supposed to be in a particular form (e.g. sonnet), this is reflected in its language, form and subject matter
- the poet demonstrates an ability to use various forms of figurative language (e.g. metaphor) appropriately
- there is evidence of conscious control of structural elements, such as changes in point of view and time, as the poem progresses
- the authorial voice is convincing

Students may complete a single piece of creative work or a number of shorter pieces (e.g. poems), as long as the total word count falls within the suggested range of about 2000 to 2500 words.

Extended essays are formal and academic, and will involve the statement and exposition of a thesis. The aim of an extended essay is to ‘find out’ something and there will be a conclusion. The candidate

will be expected to have consulted references which support the arguments being made in the essay, so there should be a bibliography or list of references at the end of the piece. There should also be consistent in-text referencing in the body of the essay, either in the form of parenthetical citations of the name of the source author and the year of publication (and, where appropriate, the page number), or in footnotes/endnotes.

The awarding of marks is based on the criteria below:

Score	Descriptor
29-33	Completely fulfills the requirements of the task in an exemplary manner
Essays/Reviews	
Content	Relevant and appropriate in terms of scope and shows a mastery of the topic
Arguments and claims made about the text(s)	Consistently clear, sensible and insightful arguments and claims
Textual evidence and examples to support claims	Consistently appropriate use of textual evidence
Language	Writing is complex and almost completely accurate and appropriate
Organisation and style	The way the writing is organised helps the reader to understand the work
Creative work	
Content	Appropriate in terms of scope. Highly engaging, extensive and original creative work Shows a great deal of sensitivity to character, plot and other relevant features
Language	Writing is complex and almost completely accurate and appropriate. Shows a great deal of sensitivity to tone and other relevant features
Organisation and style	Well-structured and demonstrate a firm grasp of the conventions and stylistic features of the genre the work represents
23-28	Fulfills the requirements of the task
Essays/Reviews	
Content	Mostly relevant and appropriate in terms of scope, although there may be some irrelevance and inappropriacy
Arguments and claims made about the text(s)	There are many clear, sensible and insightful arguments and claims, but there may be some inconsistency in this regard
Textual evidence and examples to support claims	There is evidence of appropriate use of textual evidence, but there may be some inconsistency in this regard
Language	There is evidence of complexity and the writing is mostly accurate and appropriate
Organisation and style	Helps the reader, but there may still be parts which are difficult to follow
Creative work	
Content	Mostly appropriate in terms of scope, although there may be some irrelevance and inappropriacy. Engaging, extensive and mostly original, showing sensitivity to character and plot
Language	There is evidence of complexity and the writing is mostly accurate and appropriate. Shows sensitivity to tone and other relevant features
Organisation and style	Largely well-structured and helps the reader, but there may still be parts which are difficult to follow. Demonstrates a grasp of the conventions and stylistic features of the genre the work represents

17-22		Mostly fulfills the requirements of the task	
Essays/Reviews			
Content		Relevant and appropriate in terms of scope	
Arguments and claims made about the text(s)		Some may be unclear, simplistic and limited but there are some better arguments and claims	
Textual evidence and examples to support claims		May be quite limited in terms of quantity and relevance, but some textual evidence is used appropriately	
Language		May be simple and contain some errors but there is evidence of some complexity and much of the writing is accurate and appropriate	
Organisation and style		Sometimes helps the reader, but may not do this consistently	
Creative work			
Content		Appropriate in terms of scope. A piece of work which may not be particularly engaging or extensive, but which has some positive features. Shows some sensitivity to character, plot and other relevant features	
Language		May be simple and contain some errors but there is evidence of some complexity and much of the writing is accurate and appropriate, although the tone may be inappropriate at times	
Organisation and style		Sometimes helps the reader, but may not do this consistently. Shows some sensitivity to tone. Demonstrates some understanding of the conventions and stylistic features of the genre the work represents	
11-16		Fulfills the requirements of the task to some extent	
Essays/Reviews			
Content		Relevant and appropriate in some places, but may be brief	
Arguments and claims made about the text(s)		Many may be unclear, limited and simple	
Textual evidence and examples to support claims		Limited in terms of quantity and relevance	
Language		Simple and/or inaccurate, and may impede communication	
Organisation and style		The work may sometimes be confusing to the reader	
Creative work			
Content		Relevant and appropriate in some places, but may be brief. Not particularly engaging or extensive but has a few positive features and shows some sensitivity to character and plot	
Language		Simple and/or inaccurate, and may impede communication. The tone may be inappropriate in places	
Organisation and style		The work may sometimes be confusing to the reader. Demonstrates some understanding of the obvious conventions and stylistic features of the genre the work represents	

6-10 Fulfills the requirements of the task to a limited extent	
Essays/Reviews	
Content	May be largely irrelevant or inappropriate, or very brief
Arguments and claims made about the text(s)	Very unclear, limited and simplistic
Textual evidence and examples to support claims	Very limited in terms of quantity and relevance
Language	Simple and/or inaccurate, and impedes communication
Organisation and style	The work is confusing to the reader
Creative work	
Content	May be largely irrelevant or inappropriate, or very brief, and is not engaging. Has a few positive features but does not show much sensitivity to character and plot
Language	Simple and/or inaccurate, and impedes communication. Tone may be inappropriate
Organisation and style	The work is very confusing to the reader. Demonstrates a lack of understanding of the most obvious conventions and stylistic features of the genre the work represents
1-5 Fulfills the requirements of the task to a very limited extent	
Essays/Reviews	
Content	May be almost all irrelevant and inappropriate, or very brief
Arguments and claims made about the text(s)	May not be understandable
Textual evidence and examples to support claims	May not be understandable. There may be some plagiarism
Language	Very simple and inaccurate, and impedes communication
Organisation and style	The work is very confusing to the reader
Creative work	
Content	May be almost all irrelevant and inappropriate, or very brief. Has very few positive features
Language	Very simple and inaccurate, and impede communication. Tone is inappropriate
Organisation and style	The work is very confusing to the reader. Demonstrates a lack of understanding of the most obvious conventions and stylistic features of the genre the work represents
0 Does not fulfill the requirements of the task	
	No assessable material
	Completely plagiarised

Chapter 3 Guidance in the Conduct of SBA

3.1 Provision of Information to Students

Students should be informed clearly at the beginning of the courses 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;
- the importance of academic honesty and proper conduct in SBA;
- guidance on how to quote and acknowledge sources properly in their SBA work; and
- record keeping requirements.

Students should be asked to sign a declaration form regarding proper conduct in SBA at the beginning of each school year in which SBA is undertaken. *(Please refer to Paragraph 3.3 for details.)*

After the completion of the marking, teachers are expected to provide feedback to students, including 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. Students should also be informed that the SBA marks awarded by the school are subject to moderation by the HKEAA and hence their marks may change after the moderation process. Details of the moderation mechanism are provided in Paragraph 5.2.

3.2 Guidance from Teachers

Teachers are expected to provide appropriate guidance to assist students in preparing for the completion of their work. Students should be informed of the assessment conditions and other related information, including how their work is to be assessed.

It is understandable that teachers' guidance is most valuable to students in the learning and teaching process. However, it must be emphasised that undue assistance should not be provided to students while undertaking assessments that will count towards their public assessment results. As a general rule of thumb, the guiding principle should be that the ability of an individual student is fairly assessed and that the work submitted for assessment is the student's original work. The teacher should take into consideration any additional assistance given to a student who experiences genuine difficulty in completing the tasks such that the marks awarded represent the student's own achievement. Works once submitted for final assessment cannot be revised and submitted for retrospective assessment. Interaction between teacher and students is encouraged to facilitate learning and teaching. For some tasks, interaction among students is also allowed during assessments, but this should be carefully monitored by the teacher so as to prevent plagiarism and disturbance.

It is appropriate for students to ask questions and for teachers to offer general advice at the initial stage, e.g. about alternative strategies that may be tried. However, teachers should not give specific guidance or detailed advice in such a way as to put into question the student's authorship of his/her work.

Teachers may give help, such as

- guiding students to develop effective time management for completing their work and advising students on the importance of keeping a complete record of their work;
- teaching students how to acknowledge information in their work when quoting from other sources;
- providing advice to students on the choice of appropriate topics for the assessment;
- asking questions or providing general advice to students after being presented with initial drafts of their work.

Teachers should not, however, extend their help to

- providing a detailed outline or specific suggestions to help students to complete or improve their work;
- rewriting the content of their work for students.

3.3 Authentication of Students' Work

- For tasks involving out of class activities, there should be a requirement that sufficient work is completed under direct supervision to allow teachers to authenticate students' work;
- Teachers are expected to closely monitor students' progress, and, if appropriate, arrange for critical parts to be completed in class.

Schools may consider adopting suitable measures to authenticate students' work. They may do this by

- ensuring that the tasks do not go into detail about the set texts;
- encouraging students to avoid exploring over-familiar themes;
- encouraging students to use a range of resources in their research, rather than one or two;
- ensuring that source materials are properly acknowledged, both in the text and in a list of References.

In order to strengthen the message to students about academic honesty and proper conduct in SBA, schools should ask their students to complete and sign a declaration form (*see Appendix E*) at the beginning of each school year in which SBA is undertaken to declare that all SBA tasks/assignments completed are their own and to agree to adhere to a code of honour in completing the SBA for all subjects. The declaration form is available on the HKEAA website (<http://www.hkeaa.edu.hk/en/sba/>).

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

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. Once the assessment is completed and marks submitted to the HKEAA, no further changes should be made to the students' work and assessment records.

3.4 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:

- conduct meetings among teachers to align the marking criteria;
- conduct trial marking of samples of students' work;
- adjust marks of some teachers, if necessary, to ensure consistency of assessment standards for the whole school; and
- 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.

3.5 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.

3.6 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.

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.

Chapter 4 Administrative Arrangements

4.1 Participating in SBA

SBA is compulsory for all school candidates. Schools which cannot comply with the requirements specified in this Handbook will not be eligible to present candidates to enter for the subject in the examination. Schools 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.

4.2 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 a zero mark 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.

4.3 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 in writing by the principal of the school for HKEAA's special consideration at the beginning of the school year. Such cases, once approved, may include exemption from part or all of the SBA task(s).

4.4 Submission of SBA Marks

The HKEAA will coordinate the deadlines of mark submission for different subjects. At the beginning of the course, the HKEAA will inform schools of these deadlines so that subject teachers can plan their SBA schedule for the year. Teachers should also inform students of these deadlines and set specific dates for students to complete their SBA work in accordance with their schools' schedule.

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 and training sessions will be 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.

In order to streamline the administrative procedures, schools are only required to **submit all S5 and S6 SBA marks to the HKEAA in one go in S6**. Regarding the adoption of this 'One-off Submission', the following points should be noted:

- (a) There is no change to the SBA requirements and how SBA is conducted in school. SBA should continue to be conducted in S5 and S6 according to the stipulated SBA requirements and schools' internal schedule.
- (b) The S5 SBA marks should be properly kept by the school for submission in S6. To facilitate schools to store the S5 SBA marks, the HKEAA will provide SBA mark sheet templates (in the format of MS Excel files) for teachers to input the SBA marks for internal record-keeping.
- (c) A list of frequently-asked questions concerning this measure can be found at < www.hkdse.hkeaa.edu.hk > SBA-FAQs for one-off submission of S5 and S6 SBA Marks.

4.5 Declaration Requirements

To prevent potential/perceived conflicts of interest, teachers conducting SBA have to declare whether the students they are assessing 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.

Apart from the provision of the declaration records to the HKEAA, school leaders are also expected to establish an internal system for directing teachers to make formal declaration of conflict of interest at the beginning of the school year in regard to their personal relationship with the students they teach, and to take appropriate actions to mitigate the declared interest, e.g. redeployment of teachers to avoid their conducting the assessments for the student(s) concerned, where applicable.

4.6 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 5 Moderation of SBA Marks

5.1 Rationale for Moderation of SBA Marks

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 where teachers assess students on the same tasks and using the same assessment criteria, teachers in one school may be harsher or more lenient in their judgements 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 ensure the comparability of SBA scores across schools.

5.2 Moderation Mechanism

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 judgement 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 the moderation mechanism are provided in the booklet *Moderation of School-based Assessment Scores in the HKDSE*, which is available on the HKEAA website (<http://www.hkeaa.edu.hk/en/sba/>).

The moderation 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 in advance on the criteria for awarding marks, so that the same standard of assessment is applied to all students. Teachers may refer to *Paragraph 3.4* for some recommended practices on within-school standardisation.

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.

Chapter 6 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.

6.1 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 (see *Paragraph 3.3 Authentication of Students' Work* for details). 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 suspected 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.

Plagiarism

Plagiarism in SBA is to be handled as described below, depending on the severity of the offence:

Category	Method of handling
Serious plagiarism cases (P cases): Serious cases in which nearly the whole or the whole SBA task/assignment is plagiarised, with very little or no contribution from the student.	To be forwarded to the HKEAA for follow up
Other plagiarism cases: Less serious cases, including - minor infringement identified in students' SBA work, or - part of the student's SBA work copied from source(s) without proper acknowledgement, but the student has made some contribution to the work.	To be handled by schools

Procedures for Handling P cases

Schools should submit a report on the P cases identified to the HKEAA for follow-up, after the completion of mark submission in S6. The report should record details of the case and be submitted with relevant documents. *Appendix F* shows a template of the report for schools' use in reporting such cases, which is available on the HKEAA website (<http://www.hkeaa.edu.hk/en/sba/>). When submitting the SBA marks to the HKEAA, schools should input "P" in the relevant mark box for the student concerned.

These P cases will be deliberated by the HKEAA's Standing Committee and, for proven cases, a recommendation will be made to the Public Examinations Board (PEB) for their consideration. The PEB will review all the information and evidence and decide on the penalty to be imposed in accordance with the Board's guidelines on handling examination irregularities. The levels of penalty to be imposed for proven P cases are as follows:

- (a) **Zero marks** will be given to the task in which serious plagiarism is proven. In addition, a penalty of **downgrade by one level** will be imposed in the subject concerned.
- (b) For extreme cases, e.g. repeated offence of plagiarism, candidates may be subject to **disqualification from the subject(s) concerned or the whole examination**.

Procedures for Handling Other Plagiarism Cases

Other less serious cases are to be dealt with by the school. These cases need not be reported to the HKEAA for follow-up. However, schools should keep a proper record of such cases.

For proven cases, schools should impose an appropriate penalty in accordance with the school regulations and the HKEAA guidelines, taking into consideration the seriousness of the offence. This may include:

- issuing a warning letter to the students (e.g. for minor offence due to negligence or committed at the initial stage of the assessment);
- deducting marks for the task concerned; and
- awarding zero marks for the task concerned.

It is important to note that in marking students' work, any proven plagiarised material should be disregarded and any marks awarded should be based on the students' own work only.

After the release of examination results, candidates may only submit applications to the HKEAA for rechecking of their SBA marks but cannot apply for a re-assessment of their performance in SBA. Hence it is important that students should be informed of the penalty imposed. Schools should handle any queries from students against assessment decisions in accordance with their established internal procedures. Any queries from students should be resolved before submitting the SBA marks to the HKEAA.

Plagiarism Cases Identified by the HKEAA

After the completion of mark submission in S6, the HKEAA will conduct moderation of SBA marks and review samples of student work collected from schools. Any suspected plagiarism cases identified during this process will be handled in a consistent manner, like those identified by schools.

Schools will be required to follow up on any suspected cases identified. Both P cases and other less serious cases will be handled following similar procedures, as stipulated above.

6.2 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.

In completing the SBA, students can make reference to any sources (books, newspapers, magazines, the Internet etc.) and/or discuss with their peers/parents but they must not plagiarise when completing their work. They should acknowledge sources properly in their work. Some examples of how to acknowledge sources properly are provided in the booklet *HKDSE Information on School-based Assessment*, which is available on the HKEAA website (<http://www.hkeaa.edu.hk/en/sba/>).

Roles and Responsibilities of the HKEAA, EDB, Schools and Students

The following summarises the roles and responsibilities of different parties involved in the administration of the SBA, including the HKEAA, the Education Bureau (EDB), schools (principals and teachers) and students.

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.

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).

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, assessment records and samples of students' work 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.

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.

Roles and Responsibilities of 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:

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;
6. make recommendations to the HKEAA regarding SBA moderation;
7. advise on the cut score of each reporting level during the grading meeting (if applicable); and
8. write a report on the conduct of SBA and submit it to the HKEAA at the end of the school year.

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.

SBA School Coordinators

The School Coordinator for Literature in English, 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.

Calendar of Events

The following table shows a tentative schedule of SBA events for the 2024 HKDSE Literature in English Examination:

School Year	Month	Event
S4	September 2021	2024 SBA handbook uploaded to the HKEAA website (http://www.hkeaa.edu.hk/en/sba/)
	September – November 2021	SBA conference and group meetings: <ul style="list-style-type: none"> • Introduction of Supervisors and District Coordinators • Latest information about the SBA
	March – July 2022	School visits by District Coordinators
S5	September 2022	Schools to provide the following information to the HKEAA: <ul style="list-style-type: none"> • Name(s) of and relevant information about S5 teachers
	September – November 2022	SBA conference and group meetings: <ul style="list-style-type: none"> • Updates on SBA • Experience sharing on SBA
	September 2022 – May 2023	<ul style="list-style-type: none"> • School visits by District Coordinators • S5 teachers to conduct SBA activities according to school's assessment plan
S6	September 2023	Schools to provide the following information to the HKEAA: <ul style="list-style-type: none"> • Name(s) of and relevant information about S6 teachers
	September – November 2023	SBA conference and group meetings: <ul style="list-style-type: none"> • Feedback to schools on SBA (Trial) • Updates on SBA
	September – December 2023	<ul style="list-style-type: none"> • School visits by District Coordinators • S6 teachers to conduct SBA activities according to schools' assessment plan
	January – February 2024	Schools to submit S5 and S6 SBA marks and samples of students' work to the HKEAA
	March – May 2024	SBA marks to be analysed and moderated by the HKEAA.
	July 2024	Release of 2024HKDSE Examination Results
	October 2024	Schools to receive feedback on the outcome of moderation

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.

Hong Kong Diploma of Secondary Education Examination
Student Declaration Form for School-based Assessment (SBA)
Completed in the School Year 20__ - __

Notes:

1. This form should be signed by senior secondary students at the beginning of each school year in which SBA is undertaken. Only one form needs to be completed by each student.
2. The completed form should be retained by the school until the end of the public examination cycle.

School Name: _____

Student's Name: _____

Class: _____ Class No: _____

Important Reminder to Students:

1. It is of utmost importance that academic honesty is maintained in SBA. Students are forbidden to indulge in any malpractice when completing their assessments.
2. Student can make reference to sources but must not plagiarise when completing their work. They should write in their own words and should not simply copy others' words or ideas and present them as their own. If necessary, they can quote or make reference to something written by another author in their work, as long as they ensure that these quotes or references are identified and the sources properly acknowledged.
3. Students are advised not to quote excessively in their work, as this would mean that they themselves could only make a minimal contribution to that piece of work and consequently they would be likely to get low marks from their teacher.
4. Students can make reference to the booklet "*HKDSE Information on School-based Assessment*", (<http://www.hkeaa.edu.hk/en/sba/>). Some examples on how to quote and acknowledge sources properly are provided in the booklet.
5. Students will be subject to severe penalties for proven plagiarism. The HKDSE Examination Regulations stipulate that a candidate may be liable to disqualification from the subject concerned or the whole of the Examination, or suffer a mark or grade penalty for breaching the Regulations.

I certify that I have read the above Reminder and declare that:

- All SBA tasks/assignments work to be completed for all subjects in this school year will be my own work.
- My SBA work will not include any materials which have been copied from other sources without acknowledgement.
- I am responsible for ensuring that the work produced is my own and will bear the consequences for committing plagiarism or other malpractice in SBA.

Student's signature: _____ Date: _____

**Hong Kong Diploma of Secondary Education Examination
Plagiarism Report in School-based Assessment (SBA)**

Notes:

1. Details of serious plagiarism cases (*P* cases) are to be recorded in this report, which should be submitted to the HKEAA for follow-up after the completion of the mark submission in S6, together with relevant documents.
2. When submitting the SBA marks to the HKEAA, schools should put “P” in the relevant mark box for the student concerned.

School Name: _____
 Student's Name: _____ Candidate No.: _____
 Class: _____ Class No.: _____
 Subject: _____

Case Summary

	Details / Remarks
Task/assignment involved	
Date of completion of the task/assignment	
Irregularities identified	<p><i>(Please tick as appropriate)</i></p> <input type="checkbox"/> Nearly the whole task/assignment is plagiarised <input type="checkbox"/> The whole task/assignment is plagiarised <input type="checkbox"/> Others (please specify): _____ _____
Documentation	<p>The following documents are submitted as evidence:</p> <ol style="list-style-type: none"> 1. The SBA task/assignment 2. The student's work, with the plagiarised part(s) highlighted 3. The source material(s) from which the unacknowledged work is copied 4. Others (<i>please specify</i>): _____ _____
Follow-up actions taken	<p>Student was interviewed on _____ (Date) and informed about the submission of this report to the HKEAA.</p> <p>Others (<i>please specify</i>): _____ _____</p>

Contact Person

Name: _____ Post: _____

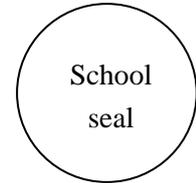
Telephone No.: _____

Signature of Subject Teacher

Signature of Principal

Name of Subject Teacher

Name of Principal



Date