



**Supporting Guidance:
Exceptional arrangements for assessment
and grading in Summer 2020**

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Contents

About this guide.....	5
Support and guidance	5
Introduction.....	6
Purpose of this Guide.....	6
Timeline	7
Qualifications	8
Which qualifications are covered by this guide?	8
Where can I find out which qualifications are covered?	8
Learners	8
Which learners are covered by these arrangements?	8
In-flight learners	8
Learners registered after the 1 st June	8
Calculated results.....	9
How will results be calculated?	9
Principles for Calculating Results.....	9
Assessment evidence	10
Assessment evidence for centre assessed grades	10
Minimum Evidence Threshold.....	10
What about learners that have completed work after 20 March?	11
Types of evidence	11
Collating evidence to support CAGs	12
Tutor/Assessor Checklist.....	12
Evidence Tables	13
Certificate and Diploma sized Qualifications Entry to Level 3 which are not graded	13
Certificate and Diploma sized Qualifications Levels 2 and Level 3 which contain units that are graded pass, merit, distinction and have an overall qualification grade of pass, merit, distinction	14
Awards from E1 to L3 that are not graded (these qualifications are usually composed of between 1 to 3 units).....	15
ESOL Skills for Life Awards (Entry 1 to Level 2).....	16
Award size qualifications assessed through externally set and marked multiple choice tests	17
Responsibilities of the Head of Centre	18
Centre Declaration.....	18
Submitting Results	19
Gateway Qualifications Quality Assurance Process	20

Special Considerations.....	20
Calculation Process Summary.....	21
Adaptation	22
Qualifications that fall under this arrangement and eligibility	22
Adaptations that apply to Education and Training Qualifications	22
Adaptations to assessments that may be applied to other qualifications.....	23

About this guide

This document is intended for tutors, internal quality assurers, centre quality managers and other staff within Gateway Qualifications recognised centres and/or prospective centres.

It provides guidance on the approach to awarding qualifications for summer 2020 and should be read in conjunction with the following Ofqual publications:

- Summer 2020 results for vocational, technical and other qualifications:
Advice for teachers, trainers and tutors; learners, parents and carers; employers and professional bodies on vocational and technical qualifications, and general qualifications other than GCSEs, AS and A levels, Extended Project Qualifications and Advanced Extension Award in maths:
https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/887046/Guidance_Summer_2020_results_for_vocational_technical_and_other_qualifications_22MAY2020.pdf
- Guidance for Centres. The awarding of vocational and technical qualifications, and other general qualifications, in summer 2020 Updated 22 May 2020:
https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/886919/VTQ_Guidance_for_Centres_21MAY2020.pdf
- Guidance for Heads of Centre, Heads of Department and teachers on objectivity in grading and ranking:
https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/886921/Guidance_on_objectivity_in_grading_and_ranking_21MAY2020.pdf

You should also refer to the Summer 2020 Qualification Explainer Tool:

<https://analytics.ofqual.gov.uk/apps/AllQualifications/summer2020tool/>



This tool shows which qualifications are in scope and the mitigation that has been agreed for Summer 2020.

Support and guidance

For further support and guidance please contact:

Email: Awarding2020@gatewayqualifications.org.uk

Telephone: 01206 9112

Introduction

Following 'lockdown' measures in response to the COVID-19 outbreak learners have had their education disrupted and are unlikely to be able to complete qualifications within planned timeframes.

On 9 April 2020 Ofqual, the examinations and qualifications regulator in England, received a Ministerial Direction from the Secretary of State for Education which set out how the government expects vocational, technical qualification and other general qualifications to be assessed and awarded in summer 2020.

At the heart of this approach is the desire to ensure that learners are not disadvantaged and that those who are due to progress, within education or into employment, are able to do so. However, for some learners, due to their qualification's subject content, purpose, assessment approach or a lack of evidence to support the awarding process it may not be possible for a result to be issued.

On May 22, following a short consultation, Ofqual implemented a temporary Extraordinary Regulatory Framework (ERF) for vocational and technical qualifications which sets out the different approaches that may be adopted in Summer 2020 and the requirements for centres and awarding organisations.

Ofqual's intention is that the framework provides a transparent process.

The aim is to preserve public confidence in qualifications, meet the reasonable needs of learners and other users of qualifications, and to allow learners and centres to consider whether or not to appeal a result.

Purpose of this Guide

This guide is intended to support centres who will be making decisions on "Centre Assessment Grades" (CAG) for units/qualifications that are covered by the "calculated result" approach as outlined in Ofqual's Extraordinary Regulatory Framework. It also touches on the requirements for centres in relation to qualifications where the approach is adaptation.

Please be aware for the majority of our qualifications the grade profile is pass/fail. In these instances, you will be making judgements to support a CAG of pass/fail.

Our overriding priority is to ensure that the processes we have adopted can be applied fairly and consistently so that standards are maintained and everyone can continue to have confidence in the value of our qualifications.

Timeline

Who	What	When
Centres	Check whether qualifications are in scope and the mitigation agreed	ASAP
Centres	Collate evidence and make judgements	1 st – 21 st June 2020
Centres	Internal QA	From 1 st June 2020
Head of Centre	Submits signed declaration	Prior to claims being submitted
Centres	Submit results (RAC/Direct Entry)	From 8 th June - 3 rd July 2020
Gateway Qualifications	Conduct QA checks	From receipt of result submissions
Gateway Qualifications	Process results	ASAP

Qualifications

Which qualifications are covered by this guide?

This guide covers all the qualifications that are in scope for the Extraordinary Regulatory Framework (ERF) this summer. This includes qualifications eligible for public funding from Entry to Level 6 that are designed for progression to FE/HE, or to and through employment.

Where can I find out which qualifications are covered?

Ofqual has developed an interactive tool through which you can find which qualifications are in scope and the approach being used for each qualification:

<https://analytics.ofqual.gov.uk/apps/AllQualifications/summer2020tool/>

Learners

Which learners are covered by these arrangements?

If a qualification is determined as being in scope, as far as possible all learners on that qualification are in scope. The arrangements apply to all learners who were due to sit assessments and complete units between 20th March 2020 and 31st July 2020. However, there may be cases where we cannot award qualifications to learners if there is insufficient evidence to support a certificate claim.

In-flight learners

For learners who are at the end of year 1 and will go onto year 2 in the Autumn:

- and would have been completed units by the end of year 1 then Centres can complete a centre assessed grade (if CAG is permitted) for those units.
- We will provide a unit transcript for these units.
- Learners should be allowed to submit again for assessment to improve their grade.

Learners registered after the 1st June

Learners registered after this date should be assessed in the normal way where the usual quality assurance procedures will apply.

If you are unable to register learners by this date please contact us as soon as possible.

Calculated results

How will results be calculated?

We have carefully considered, for each of our qualifications, the awarding approach we will adopt. We have determined that calculation will be the approach for the majority of our qualifications where the main purpose is progression, whether onto or within further/higher education, or to employment. Where the qualification purpose relates to occupational competence, we will be providing guidance on adaptation. There are also a handful of qualifications where we believe the only valid approach is to delay assessment and awarding.

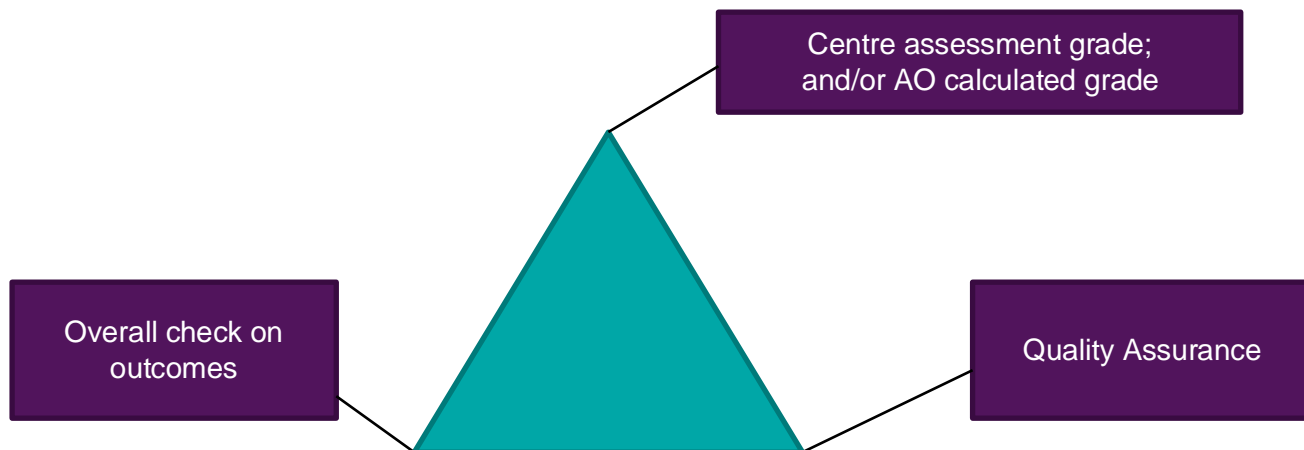
Principles for Calculating Results

There are a number of key principles for calculating results:

1. To provide learners with the grades that they would most likely have achieved had they been able to take their assessments in summer 2020
2. To enable the maximum possible number of learners to receive grades based on a principled, evidence-based approach, such that in similar situations, similar approaches to calculated results would be used
3. To protect, as far as is possible, learners from being systematically advantaged or disadvantaged, notwithstanding their socio-economic background or whether they have a protected characteristic
4. For the methods to be sufficiently transparent and easy to explain to promote confidence
5. To be deliverable by awarding organisations with sufficient oversight from Ofqual.

The calculation of results will follow the three step process illustrated below.

1. Centre assessment grade - generated by the centre for each unit or qualification
2. Quality assurance by the awarding organisation of the overall calculated result
3. A check of overall qualification level outcomes and results profile, to confirm results are in line with expectations. This will draw on evidence Gateway Qualifications' holds including historic centre and qualification data.



Assessment evidence

Assessment evidence for centre assessed grades

When generating a centre assessment grade (CAG) you should draw on a range of different types of evidence which will vary depending upon the qualification – please see the following pages for the suggested types of evidence for different groups of qualification.

When collecting this evidence, you must consider the following points:

- A learner's results should only be calculated by tutors/teachers with direct experience of teaching that learner the relevant subject and unit.
- Where several cohorts are undertaking the qualification/specific unit(s), judgements should be standardised.
- In some cases you may need to approach other educational professionals who have worked closely with learners to support evidence collection.
- You should assume that any reasonable adjustments that would have been sought for a learner when taking their assessments, would have been in place.
- You should determine the most trusted evidence available that reflects the learning outcomes of the unit specification.

We expect the grades submitted to reflect a fair, reasonable and carefully considered judgement of the most likely grade you believe each learner would have achieved had teaching and learning continued as normal and they were able to complete their assessments. This should be a holistic, professional judgment balancing the different sources of evidence, using knowledge of the assessment aims and criteria and reviewed by the qualification teachers/tutors and relevant heads of department. In some cases you may reach the view that you have little or no evidence on which to base a grade. In coming to a judgement the propensity to unconscious bias should also be considered.

You should assume that it is no easier or harder for a learner to achieve a particular grade this year compared to previous years. It is important that these judgements are objective, and they only take account of evidence of a learner's performance – their knowledge, skills, abilities in relation to the subject. Please see the guidance from Ofqual on the importance of ensuring objectivity in grading decisions.

https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/886921/Guidance_on_objectivity_in_grading_and_ranking_21MAY2020.pdf

Minimum Evidence Threshold

The quality assurance process and the overall checks on outcomes are both important parts of the process because they ensure that for each learner, you must have at least one piece of valid trusted evidence that demonstrates progress towards the assessment requirements of the unit/qualification.

We may determine that there is insufficient trusted evidence to safely award a result:

- where there is little or no learner evidence
- insufficient trust in the centre assessment grade
- little opportunity or evidence to quality assure the centre assessment grade

What about learners that have completed work after 20 March?

We are aware that a number of centres have continued to deliver to learners and that learners may have submitted work for assessment. However, this is not the case for all centres. We appreciate that you will want to use this evidence but you should only use it where it can be authenticated and considered in a consistent manner that improves rather than compromises wider validity, comparability and fairness of assessment judgements.

Where centres have been able to, or are delivering our qualifications to learners as normal, you should follow our standard quality assurance processes.

Types of evidence

In its guidance to awarding organisations and centres Ofqual has categorised different types of evidence. We will look at all types of evidence, including types 4 and 5 as part of our quality assurance process.

Type	Details
1.	Units that have already been internally assessed and quality assured and externally quality assured (they may already have been submitted for certification at unit level).
2.	Internally assessed work that has yet to be quality assured.
3.	Information provided by the centre in relation to likely performance including centre assessment grades. A centre assessment grade is a centre's judgement about the grade that each learner would have achieved for the remaining units if teaching learning and assessment had proceeded as normal. This professional judgement is to be derived from evidence (work/records of work held within a centre which has been reviewed by subject teachers/tutors and relevant heads of department. Centres may use experience of previous cohorts and of the qualification.
4.	Historical data about qualification functioning.
5.	Centre data and information. This includes a range of data and information such as analyses of qualification outcomes at centre level to understand the degree of stability or variability over time. There may be other information available such as centre risk profiles, centre visit information. This data is likely to form the basis of our quality assurance.
6.	Prior attainment data where this is available.

We appreciate that some of the evidence outlined above is more suited to particular types of qualifications.

Please refer to the tables below for the types of evidence we will look to you to provide to support your judgements about each learner.

Collating evidence to support CAGs

You should complete where possible the assessment and internal quality assurance of all work you hold for each learner. We appreciate that in some cases this work is not available as tutors do not have access to their centre. We are also aware that some work which has yet to be assessed may still be with learners.

Tutors together with departmental heads/IQAs should make a professional judgement about whether a learner would have achieved each unit of the qualification if teaching, learning and assessment had continued as normal until the original course end date. This could include an outcome of “not achieved”. This should be a holistic professional judgement balancing the different sources of evidence available to you.

Tutors will have a good understanding of their learners’ performance on units/qualifications and how they compare to others this year and in previous years. In coming to a judgement tutors should draw on existing records and available evidence (as far as possible in the context of current public health advice).

You will need to keep records of the evidence that supported your judgements as this will be reviewed as part of our quality assurance process, and where we require it by your EQA when carrying out remote sampling activity in cases where:

- there is little or no banked unit data
- CAGs are not possible, and/or

where there is little opportunity or evidence to support the generation of CAGs or to support the quality assurance process, we may determine that this is below the minimum evidential threshold. In these cases we expect it will not be possible for you to calculate a result. Learners affected in this way, will have to wait until assessments can be rescheduled.

The following sections provide guidance on the type of evidence that you will need to collate to support the awarding process for learners on different types of units/qualifications so that a calculated result can be issued.

Tutor/Assessor Checklist

To support tutors carrying out the process of CAG we are providing a tutor/assessor checklist to be completed by the person(s) at the centre who has worked with that cohort of learners and knows them.

This form can [be downloaded from our website](#). Once completed it should be kept at the centre.

Evidence Tables

We have considered the different types of evidence we might expect to see in support of different units/qualifications. This is provided below to guide evidence collection and the provision of centre assessed grades.

In making judgments about your centre assessed grades please ensure you refer to the appropriate table for guidance.

Certificate and Diploma sized Qualifications Entry to Level 3 which are not graded	
Method for calculating centre assessment grade at unit level	
Type 1 evidence	<p>1a Completed units of the qualification which have been internally and externally quality assured.</p> <p>1b Completed units of the qualification which have been internally quality assured and the centre has direct claims status for that qualification.</p>
Type 2 evidence	<p>2a Units that have been internally assessed and internally quality assured but have not yet been subject to external quality assurance (for centres who do not hold DCS).</p> <p>2b Units that have been internally assessed but have not yet been subject to internal quality assurance.</p> <p>2c Partially completed units where the course has been delivered as a project over a period of time and where a number of interlinked tasks covers multiple units.</p> <p>2d Units that have been completed and assessed since March 20th and the evidence can be authenticated.</p>
Type 3 evidence	<p>3a Witness statements relating to observed skills that have not yet been formally assessed.</p> <p>3b Performance on formative assessments.</p> <p>3c Learner review and tracking documentation.</p>

Certificate and Diploma sized Qualifications Levels 2 and Level 3 which contain units that are graded pass, merit, distinction and have an overall qualification grade of pass, merit, distinction

Method for calculating centre assessment grade at unit level

Note: we will calculate the overall results for these qualifications

Type 1 evidence	<p>1a Completed units of the qualification which have been internally and externally quality assured.</p> <p>1b Completed units of the qualification which have been internally quality assured and the centre has direct claims status for that qualification.</p>
Type 2 evidence	<p>2a Units that have been internally assessed and internally quality assured but have not yet been subject to external quality assurance (for centres who do not hold DCS).</p> <p>2b Units that have been internally assessed but have not yet been subject to internal quality assurance.</p> <p>2c Partially completed units where the course has been delivered as a project over a period of time and where a number of interlinked tasks covers multiple units.</p> <p>2d Units that have been completed and assessed since March 20th and the evidence can be authenticated.</p>
Type 3 evidence	<p>3a Witness statements relating to observed skills that have not yet been formally assessed.</p> <p>3b Performance on formative assessments that demonstrates learner achievement at pass, merit or distinction</p> <p>3c Learner review and tracking documentation.</p>

Awards from E1 to L3 that are not graded (these qualifications are usually composed of between 1 to 3 units)

Note: we are aware that many Awards are delivered as part of a broader programme of study; for example English, maths and employability skills may be embedded within the delivery of a vocational qualification.

Method for calculating centre assessment grade at unit level

Type 1 evidence	<p>1a Completed unit(s) of the qualification which has been internally and externally quality assured.</p> <p>1b Completed unit (s) of the qualification which have been internally quality assured and the centre has direct claims status for that qualification.</p>
Type 2 evidence	<p>2a Unit(s) that have been internally assessed and internally quality assured but have not yet been subject to external quality assurance (for centres who do not hold DCS).</p> <p>2b Unit(s) that have been internally assessed but have not yet been subject to internal quality assurance.</p> <p>2c Partially completed unit(s) where the course has been delivered as a project over a period of time and where a number of interlinked tasks covers multiple units.</p> <p>2d Unit(s) that have been completed and assessed since March 20th and the evidence can be authenticated.</p>
Type 3 evidence	<p>3a Witness statements relating to observed skills that have not yet been formally assessed but have been demonstrated through other areas of a learner's programme.</p> <p>3b Learner work demonstrating the skills assessed by the specified unit that has been completed in support of another qualification learning aim.</p> <p>3c Performance on formative assessments.</p> <p>3d Learner review and tracking documentation.</p>

ESOL Skills for Life Awards (Entry 1 to Level 2)	
Method for calculating centre assessment grade at unit level	
Type 1 evidence	<p>1a Completed unit / qualification which has been internally assessed, internally quality assured and externally quality assured.</p> <p>1b Completed unit / qualification which has been internally assessed, internally quality assured and the centre has direct claims status for the qualification.</p>
Type 2 evidence	<p>2a Summative assessment of one or more elements of an externally set assessment which has been assessed by the tutor – for example one speaking task, one writing task</p> <p>2b Mock examinations using awarding organisation past papers that have been assessed</p> <p>2c Summative assessments that have been completed and assessed since March 20th and the evidence can be authenticated.</p> <p>2d Performance in previous externally set assessments where the learner did not achieve (this will include level 2 Reading and Writing where the evidence is held within the awarding organisation) but evidence suggests that the learner would have achieved with additional teaching and learning.</p>
Type 3 evidence	<p>3a Formative assessments which have been submitted to tutors and assessed</p> <p>3b Witness statements relating to observed skills that have not yet been formally assessed but have been demonstrated through other areas of a learner’s programme</p> <p>3c Learner review and tracking documentation</p>

Award size qualifications assessed through externally set and marked multiple choice tests	
Method for calculating centre assessment grade at unit level	
Type 1 evidence	Not applicable for these qualifications
Type 2 evidence	2a Performance in externally set tests that suggests that the learner would have achieved the qualification if they had resat in the period up until 31 July 2020.
Type 3 evidence	<p>3a Performance on formative assessments. For example classwork that has been assessed that shows that learner has met some of the learning outcomes. Work could be presented in a variety of formats including written work, oral presentations</p> <p>3b Witness statements of discussions in class that confirm coverage of learning outcomes.</p>

Responsibilities of the Head of Centre

The calculation process for units/qualifications must be overseen and signed off by the Head of Centre.

The Head of Centre's responsibilities are to ensure:

- only suitably-qualified and experienced staff who have taught the learner whose unit/qualification results are being calculated, are involved in making a judgement about the centre assessed grade for that learner(s)
- all of those who are making judgements about centre assessed grades are briefed on the process as outlined in this guide and are familiar with the requirements of this guide and associated materials to support the process
- that there is sufficient valid evidence available to support the process **before** any centre assessed grade judgement is made
- that as far as possible, where more than one member of staff is involved in teaching/assessing an individual learner for any unit that these staff members work together to agree a centre assessed grade
- where more than one member of staff is responsible for teaching/assessing any unit that these staff work together to standardise their judgements in the way described below.

Centre Declaration

Once the process of agreeing a centre assessed grade has been completed, the Head of Centre must provide a final sign off for all cohorts of learners in a single declaration, for those learners and results they wish to be calculated.

The Head of Centre's sign off is in the form of a declaration that the process has been followed in full and will form part of the submission. The declaration includes confirmation that for all learners:

- for all units where a centre assessed grade is submitted, only suitably-qualified staff with experience of teaching/assessing that unit to the learner have provided a centre assessment grades
- at least one piece of valid, trusted evidence per learner was used to support judgement.

The Centre Declaration form can be found [here](#).

Submitting Results

We have been mindful in keeping the claiming process as close to normal as possible, to reduce the burden on our centres, whether you claim results by RAC or Direct Entry.

For step-by-step details on how to submit results and evidence to us, please refer to our [Claiming Results Guidance](#).

Gateway Qualifications Quality Assurance Process

We will quality assure CAGs that are submitted to us. To confirm calculated results and as part of our quality assurance process we will also draw on evidence we hold on centres including:

- units already claimed where the grades have been through the normal quality assurance process
- data and information about each centre, for example, your historical qualification outcomes, risk profile, centre monitoring information, direct claims status and records of any investigations.

The quality assurance process and the overall check on outcomes are important parts of the process, because they ensure that the results awarded will be fair and reliable. We will ensure that we use at least one source of trusted evidence in combination with our necessarily robust approach to quality assurance.

In cases where:

- there is little or no completed unit data
- CAGs are not possible, and/or
- there is little opportunity or evidence to support the generation of CAGs or the quality assurance process

we may determine that this is below the minimum evidence threshold. In these cases we expect it will not be possible to calculate a result. Our expectation is that in these circumstances, learners affected will be offered the opportunity to take an assessment at the earliest possible date.

Once we have completed our initial internal checks we may need to contact you to collect more evidence to validate your centre assessment grade and you should be prepared to provide this information. We may also ask your EQA to request a remote sample. It is also likely that where you are offering a qualification for the first time the EQA will request a sample as we will not have historic data to refer to as part of our quality assurance process.

It is important you retain information on how you arrived at your calculated grade as this may be requested during our quality assurance checks.

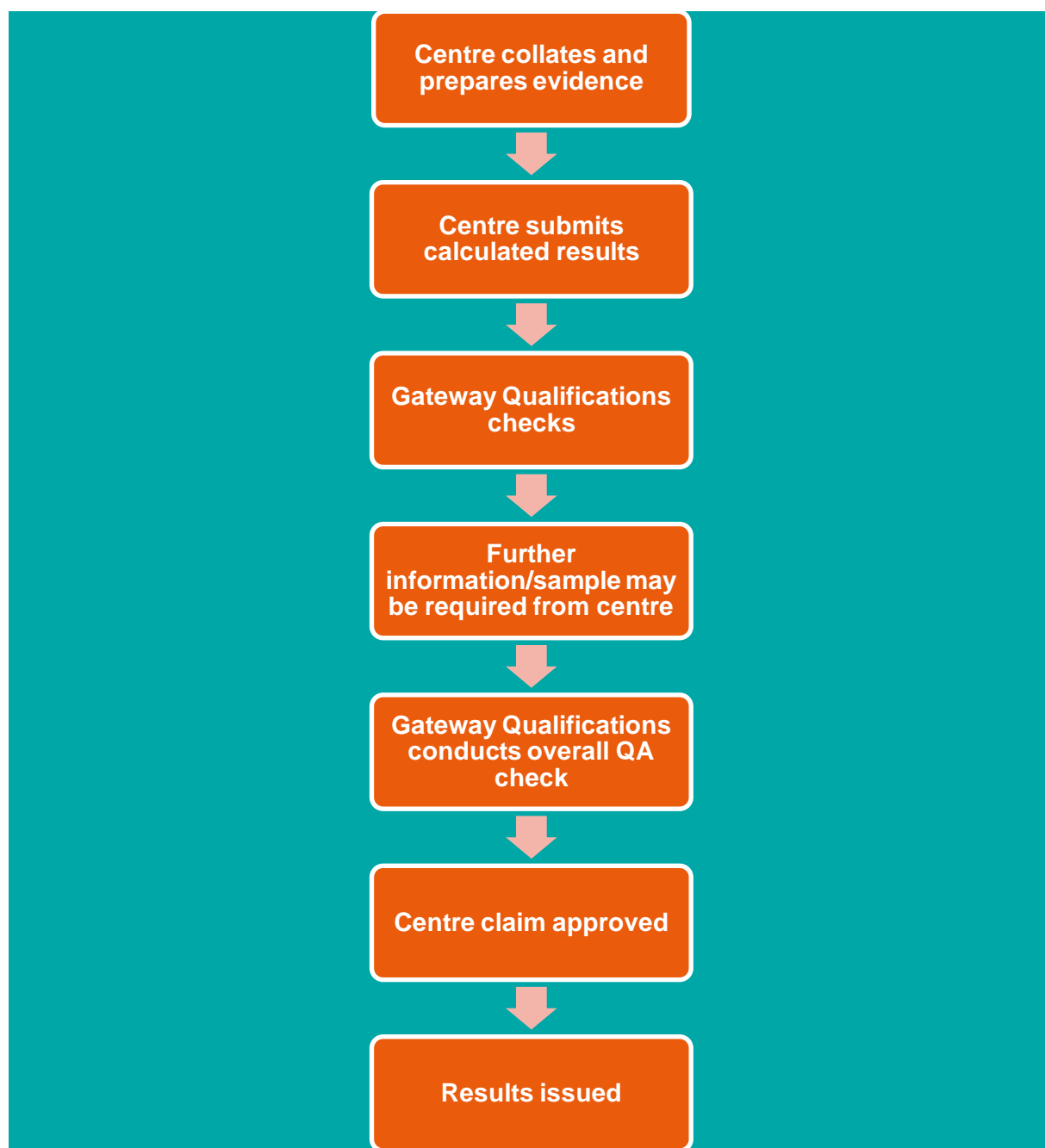
Please note that although you will not be asked to submit any learner evidence to support your centre assessed grades, this must be retained at your centre. It may be requested as part of our quality assurance checks or subject to future quality assurance activity.

If a query we raise is resolved to our satisfaction we will then approve the submission, or return it for further information, before moving to the final stage of checks and any results issue. If a query cannot be resolved, then we will not be able to release results for the centre/learner in question.

Special Considerations

Special considerations may also apply for individual learners. Please refer to our Reasonable Adjustments and Special Considerations Policy and submit requests for special considerations using the form found [here](#) and send it to awarding2020@gatewayqualifications.org.uk mention it is associated with a centre assessed grade application from the centre.

Calculation Process Summary



Adaptation

Qualifications that fall under this arrangement and eligibility

All of Gateway Qualifications' Education and Training suite fall under the adapt mitigation.

Additionally, certain other competence-based qualifications also fall under this mitigation, please refer to the Ofqual tool below to check:

[Summer 2020 Qualification Explainer Tool.](#)

All learners who expected to receive a result for their qualification between 20 March and 31 July 2020 are eligible for adaptation to assessments, as provided in the guidance below.

However, for Education and Training qualifications please check registration dates according to the specific guidance.

Adaptations that apply to Education and Training Qualifications

For the qualification listed below, please refer to the detailed guidance for the delivery of DET programmes here:

[DET Criteria Summer 2020 Awarding](#)

[CET AET Criteria Summer 2020 Awarding](#)

Qualification Number	Qualification Title
601/2324/2	Gateway Qualifications Level 3 Award in Education & Training
601/2444/1	Gateway Qualifications Level 4 Certificate in Education & Training
601/2445/3	Gateway Qualifications Level 5 Diploma in Education & Training
600/8239/2	Gateway Qualifications Level 3 Award in Assessing Vocationally Related Achievement
601/1825/8	Gateway Qualifications Level 3 Award in Assessing Competence in the Work Environment
601/1845/3	Gateway Qualifications Level 3 Certificate in Assessing Vocational Achievement
601/2045/9	Gateway Qualifications Level 4 Award in the EQA of Assessment Processes and Practices
600/8241/0	Gateway Qualifications Level 4 Award in Understanding EQA of Assessment Processes and Practices
601/2007/1	Gateway Qualifications Level 3 Award in Understanding the Principles & Practices of Assessment

Adaptations to assessments that may be applied to other qualifications

The following adaptations should be considered within the context of the particular qualification and the associated qualification specification.

Decisions on whether to apply any of the adaptations rests with the Centre. If you wish to talk through a particular approach and its application to a qualification please contact your usual EQA or quality@gatewayqualifications.org.uk

Acceptable adaptations include:

- Witness testimony: witness testimonies from qualified individuals can be used to act as evidence in place of other assessment activities, for example where assessor observation is not possible in the current circumstances.
- Professional discussion: to provide evidence of unit/qualification coverage that learners may not be able to evidence through other assessment methods at this time.
- Observation: in some instances where assessor observation is not possible, the number of required observations for assessment may be reduced. In other instances, alternative methods of assessment may be accepted e.g. witness testimony.
Knowledge-based written assessments: in place of Q&A sessions for example.
- Revised conditions under which assessment may be carried out: for example, tasks that may have typically been done under supervised conditions in a centre that now may be undertaken using remote, online supervision.
- Simulated tasks: in place of real work task



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