

# Collaborative Award for Teaching Excellence (CATE) 2021

Guidance for institutions and  
nominated teams

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## Contents

1.	Background	3
2.	Guidelines for nomination	3
2.1	Eligibility	3
2.2	Nomination documents	4
2.3	Formatting requirements	5
2.4	Monitoring of equality and diversity data	6
2.5	Submission and receipt of nominations	6
3.	Award criteria	7
4.	Developing the Claim	7
4.1	Section A: Context Statement	7
4.2	Section B: Claim against the two CATE award criteria	8
4.3	Section C: Reference List	11
5.	Statement of Support	12
6.	Review and selection process	13
7.	Outcomes and publicity	13
8.	Awards ceremony and networking event	14
9.	Reporting by CATE award winners	14
	Appendix 1: Nomination requirements for teams and institutional contacts	15
	Appendix 2: Deadline and assessment schedule	16
	Appendix 3: CATE 2021 Claim Form	17
	Appendix 4: Statement of Support	18
	Appendix 5: 2021 CATE scoring rubric	21
	Appendix 6: Advance HE CATE Privacy Statement	22

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## 1. Background

The purpose of the Collaborative Award for Teaching Excellence (CATE) is to recognise and celebrate collaborative work that has had a demonstrable impact on teaching and learning. Introduced in 2016, the scheme highlights the key role that teamwork plays in higher education. Each award will recognise a team which has enabled a change in practice for colleagues and/or students at an institutional or discipline level. There is no limit on the size of the team.

The scheme is organised and run by Advance HE. Advance HE was formed in March 2018, following the merger of the Equality Challenge Unit, the Higher Education Academy and the Leadership Foundation for Higher Education. Advance HE continues the work of the former Higher Education Academy (HEA) in organising and running the Teaching Excellence Awards including the Collaborative Award for Teaching Excellence (CATE).

Up to 15 teams will be selected to receive the award in 2021. Nominated teams will be informed of the outcome on Monday 12 July 2021. Those selected will be invited to attend a celebratory dinner in September/October 2021 where their Collaborative Award for Teaching Excellence will be awarded.

Advance HE will work with teams to help showcase their work and further the impact of the teams and/or of the scheme. Advance HE will further enhance their national profile by inviting them to engage in a broad range of Advance HE activities. On gaining an award, each CATE team member has a role in becoming an ambassador of the scheme and supporting the ongoing enhancement of learning and teaching.

The UK Teaching Excellence Awards Advisory Panel plays a pivotal role in the process. The Panel advises on the criteria, the process of assessment and moderation, and the selection of the winners. The Panel is independent of Advance HE and includes senior representatives from the UK nations and other relevant stakeholders.

This document provides detailed guidelines for teams in the preparation and submission for the award.

## 2. Guidelines for nomination

### 2.1 Eligibility

The CATE scheme is open to all Higher Education Providers (HEPs) across the four nations of the UK, including Further Education Colleges and independent 'alternative' providers. Each UK HEP is invited to **nominate one team** that can clearly demonstrate having an impact on teaching and learning through collaboration.

In order to participate in CATE, institutions must be Advance HE Full or Affiliate members; participation in the scheme is a benefit of membership, i.e. no additional fee is due for participation.

Advance HE expects institutions to ensure that their processes for selecting a team to nominate do not discriminate against individuals on the grounds of equality and diversity and are inclusive to the variety of ways in which staff and students contribute to learning and

teaching, considering the full diversity of their staff and student body. Those within the team can be in any role that contributes to the enhancement of teaching and learning. Colleagues working at an overseas campus, whilst contracted to HEPs in the UK, are eligible to be part of the team. Student members of the team are actively encouraged, and can be studying or in a representative role.

Each team should demonstrate direct engagement with higher education students. Although there is no requirement for students to be members of the team, a team should clearly demonstrate how students are directly engaged in their work.

Institutions are encouraged to consider how the internal selection process can be used to create a positive profile for the nominated team and how they as an institution will continue to promote the work of the team if they are unsuccessful in the CATE award selection process, as it is highly competitive.

The team leader must not have an active application for NTFS running at the same time as an application for CATE. Staff members of the team must be a Fellow (any category) of the HEA or be working towards Fellowship.

The Claim should be the work of the nominated team only and Advance HE retains the right to process documentation through anti-plagiarism software.

We encourage colleges and alternative HE providers to nominate teams for the CATE awards as these have been under-represented in previous award rounds. In selecting the team to nominate, we encourage institutions to consider their equality, diversity and inclusion principles; analysis of equal opportunities monitoring data from past award rounds identifies that ethnic minority groups, non-academic staff, staff declaring a disability, part-time and male staff have been under-represented in nominated CATE teams.

## 2.2 Nomination documents

**Nominations** comprise the documents and forms listed below. The submission of the full nomination should be coordinated by the institutional contact (see Section 2.5); a checklist is included for the institutional contact to confirm that all documents have been submitted for the team being put forward. Documents should be uploaded to Advance HE's Virtual Learning Environment ([VLE](#)) and forms completed online through [Online Surveys](#).

Nomination documents comprise the following:

- **Institutional Contact Checklist:** a form to be downloaded from the Advance HE VLE, completed and uploaded by the institutional contact to confirm the presence of all nomination documents and forms. See Appendix 1 - Welsh version available on Connect;
- **Claim:** a statement completed by the nominated team using the downloadable pro-forma describing their outstanding impact in relation to the award criteria (**maximum 3500 words**) plus an overarching Context Statement (up to 300 words) and a Reference List for citations used within the Claim (excluded from the word count). See Appendix 3 - Welsh version available on Connect;
- **Signed Statement of Support:** a statement providing endorsement and institutional perspective to support the Claim made and signed by the institution's Vice-Chancellor (or equivalent), using the downloadable pro-forma (**maximum 1000 words**). See Appendix 4 - Welsh version available on Connect;

- **Nomination Form:** an online form to be completed by the team leader of the nominated team and available [via this link](#). This covers background information about the team, 350-word profile, 50-word summary profile and two 20-word quotes. This information will be used in publicity material for CATE winning teams. Nominees should state their preferred pronouns. Personal profiles should be written in third person. Examples of previous personal profiles can be found [here](#), for reference;
- **Photos:** three different high resolution photographs of the team; 1Mb and 300dpi (minimum) in JPEG format. All photographs should be in landscape format. The submission of photographs indicates a HEP has sought nominee agreement for the use of these images by Advance HE;
- **Equal opportunities monitoring form:** an online form completed by each of the team members and available [via this link](#). The data will be used anonymously to report on equality and diversity.

## 2.3 Formatting requirements

The following conventions should be applied to the Claim. This is to ensure fairness and consistency in the review process across all nominated teams.

- **Word limits:** where word limits are specified, all section headings, text within tables or diagrams, endnotes and numerical characters should be included in the word count. Sections A and B of the Claim have a maximum word limit; reviewers will not take into account any words exceeding the word limit.
- **Font:** Arial 12 point.
- **Diagrams:** are permitted. Any text appearing within the diagram should be added to the final word count.
- **Headers and footers:** headers should be used for the team name and nominating institution and footers for page numbers.
- **References:** can be included in the body text or put as endnotes (rather than footnotes). Citations used within the text will be included in final word count.
- **Web-links, pictures and logos:** these will not be taken into consideration in the review process and therefore should be avoided.
- **File Saving:** The following naming convention should be used for all submitted files: **<Institution\_(Team Leader) Initial.surname\_DocumentName>**;  
e.g. UniofPoppleton\_J.Smith\_Claim

**Advance HE and the UK Teaching Excellence Awards Advisory Panel reserve the right to reject any nominations failing to adhere to these requirements. It is therefore the responsibility of the nominating institution and the team leader to ensure that the nomination adheres to the requirements with regard to formatting, required signatures and word limits.**

## 2.4 Monitoring of equality and diversity data

All personal data provided through submitting a team nomination for the CATE scheme will be held confidentially by Advance HE and only relevant documentation will be shared with the reviewers and the UK Teaching Excellence Awards Advisory Panel as explained within this guidance document.

Advance HE is committed to promoting equality and diversity and collects data relating to team members for statistical monitoring via the **Equal Opportunities Monitoring Form**. The Equal Opportunities Monitoring Form is online in Online Surveys and available [via this link](#). **Each member of the team should complete a form**. The institutional contact should check to confirm that all team members have completed the form.

The information provided on the Equal Opportunities Monitoring Form does not form part of the Claim and is not made available to reviewers but is used anonymously by Advance HE for statistical monitoring. The confidentiality of the data submitted is maintained by Advance HE. Advance HE collates the information provided by all members of the nominated teams and shares this collated data anonymously to report annually on equality and diversity to the UK Teaching Excellence Awards Advisory Panel.

If anyone wishes to know more about how Advance HE collects, stores and uses personal information about CATE nominated teams please review our privacy statement (Appendix 6).

## 2.5 Submission and receipt of nominations

Nomination documents need to be submitted by a named central contact (or their designated deputy) at the institution (**institutional contact**) through Advance HE's VLE. The Institutional Contacts will be issued with an institutional username and password to log into the VLE to enable them to upload the nomination. Full instructions will be provided.

**All nomination documents must be uploaded by 12:00 (GMT) on Wednesday 10 March 2021.** The institutional contact is acting on behalf of their institution and it will be assumed by Advance HE that they are acting in accordance with the expectations of their senior management when submitting their institution's nomination.

Submissions should be in English or Welsh; those submitting in Welsh must also include an English version of all documents for review purposes. Further details can be found in the Welsh version of this guidance document.

Receipt of uploaded nominations will be acknowledged by an automated email sent to the institutional contact, however, this email will provide confidence that a submission has been made but will not confirm that all required documentation is present. Following submission, Advance HE will check that all documents have been received and are accessible. Advance HE will confirm that all required documents have been received in an email sent to the institutional contact from the mailbox [cate@advance-he.ac.uk](mailto:cate@advance-he.ac.uk) by 12:00 (BST) on Wednesday 17 March 2021. If the institutional contact has not heard from Advance HE by this time then we advise that they should contact Advance HE to check receipt, either by email at [cate@advance-he.ac.uk](mailto:cate@advance-he.ac.uk) or phone on 01904 717500 before a final deadline of 12:00 (BST) on Friday 19 March 2021.

### 3. Award criteria

All teams will be assessed on the evidence provided in the nomination documents in relation to each of the **two CATE award criteria**:

#### **CATE Criterion 1: Excellence in the team's collaborative approach**

Evidence of excellence in the team's approach to working collaboratively, commensurate with their context and the opportunities afforded by it.

#### **CATE Criterion 2: Excellence in the impact of collaborative working**

Evidence of the team having a demonstrable impact on teaching and learning, including beyond their immediate academic or professional area.

Reviewers will be looking for evidence of **reach, value and impact** to be demonstrated in the evidence within the narrative presented in Section B of the Claim. Please note that each of the two award criteria above is given equal consideration in the assessment process and weighted equally in the overall score.

### 4. Developing the Claim

The 'Claim' is made up of three sections:

- Section A: Context Statement (maximum 300 words);
- Section B: Claim against the CATE Award Criteria (maximum 3500 words in total);
- Section C: Reference List

Only Section B, containing evidence against each of the two CATE award criteria, is scored by reviewers; the Context Statement and Reference List are not scored.

#### 4.1 Section A: Context Statement

Advance HE and the UK Teaching Excellence Awards Advisory Panel recognise that excellence in teaching and learning support will be situated within specific academic, professional and institutional contexts. The nature of the institutional context and each nominated team's opportunity to contribute will be taken into account.

There will be considerable variation between nominated teams, reflecting differences in the constitution, context and work of the team. The Context Statement (300 words) is at the beginning of the team's Claim and will not be scored by reviewers. This new section should be used to articulate the context, setting, field and/or area of work within which the team is operating.

The Context Statement provides a frame for Section B of the Claim and enables reviewers to orientate themselves into the evidence provided against each of the two CATE award criteria. Teams should use the Context Statement to explain the context of their institution and team, the team's composition and the role(s) and responsibilities within the team. If the narrative in Section B of the Claim draws on evidence from work across different institutions/ in the wider sector and/or industry/sector bodies, this should also be explained in the Context Statement. Teams should make clear the nature of their teaching and learning

practice (e.g. types of learners, discipline(s)/specialist area(s), brief outline of scope and scale of practice undertaken by the team).

The Context Statement should not be used to provide information that would add evidence of impact to the narrative set out in Section B of the Claim. Some examples of what not to include in the Context Statement (but to include in Section B instead) are as follows:

- The team's development as a team and their approach to the collaborative work (to be used in evidence for Criterion 1);
- The team's contribution to wider thematic/ sector priorities (link to Criterion 1);
- Collaborative work with external bodies (link to Criterion 1);
- The dissemination of initiatives and impact across other areas/campuses/teams (could link to Criteria 1 or 2);
- Work impacting on professional bodies or wider communities (e.g. possible use in evidence for Criterion 2).

The content and structure of the Context Statement is to be determined by the nominated team in order to best showcase the relevant parts of their context that effectively situate the evidence to come in the claim. Teams should avoid submitting Context Statements that contain a lot of detail about the history and prestige of their institution.

The table below provides anonymised excerpts of Context Statements from CATE Claims that were successful in previous years, to offer an illustration of the type of information that reviewers find particularly helpful:

'Students Together' is a small professional services team that led the design, delivery and continues the ongoing development of the St.D. Student Platform. The Platform is the first learning analytics resource implemented in a large physical UK university accessible by both staff and students. Our team of four works collaboratively with the end users (staff and students), with professional services, university data and IT specialists and with the external vendor to ensure that the Platform is a valued enabler of change. We are responsible for developing the institutional vision, project management and conducting both product development and academic research to ensure that learning analytics is embedded ethically and effectively across St. Damien's University.

The team recognised the need to widen access to training through the use of technology but also an opportunity to maintain high quality and relevance for application at a local level through collaboration across a wide range of experts and practitioners on a global level. Leveraging on the THDR networks and alumni developed over the years across individual and institutional levels.

The integration of open education in the teaching and learning design was based on incorporating authentic scenarios, extending its purpose through collaboration to enable an inter and trans-professional learning and with a potential to build capacity at a local level for educators and external partners.

The project has run since 2014/15. It was founded and is operated by a diverse and evolving group of volunteers drawn from multiple different roles and backgrounds. This diversity is reflected in the nominated team, which includes students, academic developers, student union staff, senior academics and support staff. Led from the Department for Learning and Teaching Enhancement, SFF is supported by staff and students from all Schools, now complements more traditional peer observation across the University and is incorporated into the University strategy. It has changed practice within and beyond Heworth University and was awarded a student engagement award from Student Partnerships in Quality UK (SPQUK).



## 4.2 Section B: Claim against the two CATE award criteria

Nominated teams should use Section B of the Claim to set out the evidence of the **reach, value and impact** of their team's practice against the two CATE award criteria in turn. Overall Section B must not exceed 3500 words.

There are many different ways of evidencing each of the award criteria, as appropriate to the nature of the team's work. Some illustrative examples are given below, but nominated teams should not feel limited by these examples as they are included only to provide indicative types of evidence against each criterion.

### Key points to note:

- teams should use Section B of the Claim to address and provide evidence against each award criterion in turn;
- teams will need to draw upon explicit evidence of impact to support their claim against each criterion. Some examples of typical sources are (but need not be confined to):
  - student feedback and evaluations;
  - feedback from peer observations;
  - departmental or institutional annual reviews or evaluations;
  - feedback from other national engagements;
  - student support materials;
  - work with other partner institutions and organisations;
  - quantitative data to indicate the scale, reach and impact of the nominated team's work.
- teams should demonstrate that they are applying the principles of equality, diversity and inclusion to their practice.

The decision about what constitutes appropriate evidence of impact rests with the nominating institution and the nominated team, but teams are encouraged to ensure that the student voice is made explicit within Section B of the Claim. Teams from various academic disciplines or roles inevitably demonstrate different communication and analytical styles and this will be accounted for in the assessment process. There is no one 'style' that is expected in applications and examples will be assessed and scored for their contribution to the relevant criterion as a whole.

### Reach, Value and Impact

Reviewers will be looking for evidence that demonstrates the **reach, value and impact** of the nominated team's practice. Teams should be mindful of this requirement and aim to provide evidence that demonstrates a balance of these three qualities across the claim.

**Reach** - The scale of influence. Though 'geographic' reach may be important for some nominees, it is useful to consider other ways that a nominee can demonstrate reach. Some nominees may demonstrate reach at a department/ faculty/ institution/ national/ global level, for example, but others might provide evidence of how their practice has reached different groups of students, individuals and/or organisations (e.g. postgraduates, commuter students, BAME students, online learners, etc.).

**Value** - The benefit derived for students and staff (which may take different forms). Value may include qualitative evidence such as a change in approach to learning among students or staff. For example, evidence may be provided about how the work being described has added value to the student learning experience or to teaching practice. Value may also relate to the quality of enhanced experiences and the meaningfulness of practices. Some nominees may also be working in settings where there are positive explicit ethical elements to their practice.

**Impact** - The difference that has been made to policy, practice and/or student outcomes as the result of an activity. The focus here is on explicit evidence of positive change taking place. Impact evidence can be both quantitative and qualitative, but it is important to show how the activities described have changed teaching practice and/or learning outcomes.

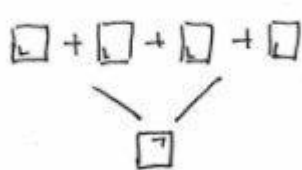
### Cooperative v. Collaborative Team Working

Nominated teams should aim to capture evidence of their collaborative working under both criteria. Collaboration is a state of interdependence that is likely to be much deeper than simply co-operating as members of a team. Successful claims are likely to encompass aspects of practice that go beyond describing how the team works with others. The ethos of CATE is a recognition of team working as an important element of successful HE practice. Nominated teams should expect to describe how the team was established, has developed and how it continues to work to achieve effective impact.

The graphic below (reproduced with the permission of John Spencer) outlines some key distinctions between the two concepts. The qualities of collaboration listed in this illustration provide a useful prompt for nominated teams to collect effective evidence of this way of working.

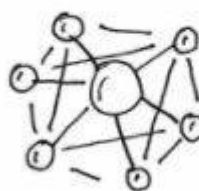
## COOPERATIVE V. COLLABORATIVE

By John Spencer @spencerideas



### COOPERATION

- Mutual respect
- Transparency
- Shared goals
- Independent and dependent
- Loose network
- Short-term
- Sharing of ideas as a group
- engagement



### COLLABORATION

- Mutual trust
- Vulnerability
- Shared vision and values
- Constant state of interdependence
- Tight culture
- Long-term
- Generation of new ideas as a group
- empowerment

**Addressing Criterion 1: Excellence in the team's collaborative approach**

*Evidence of excellence in the team's approach to working collaboratively, commensurate with their context and the opportunities afforded by it.*

Criterion 1 is focused primarily on the approach to and value of working collaboratively, and planning for reach and impact. To give some illustrative examples, Criterion 1 could be demonstrated by providing evidence of excellence in terms of:

- having a clear set of aims, objectives and rationale for the team's approach and how the group constitutes a team and developed as a team;
- demonstrating direct engagement of students within or with the team;
- illustrating how the team has contributed to wider thematic and sector priorities, for example: assessment and feedback, retention, employability, staff development, students as partners, technology and social media;
- working collaboratively with a range of stakeholder groups;
- embedding practices across different programmes, disciplines, campuses or institutions;
- being flexible and creative in working to address unanticipated situations or events;
- processes in place for measuring the impact or outcomes of collaborative work.

**Addressing Criterion 2: Excellence in the impact of collaborative working**

*Evidence of the team having a demonstrable impact on teaching and learning, including beyond their immediate academic or professional area.*

Criterion 2 is focused on showing the *reach* and *impact* of the team's work and *value* including beyond their initial context. To give some illustrative examples, Criterion 2 could be demonstrated by providing evidence of:

- the reach of the team's work;
- the wider value that has resulted from working as a team;
- the impact of supporting colleagues and/or influencing support for student learning;
- the impact on student learning or outcomes;
- the impact of any outcomes/outputs of collaborative work.

Reviewers 'score' each of the two parts to Section B separately. Appendix 5 sets out the scoring rubric used by reviewers to allocate scores (0-5) to evidence claimed against each of the two award criteria (maximum score of 10 per reviewer overall).

### 4.3 Section C: Reference List

The Claim includes a final section (Section C) where teams should provide a list of any references which they have drawn upon within the evidence they provide against each award criterion. For example, the team may be drawing upon the outcomes of relevant research, scholarship and professional practice and/or engaging with and contributing to the established literature or to their own evidence base for teaching and learning.

Nominated teams should not simply list all of their publications and presentations and should focus only on those which are directly linked to the material in Section B. Nominated teams should also be aware that the Reference List should not be used to add hyperlinks to further supporting material as reviewers cannot follow these.

Though a word limit is not set for the Reference List, if a nominated team's list has more than approximately 20, or less than 2 references, this means it is likely to be out of kilter with successful applications. The list should not include any citations not directly referred to within the evidence provided in Section B of the Claim.

The Reference List is not part of the review process and so is not 'scored' by reviewers. The purpose of the list is to allow reviewers to identify sources and to provide appropriate credit to an author who has inspired any areas of the team's work that are evidenced within the Claim.

## 5. Statement of Support

The institution's Statement of Support is an essential and critical aspect of the CATE nomination. It endorses the claim made by the nominated team and frames the reach, value and impact of the team's practice from an institutional perspective.

The Statement of Support should not be seen as a source of supplementary (or new) evidence; the core aspects of the team's claim, and evidence for these aspects, should be within Section B of the Claim. The institution's Statement of Support is a complementary document intended solely to endorse the claims made within Section B. The Statement of Support should validate the impact evidenced by the team, provide institutional context for the team's work and provide any supporting information that might be more appropriately expressed by a Vice Chancellor/ Principal/ President (or equivalent). For example, a perspective on the strategic importance of the team's work and/or change arising as a result of their actions.

The Statement of Support should be completed using the downloadable form available on the Advance HE VLE. The statement must be signed by the institution's Vice-Chancellor/ Principal/ President (or equivalent).

It is recommended that the nominated team's Claim for a CATE award is read prior to composing the institution's Statement of Support. In particular, the statement should:

- endorse the validity of the nominated team's Claim;
- provide an institutional context within which the nominated team has been identified as having made an impact on teaching and learning and outline any future plans to further disseminate their practice;
- provide confirmation of institutional support for the nominated team, should they be successful, in terms of carrying out any responsibilities associated with having won a Collaborative Award for Teaching Excellence;
- provide any additional supporting information which might be most appropriately expressed by the Vice-Chancellor (or equivalent) rather than the nominated team;
- provide the name, job title and signature of the Vice-Chancellor (or equivalent).

The Vice-Chancellor or equivalent is welcome to nominate a senior leader (such as Deputy or Pro-Vice Chancellor) to complete the statement on their behalf (please contact [cate@advance-he.ac.uk](mailto:cate@advance-he.ac.uk) to confirm the arrangement).

## 6. Review and selection process

Each team nomination is considered by independent, external peer reviewers based on the information nominated teams submit against the two CATE award criteria in Section B of the Claim. The institutional Statement of Support validates the claim made by the team from an institutional perspective. The Context Statement at the start of the Claim (Section A) is not reviewed against the criteria; its purpose is to set the context for the team's work in order to frame the evidence provided within the following two parts of Section B of the Claim against the award criteria (see Section 4.1 above).

Advance HE peer reviewers are drawn from teaching and learning professionals across the HE sector and are independent to Advance HE. Reviewers are all experienced in criteria-based assessment, will have successfully completed a moderation exercise and will have undergone training before acting as a reviewer in the scheme. Reviewers carry out their role on a confidential basis and their identity will not be shared with team members, nominating institutions or with the UK Teaching Excellence Awards Advisory Panel during the selection and award process.

Reviewers are asked to score (0-5) each part of Section B of the team's Claim against each of the two CATE award criteria in turn, ensuring that each criterion is equally weighted in the assessment process. Strict word limits are set for the Claim and reviewers are instructed not to consider any part of Section B of the Claim which exceeds the permitted maximum word limit of 3500 words overall. The scoring rubric (Appendix 5) is used by reviewers to allocate scores.

In 2021, Advance HE will allocate all nominations to three reviewers, avoiding any conflicts of interest. The reviewers score each of the two criterion 0-5. A series of algorithms are applied to differentiate scores and create overall ranking. Where one reviewer's scores are defined as discrepant from the other two reviewers' scores, a fourth reviewer will be used and the three closest scores used in the ranking calculations.

Advance HE oversees the standardisation of assessment, and monitors and processes all nominated team data in order to report to the UK Teaching Excellence Awards Advisory Panel. The approach used ensures that no nominated team is disadvantaged by discrepancies in marking and that all teams are treated fairly and consistently. The UK Teaching Excellence Awards Advisory Panel reviews equal opportunities data, the rankings and reviewer comments and makes recommendations for award winners, which are subsequently ratified by the Advance HE Chief Executive Group.

Advance HE is committed to promoting equality and diversity. In processing nominations, it ensures that no nominated team is treated less favourably than others on the grounds of gender, race, nationality, ethnic or national origin, religious or political beliefs, disability, marital status, social background, family circumstances, sexual orientation, gender reassignment, spent criminal convictions, age, or for any other unlawful reason.

## 7. Outcomes and publicity

Team leaders will be informed of the outcome of their nomination via email on Monday 12 July 2021. The Vice-Chancellor/ Principal/ President (or equivalent) of the institution will also be informed of the outcome on this date. The announcement of 2021 CATE award winners will be strictly embargoed until Thursday 5 August 2021. It is a condition of the CATE competition that teams do not share news of their success before this date in order to maximise publicity. Contravention of this requirement could lead to the award being revoked. The names of the 2021 CATE award winners will be officially announced on Thursday 5 August 2021 on Advance HE's website and in a press release. Information included in the Nomination Form and the photographs submitted with the nomination will be used in publicity materials.

Three high resolution 1Mb and 300dpi (minimum) images of the team are part of the nomination and should be uploaded to the VLE, for use on the Advance HE website and in the ceremony brochure. The three photos should be different and landscape in format. In submitting images to Advance HE, the team members are providing consent for Advance HE to use these images for promotional purposes or publicity. Team members are also confirming that they are the owner of any intellectual property rights or have appropriate license to share these images with Advance HE and for Advance HE to use the images provided for this purpose.

Following the publication of the outcome of CATE 2021, Advance HE will issue individual written feedback to all nominated teams by the end of August 2021. This timeframe is necessitated by the large volume of CATE applications received, and the considerable work that goes into checking and collating the written feedback from each of the three reviewers over both CATE criteria. This qualitative feedback from the reviewers is intended to support plans for future development. Reviewer scores and nomination rankings are not released. Nominated teams are encouraged to share their review feedback with their institutional contact in order to promote opportunities for successful nominated teams at the institution in future CATE rounds.

CATE is a competition and thus the Panel's decision is final and no appeals can be made against their decision. The Advance HE complaints process should be used to address any concerns relating to fair treatment in the administration of nominations. In the first instance if any questions or concerns arise, please email [cate@advance-he.ac.uk](mailto:cate@advance-he.ac.uk).

## 8. Awards ceremony and briefing event

The CATE 2021 winners will be invited to attend a celebratory dinner that will be held in September/October 2021 (date to be confirmed), to which two members of the team, and the Vice-Chancellor/ Principal/ President (or equivalent) will be invited. Additional tickets may be available for purchase. The 2021 CATE winners will also be invited to attend a networking event on the afternoon of the ceremony, which will provide opportunity to network with fellow award holders.

## 9. Reporting by CATE award winners

All CATE 2021 winners are required to complete an 18-month interim and 3-year final report which identifies any ways in which the award has impacted on their team and on their students/ colleagues/ institution more widely. Advance HE will contact the leaders of the award winning teams at the appropriate time with a request to complete the report. Should a team leader leave the team (e.g. changing job), the institution should appoint another team member to take on responsibility for reporting to Advance HE.

## Appendix 1: Nomination requirements for teams and institutional contacts

✓	Task
	<p><b>Register</b></p> <p>From 5 October 2020 onwards, a named institutional contact must register for access to Advance HE's VLE by emailing <a href="mailto:CATE@advance-he.ac.uk">CATE@advance-he.ac.uk</a> to obtain an institutional VLE Username and Password.</p>
	<p><b>Institutional contact checklist (downloadable from the VLE. To be submitted as a pdf file)</b></p> <p>This form should be completed and signed by the institutional contact to confirm that all documents and forms have been checked and/or submitted.</p>
	<p><b>Claim (downloadable from the VLE. To be submitted as a Word file)</b></p> <p>Should be written by the nominated team and signed by the team leader only, completed on the downloadable pro-forma, and submitted by the institutional contact.</p>
	<p><b>Statement of Support (downloadable from the VLE. To be submitted as a pdf file)</b></p> <p>Should be written and signed by the institution's Vice-Chancellor (or equivalent), based on the nominated team's Claim and submitted by the institutional contact.</p>
	<p><b>Nomination Form (Online Surveys)</b></p> <p>Should be completed by the team leader using the online form in Online Surveys <a href="#">via this link</a>. At the end of the form the team leader should take note of the unique reference number and give this to the institutional contact for inclusion on their overview form.</p>
	<p><b>Photos</b></p> <p>Three high resolution 1Mb and 300dpi (minimum) images of the team should be uploaded to the VLE for use on Advance HE website and in the ceremony brochure. The three photos should be different and landscape in format.</p>
	<p><b>Equal Opportunities Monitoring Form (online, <a href="#">via this link</a>)</b></p> <p>An online Equal Opportunities Monitoring Form must be completed by each team member. This form will be used anonymously. The institutional contact should confirm that all team members have completed a form.</p>
	<p><b>Submission</b></p> <p>All nomination documentation should be uploaded via Advance HE's VLE <b>by 12:00 (GMT) on Wednesday 10 March 2021</b> by the institutional contact.</p>

## Appendix 2: Deadline and assessment schedule

The timetable for the submission and assessment process is as follows:

Date	Milestone
Monday 5 October 2020	<p><b>Call for nominations opens</b></p> <p>All CATE forms and guidelines will be released. Institutional contacts can email <a href="mailto:CATE@advance-he.ac.uk">CATE@advance-he.ac.uk</a> to receive access to Advance HE's VLE from this date.</p>
Wednesday 10 March 2021	<p><b>Nominations close</b></p> <p>All electronic copies of nomination documents should be uploaded by 12:00 (GMT). Access to the VLE for institutional contacts will close at this time.</p>
Monday 12 July 2021	<p><b>Individual outcomes released</b></p> <p>Nominated team's and Vice-Chancellor (or equivalent) of the nominating institution will be informed of the outcome of their nomination. Please note that this information is embargoed until the official announcement on Thursday 5 August 2021.</p>
Thursday 5 August 2021	<p><b>Official announcement released</b></p> <p>Advance HE releases the official announcement of 2021 CATE winners.).</p>
September/October 2021	<p><b>Awards ceremony</b></p> <p>The awards ceremony will be held in September/October (date to be confirmed).</p>



## Appendix 3: CATE 2021 Claim Form

<b>Team leader name:</b>	
<b>Team name:</b>	
<b>Institution:</b>	
<b>Section A: Context statement (not scored by reviewers)</b>	
<b>Word count for Section A (maximum 300 words)</b>	<i>Enter word count for Section A here</i>
<b>Section B: Claim against the CATE Award Criteria (evidence against each Award Criterion 1 and 2 scored separately by reviewers)</b>	
<b>Criterion 1: Excellence in the team's collaborative approach</b>	
Evidence of excellence in the team's approach to working collaboratively; commensurate with their context and the opportunities afforded by it.	

<b>Criterion 2: Excellence in the impact of collaborative working</b>	
Evidence of the team having a demonstrable impact on teaching and learning, including beyond their immediate academic or professional area.	
<b>Total word count for Section B (maximum 3500 words)</b>	<i>Enter word count for Section B here</i>
<b>Section C: Reference List (not scored by reviewers)</b>	
<b>Team Leader signature*:</b> (*electronic signatures are accepted)	
<b>Date:</b>	
<p>By signing this document, I confirm that:</p> <ul style="list-style-type: none"> <li>• I have read, understood and agree to the Advance HE Privacy Notice</li> <li>• This claim is solely the work of the nominated CATE team</li> </ul>	

## Appendix 4: Statement of Support

This Statement of Support should be completed and signed by the institution's Vice-Chancellor/ Principal/ President (or equivalent). It is important that the team's Claim is read prior to composing this statement.

<b>Name:</b>		
<b>Position:</b>		
<b>Institution:</b>		
<b>Contact Address:</b>		
<b>Contact Address:</b>	Post Code:	
<b>Work Telephone:</b>		
<b>Email:</b>		
<b>Name of nominated CATE team:</b>		
<p><b>This Statement of Support should:</b></p> <ul style="list-style-type: none"> <li>○ endorse the validity of the nominated team's claim;</li> <li>○ provide an institutional context within which the nominated team has been identified as having made an impact on teaching and learning;</li> <li>○ provide confirmation of support of the nominated team, should they be successful, in terms of carrying out any responsibilities associated with having won a Collaborative Award for Teaching Excellence;</li> <li>○ provide any additional supporting information which might be most appropriately expressed by the Vice-Chancellor/ Principal/ President (or equivalent) rather than the nominated team.</li> </ul>		

<b>Word Count (Max 1000 words):</b>	<i>Enter word count here</i>
<b>Signature*:</b> <b>(*electronic signatures are accepted)</b>	
<b>Date:</b>	
<p>By signing this document, I confirm that:</p> <ul style="list-style-type: none"> <li>• I have read, understood and agree to the Advance HE Privacy Notice.</li> <li>• The internal nomination process which led to the selection of the named CATE team was fair, transparent and adhered to our institutional equality, diversity and inclusion policy (or equivalent).</li> <li>• Advance HE may use this form as confirmation of my support should the nominated team be awarded a Collaborative Award for Teaching Excellence.</li> <li>• If successful, the institution will fully support the award holders in the conduct of any and all activities associated with the role of a CATE winner.</li> </ul>	

## Appendix 5: 2021 CATE scoring rubric

Reviewers use the scoring rubric below to 'score' each of the two parts to Section B of the nominated team's Claim against each of the two CATE award criteria (i.e. an overall maximum score of 10 from each of the three reviewers):

General scoring Profile	The nominated team provides <b>outstanding</b> evidence to demonstrate their impact on teaching and learning.	The nominated team provides <b>very good</b> evidence to demonstrate their impact on teaching and learning.	The nominated team provides <b>good</b> evidence to demonstrate their impact on teaching and learning.	The nominated team provides <b>satisfactory</b> evidence to demonstrate their impact on teaching and learning.	The nominated team provides <b>limited</b> evidence to demonstrate their impact on teaching and learning.	The nominated team provides <b>poor/no</b> evidence to demonstrate their impact on teaching and learning.
Scores	<b>5 points</b>	<b>4 points</b>	<b>3 points</b>	<b>2 points</b>	<b>1 point</b>	<b>0 point</b>
<b>Criterion 1: Excellence in the team's collaborative approach</b>	+ <b>outstanding</b> evidence of excellence in the team's approach to working collaboratively, commensurate with their context.	+ <b>very good</b> evidence of excellence in the team's approach to working collaboratively, commensurate with their context.	+ <b>good</b> evidence of excellence in the team's approach to working collaboratively, commensurate with their context.	+ <b>satisfactory</b> evidence of excellence in the team's approach to working collaboratively, commensurate with their context.	+ <b>limited</b> evidence of excellence in the team's approach to working collaboratively, commensurate with their context.	+ <b>poor/no</b> evidence of excellence in the team's approach to working collaboratively, commensurate with their context.
<b>Criterion 2: Excellence in the impact of collaborative working</b>	+ <b>outstanding</b> evidence which <b>fully</b> demonstrates the team's impact on teaching and learning, including going beyond their academic or professional area.	+ <b>very good</b> evidence which <b>clearly</b> demonstrates the team's impact on teaching and learning, including going beyond their academic or professional area.	+ <b>good</b> evidence which <b>demonstrates</b> the team's impact on teaching and learning, including going beyond their academic or professional area.	+ <b>satisfactory</b> evidence which <b>partially</b> demonstrates the team's impact on teaching and learning, including going beyond their academic or professional area.	+ <b>limited</b> evidence which <b>rarely</b> demonstrates the team's impact on teaching and learning, including going beyond their academic or professional area.	+ <b>poor/no</b> evidence of excellence, and <b>fails</b> to demonstrate the team's impact on teaching and learning, including going beyond their academic or professional area.

## Appendix 6: CATE 2021 Privacy Statement

### Schedule 1: Data Protection

This schedule describes how Advance HE collects and use personal information about you and your team when you submit your nomination to us. For the purpose of data protection legislation, including the Data Protection Act 2018 (the “DPA”), Advance HE is the “data controller”. This means that we are responsible for deciding how we hold and use personal information about you. We are required under data protection legislation to notify you of the information contained in this schedule.

Advance HE is a company limited by guarantee incorporated in England and Wales under company number 4931031 and registered as a charity in England under charity number 1101607 and in Scotland under charity number SC043946. Our registered office address is: Innovation Way, York Science Park, York YO10 5BR. We can also be contacted by email at [data.protection@advance-he.ac.uk](mailto:data.protection@advance-he.ac.uk) or by phone on 01904 717500.

#### How we will protect your personal information

Advance HE is committed to holding personal information you provide to us securely.

Where personal information is held electronically, it is held on a computer system that is owned and controlled by Advance HE or such other third party appointed by Advance HE.

To effectively administer the scheme, Advance HE stores the details supplied on this form, and the nomination documentation, in both paper and electronic format. Paper copies are held locally by Advance HE at its offices or securely by our staff, contractors or offsite storage facilities. Sometimes we will make electronic copies of paper documents or type up information from them. These documents or information are then stored on our computer system.

The nomination process is via the Advance HE’s VLE system. All the information that you provide to us will be transmitted to and stored on our secure servers or the servers of such other third party who we may appoint from time to time to host the VLE and/or to store information.

We will only retain your personal information for as long as necessary to fulfil the purposes we collected it for (see “What we use your information for” below).

**Successful CATE Winners:** Advance HE will store and process your personal information for the length of time that you are a National Teaching Fellow.

To determine the appropriate retention period for personal data, we consider the amount, nature, and sensitivity of the personal data, the potential risk of harm from unauthorised use or disclosure of your personal data, the purposes for which we process your personal data and whether we can achieve those purposes through other means, and the applicable legal requirements. Advance HE will ensure that our suppliers and selected third parties with whom we share your personal information in accordance with this schedule will delete your personal information once there is no longer a reason for retaining it.

#### What we use the information contained in this form for

The situations in which we will process your personal information are listed below:

- Communicating with you about your nomination.
- Administration purposes including establishing, amending, closing or renewing user accounts for the VLE.
- Evaluating and analysing the information provided by you in your forms.
- Dealing with any queries or complaints in relation to your application for the National Teaching Fellowship Scheme.
- Generating reports for internal use by us, our staff and the UK Teaching Excellence Awards Advisory panel in relation to your nomination.

Our lawful basis for these activities is necessity to perform our contract with you (as we commit to you to review and process your nomination).

- Appointing third party service providers to use your personal data for our purposes (not the purposes of the third party) on our behalf, under our instruction such as support services for use of the VLE, to external peer reviewers as well as to members of the panel as part of the assessment process, to third parties assisting Advance HE to inform future review processes and evaluation activities.
- Keeping in touch with you to send you details about service information, our products and services, surveys, newsletters, events, courses, seminars and workshops.

Our lawful basis for these activities is the pursuit of our legitimate interests to engage external support to deliver the National Teaching Fellowship Scheme and to raise our profile within the teaching community.

- Where we wish to use data for other purposes, we may anonymise your information so that it cannot be linked to you. In that case, it will cease to be personal data and we may use the anonymised data for any purpose.

### Sharing your information

We may pass your information on to the following third parties and/or internal teams or departments at Advance HE and for the following purposes:

- Your employer for the purposes of networking and professional development.
- Our suppliers who provide services on our behalf such as IT providers who own, manage or provide support for our computers or systems we use and our suppliers who provide the VLE or other software.
- Our staff or individuals that we appoint to review your nomination and other information that you provide in your nomination documentation. Partner organisations we may use to deliver the National Teaching Fellowship Scheme and the award ceremony.
- Partner organisations we may use to deliver the National Teaching Fellowship Scheme and the award ceremony.

We may sometimes be obliged to disclose your personal information by law such as by a regulator with appropriate power, or court order. In addition, information held by or for public bodies can be subject to freedom of information requests.

### Your duty to inform us of changes

It is important that the personal information we hold about you is accurate and current. Please keep us informed if your personal information changes during your working relationship with us.

## Your rights in connection with personal information

Under certain circumstances, by law you have the right to:

- Request access to your personal information (commonly known as a “data subject access request”). This enables you to receive a copy of the personal information we hold about you and to check that we are lawfully processing it.
- Request correction of the personal information that we hold about you. This enables you to have any incomplete or inaccurate information we hold about you corrected.
- Request erasure of your personal information. This enables you to ask us to delete or remove personal information where there is no good reason for us continuing to process it. You also have the right to ask us to delete or remove your personal information where you have exercised your right to object to processing (see below).
- Object to processing of your personal information where we are relying on a legitimate interest (or those of a third party) and there is something about your particular situation which makes you want to object to processing on this ground.
- Request the restriction of processing of your personal information. This enables you to ask us to suspend the processing of personal information about you, for example if you want us to establish its accuracy or the reason for processing it.
- Request the transfer of your personal information to another party.

If you want to review, verify, correct or request erasure of your personal information, object to the processing of your personal data, or request that we transfer a copy of your personal information to another party, please contact the Teaching Excellence Awards Team in writing.

### No fee usually required

You will not have to pay a fee to access your personal information (or to exercise any of the other rights). However, we may charge a reasonable fee if your request for access is clearly unfounded or excessive. Alternatively, we may refuse to comply with the request in such circumstances.

### What we may need from you

We may need to request specific information from you to help us confirm your identity and ensure your right to access the information (or to exercise any of your other rights). This is another appropriate security measure to ensure that personal information is not disclosed to any person who has no right to receive it.

You have the right to complain to the Information Commissioner (<http://www.ico.gov.uk/>) if you have any concerns in respect of the handling of your personal information by Advance HE.



## Contact us

+44 (0) 3300 416201

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 **in**  **f** @AdvanceHE

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