

# Human-AI Collaborative Essay Scoring: A Dual-Process Framework with LLMs

Anonymous EMNLP submission

## Abstract

Receiving timely and personalized feedback is essential for second-language learners, especially when human instructors are unavailable. This study explores the effectiveness of Large Language Models (LLMs), including both proprietary and open-source models, for Automated Essay Scoring (AES). Through extensive experiments with public and private datasets, we find that while LLMs do not surpass conventional state-of-the-art (SOTA) grading models in performance, they exhibit notable consistency, generalizability, and explainability. We propose an open-source LLM-based AES system, inspired by the dual-process theory. Our system offers accurate grading and high-quality feedback, at least comparable to that of fine-tuned proprietary LLMs, in addition to its ability to alleviate misgrading. Furthermore, we conduct human-AI co-grading experiments with both novice and expert graders. We find that our system not only automates the grading process but also enhances the performance and efficiency of human graders, particularly for essays where the model has lower confidence. These results highlight the potential of LLMs to facilitate effective human-AI collaboration in the educational context, potentially transforming learning experiences through AI-generated feedback.

## 1 Introduction

Writing practice is an essential component of second-language learning. While the provision of timely and reliable feedback poses a considerable challenge for educators in China due to the high student-teacher ratio. This limitation hampers students' academic progress, especially those who are keen on self-directed learning. Automated Essay Scoring (AES) systems provide valuable assistance to students by offering immediate and consistent feedback on their work, and also simplifying the grading process for educators.

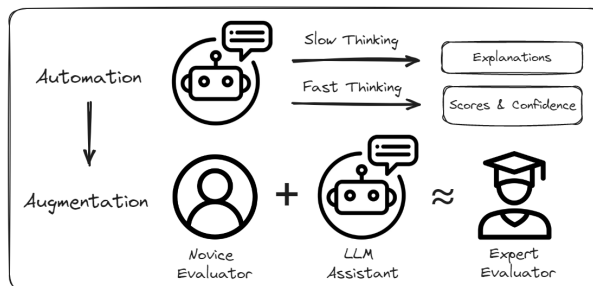


Figure 1: Our study reveals that LLM-based essay scoring systems can not only automate the grading process, but also elevate novice evaluators to the level of experts.

However, implementing AES systems effectively in real-world educational scenarios presents several challenges. First, the diverse range of exercise contexts and the inherent ambiguity in scoring rubrics complicate the ability of traditional models to deliver accurate scores. Second, interviews with high school teachers indicate that despite receiving accurate score predictions, they must still review essays to mitigate potential errors from the models. Consequently, relying exclusively on this system without human supervision is impractical in real-world scenarios. Thus, there is a clear need for AES systems that not only predict scores accurately but also facilitate effective human-AI collaboration. This should be supported by natural language explanations and additional assistive features to enhance usability.

To effectively tackle these challenges, it is crucial to highlight the latest advancements in the field of Natural Language Processing (NLP), particularly focusing on the development of large language models (LLMs). LLMs, such as OpenAI's ChatGPT <sup>1</sup>, not only showcase impressive capabilities of robust logical reasoning but also exhibit a remarkable ability to comprehend and faithfully follow human instructions (Ouyang et al., 2022). Furthermore, recent studies have highlighted the

<sup>1</sup><https://chat.openai.com>

potential of leveraging LLMs in AES tasks (Mizumoto and Eguchi, 2023; Yancey et al., 2023; Naismith et al., 2023).

In this study, we explore the potential of proprietary and open-source LLMs such as GPT-3.5, GPT-4, and LLaMA3 for AES tasks. We conducted extensive experiments with public essay-scoring datasets as well as a private collection of student essays to assess the zero-shot and few-shot performance of these models. Additionally, we enhanced their effectiveness through supervised fine-tuning (SFT). Drawing inspiration from the dual-process Theory, we developed an AES system based on LLaMA3 that matches the grading accuracy and feedback quality of fine-tuned LLaMA3. Our human-LLM co-grading experiment further revealed that this system significantly improves the performance and efficiency of both novice and expert graders, offering valuable insights into the educational impacts and potential for effective human-AI collaboration. Overall, our study contributes three major advancements to the field:

- We pioneer the exploration of LLMs’ capabilities as AES systems, especially in complex scenarios featuring tailored grading criteria. Leveraging dual-process theory, our novel AES framework demonstrates remarkable accuracy, efficiency, and explainability.
- We introduce an extensive essay-scoring dataset, which includes 13,372 essays written by Chinese high school students. These essays are evaluated with multi-dimensional scores by expert educators. This dataset significantly enhances the resources available for AI in Education (AIEd)<sup>2</sup>.
- Our findings from the human-LLM co-grading task highlight the potential of LLM-generated feedback to elevate the proficiency of individuals with limited domain expertise to a level akin to that of experts. Additionally, it enhances the efficiency and robustness of human graders by integrating model confidence scores and explanations. These insights set the stage for future investigation into human-AI collaboration and AI-assisted learning within educational contexts.

<sup>2</sup>Codes and resources can be found in <https://anonymous.4open.science/r/LLM-AES-1EC4>

## 2 Related Work

### 2.1 Automated Essay Scoring (AES)

**Traditional Methods** Automated Essay Scoring (AES) stands as a pivotal research area at the intersection of NLP and education. Traditional AES methods are usually regression-based or classification-based machine learning models (Sultan et al., 2016; Mathias and Bhattacharyya, 2018b,a; Salim et al., 2019) trained with textual features extracted from the target essays. With the advancement of deep learning, AES has witnessed the integration of advanced techniques such as convolutional neural networks (CNNs) (Dong and Zhang, 2016), long short-term memory networks (LSTMs) (Taghipour and Ng, 2016), and also pre-trained language models (Rodriguez et al., 2019; Lun et al., 2020). These innovations have led to more precise score predictions, and state-of-the-art methods are primarily based on Bidirectional Encoder Representations from Transformers (BERT) (Yang et al., 2020; Wang et al., 2022; Boquio and Naval, 2024).

**LLM Applications in AES** Recent studies have explored the potential of leveraging the capabilities of modern LLMs in AES tasks. Mizumoto and Eguchi (2023) provided ChatGPT with specific IELTS scoring rubrics for essay evaluation but found limited improvements when incorporating GPT scores into the regression model. In a different approach, Yancey et al. (2023) used GPT-4’s few-shot capabilities to predict Common European Framework of Reference for Languages (CEFR) levels for short essays written by second-language learners. However, the Quadratic Weighted Kappa (QWK) scores still did not surpass those achieved by the XGBoost baseline model or human annotators. Similarly, Han et al. (2023); Stahl et al. (2024) introduced prompting frameworks that did not outperform the conventional baselines.

### 2.2 AI-Assisted Decision Making

Researchers have extensively investigated human-AI teams, in which AI supports the decision-making process by providing recommendations or suggestions, while the human remains responsible for the final decision (van den Bosch et al., 2019). The objective of such human-AI collaboration is to achieve complementary performance, where the combined team performance exceeds that of either party operating independently (Bansal et al., 2021). To realize this, it is crucial to design an

163	AI-assisted decision-making process that allows	English teachers following the scoring guidelines	210
164	humans to effectively monitor and counteract any	of the Chinese National College Entrance Exam-	211
165	unpredictable or undesirable behavior exhibited by	ination (Table 8). Scoring was comprehensively	212
166	AI models (Eigner and Händler, 2024). This design	assessed across three critical dimensions: Content,	213
167	aims to leverage the strengths of both humans and	Language, and Structure, with an Overall Score	214
168	AI to enhance overall performance (Holstein and	ranging from 0 to 20. More descriptions of the two	215
169	Aleven, 2022). To our knowledge, no studies have	datasets are presented in Appendix A.	216
170	yet investigated AES systems from this angle of		
171	collaborative co-grading.		
172	<b>2.3 Dual-Process Theory</b>	<b>4 Methods</b>	217
173	Recent studies have developed architectures that	In this section, we present the details of the models	218
174	imitate human cognitive processes to enhance the	used in this study, including traditional AES base-	219
175	capabilities of LLMs, particularly in reasoning and	lines, LLM-based approaches, and our proposed	220
176	planning (Benfeghoul et al., 2024). According	Fast and Slow Thinking AES framework.	221
177	to dual-process theory in psychology (Wason and		
178	Evans, 1974; Daniel, 2017), human cognition op-	<b>4.1 Traditional Essay Scoring Baselines</b>	222
179	erates via two distinct systems: System 1 involves	<b>BERT Classifier</b> Similar to the model used in	223
180	rapid, intuitive "Fast Thinking", while System 2	Yang et al. (2020); Han et al. (2023)'s work, we	224
181	entails conscious and deliberate "Slow Thinking"	implemented a simple yet effective baseline model	225
182	processes. LLM architectures inspired by this the-	for score prediction based on BERT. This model	226
183	ory have been implemented in complex interactive	integrated a fully connected prediction layer fol-	227
184	tasks (Lin et al., 2024; Tian et al., 2023), aiming	lowing the BERT output, and the BERT parameters	228
185	to mitigate issues like social biases (Kamruzzaman	remained unfrozen during training. Both the BERT	229
186	and Kim, 2024) and hallucination (Bellini-Leite,	model and the prediction layer were jointly trained	230
187	2023). These adaptations have demonstrated im-	on the training essay set (details in Appendix B).	231
188	proved performances in various areas.		
189	<b>3 Data</b>	<b>SOTA baselines</b> We also incorporate models	232
190	<b>ASAP dataset</b> The Automated Student Assess-	such as $R^2BERT$ (Yang et al., 2020) and <i>Tran-</i>	233
191	ment Prize (ASAP <sup>3</sup> ) dataset, stands as one of the	<i>BERT-MS-ML-R</i> (Wang et al., 2022), which repre-	234
192	most commonly used publicly accessible resources	sent the highest levels of performance in the ASAP	235
193	Automated Essay Scoring (AES) tasks. This com-	AES task. These models serve as the high-level	236
194	prehensive dataset comprises a total of 12,978 es-	benchmarks against which we evaluate the perfor-	237
195	says, encompassing responses to 8 distinct prompts.	mance of our LLM-based models.	238
196	Each essay has been evaluated and scored by hu-		
197	man annotators. Essay sets are also accompa-	<b>4.2 Prompting LLMs</b>	239
198	nied by detailed scoring rubrics, each tailored with	We considered various prompting strategies includ-	240
199	unique scoring guidelines and score ranges. These	ing with or without detailed rubrics context, zero-	241
200	intricacies are essential as they cater to the multi-	shot or few-shot settings. An illustrative example	242
201	faceted requirements and diverse scenarios of AES.	of a prompt and its corresponding model-generated	243
202		output can be found in Table 9 in the Appendices.	244
203	<b>Our Chinese Student English Essay (CSEE)</b>	<b>GPT-4, zero-shot, without rubrics</b> In this set-	245
204	<b>dataset</b> We have developed a novel English essay	ting, we simply provide the prompt and the target	246
205	scoring dataset specifically designed for AES tasks.	essay to GPT-4. The model then evaluates the es-	247
206	The dataset was carefully curated in collaboration	say and assigns a score based on its comprehension	248
207	with 29 high schools in China, encompassing a to-	within the specified score range.	249
208	tal of 13,372 student essays responding to two dis-	<b>GPT-4, zero-shot, with rubrics</b> Alongside the	250
209	distinct prompts used in final exams. The evaluation	prompt and the target essay, we also provide GPT-4	251
	of these essays was carried out by highly experienced	with explicit scoring rubrics, guiding its evaluation.	252
		<b>GPT-4, few-shot, with rubrics</b> In addition to the	253
		zero-shot settings, the few-shot prompts include	254
		sample essays and their corresponding scores. This	255

<sup>3</sup><https://www.kaggle.com/c/asap-aes>.

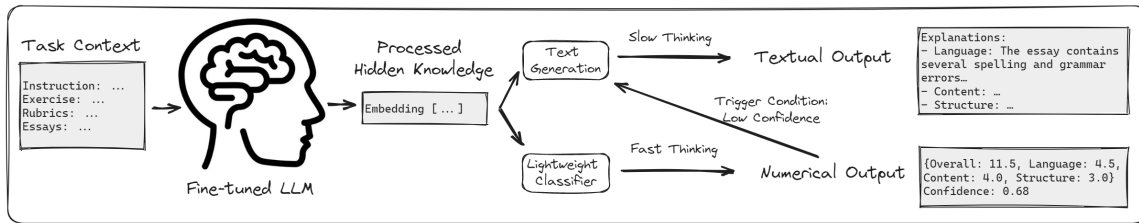


Figure 2: Our proposed Fast and Slow Thinking AES framework.

256 assists GPT-4 in understanding the latent scoring  
 257 patterns. With the given prompt, target essay, scor-  
 258 ing rubrics, and a set of  $k$  essay examples, GPT-4  
 259 provides an appropriate score reflecting this en-  
 260 riched context. See Appendix C for details.

261 In all these configurations, we adopted the Chain-  
 262 of-Thought (CoT) (Wei et al., 2022) strategy. This  
 263 approach instructed the LLM to analyze and ex-  
 264 plain the provided materials before making final  
 265 score determinations. Studies (Lampinen et al.,  
 266 2022; Zhou et al., 2023; Li et al., 2023) have shown  
 267 that this structured approach significantly enhances  
 268 the capabilities of the LLM, optimizing perfor-  
 269 mance in tasks that require inference and reasoning.

### 270 4.3 Fine-tuning LLMs

271 We conducted additional investigations into the  
 272 effectiveness of supervised fine-tuning methods.  
 273 Given that the ASAP and our CSEE dataset only  
 274 include scores without expert explanations, we aug-  
 275 mented these original datasets with explanations  
 276 generated by GPT-4. To guide the explanation gen-  
 277 eration process, we provided GPT-4 with a few  
 278 expert-curated explanations and a structured tem-  
 279 plate. By organizing the data into an instructional  
 280 format, we created fine-tuning inputs that enable  
 281 the LLMs to not only generate accurate scores but  
 282 also provide high-quality feedback.

283 We first fine-tuned OpenAI’s *GPT-3.5-turbo*, one  
 284 of the best-performing LLMs. However, due to the  
 285 proprietary nature of GPT-3.5 and considerations  
 286 such as data privacy, training and inference costs,  
 287 and flexibility in fine-tuning, we also fine-tune an  
 288 LLaMA3-8B<sup>4</sup> model with both original and aug-  
 289 mented datasets. This recent open-source model  
 290 mitigates these concerns and has remarkable capa-  
 291 bilities, making it a more practical choice for use  
 292 in educational scenarios.

<sup>4</sup><https://llama.meta.com/llama3/>

### 293 4.4 Our Proposed Method

294 As previously mentioned, score prediction and ex-  
 295 planation generation are distinct but interrelated  
 296 tasks within the context of AES. Explanation gen-  
 297 eration, which covers the evaluation of content,  
 298 language, and structure, necessitates deliberate and  
 299 meticulous reasoning. On the other hand, score  
 300 prediction can either be a swift process based on  
 301 intuition and experiences or concluded after step-  
 302 by-step inference. These features align with the  
 303 idea of dual-process theory. Consequently, we have  
 304 designed an integrated system that includes sepa-  
 305 rate modules for each task: the Fast Module for  
 306 quick score prediction and the Slow Module for  
 307 detailed explanation generation. The framework of  
 308 our proposed AES system is shown in Figure 2.

309 **Slow Module: Fine-tuned LLM** The Slow Mod-  
 310 ule forms the core of our AES system, capable  
 311 of analyzing essays in depth, providing evidence  
 312 based on specific rubrics, and deriving appropri-  
 313 ate scores. This detailed process is time-intensive  
 314 but yields valuable natural language reasoning that  
 315 informs the final grading decision. In this study,  
 316 we implemented the fine-tuned LLaMA3-8B as the  
 317 Slow Module. It is worth noting that this module  
 318 is interchangeable with any other qualified LLM,  
 319 demonstrating the flexibility of our framework.

320 **Fast Module: Lightweight Classifier** In many  
 321 cases, swift score prediction is preferable to de-  
 322 tailed reasoning. To reduce the time and compu-  
 323 tational cost associated with generating detailed  
 324 explanations, we introduced a simple fully con-  
 325 nected layer as a bypass before the initiation of  
 326 text generation by the Slow Module. By using only  
 327 the embeddings of the input text, the Fast Module  
 328 not only conserves resources but also leverages the  
 329 latent knowledge acquired during the fine-tuning  
 330 of the Slow Module, aligning with the ‘intuitive’  
 331 facet of Fast Thinking.

332 When to switch from the Fast to Slow Thinking  
 333 module is one of the challenges in the design of

dual-process LLM. Previous frameworks employed heuristic rules or error feedback as the triggering criteria (Lin et al., 2024; Tian et al., 2023), which might be impractical in real-world cases. Our Fast module also calculates the probabilities of each possible output score, which we standardize and treat as confidence scores. Predictions with low confidence are considered unreliable, triggering the Slow Module for self-reflection, or passing to external judges (either human or AI). This design aims to enhance essay scoring accuracy and foster effective human-AI collaboration, potentially elevating the complementary team performance.

For training, we first fine-tune the Slow Module using our explanation-augmented dataset. Subsequently, we employ the Slow Module to derive input embeddings, which, paired with the rated scores, are used to train the Fast Classifier from scratch. During inference, essay inputs initially pass through the fine-tuned LLM and are transformed into the embedding format. They are then processed by the Fast Module to quickly derive scores. The Slow Module is activated only when prediction confidence is low or based on specific additional requirements.

## 5 Experimental Results

### 5.1 Performance of LLM-based Methods

We conducted experiments across all eight subsets of the ASAP dataset using both the LLM-based methods and baseline approaches. We adopted Cohen’s Quadratic Weighted Kappa (QWK) as our primary evaluation metric, which is the most widely recognized automatic metric in AES tasks (Ramesh and Sanampudi, 2022). A higher QWK value indicates a greater degree of agreement between the predicted score and the ground truth. For methods requiring a training dataset, we divided the data for each subset using an 80:20 split ratio between training and testing.

Our extensive experiments, as detailed in Table 1, revealed that despite using carefully curated prompts and providing detailed context, the zero-shot and few-shot capabilities of GPT-4 did not yield high QWK scores on the ASAP dataset. In zero-shot scenarios, GPT-4’s performance was notably low, with some subsets scoring nearly as poorly as random guessing. For instance, Set 1 recorded a QWK of 0.0423 and Set 7 a QWK of 0.0809. This underperformance may be due to the broad scoring ranges and complex rubrics in

ASAP, suggesting that even advanced LLMs like GPT-4 may struggle to fully comprehend and adhere to complicated human instructions. In few-shot settings, although there was an improvement in scoring performance, particularly for Sets 4-6, GPT-4 still significantly lagged behind SOTA grading methods. This is consistent with findings from recent studies that utilize LLMs for essay scoring.

When fine-tuned with the training dataset, the LLMs demonstrated significantly improved performance compared to the zero-shot and few-shot results, with QWK scores generally exceeding 0.7. However, these fine-tuned LLMs still did not surpass traditional SOTA methods. Within our framework, the performance of the fine-tuned open-source LLaMA3-8B was comparable to that of fine-tuned proprietary models. Even simple supervised fine-tuning (SFT) of LLaMA3 achieved notable results, suggesting that open-source LLMs might be a cost-effective choice for AES tasks. The findings from our CSEE dataset (see Table 2) align with those on the ASAP dataset, indicating that our framework predicts reliable scores across content, language, and structure dimensions.

Although LLMs do not match traditional methods in terms of scoring accuracy, they excel at generating detailed explanations, benefiting both educators and students. Notably, when trained to produce both scores and explanations in a single output (our proposed Slow Module), LLaMA3-8B experienced a performance drop in grading accuracy. This decrease may be attributed to the model’s optimization process, where numerical score values are treated similarly to textual data in the output, leading to suboptimal accuracy. In our Fast and Slow Thinking framework, however, separating numerical from textual outputs and integrating them based on a trigger condition improved the QWK scores, enhancing collaborative performance. Additionally, we evaluated the quality of explanations generated by our AES system against those produced by GPT-4. Through a comparison competition among crowdsourced workers, analyzing 20 sets of paired essay grading explanations, our system achieved a win rate of 35%, a tie rate of 40%, and a loss rate of 25%. These results demonstrate that our explanations are of high quality and comparable to those generated by GPT-4.

### 5.2 Further Analyses

**Consistency** To assess the consistency of scores predicted by LLM-based methods, we conducted

Table 1: Comparison of QWK scores for LLM-based methods and the baselines under the ASAP dataset. The "E." column indicates whether the model output includes natural language explanations alongside the predicted scores.

	E.	Set 1	Set 2	Set 3	Set 4	Set 5	Set 6	Set 7	Set 8	Avg.
BERT Classifier	✗	0.6486	0.6284	0.7327	0.7669	0.7432	0.6810	0.7165	0.4624	0.6725
Tran-BERT-MS-ML-R	✗	0.8340	0.7160	0.7140	0.8120	0.8130	0.8360	0.8390	0.7660	0.7910
R <sup>2</sup> BERT	✗	0.8170	0.7190	0.6980	0.8450	0.8410	0.8470	0.8390	0.7440	0.7940
GPT-4, zero-shot, w/o rubrics	✓	0.0423	0.4017	0.2805	0.5571	0.3659	0.5021	0.0809	0.4188	0.3312
GPT-4, zero-shot, with rubrics	✓	0.0715	0.3003	0.3661	0.6266	0.5227	0.3448	0.1101	0.4072	0.3437
GPT-4, few-shot, with rubrics	✓	0.2801	0.3376	0.3308	0.7839	0.6226	0.7284	0.2570	0.4541	0.4743
Fine-tuned GPT-3.5	✗	0.7406	0.6183	0.7041	<b>0.8593</b>	0.7959	<b>0.8480</b>	<b>0.7271</b>	<b>0.6135</b>	<b>0.7384</b>
Fine-tuned LLaMA3	✗	0.7137	<b>0.6696</b>	0.6558	0.7712	0.7452	0.7489	0.6938	0.2952	0.6617
Ours	✓	<b>0.7612</b>	0.6517	<b>0.7238</b>	0.8093	<b>0.8118</b>	0.7764	0.7071	0.4885	0.7162
Fast module	✗	0.7580	0.6395	0.7228	0.7995	0.8023	0.7753	0.7157	0.5075	0.7151
Slow module	✓	0.6048	0.5621	0.5700	0.6992	0.6774	0.5943	0.5772	0.2677	0.5691

Table 2: Comparison of QWK scores for LLM-based methods and the baselines under our CSEE dataset. The "E." column indicates whether the model output includes natural language explanations alongside the predicted scores.

	E.	Overall	Content	Language	Structure
BERT Classifier	✗	<b>0.7674</b>	0.7312	0.7203	0.6650
GPT-4, zero-shot, w/o rubrics	✓	0.4688	0.4412	0.3081	0.5757
GPT-4, zero-shot, with rubrics	✓	0.5344	0.5391	0.4660	0.4256
GPT-4, few-shot, with rubrics	✓	0.6729	0.6484	0.6278	0.4661
Fine-tuned GPT-3.5	✗	0.7532	0.7241	<b>0.7513</b>	0.6576
Fine-tuned LLaMA3	✗	0.7544	0.7321	0.7084	0.6461
Ours	✓	0.7634	<b>0.7347</b>	0.7192	<b>0.6656</b>
Fast module	✗	0.7364	0.7272	0.7072	0.6627
Slow module	✓	0.7310	0.6810	0.6990	0.6412

the same experiment three times, each with the *temperature* parameter of the LLMs set to 0. We observed that over 80% of the ratings remained unchanged across these trials, indicating a high level of consistency. We then computed the average of these three values to determine the final results.

**Generalizability** The eight subsets of the ASAP dataset, featuring diverse scoring criteria and ranges, serve as an excellent framework for evaluating the generalization capabilities of models. For methods such as fine-tuning and traditional baselines that require training data, we first trained the models on one subset and then assessed their performance across the remaining datasets. For example, we trained on Set 1 and tested on Sets 2-8, keeping the model weights fixed. We selected fine-tuned GPT-3.5 and the BERT Classifier to represent LLM-based and traditional methods, respectively. As detailed in Table 7, our fine-tuned GPT-3.5 generally outperformed the BERT classifier, although

there were instances of underperformance, notably when trained on Set 4 and tested on Sets 1 and 7. The BERT classifier showed particularly weak generalization when trained on Sets 7 and 8, performing close to random guessing.

**Prediction Confidence and Self-Reflection** To assess the reliability of confidence scores, we segmented the test samples based on the output confidence and observed a strong correlation between these scores and model performance in Figure 3. The trigger condition for switching from the Fast to the Slow Module is set when the confidence score falls below 0.2. Although the Slow Module generally exhibits lower performance compared to the Fast Module, the overall performance of the integrated system improved. This enhancement suggests that employing detailed reasoning for cases with low confidence is an effective grading strategy.

**Time Efficiency** Training the Slow Module for each epoch with our explanation-augmented

dataset requires around 2 hours using an RTX 4090 24GB GPU, and the inference process consumes about 10 GPU hours. Meanwhile, training the Fast Module takes less than 0.5 hours, and scoring predictions are completed in just 0.2 hours. Our proposed framework, which incorporates a confidence trigger condition, offers an effective trade-off by enhancing both accuracy and efficiency.

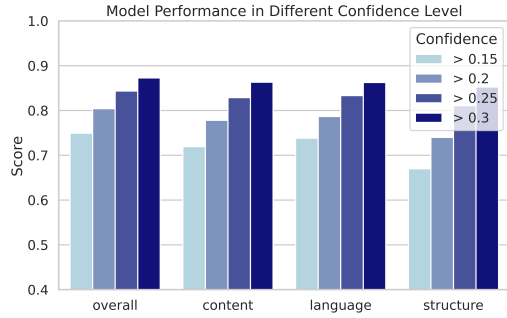


Figure 3: QWK scores of our Fast module in different confidence levels.

## 6 Human-AI Co-Grading Experiment

Given that the AES system not only provides score predictions but also functions as a teammate to educators, we further explore the effectiveness of our proposed system in assisting human grading.

### 6.1 Experiment Design

To investigate the performance of human-only, AI-only, and human-AI team collaboration, we conducted a two-stage within-group experiment. We randomly selected 50 essays from the test set of our CSEE dataset, all on the same topic. We recruited 10 college students from a Normal University in Beijing, who are prospective high school teachers with no current grading experience, to serve as novice evaluators. Additionally, 5 experienced high school English teachers participated as expert evaluators. Initially, all evaluators graded the essays independently using standard rubrics. Subsequently, they were provided with the scores, prediction confidence levels, and explanations generated by our AES system and had the option to revise their initial scores based on this augmented information. To gather feedback on the process, we distributed questionnaires where evaluators rated their experience on a 5-point Likert scale, with higher scores indicating better-perceived performance.

In short, we mainly focus on the following research questions:

- Can novice and expert human evaluators achieve complementary performance in terms of accuracy and efficiency using the proposed AES system and collaborative workflow?
- Does the design of prediction confidence and explanation generation contribute to performance improvements?

## 6.2 Results

**Feedback generated by LLM elevates novice evaluators to expert level.** As depicted in Figure 4 and Table 3, our findings reveal that novice graders, with the assistance of LLM-generated feedback (including both scores and explanations), achieved a significant improvement in performance. Their average QWK improved from 0.5256 to 0.6609, with a p-value of less than 0.01. Furthermore, when comparing the performance of LLM-assisted novice evaluators (mean QWK of 0.6609) to that of expert graders (mean QWK of 0.7117), no statistical difference was found between the two groups (p-value = 0.27). This indicates that with LLM support, novice evaluators achieved a level of grading proficiency comparable to that of experienced experts. Similar trends were observed in the scores for content, language, and structure, with detailed results presented in Table 5.

Table 3: *t*-test of QWK scores for different experimental groups. *Diff.* means the difference of means between the two groups of QWK scores.

	Diff.	<i>t</i> statistic	<i>p</i> -value
Expert vs. Novice	<b>0.1860***</b>	3.2152	<b>0.0068</b>
Novice+LLM vs. Novice	<b>0.1353***</b>	2.8882	<b>0.0098</b>
Expert+LLM vs. Expert	0.0617	1.7128	0.1251
Novice+LLM vs. Expert	-0.0508	-1.1566	0.2682

**Feedback generated by LLM boosts expert efficiency and consistency.** The integration of LLM-generated feedback into the expert grading process led to an increase in the average QWK from 0.7117 to 0.7734, which also surpassed the performance of AES systems (a QWK of 0.7302) for these essay samples, thereby achieving superior complementary performance (where the Human-AI team outperforms both individual human and AI). Although this improvement is not statistically significant (p-value = 0.13), the benefits of LLM augmentation for experts were evident in several other aspects. According to self-report questionnaires (refer to Table 4), experts required less time to complete

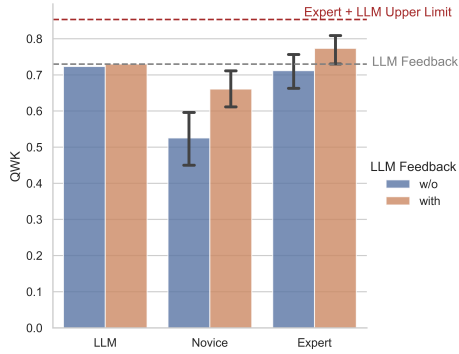


Figure 4: QWK of the overall score in LLM-assisted co-grading experiment for the novice and expert evaluators. The blue bar and orange bar of the LLM column indicate the performance of our Fast module and the integrated system respectively.

grading tasks when assisted by the LLM. Furthermore, a reduction in the standard deviation of expert ratings was observed, indicating a higher level of consensus among experts. This suggests that LLM-generated feedback leads to more consistent evaluations of student essays. Experienced domain experts also commended the accuracy and practicality of the LLM-generated feedback, particularly praising the prediction confidence mechanism which alerted them to scrutinize more challenging cases. These findings highlight the potential to augment the human grading process with our AES system in real-world educational environments.

Table 4: Experts’ feedback after grading student essays with the support of the LLM-based system.

	Score
Perceived accuracy of LLM overall score	4.3/5
Perceived accuracy of LLM content score	4.0/5
Perceived accuracy of LLM language score	3.9/5
Perceived accuracy of LLM structure score	3.8/5
Helpfulness of the predicted scores	4.6/5
Helpfulness of the confidence scores	4.8/5
Helpfulness of LLM explanations	4.7/5
Efficiency of LLM assistance	4.4/5
Willingness to use our AES system	4.3/5

**The Importance of Prediction Confidence and Explanations** We previously assessed the reliability of prediction confidence from our Fast Module and noted a modest improvement in model performance after self-reflection by the Slow Module (as shown in the LLM column of Figure 4). In the context of human-AI collaboration, we focused on cases where the predicted scores presented to

human evaluators were of low confidence (below 0.2). We observed that the overall QWK scores for expert and novice evaluators were 0.6809 and 0.5680. These QWK values, lower than the average human performances, suggest that these essays are inherently challenging to grade, even for humans. However, human performances exceeded that of the LLM Slow Module’s 0.5478 QWK, achieving complementary team performance. These findings support a practical, intuitive LLM-assisted decision-making workflow: the model manages routine cases with high confidence and minimal human intervention, while low-confidence cases are presented to human collaborators for in-depth analysis and final decision-making.

## 7 Conclusion

In this study, we explored the capabilities of LLMs within AES systems. With detailed contexts, clear rubrics, and high-quality examples, GPT-4 demonstrated satisfactory performance, consistency, and generalizability. Further accuracy enhancements were achieved through supervised fine-tuning using task-specific instruction datasets, bringing LLM performance close to conventional SOTA methods. To leverage the LLMs’ ability to generate natural language explanations along with predicted scores, we introduced an open-source Fast and Slow Thinking AES framework. This framework not only matches the quality of proprietary models but also offers greater efficiency.

Our research extended into human-AI co-grading experiments within this new framework. A notable finding was that LLMs not only automated the grading process but also augmented the grading skills of human evaluators. Novice graders, with support from our AES framework, reached accuracy levels comparable to those of experienced graders, while expert graders showed gains in efficiency and consistency. The collaboration between humans and AI particularly enhanced performance in handling low-confidence cases, demonstrating a significant synergy that approached the upper limits of team performance. These results highlight the transformative potential of AI-assisted and human-centered decision-making workflows, especially in elevating those with limited domain knowledge to expert-level proficiency. This study illuminates promising future directions for human-AI collaboration and underscores the evolving role of AI in educational contexts.



## 622 Limitations

623 This study has certain limitations. Firstly, although  
624 our CSEE dataset includes a substantial number  
625 of student essays, these essays originate from only  
626 two final exams designed for high school English  
627 learners in China. This raises concerns about the ro-  
628 bustness of our proposed AES system when applied  
629 to a broader range of topics and diverse student  
630 demographics. Secondly, our human-AI collabora-  
631 tion experiment, while indicative of promising  
632 directions for future human-AI co-grading tasks, is  
633 a pilot study that yields general results. Further ex-  
634 periments are necessary to thoroughly explore the  
635 mechanisms of complementary team performance,  
636 such as identifying circumstances under which hu-  
637 mans are likely to recognize and correct their er-  
638 rors following AI feedback, or instances where  
639 unreliable AI feedback could potentially mislead  
640 them. A deeper understanding of these collabora-  
641 tion mechanisms will enable researchers to develop  
642 AES systems that offer more effective support to  
643 educators.

## 644 Ethical Considerations

645 We secured Institutional Review Board (IRB) ap-  
646 proval for both the data collection and the human-  
647 AI co-grading experiment (details provided in the  
648 online materials). In our CSEE dataset, all per-  
649 sonal information concerning the students has been  
650 anonymized to safeguard their privacy. The dataset  
651 comprises solely of essays and the corresponding  
652 scores, omitting any additional information that  
653 might raise ethical concerns. However, details of  
654 the data annotation process remain undisclosed to  
655 us, including the number of teachers involved in  
656 the scoring and the level of inter-annotator agree-  
657 ment among them. We have also obtained explicit  
658 consent to use the data exclusively for research  
659 purposes from both teachers and students.

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## A Datasets 843

844 The details of the ASAP dataset are presented in Ta-  
845 ble 6. As previously mentioned, this dataset is com-  
846 posed of 8 subsets, each with unique prompts and  
847 scoring rubrics. Our Chinese Student English Es-  
848 say (CSEE) dataset consists of 13,372 essays, along  
849 with their corresponding scores carefully rated by  
850 experienced English teachers based on the scoring  
851 standards in the Chinese National College Entrance  
852 Examination (Table 8). The basic statistics of this  
853 dataset are outlined in Table 5.

Table 5: Descriptive statistics of our private dataset.

Chinese Student English Essay Dataset	
# of schools	29
# of essay prompts	2
# of student essays	13,372
avg. essay length	124.74
avg. Overall score	10.72
avg. Content score	4.13
avg. Language score	4.05
avg. Structure score	2.55

## B Details of BERT Classifier Baseline 854

855 We employed the *bert-base-uncased* BERT model  
856 from the huggingface transformers library<sup>5</sup> using  
857 PyTorch. A simple fully connected layer was added  
858 to perform the classification task. The datasets  
859 were divided into training and testing sets at an  
860 8:2 ratio. To ensure better reproducibility, we set  
861 all random seeds, including those for dataset split-  
862 ting and model training, to the value 42. During  
863 training, we used cross-entropy loss as our loss  
864 function. We allowed BERT parameters to be fine-  
865 tuned, without freezing them, in line with the objec-  
866 tive function. AdamW was chosen as the optimizer,  
867 with a learning rate set to  $10^{-5}$  and epsilon at  $10^{-6}$ .  
868 With a batch size of 16 and a maximum of 10 train-  
869 ing epochs, we also integrated an early stopping  
870 strategy to mitigate potential overfitting. All the  
871 experiments of the BERT baseline were run with 2  
872 RTX A4000 16G GPUs in around one week.

## C Details of LLM-based Methods 873

### C.1 LLM Prompts 874

875 The prompts used for LLMs in our study fall into  
876 two distinct categories: firstly, the zero-shot and  
877 few-shot configurations of GPT-4; secondly, the

<sup>5</sup><https://huggingface.co/docs/transformers/>

Table 6: Descriptive statistics of the ASAP dataset.

Essay Set	Essay Type	Grade Level	# of Essays	Avg. Length	Score Range
1	Persuasive/Narrative/Expository	8	1783	350	[2, 12]
2	Persuasive/Narrative/Expository	10	1800	350	[1, 6]
3	Source Dependent Responses	10	1726	150	[0, 3]
4	Source Dependent Responses	10	1772	150	[0, 3]
5	Source Dependent Responses	8	1805	150	[0, 4]
6	Source Dependent Responses	10	1800	150	[0, 4]
7	Persuasive/Narrative/Expository	7	1569	300	[0, 12]
8	Persuasive/Narrative/Expository	10	723	650	[0, 36]

instructions for fine-tuning and inference of GPT-3.5 and LLaMA3-8B. The prompts for the few-shot scenario incorporate those used in the zero-shot setting and overlap with the fine-tuning prompts. Therefore, for clarity and conciseness, we present examples of the *GPT-4, few-shot, with rubrics* and the inputs of fine-tuned LLaMA3-8B in Table 9.

### C.2 Few-Shot GPT-4

In the few-shot setting of GPT-4 with  $k$  essay examples, as indicated by prior studies in AES tasks (Yancey et al., 2023), increasing the value of  $k$  did not consistently yield better results, showing a trend of diminishing marginal returns. Therefore, we choose a suitable  $k = 3$  in the study.

We explored two sampling approaches. The first involved randomly selecting essays from various levels of quality to help LLM understand the approximate level of the target essay. The second method adopted a retrieval-based approach, which has been proven to be effective in enhancing LLM performance (Khandelwal et al., 2020; Shi et al., 2023; Ram et al., 2023). Leveraging OpenAI’s *text-embedding-ada-002* model, we calculated the embedding for each essay. This allowed us to identify the top  $k$  similar essays based on cosine similarity (excluding the target essay). Our experiments demonstrated that this retrieval strategy consistently yielded superior results. Therefore, we focused on the latter approach in this study.

### C.3 Fine-tuning LLaMA3

We fine-tuned the *llama-3-8b-bnb-4bit* model using the *unsloth* framework<sup>6</sup>. For this process, we employed a Parameter-Efficient Fine-Tuning (PEFT) approach with a rank of 16 and a LoRA alpha value of 16. We utilized an 8-bit AdamW optimizer, starting with an initial learning rate of  $2 \times 10^{-4}$ . After 50 warm-up steps, the learning rate was scheduled to decay linearly, with the weight decay parameter

<sup>6</sup><https://github.com/unslothai/unsloth>

set at 0.01. We maintained all random seeds at 3407 and completed the fine-tuning over 2 epochs. All experiments involving the fine-tuned LLaMA3-8B were conducted using a single RTX 4090 24GB GPU, spanning approximately three weeks.

## D Human-AI Co-Grading Details

In our LLM-assisted human grading experiment, the 10 college students were all from a Normal University in Beijing, and had a male-to-female ratio of 4:6, with ages ranging from 19 to 23 years (from freshmen to seniors). Their English capabilities were certified by China’s College English Test (CET). None of the novices have the experience of grading student essays currently. The 5 expert evaluators comprised experienced English teachers from Beijing high schools, with teaching tenures ranging from 8 to 20 years. Before evaluation, all participants received training on the standard scoring rubrics. They were also incentivized with appropriate remuneration for their participation.

The instructions for the evaluators include the standard scoring rubrics of the College Entrance Examination in China and several grading examples. The writing exercise and the essays designated for assessment will be presented to the evaluators. Moreover, supplementary feedback (scores, output confidences, and explanations) will be provided for the experimental groups. To enhance the evaluators’ comprehension and avoid possible misunderstandings, all the information provided has been translated into Chinese.

The results of Overall, Content, Language, and Structure scores in the human-AI co-grading experiment are presented in Figure 5. We observed that the Content and Language scores exhibit a similar trend as the Overall score discussed in the Results section. The expert evaluators noted that the Structure dimension is the most ambiguous and difficult part of the grading task which has the lowest QWK values among the three dimensions.

Table 7: Generalization comparison of QWK scores for the Fine-tuned GPT-3.5 and the BERT Classifier under the ASAP dataset.

		Set 1	Set 2	Set 3	Set 4	Set 5	Set 6	Set 7	Set 8
Trained on Set 1	BERT Classifier	-	0.3299	0.1680	0.1380	0.3045	0.1234	0.3002	0.1541
	Fine-tuned GPT-3.5	-	<b>0.5216</b>	<b>0.5405</b>	<b>0.4891</b>	<b>0.5076</b>	<b>0.6344</b>	<b>0.6306</b>	<b>0.3126</b>
Trained on Set 2	BERT Classifier	0.2776	-	0.1975	0.2392	0.1750	0.1453	0.2474	0.3783
	Fine-tuned GPT-3.5	<b>0.4270</b>	-	<b>0.4131</b>	<b>0.4619</b>	<b>0.5958</b>	<b>0.5579</b>	<b>0.5438</b>	<b>0.6684</b>
Trained on Set 3	BERT Classifier	0.3468	<b>0.4444</b>	-	0.6230	0.6319	0.5299	0.4368	<b>0.2427</b>
	Fine-tuned GPT-3.5	<b>0.3991</b>	0.2488	-	<b>0.7674</b>	<b>0.7714</b>	<b>0.7150</b>	<b>0.4964</b>	0.1134
Trained on Set 4	BERT Classifier	<b>0.3257</b>	<b>0.5332</b>	<b>0.6267</b>	-	0.5483	0.4959	<b>0.4659</b>	0.3204
	Fine-tuned GPT-3.5	0.0631	0.3493	0.4908	-	<b>0.6515</b>	<b>0.7420</b>	0.0865	<b>0.3419</b>
Trained on Set 5	BERT Classifier	0.4051	0.3341	0.4264	0.4202	-	0.5243	<b>0.3255</b>	0.2035
	Fine-tuned GPT-3.5	<b>0.4354</b>	<b>0.4301</b>	<b>0.5765</b>	<b>0.6877</b>	-	<b>0.7368</b>	0.1061	<b>0.3118</b>
Trained on Set 6	BERT Classifier	<b>0.3164</b>	0.3462	0.4000	0.3067	<b>0.4882</b>	-	<b>0.2303</b>	<b>0.3047</b>
	Fine-tuned GPT-3.5	0.1342	<b>0.3607</b>	<b>0.4579</b>	<b>0.3157</b>	0.3734	-	0.0061	0.0859
Trained on Set 7	BERT Classifier	0.0975	0.0086	0.1854	0.0328	0.0554	0.1244	-	<b>0.2917</b>
	Fine-tuned GPT-3.5	<b>0.5862</b>	<b>0.3993</b>	<b>0.4865</b>	<b>0.4425</b>	<b>0.4494</b>	<b>0.4417</b>	-	0.2157
Trained on Set 8	BERT Classifier	0.0560	0.1102	0.0110	0.0164	0.0371	0.0454	0.1777	-
	Fine-tuned GPT-3.5	<b>0.2714</b>	<b>0.4822</b>	<b>0.4768</b>	<b>0.6009</b>	<b>0.4199</b>	<b>0.3231</b>	<b>0.5460</b>	-

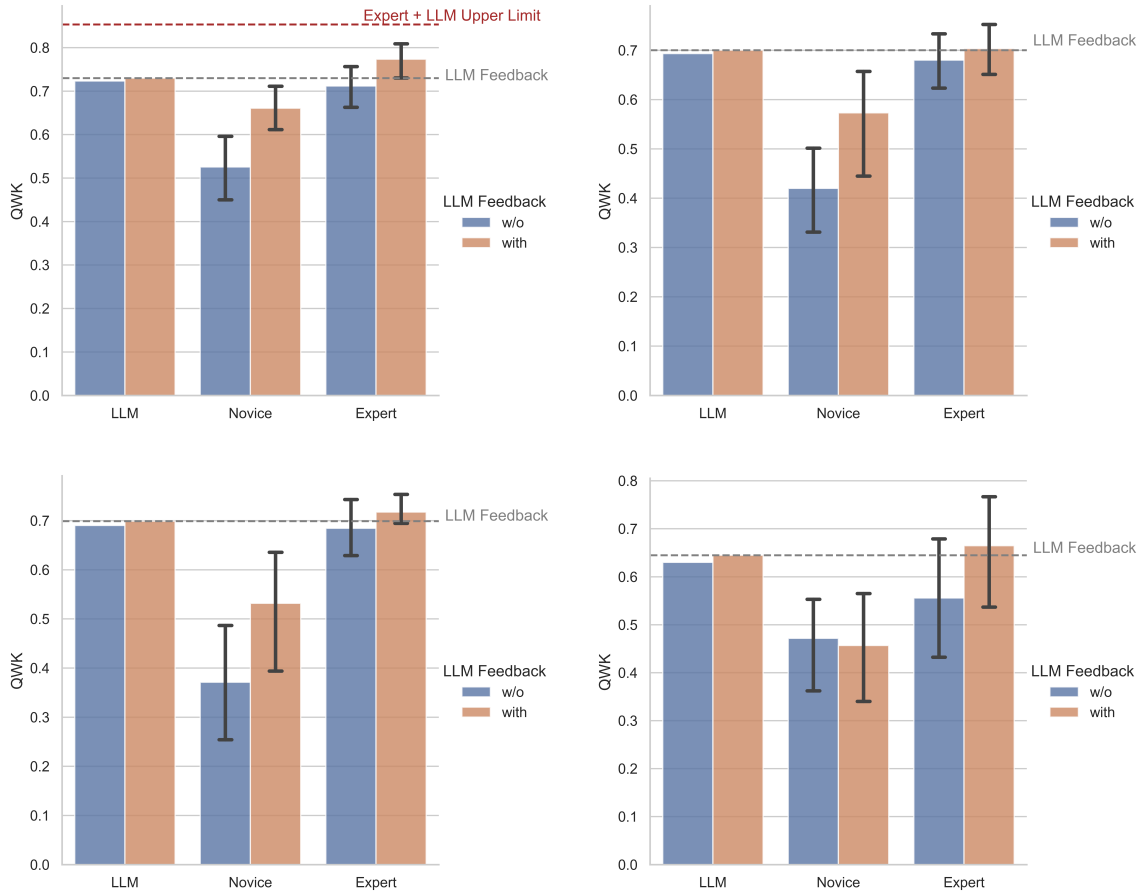


Figure 5: LLM-assisted grading experiment results for the novice, expert, and GPT-4 evaluators. From the top left to the bottom right is the result of the Overall score, Content score, Language score, and Structure score, respectively.

Table 8: Rubrics for evaluating high school student essays in our private dataset.

<b>Rubrics</b>
<p><b>Overall Score</b> (20 points) = <b>Content Score</b> (8 points) + <b>Language Score</b> (8 points) + <b>Structure Score</b> (4 points)</p> <p><b>Content Dimension</b> (8 points in total)</p> <ul style="list-style-type: none"> <li>• 6-8 points:           <ul style="list-style-type: none"> <li>– Content is complete with appropriate details</li> <li>– Expression is closely related to the topic</li> </ul> </li> <li>• 3-5 points:           <ul style="list-style-type: none"> <li>– Content is mostly complete</li> <li>– Expression is fundamentally related to the topic</li> </ul> </li> <li>• 0-2 points:           <ul style="list-style-type: none"> <li>– Content is incomplete</li> <li>– Expression is barely related or completely unrelated to the topic</li> </ul> </li> </ul> <p><b>Language Dimension</b> (8 points in total)</p> <ul style="list-style-type: none"> <li>• 6-8 points:           <ul style="list-style-type: none"> <li>– Language is accurate with diverse sentence structures and little or no errors (2 errors or fewer, 8 points; 3-4 errors, 7 points; 5-6 errors, 6 points)</li> <li>– Language expression is mostly appropriate</li> </ul> </li> <li>• 3-5 points:           <ul style="list-style-type: none"> <li>– Language is not quite accurate, with some variation in sentence structures and several errors, but they don't impede understanding (7-8 errors, 5 points; 9-10 errors, 4 points; 11-12 errors, 3 points)</li> <li>– Language expression is somewhat inappropriate</li> </ul> </li> <li>• 0-2 points:           <ul style="list-style-type: none"> <li>– Language is hopelessly inaccurate with numerous language errors, hindering understanding (more than 12 errors)</li> <li>– Language expression is completely inappropriate</li> </ul> </li> </ul> <p><b>Structure Dimension</b> (4 points in total)</p> <ul style="list-style-type: none"> <li>• 3-4 points:           <ul style="list-style-type: none"> <li>– Clearly and logically structured</li> <li>– Smooth and coherent transitions</li> </ul> </li> <li>• 1-2 points:           <ul style="list-style-type: none"> <li>– Mostly clearly and logically structured</li> <li>– Relatively smooth and coherent transitions</li> </ul> </li> <li>• 0-1 points:           <ul style="list-style-type: none"> <li>– Not clearly and logically structured</li> <li>– Fragmented and disconnected structures and sentences</li> </ul> </li> </ul>

Table 9: The example prompt (the *GPT-4, few-shot, with rubrics* approach and the fine-tuned LLaMA3-8B) and the corresponding model output.

Example Prompt	Example Output
<p>As a virtual evaluator with expertise in English composition, your role is to critically analyze and grade student essays according to a predetermined set of rubrics. You are to act as an impartial judge and evaluate the essays based on the quality of the writing and adherence to the essay prompt.</p> <p>Here are the specific guidelines for each score:            {Rubrics}            Sample Essay Prompt:            {Essay Prompt}            The graded example essays:            {Examples}            Student's Essay to Evaluate:            {Target Student Essay}</p> <p>Task Breakdown:            1. Carefully read the provided essay prompt, scoring guidelines, and the student's essay.            2. In the Explanations part, identify specific elements in the essay referring to the rubrics. In the language dimension, list all the spelling and grammar errors, and count the number of them to determine the Language Score. The Explanations for each dimension should be as detailed as possible.            3. Determine the appropriate scores according to the analysis above.</p> <p>Please present your evaluation in the following manner:            Explanations: ..., Content Score: ...            Explanations: ..., Language Score: ...            Explanations: ..., Structure Score: ...            Explanations: ..., Total Score: ...            Your final evaluation:            [Total Score: ..., Content Score: ..., Language Score: ..., Structure Score: ...]</p>	<p>Explanations: The student's essay responds accurately to Jim's request for suggestions on how to learn Chinese, providing thoughtful advice and support. Detailed suggestions include listening to Chinese radio, reading Chinese literature, and using mobile applications. The tone is hopeful and supportive.            Content Score: 8</p> <p>Explanations: There are no language errors; the grammar and spelling are all accurate. The student used formal, respectful language suitable for this kind of communication and also included diversity in sentence structures.            Language Score: 8</p> <p>Explanations: The essay is well-structured and organized. It follows the accepted structure of a reply email, with an opening greeting, a body containing the main content, and a closing remark. Transitions are also smooth and coherent, logically linking one thought to another.            Structure Score: 4</p> <p>Total Score: This is the sum of the content, language, and structure scores. Total Score: 20</p> <p>Your final evaluation:            [Total Score: 20, Content Score: 8, Language Score: 8, Structure Score: 4]</p>
<p>Below is an instruction that describes a task, paired with an input that provides further context. Write a response that appropriately completes the request.</p> <p>### Instruction:            You are an experienced English teacher analyzing high school students' essays according to a specific rubric. Evaluate the following essay based on three dimensions: Content, Language, and Structure, and provide the overall assessment.            Please provide your evaluation in the following JSON format:            {Output Format}</p> <p>### Input:            Scoring rubrics:            {Rubrics}            Essay Prompt:            {Essay Prompt}            Student's Essay to Evaluate:            {Target Student Essay}</p> <p>### Response:            {}</p>	<pre>{   'content':     {'completeness': 'The essay covers the basic requirements of the prompt by introducing design ideas for the graduation ceremony and explaining the reasons behind these designs. However, the explanations are quite brief and lack depth.',      'topic_relevance': 'The essay is related to the given topic, as it discusses ideas for a graduation ceremony design.',      'content_details': 'The details provided are minimal and lack depth. For example, the student mentions launching a ball in the dining hall and writing gratitude letters but does not elaborate on how these activities contribute to the overall design or the reasons behind these choices in detail.',      'score_level': 'Level 2',      'score_point': 4.5},   'language': {...},   'structure': {...},   'overall': {...} }</pre>