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### **University of Alberta – athletic financial awards**

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In accordance with Section 90.40 – Conduct and Enforcement: Complaints, Investigation and Discipline Policy of the 2008 Canadian Interuniversity Sport (CIS) Policies and Procedures, I have considered a self-disclosure submitted by Katie Spriggs, Associate Director of Athletics, University of Alberta (Alberta). The self-disclosure details a breach of CIS Regulation 50.10.3.2 – Athletic Financial Awards ceiling, specifically with respect to the provision of 15.83 equivalent award units (or 1.83 units more than the 14 permitted) to its men's hockey team in 2007-08. Further, the self-disclosure details a breach of CIS Regulation 50.10.3.1.5 – Total Value of AFA Restrictions, specifically with respect to the provision of an AFA that was in excess of the recipients' total value of tuition and compulsory fees (in the amount of \$750 or 116% of tuition and fees) in the sport of women's hockey.

Upon reviewing the Record of this matter, I have determined that there are grounds for a formal charge. It is my view that the University of Alberta breached CIS regulations as detailed above.

Pursuant to Policy 90.40.4.12, I consider both breaches to be an inadvertent administrative infraction that is not regularly and consistently occurring at the institution. I am satisfied that the current self-disclosure is such that it does not warrant a discipline hearing otherwise specified to take place pursuant to Policy 90.40.5.

With respect to the provision of AFA awards beyond the team ceiling in men's hockey, Alberta has identified and will be implementing enhanced policies to minimize the chance of a similar occurrence happening in the future. Simply stated, the athletic department, inclusive of the coach, miscalculated the total value of AFA's that were promised to the members of the hockey team. This administrative error was, in part, a result of (i) multi-year agreements that Alberta establishes with its student-athletes during the recruitment process, and (ii) the fact that those commitments were detailed in absolute dollar amounts as opposed to a percentage of a student-athlete's tuition and fees, which are unknown during the recruitment process. The breach of regulations was identified in September when the Alberta athletic department was preparing its AFA report to CIS.

With respect to the provision of AFA awards beyond the individual maximum in women's hockey for one student-athlete, Alberta has identified and will be enhancing its policies to minimize the chance of a similar occurrence happening in the future. At the time of the current infraction, the student-athlete qualified for an additional academic-related AFA that was not included in her original letter of offer. This administrative oversight was not identified until September when the Alberta athletic department was preparing its AFA report to CIS. As the student-athlete chose not to return to play for the team upon conclusion of the 2008 winter term, Alberta did not request a return of the over-payment from the student-athlete.

In its submissions, Alberta expressed its concerns with respect to the practicalities of monitoring a team's AFA envelope, particularly during the recruitment process. I will request the consideration of the AFA Committee with respect to this expressed issue.

The men's hockey team infraction was primarily the result of a miscalculation with respect to the envelope of AFA funds that were committed for 2007-08. The women's hockey individual infraction was primarily the result of an administrative oversight related to the total value of multiple AFA awards provided to an individual.

Alberta has or will be implementing the following enhanced policies to minimize a recurrence of these infractions:

- Alberta's two Associate Directors of Athletics will be jointly responsible for the timely monitoring of Alberta's AFA disbursements and planned disbursements, in addition to the traditional reporting requirements of CIS.
- All coaches will be required to seek approval from an Associate Director prior to making an AFA commitment to a student-athlete (prospective or returning).
- The Associate Directors, in communication with the coach, will monitor the total value of commitments and would be commitments that are being provided and considered for an individual team that is within 20% of the team ceiling in a preceding year. This monitoring will be done with each letter of offer that is being considered.
- Specific to AFA recipients who qualify and receive an AFA in September based upon their respective course load at the time, Alberta will clearly indicate that any changes in the recipient's course load may necessitate a return of AFA monies in order to maintain compliance with CIS policy.

In recognition of the facts and circumstances of this case, I have determined that the University of Alberta be fined \$2,000 for the administrative errors that led to the breach of CIS regulations (\$250 attributed to the women's hockey infraction and \$1,750 attributed to the men's hockey infraction), plus \$150 in costs to resolve this matter. Alberta is also required to submit a follow-up report on the actions and proposed actions that it has and is planning on taking to minimize the chances of a similar incident occurring in the future, as well as providing an interim 2008-09 AFA report for its men's hockey team by January 23.

The above statements and determinations are made without prejudice and subject to change should subsequently discovered facts or evidence suggest otherwise.

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*Aubrey Ferris, Designate of the President*