

CHILMARK and FONTHILL BISHOP CHURCH of ENGLAND AIDED PRIMARY SCHOOL

Mission Statement: *We Live and Learn with Faith and Love*

**APPRAISAL POLICY
FOR TEACHING STAFF IN WILTSHIRE
SCHOOLS**

Consultations on this model policy have taken place with following recognised teachers' unions: NAHT, ASCL, ATL, NUT, NASUWT. Full agreement to implement this model has been reached with the recognised Head teachers' unions NAHT and ASCL and is endorsed by PHF and WASSH.

The views of ATL, NUT and NASUWT have been considered and taken into account by the LA. This appraisal policy is acceptable to the NUT, NASUWT and ATL.

The LA recommends this model for adoption in Wiltshire schools from 1st September 2012 as being in line with DfE requirements and meeting union expectations

Adopted: September 2013
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Introduction

- 1.1 Revised appraisal arrangements for teachers come into force with effect from **1 September 2012**. They are set out in the Education (School Teachers' Appraisal) (England) Regulations 2012 (the Appraisal Regulations) which replace the Education (School Teacher Performance Management) (England) Regulations 2006 (the 2006 Regulations). The 2006 Regulations continue to apply to any performance management cycle which is in progress on **1 September 2012**, unless the governing body decides to end that cycle early and to begin a new appraisal period starting on or after that date.
- 1.2 The Appraisal Regulations set out the principles that will apply to teachers' in all maintained schools where they are employed for two Wiltshire terms or more.
- 1.3 The new Teachers' Standards also come into force on **1 September 2012**. *Toolkit 1 Teachers' Standards*. They replace the existing standards for Qualified Teacher Status (QTS) and the Core Professional Standards, previously published by the Training and Development Agency for Schools (TDA).
- 1.4 Head teachers, or appraisers where this is delegated, will assess qualified teachers against the standards to a level that is consistent with what should reasonably be expected of a teacher in the relevant role and at the relevant stage of their career (whether a Newly-Qualified Teacher (NQT), mid-career teacher, or a more experienced practitioner). The professional judgment of Head teachers and appraisers will therefore be central to appraisal against these standards.
- 1.5 The standards will define the level of practice at which all qualified teachers are expected to perform at, or progress towards. It is proposed that teachers' performance will be assessed against the standards as part of the appraisal arrangements set out in this policy. *Toolkit 2a Teachers' standards 2012 mapped against the professional standards for teachers' QTS & Core 2007. Toolkit 2b interpretation of Teacher's standards September 2012*.
- 1.6 This model policy has been developed by Wiltshire Council and consultations on this model policy have taken place with following recognised teachers' unions: NAHT, ASCL, ATL, NUT, NASUWT. Full agreement to implement this model has been reached with the recognised Head teachers' unions NAHT and ASCL and is endorsed by PHF and WASSH.
- 1.7 The views of ATL, NUT and NASUWT have been considered and taken into account by the LA. The LA recommends this model for adoption by maintained schools to provide a consistency of approach to the appraisal of all teachers in Wiltshire schools. It is therefore recommended for adoption as the preferred framework for Wiltshire's maintained schools. It provides a minimum local appraisal framework within which Wiltshire schools should operate. The toolkits designed to accompany this policy contain more detailed guidance and templates. Some of the guidance will be based on what was contained in the earlier 2006 Regulations but are no longer covered by the Appraisal Regulations 2012. Where it is included it is considered useful to retain as part of the current appraisal guidance and documentation.

- 1.8 This model policy is also recommended for adoption by those Academies who wish to align their approach to that recommended by the LA as the preferred design for Wiltshire.

2. Policy Statement

- 2.1 An effective appraisal process enhances the professional skills of teachers and is essential for continuous professional development. An effective appraisal process is also essential to the ongoing success of the school and in creating a shared vision of the purpose and aims of the school and ensuring that teaching staff understand how they contribute to these.
- 2.2 This policy sets out the framework for a clear and consistent assessment of the overall performance of teachers, including the Head teacher, and for supporting their development within the context of the school's plan for improving educational provision and performance, and the standards expected of teachers. It also sets out the arrangements that will apply when teachers fall below the levels of competence that are expected of them.
- 2.3 The statutory framework for performance management of school teaching staff in England is provided by the Education (School Teachers' Appraisal) (England) Regulations 2012.

3. Who does this policy apply to?

- 3.1 This policy, as adopted by Chilmark and Fonthill Bishop Primary School applies to the Head teacher and teaching staff of Chilmark and Fonthill Bishop Primary School.
- 3.2 This policy, as adopted by Chilmark and Fonthill Bishop Primary School will be made known to all teaching staff and remain accessible to them within the school.
- 3.3 This policy applies to the Head teacher and to all teachers employed at the school unless they fall into one of the categories listed in paragraph 4 below.

4. When does the policy not apply?

- 4.1 This policy does not apply in cases of alleged misconduct or unacceptable behaviour deemed to be willful or deliberate. If a teacher is capable of performing in their role but refuses to do so, the school's disciplinary policy and procedure should be followed.
- 4.2 This policy does not apply to teachers on contracts of less than two Wiltshire terms.
- 4.3 This policy does not apply to Newly Qualified Teachers (NQTs) undergoing their formal induction period.
- 4.4 This policy will cease to apply to those teachers who have been made subject to formal capability proceedings as a result of this appraisal policy and procedure. Once a teacher or Head teacher is deemed to be making

'unsatisfactory progress' (as detailed in section 16) the procedure to be followed from that point is the formal stage of the school's capability policy.

5. Link to the school's capability policy and procedure

- 5.1 The school's capability policy and procedure where indicated at paragraph 15 in this policy, will therefore apply to those teachers (including the Head teacher) about whose performance there are serious concerns that the appraisal process has been unable to address. Formal capability proceedings should only be implemented where performance concerns have been identified and the teacher made aware of these and any corrective action taken has failed to bring about an improvement. See Toolkit 11 for further guidance.
- 5.2 The Schools HR Advisory team will offer advice to its client schools on the application of this policy. It is strongly recommended that Head teachers seek advice from a Schools HR Advisor as early as possible when performance concerns arise during the appraisal cycle. However, whenever action under the formal capability procedure is being considered, advice from a Schools HR Advisor (or the school's alternative HR provider) must be sought.

THE APPRAISAL PROCESS

6. Introduction

- 6.1 Appraisal in this school will be a supportive and developmental process designed to ensure that all teachers have the skills and support they need to carry out their role effectively. It is also intended to ensure that teachers are able to continue to improve their professional practice and to develop as teachers.
- 6.2 The appraisal process will link to the school's improvement plan, school self-evaluation and the wider schools improvement process. Objectives agreed as part of the appraisal process will be aligned with the school's priorities and plans, as well as reflecting teachers' professional aspirations.

The appraisal period

- 6.3 The appraisal period will run for twelve months from October 2017 to October 2018.

Teachers who are employed on a fixed term contract of less than one year will have their performance managed in accordance with the principles underpinning this policy. The length of the period will be determined by the duration of their contract.

- 6.4 Where a teacher begins their employment with the school part way through a cycle, the Head teacher, or in the case where the teacher is the Head teacher, the Governing Body, shall determine the length of the first appraisal period for the teacher, with a view to bringing the appraisal period into line with the cycle for other teachers at the school as soon as possible.

6.5 Where a teacher transfers to a new post within the school part way through an appraisal cycle, the Head teacher, or in the case where the teacher is the Head teacher, the Governing Body, shall determine whether the appraisal period should begin again and whether a different reviewer is needed. The aim will be to bring the new appraisal period into line with the cycle for other teachers at the school as soon as possible.

7. Appointment of appraisers of the Head teacher

7.1 The Head teacher of Chilmark and Fonthill Bishop Primary School will be appraised by the Governing Body, supported by an external adviser who has been appointed by the Governing Body for that purpose.

7.2 At Chilmark and Fonthill Bishop Primary School the task of appraising the Head teacher, including the setting of objectives, will be delegated to a sub-group consisting of three members of the Governing Body. The Chair of Governors will normally be a member of that sub-group and will lead in the setting of objectives for the Head teacher and appraising performance.

8. Appointment of appraisers of other teachers

8.1 All appraisers of teachers, other than the Head teacher, will be qualified teachers. All appraisers will be suitably trained in the appraisal process. *Toolkit 3 Effective preparation & support of appraisers.*

8.2 The Head teacher will determine who will appraise other teachers. In the case where the Head teacher is the teachers' line manager they will undertake the appraisal. Where the Head teacher is not the direct line manager they may decide to delegate the appraiser responsibilities, in their entirety, to the teachers' own line manager.

8.3 Where teachers have an objection to the choice of appraiser, they can make an application to the Head teacher for an alternative but the Head teachers' decision is final.

9. The appraisal planning and review meeting

9.1 The appraiser will arrange to meet with the teacher for a planning and review meeting at the start of the appraisal cycle to review the outcomes from the previous appraisal cycle and the plan for the forthcoming cycle. *Toolkit 4 flowchart of annual appraisal cycle.* The purpose of the meeting is to agree:

- The objectives for the appraisal period;
- How performance will be reviewed, including arrangements for classroom observation and any other evidence which will be taken into account in assessing the teachers' performance;
- The performance criteria against which the teachers' performance in each of these areas will be assessed. This should include discussion of what successful achievement of the confirmed objectives would look like;
- The support which may be needed to support the teacher in achieving the objectives set;
- Timescales for the achievement of objectives;

- The teachers' training and development needs and the actions that will be taken to address these.
- 9.2 The appraisal planning and review meeting should be a professional dialogue between the appraiser and the teacher.
- 9.3 In arranging the meeting, the appraiser should ensure that sufficient notice is provided to enable both the appraiser and the teacher to prepare. Regard should also be given to holding the meeting in a suitable location, away from potential interruptions or distractions.
- 9.4 Teachers should play an active part in the meeting making sure they put forward their own views about their performance and future development.
Toolkit 5 Standards self assessment form for appraise.
- 9.5 Where a teacher has started new employment at Chilmark and Fonthill Bishop Primary School either before or during the school's normal appraisal cycle the Head teacher (or Governing Body where a Head teacher) shall determine whether the previous objectives are relevant to Chilmark and Fonthill Bishop Primary School. Where the teachers' previous objectives are not relevant to Chilmark and Fonthill Bishop Primary School priorities and plans, the Head teacher (or Governing Body where a Head teacher) shall set new objectives taking into account the period left in the cycle available for their achievement.

10. The appraisal planning and review statement

- 10.1 The appraisal planning and review statement provides the record of agreed plans made at the planning and review meeting at the start of the appraisal cycle. *Toolkit 6 model planning and review statement.*
- 10.2 5 working days after the meeting, the appraiser will produce a draft statement and provide the teacher with a copy. The appraiser and teacher should seek to agree the statement. The statement should be a fair summary of what took place at the meeting and should include a summary of all the points covered, any action agreed and set out the objectives for the forthcoming period. It should also identify any support needed and how this will be provided. The teacher should be given the opportunity to record comments. Any disagreement should be recorded but the Head teachers' decision is final.
- 10.3 Once the statement has been agreed and signed by both parties (including any additional comments) the appraiser will provide the teacher with a copy and pass the original to the Head teacher for retention. Where the Head teacher is the appraiser, the final copy of the statement will be passed to the Chair of Governors.

11. Setting objectives

- 11.1 The Head teachers' objectives will be set by the Governing Body after consultation with the external adviser.
- 11.2 Teachers' objectives will be set by the Head teacher, where they are the direct line manager, or the line manager nominated by the Head teacher to carry out the appraisal.

- 11.3 Objectives for each teacher will be set before or as soon as practicable after, the start of each appraisal period. The objectives set for each teacher will be based on the SMART principles (Specific, Measurable, Achievable, Realistic and Time-bound) and will be appropriate to the teachers' role and level of experience. The appraiser and teacher will seek to agree the objectives but, if that is not possible, the appraiser will determine the objectives. Objectives may be revised if circumstances change. *Further guidance can be found in the 'setting objectives' toolkit 7.*
- 11.4 The objectives set for each teacher will, if achieved, contribute to the teachers' professional development as well as the school's plans for optimising its educational provision and performance and improving the education of pupils at Chilmark and Fonthill Bishop Primary School.
- 11.5 Before, or as soon as practicable after, the start of each appraisal period, each teacher will be informed of the standards against which that teachers' performance in that appraisal period will be assessed. All teachers should be assessed against the set of standards contained in the "Teachers' Standards" document published in July 2011. The Head teacher or Governing Body (as appropriate) will need to consider whether certain teachers should also be assessed against other sets of standards published by the Secretary of State that are relevant to them.

12. Reviewing performance - observation

- 12.1 Chilmark and Fonthill Bishop Primary School believes that observation of classroom practice and other responsibilities is important both as a way of assessing teachers' performance in order to identify any particular strengths and areas for development they may have and of gaining useful information which can inform school improvement more generally. All observation will be carried out in a supportive manner and there must always be a clear rationale and focus for any classroom observation undertaken.
- 12.2 Within Chilmark and Fonthill Bishop Primary School teachers' performance will be regularly observed but the amount and type of classroom observation will depend on the individual circumstances of the teacher and the overall needs of the school. Classroom observation will be carried out only by those with Qualified Teacher Status (QTS). In addition to formal observation, Head teachers or other leaders with responsibility for teaching standards may "drop in" in order to evaluate the standards of teaching and to check that high standards of professional performance are established and maintained. The school will determine the use of "drop in" observations, such as length and frequency. *Further guidance can be found in the 'classroom observation' toolkit 8.*
- 12.3 Teachers (including the Head teacher) who have responsibilities outside the classroom should also expect to have their performance of those responsibilities appraised and where relevant observed.

13. Development and support

13.1 Appraisal is intended to be a supportive process which will be used to inform continuing professional development. The school wishes to encourage a culture in which all teachers take responsibility for improving their teaching through appropriate professional development. Professional development will be linked to school improvement priorities and to the ongoing professional development needs and priorities of individual teachers and may take a number of forms, for example, coaching and mentoring, additional assistance in the classroom, or equipment.

13.2 Details of external courses can be found by contacting
CPD Co-ordinator Kim O'Rourke, Professional Development Team,
01225 713882 kim.o'rourke@wiltshire.gov.uk

14. Feedback

14.1 Teachers will receive constructive feedback on their performance throughout the year and 5 working days after observation has taken place or other evidence has come to light. Feedback will highlight particular areas of strength as well as any areas that need attention.

14.2 Performance and development priorities will be reviewed and addressed on a regular basis throughout the year in interim meetings between the appraiser and the teacher. The frequency of interim meetings is for individual schools to decide. However, good practice does state that a mid-year review should ideally happen in January/February. Discussions should be recorded and a copy provided to the appraisee for their records. *Toolkit 9 monitoring & support review form.*

15. Concerns regarding performance

15.1 Where there are concerns about any aspects of the teachers' performance the appraiser will arrange to meet with the teacher and the Head teacher/member of the Senior Leadership Team. See *Toolkit 11 for further guidance*. If the concerns are with the Head teachers' performance, then a meeting needs to be arranged with the Chair of Governors. *Toolkit 11a – model letter 1*

The teacher will receive 5 working days notice of the meeting and will have the right to bring a trade union representative/work colleague. The purpose of this meeting is for the Head teacher/member of the Senior Leadership Team to formally:

- give clear feedback to the teacher about the nature and seriousness of the concerns;
- give the teacher the opportunity to comment and discuss the concerns;
- agree any support (e.g. coaching, mentoring, structured observations), that will be provided to help address those specific concerns;
- make clear how, and by when, the appraiser will review progress (it may be appropriate to revise objectives and modify support, and it will be necessary to allow sufficient time for improvement. The amount of time is up to the school but should reflect the seriousness of the concerns);
- explain the implications and process if no – or insufficient –

improvement is made.

- Agree a supportive action plan incorporating these elements. *Toolkit 10 Supportive Action Plan*. Where appropriate to clearly identify where the teacher is not achieving the level of practice which is appropriate to the relevant stage of their career and as defined in the 'Teachers' Standards 2012' document (a copy of which should be provided to them).

15.2 In discussion with the teacher, support will be identified to assist the teacher in addressing the issues raised. The nature of the shortcoming(s) will determine the nature of the help and support to be provided. This could include:

- Mentoring and/or coaching
- Provision of suitable training
- Management and/or peer support
- Structured observation
- Review of objectives
- Appropriate equipment / resources

15.3 The teacher must be supported for a period of time which is reasonable considering the post and the nature of the shortcoming(s); this would usually be no less than 4 weeks, but no more than 12 weeks. At least one informal feedback meeting will be held during this time as an indicator of progress and the teacher has the right to be accompanied by a trade union representative/work colleague at this meeting.

15.4 Following the meeting to discuss the performance concerns, the appraiser will confirm in writing the performance shortcoming(s), the performance standards required, the timeframe over which improvement will be expected, the support which will be put into place and how improvement will be measured and monitored. *Toolkit 11b – Model letter 2*

15.5 When progress is reviewed, if the appraiser is satisfied that the teacher has made, or is making, sufficient improvement, the appraisal process will continue as normal, with any remaining issues continuing to be addressed through that process. The teacher should be informed of this and also reminded of the need to maintain the improved standard. *Toolkit 11c – Model letter 3*

15.6 If after the period set under 15.3 above no or insufficient improvement has been made, the teacher will be invited to a formal meeting to determine whether formal capability proceedings need to be commenced or the appraisal process remains in place. The teacher may be supported by a trade union representative or work colleague and will be given 5 working days notice of the meeting. *Toolkit 11d – Model Letter 4*

16 Transition to the formal capability procedure

16.1 The capability procedure will only apply to those teachers and Head teachers about whose performance there are serious concerns that the appraisal process (set out in section 15 above) has been unable to address during the supportive review stage. *Toolkit 12 Teachers' capability procedure flowchart*.

16.2 If the appraiser is not satisfied with progress following the review, the teacher will be notified in writing that the appraisal system will no longer apply and that their performance will be managed under the formal stage of the school's capability procedure. Under that procedure the teacher will be invited to a formal capability meeting to discuss the concerns. They may be accompanied at that meeting by a work colleague or a union representative.

17 Annual assessment

17.1 Each teachers' performance will be formally assessed in respect of each appraisal period. In assessing the performance of the Head teacher, the Governing Body must consult with the external adviser as appointed by them under section 7 for that purpose. *Toolkit 13 Teachers' final appraisal report.*

17.2 The teacher will receive within 10 working days following the end of each appraisal period a written appraisal report. The teacher will also have the opportunity to comment in writing on their appraisal. At Chilmark and Fonthill Bishop Primary School teachers will receive their written appraisal reports by 31 October (31 December for the Head teacher). The appraisal report will include:

- details of the teachers' objectives for the appraisal period in question;
- an assessment of the teachers' performance of their role and responsibilities against their objectives and the relevant standards;
- an assessment of the teachers' training and development needs and identification of any action that should be taken to address them;
- a recommendation on pay where that is relevant (pay recommendations need to be made by 31 December for Head teachers and by 31 October for other teachers).

17.3 The assessment of performance and of training and development needs will inform the planning process for the following appraisal period.

18 Pay progression

18.1 Where teachers are eligible for pay progression, the recommendation made by the appraiser will be based on the assessment of their performance against the agreed objectives. The decision on progression will be based on the statutory criteria and guidance set out in the School Teachers Pay and Conditions Document (STPCD) and Chilmark and Fonthill Bishop Primary School's own pay policy.

19. Appeals on pay progression recommendations

19.1 Teachers have a right to appeal against any of the entries in the written appraisal report where the outcome is that they have not been recommended for pay progression (this also includes the Head teacher). The Head teacher (or Governor where the Head teacher is not recommended for pay progression) will notify the teacher not recommended for progression of the date by which pay recommendations are considered at Chilmark and Fonthill Bishop Primary School so that they may exercise their right of appeal. The

relevant appeals process is detailed in the Chilmark and Fonthill Bishop Primary School formally adopted pay policy.

- 19.2 The teacher has the opportunity to comment in writing on other aspects of their appraisal and this should result in further discussion with the appraiser. They can also request in writing for the appraisal assessment and comments to be reviewed by the Head teacher where the Head teacher is not the appraiser.

20. Monitoring and Evaluation

The Governing Body will monitor the operation and outcomes of the school's appraisal arrangements.

The Head teacher will provide the Governing Body with a written report on the operation of the school's appraisal policy annually. The report will not contain any information that would enable any individual to be identified.

The report will include:

- the operation of the appraisal policy;
- the effectiveness of the school's appraisal procedures;
- teachers' training and development needs

The Governing Body of Chilmark and Fonthill Bishop Primary School is committed to ensuring that the appraisal process is fair and non-discriminatory, and the following monitoring data should be included in the Head teacher's report *Toolkit 14 monitoring & evaluation* because it represents the possible grounds for unlawful discrimination:

- Race
- Sex
- Sexual orientation
- Disability
- Religion and belief
- Age
- Part-time contracts
- Trade union membership

The Head teacher will also report on whether there have been any appeals or representations on an individual or collective basis on the grounds of alleged discrimination under any of the categories above.

21. Roles and responsibilities under this policy

Head teacher and Governing Body responsibilities:

- The Head teacher and Governing Body of Chilmark and Fonthill Bishop Primary School will be responsible for the management and implementation of this policy at their school.
- The Head teacher and Governing Body will ensure that all appraisers involved in appraisal of teachers in Chilmark and Fonthill Bishop Primary School are aware of their responsibilities under this policy.
- The Head teacher and Governing Body will ensure that all appraisers of teachers, other than the Head teacher, will be qualified teachers.
- The Governing Body will appoint an external advisor for the purpose of supporting them with the appraisal of the Head teacher.
- The Head teacher and Governing Body will support teachers' development within the context of the school's plan for improving educational provision and performance and to ensure that teachers understand the standards of performance expected of them.
- The Head teacher and Governing Body will ensure that written appraisal records are retained in a secure place for six years and then destroyed.

Teacher responsibilities:

- To play an active role in their own appraisal and professional development including taking actions agreed at appraisal meetings.
- Where the role of appraiser has been delegated to them, to act as an appraiser to other teachers.

Schools HR responsibilities:

- The Schools HR Advisory Team, acting on behalf of the Local Authority, will be responsible for ensuring that this policy continues to reflect the statutory regulations and follows the principles of good practice.
- To provide a comprehensive toolkit to support the application of this county-wide policy and procedures as part of a statutory provision supported by the LA.
- For those schools that purchase the Schools HR Advisory service, the service will be able to advise and support Head teachers and Governors on the application of this policy and procedure. Where schools have alternative arrangements in place they should consult their own HR service provider.

22. Information for staff

Frequently Asked Questions (FAQs) are available in toolkit 15 but copies of the policy and procedure may also be provided by the school / academy (where adopted) on request.

23. Related policies and other information

A comprehensive toolkit is provided to client schools of the HR Advisory service to support this Model Appraisal Policy for teaching staff in Wiltshire schools:

Toolkit 1 – Teachers’ Standards

Toolkit 2 – Teachers’ Standards mapped against professional standards for teachers

Toolkit 3 – Effective Preparation & support of appraisers

Toolkit 4 – Flowchart of annual appraisal process

Toolkit 5 – Standards self assessment form for appraise

Toolkit 6 – Model Planning & Review statement

Toolkit 7 – Setting Objectives

Toolkit 8 – Classroom Observation

Toolkit 9 – Review form

Toolkit 10 – Supportive Action Plan

Toolkit 11 – What to do where there are concerns regarding performance

Toolkit 11a Model Letter 1 – invite to concerns regarding performance meeting

Toolkit 11b Model Letter 2 – follow up from concerns regarding performance meeting

Toolkit 11c Model Letter 3 – outcome of concerns regarding performance

Toolkit 11d Model Letter 4 – invite to formal meeting

Toolkit 12 – Capability procedure flowchart

Toolkit 13 – Final appraisal report

Toolkit 14 – Monitoring & Evaluation

Toolkit 15 - FAQs

See other HR policies referred to at 4.1 where these are more relevant to the issues raised including:

- Disciplinary Policy and Procedure
- Ill Health Policy and Procedure
- Schools Pay Policy
- Capability Policy and Procedure
- NQT Induction Process
- Maternity Compliance Guidance