

Collaborative Award for Teaching Excellence (CATE) 2023

Guidance for institutions and nominated teams

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1. Deadline and assessment schedule

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

Date	Milestone
Monday 3 Oct 2022	Call for nominations opens All CATE forms and guidelines will be released on Advance HE's VLE. Teaching Excellence Award Leads (TEALs) can register to receive access to Advance HE's VLE from this date.
Wednesday 15 March 2023	Nominations close All electronic copies of nomination documents should be uploaded to the VLE, and the online Nominee Profile Form completed, by 12:00 noon (GMT) . Access to the CATE nomination course on the VLE will close to TEALs at this time.
Week commencing Monday 3 July 2023	Individual outcomes released Nominated Team Leaders and Vice-Chancellor/ Principal/ President (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 3 August 2023.
Thursday 3 August 2023	Official announcement released Advance HE releases the official announcement of 2023 CATE winning teams.
Autumn 2023	Awards Ceremony The Awards Ceremony will be held in Autumn 2023 (date to be confirmed).

This document provides detailed guidelines for the nomination process and for the preparation and submission of nomination documents for the 2023 CATE award round.

2. Introduction

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.

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

Institutions are eligible to enter one nominated CATE team via a 'nomination'.

Up to 15 teams will be selected to receive the award in 2023. Nominated teams will be informed of the outcome in the week commencing Monday 3 July 2023. Those selected will be invited to attend a celebratory dinner in Autumn 2023 where their Collaborative Award for Teaching Excellence will be awarded. Further details of the <u>CATE scheme</u> are available on Advance HE's website.

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 for the scheme and in supporting the ongoing enhancement of learning and teaching.

The UK Teaching Excellence Awards Advisory Panel (UKTEAP) 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 Higher Education Provider (HEP) representatives from the UK nations and other relevant stakeholders.

2.1 New for 2023

Updates to Submission Documents

- From 2023, the word count for CATE claims has been increased from 3,500 to 4,500 words. There remains no set word count for each criterion individually. Both criteria are equally weighted in the scoring process and teams are encouraged to split the word count roughly equally across the two criteria.
- Prior to 2023, the Vice Chancellor (VC) (or equivalent) was required to complete and sign the Institutional Statement of Support. Feedback from VCs in 2022 has indicated that this might not always be appropriate, as VCs may not have first-hand detailed knowledge of the nominated team's work. Therefore, from 2023 onwards, the Institutional Statement of Support (Appendix 3) should be completed by a colleague in the senior position at the nominating institution, at the level of DVC/PVC or equivalent, who is familiar with the nominated team's work and signed-off by the institution's Vice-Chancellor (or equivalent);
- From 2023, a completed 'TEAL Checklist' is <u>no longer required</u> as part of the formal submission documents for CATE. The Checklist will still be available in the VLE to support TEALs with their planning.

- From 2023, we ask that all documents are submitted as PDF files to avoid the accidental inclusion of track changes in final submissions.
- From 2023, we will accept typewritten names in place of signatures on all submission documents, aside from the institutional Statement of Support, which requires an electronic or scanned signature.

Update to CATE Scoring System

From 2023, CATE claims will be scored using a 0-9 scoring scale. This change has been introduced with the support of the Teaching Excellence Awards Advisory Panel as a way of allowing reviewers to make finer distinctions between many excellent claims in a highly competitive context. Please see the updated scoring rubric in Appendix 4 for full details.

Other Updates

- From 2023, TEALs are no longer required to submit the 'Completion Receipt Number' that confirms that their nominated Team Leader has submitted their 'Nominee Profile Form' on JISC. TEALs are advised to retain their nominee's 'Completion Receipt Number' for their own records.
- Guidance further clarifies the distinction between 'role' and 'position' regarding Core Team Composition.
- > A number of minor changes have been made to the wording throughout.

3. Guidelines for nomination

3.1 Eligibility

The CATE is open to all Advance HE member 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.

Advance HE expects institutions to ensure that their processes for selecting a team to nominate for CATE do not discriminate against individuals on the grounds of equality and diversity and are inclusive of 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 hold any role that contributes to the enhancement of teaching and learning. Staff working at an overseas campus, whilst employed by the member UK HEP, are eligible to be part of a nominated team. Student members of the team are actively encouraged, and can be studying or in a representative role. There may also be external members of the team, working within industry or a partner institution for example.

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 nomination for NTFS running at the same time as a nomination for CATE and cannot be a TEAL or Deputy TEAL. A TEAL or Deputy TEAL who wishes to be nominated as Team Leader should step down from their TEAL or Deputy TEAL role for the relevant awards cycle. Please contact CATE@advance-he.ac.uk to advise of the change and provide contact details for the replacement TEAL/Deputy TEAL. The password for the institutional VLE access will be changed at this point to ensure that there is no conflict of interest arising.

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 Higher Education (HE) providers to nominate teams for the CATE awards, as these types of HE providers 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, as analysis of equal opportunities monitoring data from past CATE 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.

3.2 Nomination documents

Nominations comprise the documents and forms listed below. The submission of the full nomination should be coordinated by the TEAL; a checklist is included for the TEAL to assist them in ensuring that all documents have been submitted for the nominated team (the checklist is no longer part of the submission itself).

Documents should be uploaded to Advance HE's Virtual Learning Environment (<u>VLE</u>) and forms and surveys completed online through Advance HE <u>Online Surveys</u>.

Nomination documents comprise the following:

- Claim: a statement completed by the nominated team using the downloadable proforma describing their outstanding impact in relation to the award criteria (maximum 4500 words) plus a record of the Core Team Composition, 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 2 Welsh version available on the <u>VLE</u>. Please submit as a PDF file.
- Signed Statement of Support: a statement providing endorsement and institutional perspective to support the Claim. From 2023, we advise that this statement be written by a colleague in a senior position at the nominating institution (at the level of DVC/PVC or equivalent), and familiar with the nominated team's work. It should be submitted using the downloadable pro-forma (maximum 1000 words). The statement should be signed-off by the institution's Vice-Chancellor (or equivalent). Please submit as a PDF file. See Appendix 3 – Welsh version available.

Nominee Profile Form: an <u>online form</u> to be completed by the Team Leader of the nominated team. This covers background information about the team and requires a 50-word summary profile and a longer 350-word profile. This information will be used in publicity material for CATE winning teams. Profiles should be written in third person (use 'they' or 'the team'). <u>Examples of previous profiles</u> can be found on Advance HE's website for reference.

Photos:

- Three different high resolution photographs of the team; 1Mb and 300dpi (minimum) (this is achievable with most smartphones and cameras)
- The team can choose to use an institutional logo if it is not possible to arrange a group photograph
- JPEG format
- o All photographs should be in landscape format
- The submission of photographs indicates that the nominating HEP has sought agreement from the nominated team for the use of these images by Advance HE.
- Equal Opportunities Monitoring Survey: an <u>online survey</u> completed by each of the team members. These data will be used anonymously to report on equality and diversity.

3.3 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, graphs (all keys, headings, axes and labels), diagrams, in-text citations, endnotes and numerical characters should be included in the word count. Sections A and B of the nominated Team Claim have a maximum word limit; reviewers will <u>not</u> 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.

Hyperlinks: <u>do not</u> include – hyperlinks count as additional information and reviewers will <u>not</u> take them into consideration when making their judgement.

Pictures and logos: do not include.

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.

3.4 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, diversity and inclusion and collects data relating to team members for statistical monitoring via the **Equal Opportunities Monitoring Survey**. The information provided on the Equal Opportunities Monitoring Survey does not form part of the Claim and is not made available to reviewers but is used anonymously by Advance HE for statistical monitoring.

<u>The Equal Opportunities Monitoring Survey</u> can be found in Online Surveys. **Each member** of the team should complete the survey.

The confidentiality of the data submitted is maintained by Advance HE. Advance HE collates the information provided by all members of the nominated team 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 5).

3.5 Submission and receipt of nominations

Nomination documents need to be submitted by a named central contact (the TEAL or their designated deputy) at the institution through an online system hosted on Advance HE's <u>VLE</u>. TEALs will be issued with an institutional username and password to log into the VLE to enable them to upload the nomination(s). Full instructions are provided in the TEAL Handbook 2023.

All nomination documents must be uploaded by 12:00 noon (GMT) on Wednesday 15 March 2023.

The TEAL 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.

Receipt of uploaded nominations will be acknowledged by an automated email sent to the TEAL. 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.

Following submission, Advance HE will confirm that all required documents have been received in an email sent to the TEAL from the mailbox <u>cate@advance-he.ac.uk</u> by 12:00 (GMT) on Wednesday 22 March 2023. If the TEAL has not received this confirmation from Advance HE by this time then we advise that they should contact Advance HE to check receipt by email at <u>cate@advance-he.ac.uk</u> before a final deadline of 12:00 (GMT) on Friday 24 March 2023.

4. 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.

5. Developing the Claim

The 'Claim' is made up of three sections (A-C):

Section A:

Part 1 - Core Team Composition (free word count);

Part 2 - Context Statement (maximum 300 words);

Section B: Claim against the CATE Award Criteria (maximum 4500 words in total);

Section C: Reference List

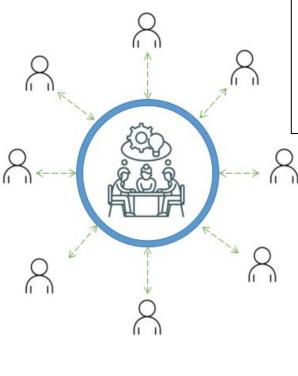
Only Section B, containing evidence against each of the two CATE award criteria, is scored by reviewers; the Context Statement and Reference List are not scored.

5.1 Core Team

In defining the Core Team to be nominated for CATE, it might be helpful to consider a 'core' team as the initiators of the work of what may be a larger 'extended team.' The extended team engage with the work of the core team and will be part of the evolution that work. There is often a flow between these two groups as the work develops, and the members of this extended group will influence the ongoing work of the core team. Core team members may be drawn across disciplines/ professional teams/ students/ external groups, etc., and all career stages; i.e. not related to seniority or status of members' job roles. It is expected that core teams will differ widely, reflecting the diversity of work within UK higher education and the unique context of each team; there is also no expectation that there will be an extended group/ team engaged with the work of the core team. There are many different ways of evidencing each of the two award criteria, as appropriate to the nature of the nominated team's work, and reviewers will apply these criteria in turn to the unique Claim made by each nominated team.

In demonstrating the depth of collaboration between team members to provide strong evidence against CATE Award Criterion 1, teams are advised to focus the depth of collaboration on the interaction of the core team members, in order to fully articulate the key principles of collaboration as set out in the diagram by Spencer (please see p.16 below). The work of an extended group is likely to form part of the evidence across the Claim, to demonstrate Reach, Value and Impact.

To illustrate further what is meant by a core team and extended group/team (but not to set an expectation that a nominated team will conform to this model), the diagram below outlines a possible example of the interaction between the core team and an extended group, with identification of some possible features of each:



Core team

Distinct group of, typically, 3-15 members. Establishes the team and holds responsibility for its outcomes.

Characterised by creative input, deep collaboration, developing concepts, ideas and taking responsibility for key decisions.

Distinct roles and expertise within the core team **might include for example** (but this will vary depending on the team's work): Team Leader, Deputy Team Leader, Student Representative, and External Partner.

Extended group

Individuals dispersed across an institution (and/or externally) enacting the interventions/activities originating from the core team.

Participation may be characterised as a temporary alliance or growing engagement. Possible for core team and extended group members to work closely for delivery in order for ideas to flow both ways leading to continued evolution of the team's work.

Please contact us at <u>CATE@advance-he.ac.uk</u> if you have any queries or require further guidance on identifying your core team members.

5.2 Section A – Part 1: Core Team Composition

The Claim form provides nominated teams with a dedicated space to list the members of their core team. The Core Team Composition will not be scored by reviewers, but will assist them in interpreting the team's context.

In this section, CATE teams should provide a list of the names of their core team members, and the role or position held by each. Identifying the role or position of each member in terms of their personal context and, if relevant, their role within the team, can help reviewers to make clearer judgements about collaboration when they are reviewing Criterion 1. See the example below.

As this section was a new requirement for CATE 2022, an example of a hypothetical core team is provided in the extract from a completed CATE Claim Form (Appendix 2) below (all names and titles are fictitious). This is not intended to be prescriptive in any way, but simply to illustrate the intended use of the Core Team Composition in Section A, Part 1:

Team Leader name:	Yelda Adem Deputy Head of Public Health Institute at Poppleton University			
Deputy Team Leader name	Professor Mukasa Apio Educational Researcher based in the Public Health Institute			
Team name:	XXXXX			
Institution:	Poppleton University			
Section A, Part 1: Core Team Composition (not scored by reviewers)				
Add more rows as required (core team normally 3-15 members)				
Name	ole and/or Position			
Rosalba De León	Student Partner (3 rd Year Dentistry)			
Prof Tomas Grey	Programme Leader Dentistry			
Dr Shane Hardman	External NHS Partner (Poppleton Hospital)			
Ellis Shah	Chair Community Patient Group for Local Dentistry Services			
Rory Simmons	ubject Librarian for Health (based in the Learning Centre)			
Siobhan Wood	Digital Learning Designer (Central Educational Services)			

5.3 Section A – Part 2: 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, following the Core Team Composition, and will also not be scored by reviewers. This 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 of reference 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 team and institutional setting. If the narrative in Section B of the Claim draws on evidence from work across different institutions, the wider sector and/or industry or 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)), and should provide a brief outline of the scope and scale of the 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 and delivery of the St.D. Student Platform and continues its ongoing development. The Platform is the first learning analytics resource implemented in a large 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 Empowering Education Development Team (EEDT) was established in 2018 to raise the profile of excellent teaching and transformative learning at the University of Aviemore. The University is a post-92, teaching-focussed university with 14,000 students. Our students are largely drawn from the wider region of the North East and West of Scotland. The EEDT was established to bring together best teaching practice that already existed in different teams across the University, to support teams to build on this, and to disseminate it across the institution and beyond.

For the EEDT, excellent teaching is above all characterised by an ethos of learner empowerment, whereby learners are active co-creators of their own learning experience. This ethos unifies the team and manifests in our Empowering Education Framework and the numerous and varied outputs that it has informed. In just a few years, the EEDT have established ourselves as the chief drivers of pedagogy-led strategic change at the University of Aviemore, and have disseminated our work beyond the institution.

Collaborative working is the key enabler of the EEDT's approach; we aim to empower colleagues to use their own agency, and take the personal action they need to develop their own style of excellent teaching. Key to this aim is the framework for Empowering Education (see below) that the EEDT has developed. Working with the framework has initiated substantial change within EEDT's own practice, and we now operate within an empowerment philosophy.

The EEDT now comprises representatives from each of the University's four Schools, experts in learning technology, academic skills and librarianship, leaders on student welfare, and student representation from the Union and as interns.

The Forum for Digital Learning (FDL) was established in 2013 at Heworth University (HU), a civic university based in North Yorkshire. FDL supports 31,000 students and approximately 2,000 staff. FDL has nine permanent members of staff providing digital learning platform administration, helpdesk support, academic development and delivering innovation projects. FDL supports Blackboard Learn as HU's virtual learning environment (VLE), Blackboard Collaborate, Panopto, Turnitin, Qwickly attendance and Office365 for teaching and learning. We are a central unit placed within the education portfolio, collaborating closely with the Centre for Higher Education Research and Practice (CHERP).

HU was one of the first UK universities to deliver fully online programmes, commencing in 1999. Many team members who established that fully online innovation now support blended curricula within FDL. FDL connects learning technology communities across the region and the UK, playing a key role in establishing regional networks bridging to national structures. Working across sectors, and HU external partnerships, FDL empowers digital transformation with industry and institutions. The university has three regional campuses; Heworth, Harrogate and Skelton. The university offers an extensive validated provision across

the further education (FE) sector, ensuring alternative routes to higher education. It is a larger UK university, with a significant proportion of students from first in family and other widening participation backgrounds.

5.4 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 4,500 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:

- + teams should use Section B of the Claim to address and provide evidence against each award criterion in turn;
- + teams should demonstrate that they are applying the principles of equality, diversity and inclusion to their practice;
- + teams will need to draw upon explicit evidence of impact to support their claim against each criterion;
- + to illustrate, some examples of possible sources of evidence **might include some** of the following (but not limited to) as set out in the table below, depending on the nominated team's context:

Criterion 1	Criterion 2
Excellence in the team's collaborative approach	Excellence in the impact of collaborative working
Examples of effective team working practices, processes and/or outcomes Evidence of shared goals/ purpose Evidence of shared and appropriate leadership Evidence of integration of diverse expertise Evidence of team participation, development and conflict resolution (if applicable) Evidence of positive outcomes for team members Review/ evaluation processes in place Evidence of improved effectiveness over time Team member/ stakeholder testimonials	 Student feedback and evaluations Student data (progression, achievement, retention, engagement, etc.) Staff data (participation, engagement, career development, etc.) Feedback/ data from work with peers, new initiatives/ initiatives in new settings, policy development, etc. Use of team's resources, approaches, publications, etc. Work with other partner/ external organisations, professional bodies, etc. Recognised achievements such as awards, accreditations, funding successes, investment levels, external partnerships, etc. Quantitative data to indicate the scale, reach and impact of the nominated team's work.

- + when selecting appropriate evidence, teams should consider:
 - use of evidence that is meaningful and convincing in support of the team's Claim; a focus on quality sources and not the quantity of different sources;
 - balance of types of evidence; for example, a mixture of qualitative and quantitative data where appropriate to the nominated team's context. Although a useful source to include, it is recommended to avoid over-reliance on testimony.

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. Team Claims will vary considerably in style and content; there is no 'expected' style or 'formula' to be followed.

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 nominated teams, it is useful to consider other ways that a nominated team can demonstrate reach. Some nominated teams may demonstrate reach at a departmental/ faculty/ institutional/ 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, students from minoritised ethnic groups, 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 nominated teams 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 a 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 learning outcomes for students and/or teaching practice.

When developing a CATE submission, nominated teams might focus on Reach, Value and Impact by asking the following questions: how does working as *this* team, specifically, enhance their *reach*? What is the added *value* of this team working in this way? How is the *impact* greater because this is a cohesive team, or because it is this particular team, with these particular members?

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.



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, sustainability, enterprise and entrepreneurship, flexible learning, internationalisation, wellbeing, and EDI.
- + working cooperatively with a range of stakeholder groups;
- + embedding practices across different programmes, disciplines, campuses or institutions;
- + demonstrating team practices, which enable effective working;
- + 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 4 sets out the scoring rubric used by reviewers to allocate scores (0-9) to evidence claimed against each of the two award criteria (maximum score of 18 per reviewer overall).

5.5 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 <u>not</u> 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 nominations. 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.

6. 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.

From 2023, we advise that the institutional Statement of Support be written by a colleague in a senior position at the nominating institution (at DVC/PVC level or equivalent) familiar with the nominated team's work. 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 senior colleague familiar with the nominated team's practice; for example, a perspective on the strategic importance of the team's work and/or change arising as a result of their actions.

It continues to be a requirement that the Vice-Chancellor/ Principal/ President (or equivalent) provides the final sign-off for the Statement of Support to confirm formal institutional endorsement for the nomination.

The Statement of Support (Appendix 3) should be completed using the downloadable form available on the Advance HE VLE. It is recommended that the nominated team's Claim for a CATE award is read prior to composing the institution's Statement of Support as it is most helpful when this statement aligns well with the Claim. 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 a colleague working in a senior role (e.g. at the level of DVC/PVC or equivalent);
- + be endorsed by the Vice-Chancellor/ Principal/ President (or equivalent) to formalise the nomination and provide the name, job title and signature of the Vice-Chancellor/ Principal/ President (or equivalent).

7. 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. Section A (Parts 1 and 2) at the start of the Claim, containing the Core Team Composition and Context Statement, is not reviewed against the criteria; its purpose is to define the composition of the team and 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.

Advance HE peer reviewers are drawn from teaching and learning professionals across the higher education 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 CATE reviewer. 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 (0-9) 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 4,500 words overall. The scoring rubric (Appendix 4) is used by reviewers to allocate scores.

In 2023, Advance HE will allocate all nominations to three reviewers, avoiding any conflicts of interest. The reviewers score each of the two criterion 0-9. 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, diversity and inclusion. 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.

8. CATE-Net support events

In addition to the guidance presented within this document, members of the CATE-Net (network of previous CATE winners), run a series of online support workshops for teams developing nominations. Previous attendees have reported that these events provided valuable support for the writing of the team's Claim. These support events are free to attend. TEALs will be sent the booking links and are responsible for promoting the events within their institution. Institutions that wish to change the contact details for their TEAL should email the team at cate@advance-he.ac.uk.

9. Outcomes and publicity

Team Leaders will be informed of the outcome of their nomination via email in week commencing Monday 3 July 2023. The Vice-Chancellor/ Principal/ President (or equivalent) of the institution will also be informed of the outcome on this date. The announcement of 2023 CATE award winners will be strictly embargoed until Thursday 3 August 2023. While under embargo, successful Team Leaders and their TEALs are permitted to disclose news of their win to relevant members of their HEI's marketing and communications team for planning purposes, who must then also adhere to the conditions of the embargo. Please direct all queries regarding plans for announcement day to <u>communications@advancehe.ac.uk</u>.

It is a condition of the CATE competition that the successful team, and their institution, 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 2023 CATE award winners will be officially announced on Thursday 3 August 2023 on Advance HE's website and in a press release. Information included in the Nominated Team Profile Form and the photographs submitted with the nomination will be used in publicity materials.

Institutions are welcome to announce and celebrate their winners from 08:00 (BST) on Thursday 3 August.

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. This image quality is achievable on most smart phones and camera. The three photos should be different and landscape in format. The team may submit an institutional logo in lieu of groups photographs if needed. 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 2023, Advance HE will issue written feedback to each nominated team by the end of August 2023. This timeframe is necessitated by the large volume of CATE nominations 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 TEAL in order to promote opportunities for institutional success 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 <u>cate@advance-he.ac.uk</u>.

10. Award ceremony and briefing event

The CATE 2023 winners will be invited to attend a celebratory dinner that will be held in Autumn 2023 (date and venue to be confirmed), to which two members of the team, and the Vice-Chancellor/ Principal/ President (or equivalent) will be invited. Additional tickets are also available for purchase.

Appendix 1: Nomination requirements for teams and TEALs (TEAL Checklist)

\checkmark	Task						
	Launch of nomination documents on Advance HE VLE The TEAL, and their chosen deputy, should use their institutional VLE Username and Password to access Advance HE's VLE. Contact <u>cate@advance-he.ac.uk</u> if there is any problem accessing the VLE or if there is a change in TEAL.						
	TEAL checklist (downloadable from the VLE)						
	For reference only – no longer required to be submitted.						
	Claim (downloadable from the VLE. To be submitted as a PDF file) Should be written by the nominated team and signed (a typewritten name will be accepted) by the Team Leader only, completed on the downloadable pro- forma, and submitted by the TEAL.						
	Statement of Support (downloadable from the VLE. To be submitted as a PDF file)						
	Should be written by a colleague in a senior role at the nominating institution (at the level of DVC/PVC or equivalent) and familiar with the nominated team's work. It should be signed (a scanned/electronic signature is required) by the institution's Vice-Chancellor/ Principal/ President (or equivalent). Statement to be based on the nominated team's Claim and submitted by the TEAL.						
	Nominee Profile Form (Online Surveys) Should be completed by the Team Leader using the online form in <u>Online</u> <u>Surveys.</u> At the end of the form the nominee should take note of the completion receipt and give this to the TEAL for their own records.						
	 Photos: Three different high resolution photographs of the team; 1Mb and 300dpi (minimum) (this is achievable with most smartphones and cameras) 						
	 The team can choose to use an institutional logo if it is not possible to arrange a group photograph Submitted in JPEG format 						
	 All photographs should be in landscape format. 						
	 The submission of photographs indicates that a HEP has sought agreement from the nominated Team for the use of these images by Advance HE. 						
	Online Equal Opportunities Monitoring Survey An online Equal Opportunities Monitoring Survey must be completed by <u>each</u> team member. This survey data will be used anonymously. The TEAL should confirm that all team members have completed a survey.						
	Submission All nomination documentation should be uploaded via Advance HE's <u>VLE</u> by 12:00 noon (GMT) on Wednesday 15 March 2023 by the TEAL.						

Appendix 2: CATE 2023 Nominated Team Claim Form

Team Leader name:			
Deputy Team Leader name:			
Team name:			
Institution:			
	·	position (not scored by reviewers)	
Add more rows as required (core	-		
Name	Ro	le and/or Position	
Section A Part 2: Context Sta	tom	ent (not scored by reviewers) (300-word limit)	
Section A, Part 2. Context Sta	lienn		
Word count for Section A, part (maximum 300 words)	t 2	Enter word count for Section A, part 2 here:	
Section B: Claim against the CATE Award Criteria			
(evidence against each Award Criterion 1 and 2 scored separately by reviewers)			
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 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.			
Total word count for Section B			
(maximum 4500 words)	Enter word count for Section B here		
Section C: Reference List (not sco	ored by reviewers)		
Team Leader signature*:			
(A typewritten name is			
acceptable)			
Date:			
By submitting this document, I confir	m that:		
	EAL or a nominee for NTFS 2023		
	of the nominated CATE team		
• Thave read, understood and	agree to the Advance HE Privacy statement		

Appendix 3: Statement of Support

This Statement of Support should be **completed** by a colleague in a senior position at the nominating institution (DVC/PVC or equivalent) familiar with the nominated team's teaching and learning practice 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. It is most helpful if the Statement of Support aligns well with the claim.

Name of person writing Institutional Statement of Support:	
Position:	
Contact details (work address, email and phone):	
Name of nominated CATE team:	
 provide an institutional contex having outstanding impact ar provide any additional suppo 	minated team's Claim for outstanding impact; xt within which the nominated team has been identified as nd outline any future plans to disseminate their practice; rting information which might be most appropriately a senior role (at the level of DVC/PVC or equivalent) familiar
Enter Statement of Support here:	
Word Count (Max 1000 words):	Enter word count here
Institutional sign off by Vice-	Chancellor (or equivalent)
Name, position and contact email	
Electronic Signature* (*scanned signature and not typewritten)	
Date:	
 By signing this document, I confirm t I endorse this nomination and the selection of the named C. 	hat: d confirm that the internal nomination process which led to

Appendix 4: 2023 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 18 from each of the three reviewers).

	0 points	1-2 points	3-4 points	5-6 points	7-8 points	9 points
Criterion 1: Excellence in the team's collaborative approach	Evidence is not related to excellence in the team's approach to working collaboratively, commensurate with their context.	Partial evidence of excellence in the team's approach to working collaboratively, commensurate with their context.	Some good evidence of excellence in the team's approach to working collaboratively, commensurate with their context.	Good, with some very good, evidence of excellence in the team's approach to working collaboratively, commensurate with their context.	Very good, with some outstanding, evidence of excellence in the team's approach to working collaboratively, commensurate with their context.	Exceptional evidence of excellence in the team's approach to working collaboratively, commensurate with their context.
Criterion 2: Excellence in the impact of collaborative working	Evidence does not demonstrate the team's impact on teaching and learning.	Limited evidence of the team's impact on teaching and learning, including going beyond their academic or professional area.	Some good evidence of the team's impact on teaching and learning, including going beyond their academic or professional area.	Good, with some very good, evidence of the team's impact on teaching and learning, including going beyond their academic or professional area.	Very good, with some outstanding, evidence of the team's impact on teaching and learning, including going beyond their academic or professional area.	Exceptional evidence of the team's impact on teaching and learning, including going beyond their academic or professional area.

Appendix 5: CATE 2023 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: Advance HE IC 1.25 Innovation Centre Innovation Way York Science Park York YO10 5DG. We can also be contacted by email at <u>data.protection@advancehe.ac.uk</u>.

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 duration of the Award. 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.

Other nominated teams: 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 Collaborative Award for Teaching Excellence Scheme.
- + Generating reports for internal use by us, our staff and the UKTEAP in relation to your nomination.
- + Our lawful basis for these activities is based on 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 CATE 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 the 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 Collaborative Award for Teaching Excellence Scheme and the award ceremony.
- + Partner organisations we may use to deliver the Collaborative Award for Teaching Excellence 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 <u>Information Commissioner's Office</u> if you have any concerns in respect of the handling of your personal information by Advance HE.

Contact us

+44 (0) 3300 416201 <u>cate@advance-he.ac.uk</u> <u>www.advance-he.ac.uk</u> **y** in **f** @AdvanceHE

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