

# Community Adult Learning Program

## Policy and Operating Requirements

August 2002



# Community Adult Learning Program Policy and Operating Requirements

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## Policy

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Community Adult  
Learning Program

Policy

March 2001

# Community Adult Learning Program Policy

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# Community Adult Learning Program Policy

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## Preamble

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### *Milestones in the thirty year history of the Community Adult Learning Program*

In the early 1970s, the Alberta government issued a Further Education Policy that established Further Education Councils across the province. These Councils mobilized local resources to meet the learning needs of adults in their communities.

Beginning in 1979, the Further Education Councils established volunteer tutor adult literacy services to provide a stable literacy service in communities across Alberta.

Over the years, Alberta citizens have developed a strong commitment to community adult learning initiatives. Hundreds of thousands of adults in Alberta have accessed opportunities each year. As a result, Alberta's participation rate in adult learning activities is among the highest in Canada.

In 1994, the *Further Education Program* was renamed the *Community Adult Learning Program*, affirming the vital role of the community in adult learning activities in Alberta.

In 2001, the policy was revised to align the Community Adult Learning Program with:

- Emerging trends in the supply of and demand for adult learning opportunities in Alberta.
- New developments in the Government of Alberta's overall approach to managing its programs and services.

# Community Adult Learning Program Policy

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## 1.0 Purpose, Nature and Scope

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*Participation of Albertans in learning activities is an integral part of the Government of Alberta's strategy for human resource development*

The Community Adult Learning Program is an integral part of the Government of Alberta's overall strategy to support participation in learning by Albertans. Learning, including education and training initiatives, is a key contributor to the quality of life of individuals, families, communities, and the province as a whole.

*A community-based program*

The Community Adult Learning Program supports community-based initiatives in small, medium, and large communities across the province. Through the Community Adult Learning Program, individual communities can be responsive and innovative in meeting adult learning needs as they develop in their communities.

*Meeting needs not met by other parts of the learning system*

The Community Adult Learning Program enhances and complements other parts of the learning system in Alberta, including the post-secondary system, the secondary system, and the private education and training sector. It provides support for identifying and meeting needs in the community that are not being met by others. Community organizations receiving Community Adult Learning Program funds from Alberta Learning work closely and cooperatively with learning-related organizations in and outside the community.

*Enabling communities to meet needs through coordination and cooperation*

The Community Adult Learning Program enables communities to increase the cooperation and coordination among learning providers, to increase their capacity to identify gaps and meet unmet needs, and to promote and support learning locally where that learning would benefit individuals and the community most.

*Fit with the secondary and post-secondary systems*

The Community Adult Learning Program focuses on the needs of adult learners, and on learning opportunities that are noncredit in nature. This, in part, differentiates the Community Adult Learning Program from the secondary and post-secondary systems in Alberta.

# Community Adult Learning Program Policy

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## 2.0 Program Goals

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- To improve the accessibility of learning opportunities in Alberta's communities, especially for those individuals with special needs or barriers to learning.
- To provide opportunities for Albertans to acquire important foundational skills such as literacy and English as a Second Language.
- To address education, training and learning gaps in Alberta's communities.
- To mobilize community volunteers and other resources in support of learning.
- To contribute to solving individual and community problems through learning initiatives, in coordination and cooperation with related organizations.

# Community Adult Learning Program Policy

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## 3.0 Key Features

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### 3.1 Community Adult Learning Councils

Community Adult Learning Councils (Councils) are approved by the Minister of Learning to address part-time, noncredit adult learning needs in local communities. Councils are voluntary associations comprised of five or more people who individually, or as representatives of institutions or organizations, are collectively responsible for the Community Adult Learning Program within a specific geographic area. Any interested individual in a community can become a member of a Council.

*Where Community Adult Learning Councils are not incorporated, a Legal Host takes on legal responsibilities*

Community Adult Learning Councils are not required to be legal entities, except where Community Adult Learning Program grants (Council grants plus volunteer tutor adult literacy grants) total \$100,000 or more. In communities where the Community Adult Learning Council is not a legal entity, a Legal Host receives the grant on behalf of the Council, and takes on legal responsibilities for the Council. The Community Adult Learning Council retains responsibility for the delivery of the Community Adult Learning Program in the community.

### 3.2 Volunteer Tutor Adult Literacy Services

Volunteer tutor adult literacy services are allocated separate funds within the Community Adult Learning Program budget. Volunteer tutor adult literacy services rely on trained volunteers to provide ongoing literacy support to adult learners.

*In most communities, the Community Adult Learning Council is responsible for the volunteer tutor adult literacy service*

Volunteer tutor adult literacy services are the responsibility of the local Community Adult Learning Council, whether incorporated or not, except in those communities where an incorporated not-for-profit legal entity other than the Community Adult Learning Council has taken on this responsibility.

In communities where the Community Adult Learning Council is not a legal entity, and the Community Adult Learning Council is responsible for the volunteer tutor adult literacy service, the Legal Host (see 3.2 and 4.3) takes on legal responsibilities for the Community Adult Learning Council, including the volunteer tutor adult literacy service.

# Community Adult Learning Program Policy

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## 4.0 Local Roles and Responsibilities

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*Community Adult Learning Program grants are provided directly to incorporated legal entities only*

The Community Adult Learning Program provides grants directly to not-for-profit organizations incorporated under an Alberta statute. This includes a Community Adult Learning Council or a Legal Host, or in the case of volunteer tutor adult literacy grants, another incorporated community organization.

The volunteer tutor adult literacy service may be overseen and directed in the community by the Community Adult Learning Council, a committee designated by the Community Adult Learning Council, or by another organization that is an incorporated legal entity.

### 4.1 Community Adult Learning Councils

Responsibilities of Community Adult Learning Councils include, but are not limited to, the following:

- a) To abide by the contents of this policy, as well as guidelines and operating requirements developed by Alberta Learning for the Community Adult Learning Program.
- b) To develop and submit business plans and annual reports as required, to Alberta Learning.
- c) To ensure the learning initiatives supported by the Community Adult Learning Program meet needs, benefit learners, are provided in a cost-effective manner, and are provided in cooperation and coordination with other related organizations in the community.
- d) To ensure the community is meaningfully involved in directing the activities of the Community Adult Learning Council.
- e) To oversee and direct programming enabled by Community Adult Learning Program grants, including the volunteer tutor adult literacy service (except for where another organization is responsible for the volunteer tutor adult literacy service in the community).
- f) To ensure adequate support is provided to successfully implement the volunteer tutor adult literacy service, in communities where the Community Adult Learning Council is responsible for the volunteer tutor adult literacy service.

# Community Adult Learning Program Policy

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## 4.2 Incorporated Councils

The responsibilities (in addition to those mentioned in 4.1) of an incorporated Community Adult Learning Council include, but are not limited to, the following:

- a) To act as the legal employer of individuals hired to administer the Community Adult Learning Program in the community.
- b) To act as the legal financial administrator for Community Adult Learning Program grants.
- c) To ensure that Community Adult Learning Program grants can be accounted for separately from other funds received.
- d) To provide commercial general liability insurance.

## 4.3 Legal Hosts

A Legal Host is a member of the Community Adult Learning Council and is approved by the Minister to act as the legal administrator for the Council and receive Community Adult Learning Program grants on behalf of the Council. The responsibilities of a Legal Host include, but are not limited to, the following:

- a) To act as the legal employer of individuals hired to administer the Community Adult Learning Program in the community.
- b) To act as the legal financial administrator for Community Adult Learning Program grants.
- c) To ensure that Community Adult Learning Program grants can be accounted for separately from other revenues and expenditures.
- d) To provide commercial general liability insurance that covers the activities of the Community Adult Learning Council in the community.
- e) Where Community Adult Learning Program grants are provided to a Legal Host, the employer, financial and program responsibilities of both the Legal Host and the Community Adult Learning Council (including the volunteer tutor adult literacy service) must be clearly articulated in written form, and submitted to Alberta Learning.

*Responsibilities of related organizations must be clearly articulated*

## **Community Adult Learning Program Policy**

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### **4.4 Incorporated Organizations (other than Councils) Delivering Volunteer Tutor Adult Literacy Services**

In some communities, the volunteer tutor adult literacy service is the responsibility of an incorporated community organization, other than the Community Adult Learning Council.

The responsibilities of an incorporated organization receiving volunteer tutor adult literacy grants include, but are not limited to, the following:

- a) To abide by the contents of this policy, as well as guidelines and operating requirements developed by Alberta Learning for the Community Adult Learning Program.
- b) To develop and submit business plans and annual reports as required, to Alberta Learning.
- c) To provide adequate support for, and to be accountable for, the volunteer tutor adult literacy service in the community.
- d) To maintain formal linkages through Community Adult Learning Council membership, and informal linkages and coordination mechanisms with the Community Adult Learning Council in its geographic area.
- e) To ensure any literacy initiatives supported by the Community Adult Learning Program meet needs, benefit learners, are provided in a cost-effective manner, and are provided in cooperation and coordination with other related organizations, including the Community Adult Learning Council in the community.
- f) To ensure that the community is meaningfully involved in directing the volunteer tutor adult literacy service.
- g) To act as the legal employer of individuals hired to administer the volunteer tutor adult literacy service.
- h) To act as the legal financial administrator for volunteer tutor adult literacy grants.
- i) To ensure that volunteer tutor adult literacy grants can be accounted for separately from other revenue and expenditures.
- j) To provide commercial general liability insurance.

*Formal and informal linkages are required between the Community Adult Learning Council and the organization in the community receiving volunteer tutor adult literacy grants*

*Community input and involvement are needed for the volunteer tutor adult literacy service*

## **Community Adult Learning Program Policy**

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### **5.0 Responsibilities of Alberta Learning**

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To support the Community Adult Learning Program, the Ministry of Learning is responsible for:

- a) Developing and communicating policy and priorities relating to the Community Adult Learning Program.
- b) Developing and communicating operating requirements for organizations involved in the Community Adult Learning Program.
- c) Approving organizations as Community Adult Learning Councils.
- d) Approving business plans for the delivery of the Community Adult Learning Program.
- e) Approving grants for Community Adult Learning Councils and volunteer tutor adult literacy services.
- f) Ensuring overall accountability for public funds.
- g) Facilitating communication and coordination among community organizations involved in the delivery of the Community Adult Learning Program.
- h) Supporting initiatives, including professional development for community-based staff and volunteers, to enhance the local governance and delivery of the Community Adult Learning Program.

Community Adult  
Learning Program

Operating  
Requirements

August 2002

# Community Adult Learning Program Operating Requirements

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# Community Adult Learning Program - Operating Requirements

## *Community Adult Learning Councils*

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The *Community Adult Learning Program Policy (2001)* and these *Operating Requirements* specify Alberta Learning's expectations for recipients of Community Adult Learning Program grants.

### 6.0 Community Adult Learning Councils

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#### 6.1 Mandate

*Alberta Learning approves and supports Community Adult Learning Councils to address the part-time, noncredit learning needs of adults within specified geographic boundaries through systematic communication, co-operation and coordination, especially for those whose participation would not be possible because of financial or other barriers.*

*Community support important*

The Community Adult Learning Program enables community members to collectively identify and address unmet learning needs for adult residents of Alberta. Correspondingly, communities are expected to demonstrate their commitment to Community Adult Learning Councils, by providing local resources to support the provision of adult learning. These can take the form of in-kind material or human resources.

*Non-sectarian, not-for-profit, voluntary organizations*

Community Adult Learning Councils (Councils) are non-sectarian, not-for-profit, voluntary organizations. As such, they are expected to maintain a broad based membership representative of the communities they serve. Council membership is open to any Albertan declaring an interest in adult education and working or residing within the Council's geographic area.

*Council responsibilities*

Within the *Community Adult Learning Program Policy (2001)* and Council mandate, Councils are responsible for determining their by-laws, structure and decision-making processes and for developing operational policies and procedures. In addition, every Council must determine how to enable individuals with financial barriers to participate in learning.

In most communities, Community Adult Learning Councils are also responsible for volunteer tutor adult literacy services. This responsibility requires Council decision-making bodies to keep informed about adult literacy issues and be able to demonstrate that adult basic literacy is an important part of their business.

# Community Adult Learning Program - Operating Requirements

## *Community Adult Learning Councils*

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### 6.2 Council Decision-Making Body

Each Council determines the composition of its decision-making body. Each Council decision-making body must consist of at least five individuals from within the Council's geographic area with a declared interest in adult education. Members of the decision-making body cannot receive remuneration from the Council.

#### *Responsibilities of the Council decision-making body*

In addition to the responsibilities outlined in 4.1 of the *Community Adult Learning Program Policy (2001)*, the responsibilities of a Council decision-making body, whether incorporated under the *Societies Act* or not, include, but are not limited to the following:

- a) Operate as an effective not-for-profit human service organization with sound practices in governance, and in the planning and management of programs, finances, and personnel.
- b) Ensure no member organization has more than one vote on the decision-making body.
- c) Approve and adhere to written policies and procedures in such matters as the setting of priorities, mechanisms for improving access for barriered learners, and the conduct of Council business. Examine and vote on these matters in accordance with the written policies and procedures.
- d) Decide on community learning priorities within the parameters specified throughout Section 6.3 and make programming decisions based on these priorities.
- e) Maintain a record of minutes of all meetings documenting key decisions made including personnel, programming, and funding allocations.
- f) Approve and adhere to conflict of interest guidelines.
- g) Keep Alberta Learning informed of the current membership and organizational structure of its decision-making body, and significant changes to the approved business plan.

#### *Agreements with Legal Hosts required for unincorporated Councils*

Unincorporated Community Adult Learning Councils require an incorporated organization to act as Legal Host to fulfill the responsibilities outlined in Section 4.3 of the *Community Adult Learning Program Policy (2001)*. These Councils are required to:

- a) Submit the name of the Legal Host to Alberta Learning for approval.
- b) Develop and submit to Alberta Learning a signed agreement between the Legal Host and the Council, which articulates the roles and responsibilities of each.

# Community Adult Learning Program - Operating Requirements

## *Community Adult Learning Councils*

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### 6.3 Program Requirements

***Aimed at:***

- *improving access for learners with barriers*
- *acquiring foundation skills*
- *addressing learning gaps*
- *mobilizing volunteer and other community resources*
- *solving community issues through learning*

The Community Adult Learning Program supports learning opportunities for adult Albertans to meet the program goals specified in Section 2.0 of the *Community Adult Learning Program Policy (2001)* and to meet the required programming areas specified in Section 6.3.2.

Adult Albertans are defined as permanent residents or citizens of Canada residing in Alberta who are aged 18 years of age and older.

Although the Community Adult Learning Program is primarily for adults, Councils may offer limited programming for youth where there is an identified need in the community.

All activities of Councils must fall within the Council mandate and purpose described in Section 6.1.

***Finances must not be a barrier to learning***

Participation in Council sponsored activities is open to all adult Albertans, regardless of their ability to pay. However, individuals who can afford to are expected to pay fees that reflect course costs.

***No direct funding to learners***

Councils must establish and make known criteria to reduce course fees to enable access for low-income learners. However, funding cannot be provided directly to learners.

***Local criteria and guidelines required***

Councils must establish program guidelines for their community to maximize the use of public funds. These guidelines should stipulate class sizes, duration of classes, number of instructional hours, required instructional resources, etc.

***Program planning based on needs assessments and program evaluations***

Within the parameters set by the *Community Adult Learning Program Policy (2001)* and *Operating Requirements*, Councils are expected to develop business plans based on an assessment and prioritization of community adult learning needs, and an evaluation of activities and programs.

Councils must acknowledge that the programs and services were made possible with funding support from Alberta Learning on printed materials such as reports, advertising, signage or brochures.

# Community Adult Learning Program - Operating Requirements

## *Community Adult Learning Councils*

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### **6.3.1 Grant Funded Programming**

When Community Adult Learning Program grants are used to subsidize learning opportunities, grant funded programming must:

- a) Be part-time noncredit opportunities.
- b) Be in the Required Programming Areas specified in Section 6.3.2.
- c) Be for adult Albertans who have barriers to learning.
- d) Address learning needs that are currently not being met in the community because programs are difficult to access or unavailable.
- e) Be developed in cooperation with related community providers.

### **6.3.2 Required Programming Areas**

The programming areas eligible for grant funding are:

**Adult Basic Literacy:** learning opportunities aimed at enabling learners to improve functional reading, writing and numeracy skills for further education, employment preparation, or personal reasons.

**English or French as a Second Language:** learning opportunities aimed at improving basic proficiency in either one of Canada's official languages.

**Community Issues:** learning opportunities aimed at the resolution of an identified community issue or problem.

**Employability Enhancement:** learning opportunities that provide a skills refresher, update, or short-term training required for employment. These opportunities must not duplicate local programs and services supported by Alberta Human Resources and Employment.

### **6.3.3 General Interest Programming**

Learning activities other than those identified as Required Programming Areas in Section 6.3.2, must be delivered on a cost-recovery basis. The fees charged should cover the costs for the instructor, learning materials, advertising and space.

# Community Adult Learning Program - Operating Requirements

## *Community Adult Learning Councils*

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### **6.3.4 Eligible use of grants**

Grants and interest earned from grant dollars can be used for a range of operational expenses such as office; staffing; professional development activities for Council board, volunteers and staff within Alberta; subsidy of learning opportunities that fit the Required Programming Areas specified in 6.3.2; advertising learning opportunities in the Required Programming Areas; and program brochures.

### **6.3.5 Ineligible Use of Grants**

Grants and interest earned from grant dollars cannot be used to fund capital purchases; professional development activities outside Alberta; speculative fund raising ventures; or subsidy of general-interest courses.

## **6.4 Granting Councils**

### **6.4.1 Grants of \$200,000 or More**

All Councils receiving annual grants for their Community Adult Learning Council operations in excess of \$200,000 must:

- a) Be solely Granting Councils and comply with the requirements specified in 6.4.2.
- b) Deposit the grant into a separate, interest bearing account.
- c) Provide grants to support all four of the Required Programming Areas specified in 6.3.2.
- d) Allocate a minimum of 80% of their annual grant to member agencies, of which up to 15% may be allocated to special projects. Special projects are activities such as curriculum or resource development that will enhance the Required Programming Areas specified in 6.3.2. Requests to use grant dollars for other activities will be considered by Alberta Learning, and should be requested in the Council's business plan.
- e) Allocate no more than 15% of their annual grant to a single provider.
- f) Submit a semi-annual program update and financial status report.

# Community Adult Learning Program - Operating Requirements

## *Community Adult Learning Councils*

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### **6.4.2 All Granting Councils**

Regardless of the size of their grant, all Granting Councils must meet the following requirements:

- a) Develop and adhere to written policies and procedures consistent with the *Community Adult Learning Policy (2001), Operating Requirements* and Alberta Learning granting practices, to guide decision-making in the allocation of grants.
- b) Approve and adhere to conflict of interest guidelines.
- c) Have all funding decisions approved by the Council decision-making body and recorded in minutes. The minutes must be made available to Alberta Learning on request.
- d) Distribute funds to learning providers in an efficient and timely manner.
- e) Ensure learning providers have established criteria and process for the reduction of course fees for low-income learners.
- f) Do not provide grants to individuals, or to for-profit or not-for-profit companies.

### **6.4.3 Grants Less Than \$200,000**

In addition to the requirements in Section 6.4.2, Granting Councils that receive grants of less than \$200,000 must:

- a) Allocate no more than 20% of their annual grant to a single provider.
- b) Allocate no more than 20% of their annual grant to special projects. Special projects are activities such as curriculum or resource development that will enhance the Required Programming Areas specified in 6.3.2.

# Community Adult Learning Program - Operating Requirements

## *Community Adult Learning Councils*

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### 6.5 Financial Requirements

Within the parameters set by the *Community Adult Learning Program Policy (2001)* and *Operating Requirements*, Councils should maintain a balanced budget and are expected to draw on other community resources or funding bodies, where available, to supplement the grant. This includes cost recovery on general interest courses, cost sharing, donations of financial or in-kind resources, and requests to other funding bodies.

All Councils must:

- a) Use profits from all revenue generation activities to fulfill Council mandate and purpose as described in 6.1.
- b) Keep separate financial records for each source of revenue. This includes separate tracking of distinct Community Adult Learning Program grants (e.g. Council, volunteer tutor adult literacy, rural innovation and access).
- c) Use grants and any interest earned on grant dollars for the purpose approved in the annual budget and business plan.
- d) Inform Alberta Learning of significant changes to the approved annual budget and business plan.
- e) Demonstrate effective use of funds.
- f) Return unexpended grant dollars to the Minister of Finance at the end of the year, or request approval from Alberta Learning to carry-over grant dollars, providing the reason for the request and how the dollars will be used.
- g) Not undertake activities that place grants at risk.

# Community Adult Learning Program - Operating Requirements

## *Community Adult Learning Councils*

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### **6.6 Reporting Requirements**

#### **6.6.1 Business Plan and Budget**

Councils are required to submit a business plan and budget in a format specified by Alberta Learning.

#### **6.6.2 Background Documents**

Alberta Learning must have current copies of the following background documents:

- a) Constitution and by-laws, and financial and personnel policies.
- b) If incorporated, the Certificate of incorporation and annual proof of filing, or if not incorporated, the signed agreement with the Legal Host.
- c) Organization chart showing program and staff structure.
- d) List of members of the Council decision-making body.
- e) List of members of the Council.
- f) Certificate of insurance for General Liability Insurance, in an amount not less than \$2,000,000 inclusive per occurrence (see Section 9.1).
- g) Literacy Committee Terms of Reference, if applicable (see Section 7.4.2).
- h) Criteria and process for the reduction of course fees for low-income learners, and program guidelines (see Section 6.3).
- i) If a Granting Council, granting policies and procedures (see Section 6.4.2).

#### **6.6.3 Annual Report**

Councils must submit an annual report in a format specified by Alberta Learning.

#### **6.6.4 Financial Reporting**

Councils must also submit annual financial reports in a format specified by Alberta Learning.

# Community Adult Learning Program - Operating Requirements

## *Community Adult Learning Councils*

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### **6.6.4.1 Grants Less Than \$200,000**

All Councils receiving annual grants for their Community Adult Learning Council operations of less than \$200,000 must provide an annual financial statement of revenues and expenditures signed by two members of the Council's decision-making body. In the case of an unincorporated Council one of signatories must be the Legal Host's Senior Financial Officer.

### **6.6.4.2 Grants of \$200,000 or More**

All Councils receiving annual grants for their Community Adult Learning Council operations of \$200,000 or more must submit an audited annual financial statement in a format specified by Alberta Learning. A public accountant who is a member in good standing of the Institute of Chartered Accountants of Alberta, the Certified General Accountants' Association of Alberta or the Society of Management Accountants of Alberta must issue the auditor's report.

### **6.6.5 Financial Records**

Councils must also retain all records of Council accounts, revenue and expenses and related documents for seven years after receipt of the grant funds. As well, Councils must produce for examination on request by any representative of the Minister of Learning, the Auditor General, or the Minister of Finance of Alberta, any of the financial records and supporting documents related to the grant.

### **6.6.6 Freedom of Information and Protection of Privacy**

Information or records maintained or submitted as part of the requirements of the Community Adult Learning Program, once in the custody or under the control of Alberta Learning become subject to the privacy and access provisions of the *Freedom of Information and Protection of Privacy Act*. Should the Minister receive a request for any of these records, the Council shall forward the records, at the Council's expense, to the Minister within five calendar days from official notification by the Minister.

Councils must establish processes to ensure that the collection, use, disclosure and disposal of personal client information is in compliance with the requirements for confidentiality, security of information and retention and destruction of records set out under the *Freedom of Information and Protection of Privacy Act* (RSA 2000, Chapter F-25). The requirements for ensuring the confidentiality and security of information on persons receiving services are specified in Section 8.0.

# Community Adult Learning Program - Operating Requirements

## *Volunteer Tutor Adult Literacy Services*

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### 7.0 Volunteer Tutor Adult Literacy Services

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#### 7.1 Purpose

*Alberta Learning funds volunteer tutor adult literacy services within the boundaries of a Community Adult Learning Council geographic area to provide basic literacy tutoring to adult Albertans wanting to improve their literacy skills for further education, employment preparation or personal reasons.*

*Volunteer tutor adult literacy services are aimed at meeting the Community Adult Learning Program goals of increasing access for adults to acquire literacy skills, and mobilizing volunteer resources to support learning.*

#### 7.2 Program Requirements

Community Adult Learning Program funding for volunteer tutor adult literacy services must:

- a) Focus on adults (individuals aged 18 years and older)<sup>1</sup>.
- b) Serve learners who are permanent residents or Citizens of Canada residing in Alberta.
- c) Be tuition-free<sup>2</sup>.
- d) Meet noncredit basic literacy needs.
- e) Enable learners to improve functional literacy skills for further education, employment preparation, or personal reasons.
- f) Include reading and writing and may include numeracy.
- g) Tailor instruction to individual learner's needs.
- h) Be limited to volunteer tutor-based instruction, one-on-one or in small groups.
- i) Ensure staff and volunteer tutors have an understanding of adults as learners, and training in adult literacy development.
- j) Demonstrate learner progress towards the learner's goals.

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<sup>1</sup> The Community Adult Learning Program is for individuals 18 years of age and older; however, volunteer tutor adult literacy services can be provided to youth who are no longer in school.

<sup>2</sup> A minimal registration or materials fee may be charged, taking into account the need to ensure access for low-income learners.

## **Community Adult Learning Program - Operating Requirements**

### ***Volunteer Tutor Adult Literacy Services***

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- k) Include volunteer recruitment, screening, training, support and recognition.
- l) Acknowledge that the service was made possible with funding support from Alberta Learning on printed materials such as reports, advertising, signage or brochures.

#### **7.2.1 Eligible Use of Grants**

Grants can be used for a range of operational expenses required for operation of the volunteer tutor adult literacy service, such as office; staffing; volunteer recruitment, support, training and recognition; mileage for tutors; literacy resources; advertising; and professional development for board, staff and volunteers within Alberta.

Programs must seek prior approval to use volunteer tutor adult literacy grant funds to support literacy activities in addition to those described in purpose and program requirements (Sections 7.1 and 7.2).

The request must be submitted as part of the annual program plan and budget, and may be approved by Alberta Learning if the program is able to demonstrate that the activities enhance and do not adversely impact the ability of the program to meet the purpose and program requirements specified in Sections 7.1 and 7.2 for a volunteer tutor adult literacy service.

#### **7.2.2 Ineligible Use of Grants**

Grants cannot be used to fund capital purchases, professional development activities outside Alberta, speculative fund raising ventures, or to pay literacy instructors or tutors, or to provide direct funding to learners.

### **7.3 Reporting Requirements**

#### **7.3.1 Program Plan and Budget**

Organizations are required to submit a program plan and budget in the format specified by Alberta Learning.

If the activities are other than those described in the purpose and program requirements (7.1 and 7.2), the program plan must describe how the activities enhance and do not adversely impact the ability of the program to meet the requirements of 7.1 and 7.2.

## Community Adult Learning Program - Operating Requirements

### *Volunteer Tutor Adult Literacy Services*

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#### **7.3.2 Annual Report**

Organizations must submit an annual program report in the format specified by Alberta Learning.

#### **7.3.3 Financial Reporting**

Organizations must also submit annual financial reports in a format specified by Alberta Learning.

#### **7.3.4 Financial Records**

Organizations must retain all records of accounts, revenue and expenditures and related documents for seven years after receipt of the grant funds.

As well, organizations must produce for examination on request by any representative of the Minister of Learning, the Auditor General, or the Minister of Finance of Alberta, any of the financial records and supporting documents related to the grant.

#### **7.3.5 Freedom of Information and Protection of Privacy**

Information or records maintained or submitted as part of the requirements of the organization, once in the custody or under the control of Alberta Learning, become subject to the privacy and access provisions of the *Freedom of Information and Protection of Privacy Act*. Should the Minister receive a request for any of these records, the organization shall forward the records, at the organization's expense, to the Minister within five calendar days from official notification by the Minister.

Organizations must establish processes to ensure that the collection, use, disclosure and disposal of personal client information is in compliance with the requirements for confidentiality, security of information and retention, and destruction of records set out under the *Freedom of Information and Protection of Privacy Act* (RSA 2000, Chapter F-25). The requirements for ensuring the confidentiality and security of information on persons receiving services are specified in Section 8.0.

# Community Adult Learning Program - Operating Requirements

## *Councils With Volunteer Tutor Adult Literacy Services*

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### 7.4 Councils

In the majority of communities, volunteer tutor adult literacy services are the responsibility of the Community Adult Learning Council. The responsibilities of Councils are specified in Sections 4.1 and 4.2 of the *Community Adult Learning Program Policy (2001)*.

#### 7.4.1 Financial and Reporting Requirements

The financial and reporting requirements of Councils are specified in Sections 6.5 and 6.6. The volunteer tutor adult literacy grant and services must be accounted for and reported separately from other Council activity. Details on reporting requirements for the volunteer tutor adult literacy service grant are specified in Section 7.3.

#### 7.4.2 Literacy Committees

To assist Councils with their literacy programming responsibilities, Councils may wish to form a literacy committee. Literacy committees are standing committees of the Council decision-making body and should be described in the Council by-laws.

Literacy Committees should be made up of community volunteers with an interest and/or expertise in adult literacy. There are two requirements for a literacy committee:

- a) One member of the Council decision-making body must be on the literacy committee to provide a direct link between the two bodies.
- b) The Council decision-making body must approve a Committee Terms of Reference that specifies committee responsibilities, objectives, authority, composition, reporting, staff support and communication with the Council.

Two types of committees are possible:

**Literacy Advisory Committee** - Advisory committees are not decision-making bodies, but can carry out tasks within established parameters or prepare recommendations on literacy services for consideration by the Council decision-making body.

**Literacy Management Committee** - The Council decision-making body may delegate responsibilities for the day-to-day management and decisions of the volunteer tutor adult literacy service. The Chair of the Management Committee should be a member of the Council's decision-making body.

# Community Adult Learning Program - Operating Requirements

## *Incorporated Organizations (other than Councils) With Volunteer Tutor Adult Literacy Services*

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### 7.5 Incorporated Organizations (other than Councils)<sup>3</sup>

In some communities, volunteer tutor adult literacy services are the responsibility of an incorporated organization that is not a Community Adult Learning Council. In addition to the responsibilities specified in Section 4.4 of the *Community Adult Learning Program Policy (2001)*, the following requirements apply.

#### **7.5.1 Financial Management Requirements**

It is expected that each organization maintain a balanced budget for the volunteer tutor adult literacy service. Organizations must:

- a) Keep separate financial records for the volunteer tutor adult literacy grant.
- b) Use grant dollars and any interest earned on grant dollars for the volunteer tutor adult literacy service.
- c) Inform Alberta Learning of significant changes to the approved annual budget and program plan.
- d) Demonstrate effective use of funds.
- e) Return unexpended grant dollars to the Minister of Finance at the end of the year, or request approval from Alberta Learning to carry-over grant dollars, providing the reason for the request and how the grant will be used.
- f) Not undertake activities that place the grant at risk.

#### **7.5.2 Background Documents**

Organizations must ensure that Alberta Learning has current copies of the following background documents:

- a) Organization chart showing program and staff structure.
- b) Policies and guidelines for their volunteer tutor adult literacy service.

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<sup>3</sup> This includes all organizations incorporated under an Alberta Statute (*Societies Act, Colleges Act, Libraries Act, etc.*).

**Community Adult Learning Program**  
***Incorporated Organizations (other than Councils) With***  
***Volunteer Tutor Adult Literacy Services***

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***Organizations  
incorporated  
under the  
Societies Act -  
other than  
Councils***

In addition, organizations incorporated under the *Societies Act* - other than Councils, must also submit copies of:

- c) Current constitution and by-laws, and financial and personnel policies.
- d) Current certificate of incorporation and annual proof of filing.
- e) Current list of members of the board of directors.
- f) Current certificate of insurance for General Liability Insurance, in an amount not less than \$2,000,000 inclusive per occurrence.
- g) The most recent annual financial statement for the organization.

**7.5.3  
Reporting  
Requirements**

Reporting requirements for the volunteer tutor adult literacy service grant are specified in Section 7.3.

# Community Adult Learning Program - Operating Requirements

## *Councils and Volunteer Tutor Adult Literacy Services*

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### 7.6 Programs Planning to Incorporate as Not-for-profit Societies

The following process was developed to ensure that Alberta Learning continues to grant volunteer tutor adult literacy funds to legal entities that have the governance, financial management, and other resources to be accountable for public funds. Volunteer tutor adult literacy services of Councils, planning to incorporate under the *Societies Act* after March 31, 2001 must discuss their plans with Alberta Learning, and are required to follow the process outlined.

#### 7.6.1 Annual Process and Timelines

A letter of intent must be submitted to Alberta Learning by September 15. The letter and supporting documents must address the following five points:

- a) Whether the new organization will have adult literacy as a primary focus of its mandate.
- b) History with and understanding of the Community Adult Learning Program.
- c) How adult literacy services will be improved in the community.
- d) Letters indicating community support from the Community Adult Learning Council and other organizations.
- e) Ability for the new organization to meet governance, financial and other resource requirements to function as a separate organization.

#### *Newly Incorporated Organization Must Make a Request to Receive Literacy Grant*

If the program proceeds with incorporation, the newly incorporated organization must make a written request if it wishes to receive the volunteer tutor adult literacy service grant. The application must be received by Alberta Learning by October 15, and include:

- a) A program plan consisting of needs assessment, goals and objectives, implementation plan and evaluation plan.
- b) A budget for the organization's entire operations, indicating all sources of revenues and in-kind contributions, and including a request for funding not exceeding Alberta Learning's current grant for the volunteer tutor adult literacy service in that community.
- c) Copies of background documents listed in 7.5.2.

Alberta Learning will determine whether the volunteer tutor adult literacy service grant for the program year beginning January 1, is granted to the new organization, or whether it remains with the Community Adult Learning Council.

## Community Adult Learning Program Operating Requirements

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### 8.0 Confidentiality and Security of Client Information

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Recipients of Community Adult Learning Program grants shall acknowledge that Part 2 of the *Freedom of Information and Protection of Privacy Act (FOIP Act)* applies to personal information that is collected, used, or disclosed, relating to individuals receiving services.

- a) The Grant Recipient shall keep records on individuals receiving services in a secure manner and retain these records for two years.
- b) The Grant Recipient shall produce on demand to any representative of the Minister, any of the records referred to in a), and shall permit those representatives to examine these records and take copies and extracts of them.
- c) The Grant Recipient shall treat any information, including personal information about individuals receiving services that it acquires as a result of operating as a Community Adult Learning Council or delivering volunteer tutor adult literacy service, in strict confidence, and shall not disclose this information to anyone unless such disclosure is authorized by the Agreement, by law, or by the Minister in writing.
- d) The Grant Recipient shall not use personal information about individuals receiving services for any purpose other than the provision of the services as a result of operating as a Community Adult Learning Council or delivering volunteer tutor adult literacy service, unless such use is authorized by the *Community Adult Learning Program Policy (2001)* and *Operating Requirements*, by law, or by the Minister in writing.
- e) The Grant Recipient shall not collect personal information about individuals receiving services, unless the information is required for operation and delivery of services as a Community Adult Learning Council or delivery of volunteer tutor adult literacy service, or the collection is authorized by law, or by the Minister in writing.

When collecting personal information, the Grant Recipient shall provide the appropriate notice as required by section 34(2) of the *FOIP Act* which informs individuals about the legal authority for the collection of personal information, the purpose of the collection, and necessary contact information of an individual within the Grant Recipient's organization that can answer questions regarding the collection activity.

- f) The Grant Recipient shall correct or annotate personal information about individuals receiving services, as required by the Minister, within 5 working days of receiving notice to do so by the Minister.

## **Community Adult Learning Program Operating Requirements**

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- g) The Grant Recipient shall take reasonable security precautions to protect personal information about individuals receiving services from unauthorized access, use, disclosure or disposal, including:
  - (i) Storing hard copy records in locked filing cabinets and in secure areas where they cannot be accessed by unauthorized persons.
  - (ii) Storing electronic records on disks, and storing disks in a secure manner so that they cannot be accessed or tampered with by unauthorized persons.
  - (iii) Keeping hard copy and electronic records containing personal information about persons receiving services separate and apart from the Grant Recipient's other records.
  
- h) If, in the Minister's opinion, the Grant Recipient is not complying with the requirements of this section, the Minister may provide the Grant Recipient with written notice requiring it to remedy the situation to the satisfaction of the Minister within five working days.
  
- i) The Grant Recipient shall notify the Minister immediately of any unauthorized access, use, disclosure, or disposal of personal information about individuals receiving services or of any theft or loss of or damage to it, and shall take all reasonable steps to prevent a recurrence.

## **Community Adult Learning Program Operating Requirements**

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### **9.0 Terms and Conditions for Alberta Learning Grants**

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The Grants Regulation for Alberta Learning specifies the following terms and conditions that also apply to recipients of Community Adult Learning Program grants.

- a) It is a condition of a grant that the Grant Recipient use the grant money only for the purpose for which the grant was made, or if the Minister varies the purpose for which the grant was made, only for the purpose as so varied.
- b) The Minister may require the Grant Recipient to repay all or part of the grant money, if:
  - It was not used for the purposes granted.
  - The Grant Recipient does not comply with any of the other conditions of the grant.
  - The Grant Recipient provided false, misleading or inaccurate information to obtain the grant.
  - The Grant Recipient does not use all of the grant money received.
- c) The Minister may require that the recipient of a grant:
  - Provide information satisfactory to the Minister to enable determination of whether the recipient is complying with all or any of the conditions of the grant.
  - Account to the Minister on how the grant money or any portion of it was or is being used.
  - Permit representatives of the Minister or the Auditor General to examine any books or records to determine whether the grant money or any portion of it was used improperly.
  - Permit representatives of the Minister or the Auditor General to undertake a follow-up audit or evaluation.
- d) If and to the extent considered appropriate, the Minister may make any deduction from a grant.

## **Community Adult Learning Program Operating Requirements**

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### **9.1 Other Terms and Conditions**

- a) Business plans and budgets are approved annually for Community Adult Learning Program Grant Recipients. Alberta Learning reserves the right to recommend alterations to programming and make changes to funding allocations as necessary.
- b) Alberta Learning will consider the size of an organization's accumulated reserves in making grant decisions.
- c) Alberta Learning reserves the right to monitor and evaluate programs whenever it deems it necessary, as well as conduct audits and initiate recommended actions.
- d) Alberta Learning reserves the right to require Grant Recipients to provide financial assurance at the level of a Review Engagement Report, an Accountant's Report on the results of applying specified auditing procedures, or an Auditor's Report.
- e) The Minister must approve the amalgamation of any Council with neighbouring Councils or other community organizations. Any Council decision-making body considering amalgamation must provide Alberta Learning with written notice of their intent, at least three months in advance.
- f) Grant Recipients shall, at their own expense and without limiting their liabilities herein, insure their operations under a contract of General Liability Insurance, in accordance with the Alberta Insurance Act, in an amount not less than \$2,000,000 inclusive per occurrence, insuring against bodily injury, personal injury and property damage including loss of use thereof. Such insurance shall include blanket contractual liability.