

Group: Marshal Service Month/Year of Report: March 2021
Executive Director: Shannon Buhl Phone: 918-207-3800
Email: shannon-buhl@cherokee.org

1. Budget Highlights-Please Refer to Monthly Financial Report

2. Program Highlights for February 2021:

<u>District 1</u>	<u>412 North</u>	<u>District 2</u>	<u>412 South</u>
	Information Report (6)		Information Report (14)
	Warrants (0)		Warrants (0)
	Other Agency Assists (12)		Other Agency Assists (14)
	Warnings (3)		Warnings (5)
	Citations (4)		Citations (3)
	Alcohol/Drug Arrests (0)		Alcohol/Drug Arrests (2)
	A&B/DV (1)		A&B /DV (0)
	Burglary/Theft/Larceny (0)		Burglary/Theft/Larceny (1)
	Protective Order violation(1)		Disorderly conduct (1)
	Motor Vehicle Theft (0)		Fraud/Embezzlement/Counterfeit (0)
	Disorderly Conduct (0)		Motor vehicle accident (1)
			Missing persons (0)
			Civil detention order (0)

3. Special Operations:

Dive/Swift Water (0)

SWAT (0)

Casino Requests (10)

Conservation (2) tour of new land @ Sequoyah Co. with admin

4. Accomplishments:

CJIC class training with Northern District

CNMS / CNEM transported 62 doctors and nurses to and from work during the snow storm.

5. Security:

Security Violations (3)

Vehicle Assists (0)

Incident Reports (6)

Events:

6. Facilities:

Hastings (10) EDO

Redbird Smith (0)

Three Rivers (0) EDO

Cooweescoowee Ocheleta (0)

Wilma P Mankiller (0)

7. Community:

Franky Dreadfulwater

Check on schools Adair County/ Sequoyah County

John Timothy

School Duties / EDOs

8. Emergency Management:

Emergency Management

1. CNMS and CNEM transported 12 citizens for dialysis during the Winter Weather Event
2. CNMS and CNEM transported 50 Doctors/Nurses during the Winter Weather Event
3. CNMS and CNEM delivered water, food, generators and heaters to citizens
4. Prepared and responded to the Feb. 2021 Winter Weather Event
5. Initiated process with FEMA for reimbursement for Feb. 2021 Winter Weather Event
6. Preparing three community buildings(Chewey, Greasy, Tailholt) to begin storm safe room projects
7. Assisted Administration with COVID operations and community meetings
8. Developing plans to construct 3 new storm safe rooms for communities and citizens
9. Assisted multiple county agencies with PPE and disinfectant spray
10. Communicating with Health Admin and other departments on COVID-19 vaccines, actions and updates
11. Communicating with FEMA on response to COVID-19
12. Finalizing with FEMA in regards to the May 2019 storms and floods response
13. Attended meetings with local agencies to build partnerships and resource information for COVID-19
14. Assisted CN Marshal Service operations

Health Services

1. Supporting the COVID-19 response.
2. Assisting in updating the COVID-19 Medical Surge Plan for W.W. Hastings.
3. Developing Operational Period Incident Action Plans.
4. Updating the Cherokee Nation Health Services COVID-19 project list.
5. Assisting in COVID-19 vaccination planning.
6. Developing After-Action Reports for the COVID-19 Response, Administering COVID-19 Vaccine, and Medical Surge Activation at WW Hastings.
7. Updated the Pandemic Plan.
8. Updated the CHNS Emergency Operations Plan.
9. Created an Emergency Preparedness Overview Training.

9. Patrols:

District 1	31
District 2	<u>48</u>
Total	79

Concerns addressed from last Rules:



CHEROKEE NATION TRIBAL COUNCIL RULES COMMITTEE REPORT

Group: Tax Commission

Month/Year of Report: March, 2021

Group Leader: Sharon Swepston **Phone:** 918-453-5377

E-mail: Sharon-sweepston@cherokee.org

I. Budget Highlights

- a.) Please refer to the monthly financial report from Finance.

II. Program Highlights

a.) Motor Vehicle

1. Year to Date Motor Vehicle revenue for FY21 compared to FY20 as of January 31st 2021 & January 31st 2020, had an overall increase of 8.47%.
2. The month to month revenue comparison for January 2020 (FY20) compared to January 2021 (FY21) shows a decrease of 0.06%.
3. The detail for all areas of revenue for motor vehicle is shown on the attached graphs.
4. FY21 new tags issued in the Extended Jurisdictional Boundary for October 839, November 1,321, December 719, January 708.

b.) Revenue and Taxation Division

1. Year to Date Revenue and Taxation (Tobacco) for FY21 compared to FY20 as of January 31st 2021 & January 31st 2021, had an overall decrease of 51.91%.
2. A month to month revenue comparison for January 2020 (FY20) compared to January 2021 (FY21) shows a decrease of 44.78%.
3. The detail for all areas of tax is shown on the attached graphs.

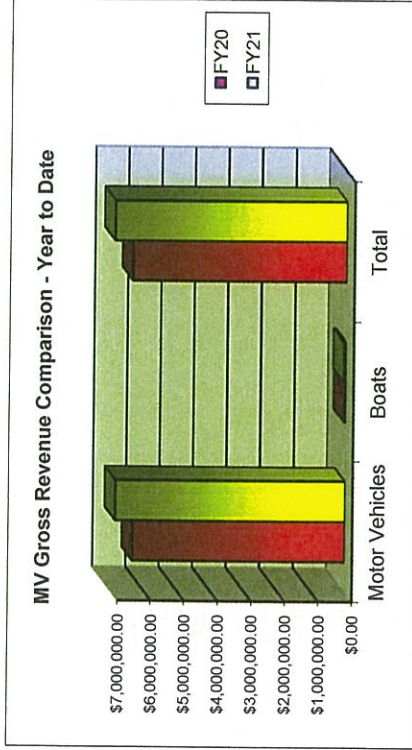
c.) Future Plans/New Initiatives

1. The next Tax Commission meeting is scheduled for June 9, 2021 at 4:30 pm in the CNTC Conference room.
2. The Veterans Sales Tax Exemption Cards have been mailed out to all qualified applicants. As of March 2, 2021 we have mailed out 427 Veteran Sales Tax Exemption Cards. CNE has implemented their upgraded system to process the new sales tax exemptions for Cherokee veterans.
3. We have received our report for January 2020 purchases and payment from the State of Oklahoma and rebates are scheduled to be distributed to the retailers by or before March 15, 2021.

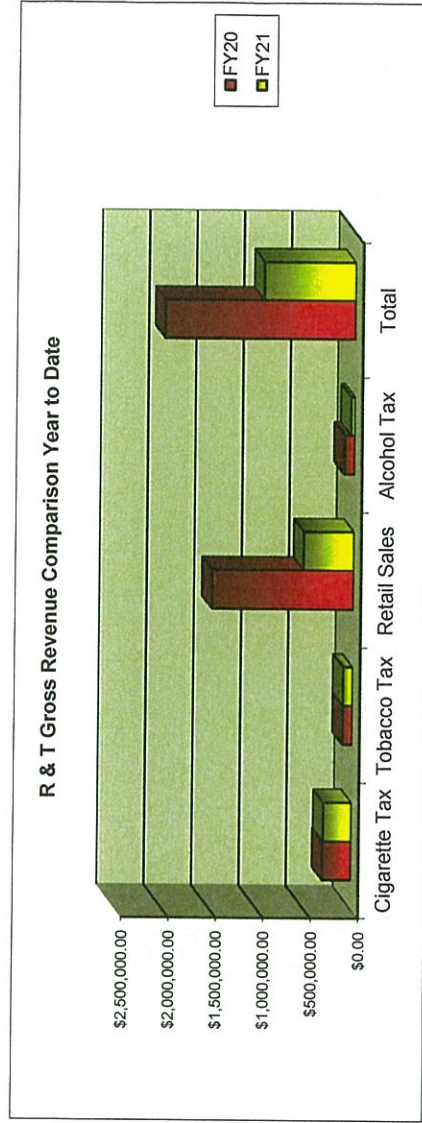
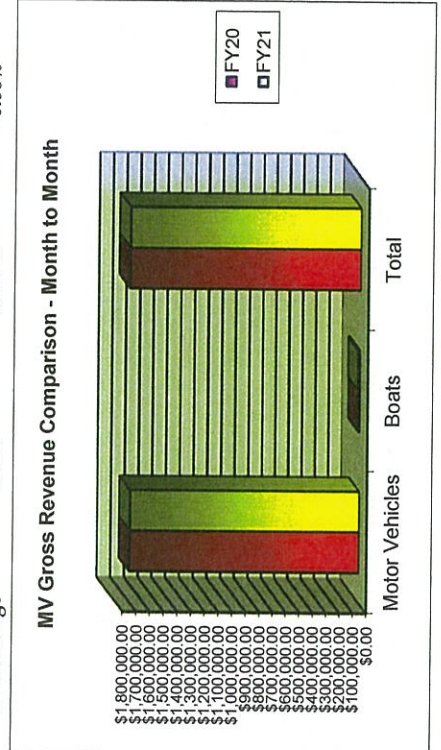


CHEROKEE NATION TAX COMMISSION

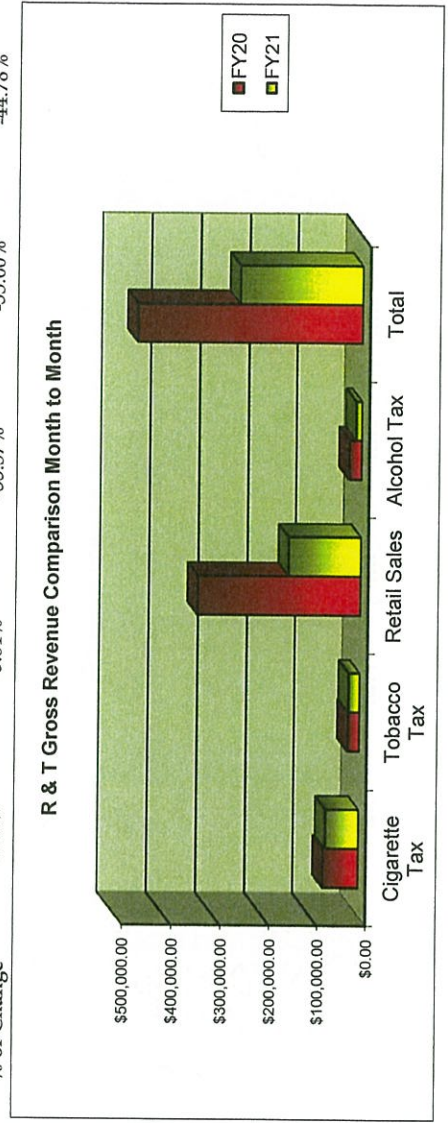
JANUARY, 2021							
	Cigarette Tax	Tobacco Tax	Retail Sales	Alcohol Tax	Total		
FY20	\$305,114.16	\$100,593.77	\$1,494,616.31	\$109,124.34	\$2,009,448.58		
FY21	\$297,646.48	\$100,349.38	\$528,538.61	\$39,797.84	\$966,332.31		
% of Change	-2.45%	-0.24%	-64.64%	-63.53%	-51.91%		



	Motor Vehicles	Boats	Total
FY20	\$1,696,247.11	\$10,870.55	\$1,707,117.66
FY21	\$1,693,589.44	\$12,551.81	\$1,706,141.25
% of Change	-0.16%	15.47%	-0.06%



	Cigarette Tax	Tobacco Tax	Retail Sales	Alcohol Tax	Total
FY20	\$74,091.92	\$24,719.95	\$337,017.07	\$26,343.67	\$462,172.61
FY21	\$69,145.76	\$23,282.74	\$150,410.32	\$12,381.70	\$255,220.52
% of Change	-6.68%	-5.81%	-55.37%	-53.00%	-44.78%





CHEROKEE NATION ELECTION COMMISSION

Ph: 918-458-5899 | TF: 800.353.2895 | F: 918.458.6101

MARCH 2021 RULES REPORT

Marcus Fears Administrator
marcus-fears@cherokee.org

MARCH 2021

I. Budget Highlights

a.) FY21 is on target.

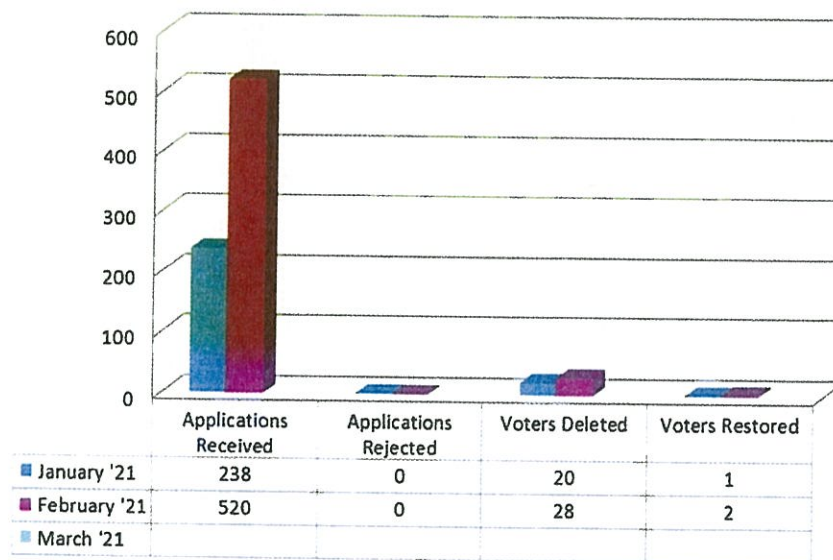
II. Program Highlights

a.) **Voter Processing:** As of 03/03/2021

74,127 Total Registered Voters; **42,222** In-District; **31,905** At-Large

520 Total Applications – **196** Voter Registrations, **324** Absentee Requests

Voter Registration Statistics



b.) **Statistical Report:**

*Detailed Data by District and Precinct is attached.

III. Accomplishments

a.) **Election Preparation:**

- 38 Candidates Filed for 9 open Council seats
- The Election Commission Website now has a banner across all sections of its website with the Voter Registration and Absentee Ballot Request Deadlines with links to both forms. <https://election.cherokee.org/>



CHEROKEE NATION ELECTION COMMISSION

Ph: 918-458-5899 | TF: 800.353.2895 | F: 918.458.6101

MARCH 2021 RULES REPORT

Marcus Fears Administrator
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- The Election Commission Website also has a new section labelled "Election Information." Here you can find the Council seats up for the 2021 General Election, 2021 Candidates, as well as download forms such as a Voter Registration Form, Absentee Ballot Request, the Election Calendar, and the current election law etc.

b.) **Deceased/Relinquished Status:**

The Election Commission Staff are continuing to review each voter's file to ensure our computer database has all documents scanned into the system that are in a voter's file.

The Election Commission has stayed current with monthly Tribal Registration Deceased and Relinquished citizen listings.

IV. Future Plans and Initiatives

a.) **Important Dates to remember:**

- i. March 31st – Voter Registration Deadline
- ii. April 16th – Absentee Ballot Request Deadline
- iii. May 29, June 1, 2, 3 – In-Person Absentee Voting (Early Walk-In)
- iv. June 5th – General Election

- b.) For all other events and deadlines, see the 2021 Election Timeline Calendar on our website, <https://election.cherokee.org/election-information/2021-general-election/>
- c.) We are currently working through procedures that follow the suggested CDC guidelines to keep our precinct official trainings, early voting and polling locations safe and sanitary for our precinct workers and voters.
- d.) Continue to actively update and correct voter's addresses in the Election Commission database.
- e.) The Election Commission is always willing to answer any of the Council's questions. If at any time you have a question for our office, please feel free to email me or call the office. My email and our number are listed at the top of this report.

Chronicle- Voter Registration by District and Precinct

3/3/2021 8:49 AM

District	Precinct	Voters
Dist No. 1 Hulbert	Hulbert	1,234
	Okay	299
	Tahlequah (1)	1,548
	Total for District	3,081
Dist No. 2 Tahlequah	Briggs	233
	Lowrey	246
	Tahlequah (2)	2,427
	Total for District	2,906
Dist No. 3 Tenkiller	Keys	949
	Tahlequah (3)	1,800
	Total for District	2,749
Dist No. 4 Three Rivers	Ft. Gibson	1,075
	Muskogee	545
	Warner	733
	Total for District	2,353
Dist No. 5 Redbird	Gore	332
	Sallisaw (5)	615
	Vian	1,149
	Total for District	2,096
Dist No. 6 Sequoyah	Belfonte	120
	Marble City	173
	Muldrow	1,652
	Sallisaw (6)	1,652
	Total for District	3,597
Dist No. 7 Flint	Cave Springs	280
	Chewey	84
	Stilwell (7)	2,550
	Westville (7)	707
	Total for District	3,621
Dist No. 8 Goingsnake	Bell	270
	Stilwell (8)	1,090
	Westville (8)	485
	Total for District	1,845
Dist No. 9 Saline	Jay (9)	678
	Kansas	1,307

Chronicle- Voter Registration by District and Precinct

3/3/2021 8:49 AM

<u>District</u>	<u>Precinct</u>	<u>Voters</u>
Dist No. 9 Saline	Kenwood	129
	Salina (9)	542
Total for District		2,656
Dist No. 10 Delaware	Afton	612
	Grove	728
	Jay (10)	810
	Pryor (10)	550
	Salina (10)	200
	Spavinaw	167
Total for District		3,067
Dist No. 11 Cooweescoowee - North	S. Coffeyville	468
	Vinita	1,788
	Welch	135
Total for District		2,391
Dist No. 12 Cooweescoowee - West	Bartlesville	1,666
	Nowata	713
	Skiatook	132
Total for District		2,511
Dist No. 13 Gadusi	Catoosa	344
	Collinsville	962
	Tulsa	1,833
Total for District		3,139
Dist No. 14 Cooweescoowee - Central	Chelsea	565
	Claremore (14)	2,536
	Oologah	439
Total for District		3,540
Dist No. 15 Cooweescoowee - South	Claremore (15)	854
	Locust Grove	882
	Pryor (15)	879
	Salina (15)	55
Total for District		2,670
At Large	At Large	31,905
Total for District		31,905
Grand Total		74,127

RULES COMMITTEE REPORT
CHEROKEE NATION GAMING COMMISSION
MARCH 2021 REPORT

Submitted on March 8, 2021 By:

Janice Walters Purcell

Executive Director, Cherokee Nation Gaming Commission

The Cherokee Nation Gaming Commission issued twenty-one (21) permits, thirty-three (33) suitability determinations, twenty-nine (29) license orders, and two hundred and thirteen (213) renewals at the February 12, 2021 Commission Meeting for March 2021 for approval. (Employee Licensing)

The Cherokee Nation Gaming Commission also issued vendor licenses for with fifteen (27) individuals, also fourteen(14) company renewals and fifty-four (54) individual vendor renewals for February 2021. (Vendor and Vendor Representative Licensing)

The Cherokee Nation Gaming Commission Licensing Department also presented for Commission approval (3) new and updated license classifications for CNE. The Gaming Commission approved the license classifications.

- Sr. Director Compliance PMO
- Sr. Director Cage Operations PMO
- Sr. Director Strategy and Business Development PMO

The Gaming Commission approved the License Regulation for publication in accordance with the Administrative Procedure Act (APA) and after publication and comment time period expired, the License Regulation is now effective by operation of law. (Attached). Cherokee Nation Gaming Commission approved thirty (30) new electronic game themes:

- 3 Konami
- 2 IGT
- 1 Ainsworth
- 4 Scientific Games
- 2 Novamatic
- 18 AGS

These games are submitted for approval after a comprehensive review by the Cherokee Nation Gaming Commission Compliance Department.



CWYA DBR JƏNGŁŁY DɦƏQbħ
**CHEROKEE NATION GAMING COMMISSION RULES AND
REGULATIONS**

CHAPTER:	Licensing	CHAPTER #:	V
SUBJECT:	Individual Licensing Process and Standards	SECTION – SUBSECTION:	B 1
EFFECTIVE DATE:	1-16-2021	SUPERSEDES MATERIAL DATED:	05/01/2013
APPROVED BY:		DATE:	

Purpose

The purpose of this Section is to implement all necessary requirements pursuant to Federal, State and Tribal law relating to conducting background investigations and setting suitability standards for the granting and issuance of individual gaming licenses.

I. Scope of Regulation

This section applies to licensing for Gaming Employees at gaming operations under the jurisdiction of the Cherokee Nation. Cherokee Nation Gaming Commission (CNGC) will license Gaming Employees pursuant to the requirements of the Indian Gaming Regulatory Act (IGRA), applicable regulations promulgated by the National Indian Gaming Commission (NIGC), Cherokee Nation Code Annotated (Cherokee Gaming Ordinance) and the Cherokee Nation -State of Oklahoma Compact (Compact).

II. Definitions

- A. **Conditional License:** Gaming License with restrictions and/or conditions based on background investigation findings or other material information directly related to the suitability of a gaming applicant or Gaming Licensee as formally determined by CNGC gaming commissioners.
- B. **Covered Games:** Class III Games specifically set forth as such in the Compact and any other game, if the operation of such game by Cherokee Nation would require a compact and if such game has been: (i) approved by the Oklahoma Horse Racing Commission for use by an organizational licensee, (ii) approved by Oklahoma State Legislation for use by any person or entity, or (iii) approved by amendment of the Compact.

C. Covered Game Employee: Any individual employed by a gaming enterprise or a third-party providing management services to the gaming enterprise whose responsibilities include the rendering of services with respect to the operation, maintenance or management of covered games under the Compact. The term "covered game employee" includes, but is not limited to the following: managers and assistant managers; accounting personnel; surveillance and security personnel; gaming cashiers, supervisors, and floor personnel; cage personnel, and any other person whose employment duties require or authorize access to areas of the facility related to the conduct of gaming or the maintenance or storage of game components. This shall not include upper level tribal employees of Cherokee Nation or Cherokee Nation's elected officials so long as such individuals are not directly involved in the operation, maintenance, or management of covered game components. The gaming enterprise may, at its discretion, include other persons employed at or in connection with its gaming operations within this definition of Covered Game Employee.

Note: Covered Game Employees may fall under the definition(s) of Key Employee or Primary Management Official. In that case, the requirements of this regulation that apply to Key Employees and Primary Management Officials govern those employees.

- D. Gaming Areas: Non-Public areas within a gaming facility directly related to the conduct of gaming or the maintenance or storage of gaming components. This definition does not include non-gaming areas located in a gaming facility nor does it include service areas for non-gaming employees.
- E. Gaming Employee(s): Individuals employed on a conditional, permanent or temporary basis, as a Covered Game Employee, Key Employee, or Primary Management Official (PMO).
- F. Gaming License: License issued to gaming facility employees, temporary or permanent, who can be classified as Covered Game Employees, Key Employees, and/or Primary Management Officials.
- G. Key Employee(s): Gaming Facility employees who performs one or more of the following functions:
1. Bingo caller;
 2. Count room supervisor;
 3. Chief of Security;
 4. Custodian of gaming supplies or cash;
 5. Floor Manager;
 6. Pit Boss;
 7. Dealer;
 8. Croupier;
 9. Approver of Credit; or
 10. Custodian of gambling devices including persons with access to cash accounting records within such devices;

- (b) if not otherwise included, any other Gaming Employee whose total cash compensation is in excess of \$50,000 per year; or,
- (c) if not otherwise included the four (4) most highly compensated persons in the gaming operation.
- (d) Any other person designated by the Cherokee Nation as a Key Employee.

H. Primary Management Official:

- 1. The person having management responsibility for a management contract;
- 2. Any person who has authority:
 - a. To hire and fire Gaming Employees; or
 - b. To set up working policy for the gaming operation; or
 - c. The Chief Financial Officer or other person who has financial management responsibility.
 - d. Any other person designated by the Cherokee Nation as a Primary Management Official.
- I. SCA (State Compliance Agency): Oklahoma state compliance agency that has the authority to carry out the state's oversight responsibilities under the Compact, which shall be the Office of State Finance or its successor agency.
- J. Temporary Gaming Permit: Permit issued to an applicant(s) for a Gaming License after an initial background check in order for the applicant to begin employment as a Gaming Employee as his/her Gaming Application is processed by CNGC.

III. Gaming License Requirement

- A. No person shall be employed in a Covered Employee, Key, or PMO position by a gaming operation licensed by CNGC or allowed access to Gaming Areas without a Temporary Permit and/or a Gaming License issued by CNGC pursuant to the requirements of this Regulation.
- B. All licenses for Gaming Commissioners and CNGC employees shall be issued according to the same standards and terms as Primary Management Officials.
- C. Gaming Licenses shall be issued for periods no more than two (2) years, after which they may be renewed only following a review and update of the information upon which the Gaming License was based; provided that CNGC may extend the period pending the outcome of any investigation being conducted in connection with the renewal of such license.
- D. Gaming Licenses issued by CNGC shall be worn in plain view and will include a photograph of the employee, his or her first name, identification number unique to the license issued to the employee, a tribal seal or signature verifying official issuance of the

card, and a date of expiration which shall not extend beyond such employee's license expiration date.

- E. A Gaming License issued pursuant to this regulation is valid only for the person applying. It is not assignable or otherwise transferable to any other person with the express written approval of CNGC.

F. Temporary Gaming Permits

1. A Temporary Gaming Permit may be issued to gaming applicants after the following requirements are met:
 - a. A preliminary background investigation is performed on the behalf of the gaming operation and/or CNGC and the results are provided to CNGC Licensing and the results meet the acceptable requirement to obtain a gaming license and do not include felonies related to theft or any crimes involving casino gaming;
 - b. A CNGC Gaming License Application completed by the applicant and all required documents have been received by CNGC Licensing;
 - c. Applications for Key Employee and/or Primary Management Official positions must also include the applicant's fingerprints for background investigation purposes.
2. The Temporary Gaming Permit shall be issued and remain valid until the applicant is either granted or denied a Gaming License or within 90 ninety (ninety90) days from employment, whichever time period is shorter. If an applicant does not have a Gaming License after ninety (90) days, the gaming operation can't continue the employment of the applicant.
3. The Temporary Gaming Permit shall not create any property right on behalf of the applicant and may be withdrawn or suspended by CNGC with reasonable notice at least 48 hours' notice provided to the CNE Human Resources and the gaming operation where the applicant is employed.
4. The withdrawal or suspension of the Temporary Gaming Permit shall not constitute a denial of or other action on the applicant's Gaming License Application.
5. Upon obtaining the required initial information from a prospective Covered Gaming Employee, CNGC Licensing shall forward a copy of such information to the SCA, along with any determinations made with respect to the issuance of a Temporary Gaming Permit or a Gaming License.

G. Gaming License Conditions

1. CNGC will use the following standards in issuing, or continuing to issue, a Gaming License:
 - a. An applicant must be at least eighteen years old;
 - b. CNGC will deny a Gaming License to any applicant who has knowingly and willfully provided false and material statements and information on his or her employment or Gaming License Application;
 - c. CNGC may not consider an individual applicant that has previously been found to have their gaming license denied, suspended, or revoked by any other jurisdiction's appropriate body for regulating gaming if the denial, suspension, or revocation was based on criminal activity. If the denial, suspension, or revocation was for another reason, CNGC may request additional information from the applicant to make an informed suitability determination; and
 - d. CNGC will not consider an individual applicant for a Gaming License who has been convicted of a felony or an offense related to any Covered Games or other gaming activity; and
 - e. CNGC will not consider an individual applicant for a Gaming License who is a person whose prior activities, criminal record, or reputation, habits, and associations pose a threat to the public interest or to the effective regulation and control of the conduct of gaming, or create or enhanced the dangers of unsuitable, unfair, or illegal practices, methods and activities in the conduct of gaming or the carrying on of the business and financial arrangements incidental thereto.

H. Gaming License Application

1. Prior to a gaming operation's New Employee Orientation (NEO), CNGC Licensing or the gaming operation shall provide a complete Gaming License Application to an applicant through electronic means.
2. CNGC Licensing will work with Cherokee Nation Entertainment (CNE) Human Resources (HR) to determine the best process for Gaming Employees to fill out Gaming License Applications and for fingerprinting.
3. The Gaming License Application is an electronic form and must require only the information required in this regulation.
4. Required Contents of the Gaming License Application:
 - a. Privacy Act Notice. The following notice shall be in all CNGC Gaming License Applications:

"In compliance with the Privacy Act of 1974, the following information is provided: Solicitation of the information on this form is authorized by 25 U.S.C. 2701 *et seq.* The purpose of the requested information is to determine the eligibility of individuals to be granted a gaming license. The information will be used by the Tribal gaming regulatory authorities and by the National Indian Gaming Commission (NIGC) members and staff who have need for the information in the performance of their official duties. The information may be disclosed by the Tribe or the NIGC to appropriate Federal, Tribal, State, local or foreign law enforcement and regulatory agencies when relevant to civil, criminal or regulatory investigations or prosecutions or when pursuant to a requirement by a tribe or the NIGC in connection with the issuance, denial, or revocation of a gaming license or investigations of activities while associated with a tribe or a gaming operation. Failure to consent to the disclosures indicated in this notice will result in a tribe's being unable to license you for a primary management official or key employee position.

The disclosure of your Social Security Number (SSN) is voluntary. However, failure to supply a SSN may result in errors in processing your application."

- b. Notice Regarding False Statements. The following notice shall be included in all CNGC Gaming License Applications:

"A false statement on any part of your license application may be grounds for denying a license or the suspension or revocation of a license. Also, you may be punished by fine or imprisonment (U.S. Code, Title 18, and Section 1001)."

- c. Authorization for Release of Documents – an individual applicant shall be required to complete and execute a release form authorizing the CNGC to obtain personal files, records, and other documents or information pertinent to the background investigation.
- 5. Along with the information contained in Section H(4) above, the applicant must also provide as part of the Gaming License Application:
 - a. The original, completed and signed gaming operation application for employment; and
 - b. The submission of any and all relevant documentation submitted to CNGC must be furnished by the applicant in connection with the CNGC Gaming License or gaming operation application.

IV. Eligibility Determination

- A. Before a Gaming License is issued to a Primary Management Official or Key Employee, CNGC shall make a finding concerning the eligibility of that person by reviewing the applicant's prior activities, criminal record, if any, and reputation, habits and associations. A background investigation will be run for all Covered Game Employees.
- B. CNGC shall make a finding as to the suitability for an individual permit and/or license within sixty (60) days of the date of the employee begins work whether the individual:
 - 1. Poses a threat to the public interest or to the effective regulation of gaming;
 - 2. Creates or enhances the danger of unsuitable, unfair or illegal practices, methods and/or activities in the conduct of gaming; or,
 - 3. Fails to meet the standards set forth in this document as a part of the conditions of issuance or the background investigation.
- C. For Key Employees and Primary Management Officials, copies of eligibility determinations shall be included with the Notice of Results that must be submitted to the NIGC.

V. Background Investigation Process

- A. Background Investigation. CNGC Licensing shall perform a background investigation for each Gaming License Applicant. The investigation must be sufficient to allow CNGC to make an eligibility determination under Section IV of this regulation.
 - 1. CNGC Licensing will request the following from all Gaming License applicants:
 - a. Full name, other names used (oral or written), social security number(s), birth date, place of birth, citizenship, gender, all languages (spoken or written);
 - b. Currently and for the previous five years; Business and employment positions held, ownership interests in those businesses;
 - c. Currently and for the previous five years; Business and residence addresses;
 - d. Currently and for the previous five years; Driver's license numbers;
 - e. The names and current addresses of at least three personal references, including one personal reference who was acquainted with the applicant during each of the period of residence listed in paragraph c above.
 - f. Current business and residence telephone numbers;

- g. A description of any existing and previous business relationships with Indian tribes, including ownership interests in those businesses;
 - h. A description of any existing and previous business relationships with the gaming industry generally, including ownership interests in those businesses;
 - i. The name and address of any licensing and regulatory agency with which the person has filed an application for a license or permit related to gaming, whether or not such license or permit was granted and whether or not discipline was imposed;
 - j. For each felony in which there is an ongoing persecution or a conviction, the charge, the name and address of the court involved, and the date of disposition if any;
 - k. For each misdemeanor conviction or ongoing misdemeanor prosecution (excluding minor traffic violations) within 10 years of the date of the application, the name and address of the court involved and the date of the disposition;
 - l. For each criminal charge (excluding minor traffic charges) whether or not there is a conviction, if such criminal charge is within 10 years of the date of the application and is not otherwise listed pursuant to paragraph (1)(j) or (1)(k) of this section, the criminal charge, the name and address of the court involved and the date and disposition;
 - m. The name and address of any licensing or regulatory agency with which the person has filed an application for an occupational license or permit, whether or not such license or permit was granted;
 - n. A photograph;
 - o. Any other information Cherokee Nation deems relevant;
 - p. Military service history; and
 - q. Fingerprints consistent with (3) of this section.
2. CNGC Licensing may contact all appropriate federal, tribal, state, county, and city agencies and may utilize investigative agencies to obtain driver's license history, criminal history, professional or occupational license history or status, or any other relevant information to determine an applicant's suitability.
 3. CNGC Licensing management will develop an internal checklist for the performance of background investigations pursuant to the requirements and restrictions of this regulation which must be approved by the CNGC Executive

Director prior to implementation.

4. Background investigations for Key Employees and PMO's shall include a check of criminal history records information maintained by the Federal Bureau of Investigations (FBI). Only those applicants that can be classified as a Key Employee or a Primary Management official can be run through the FBI process.
 - a. Applicants shall be fingerprinted by authorized personnel or a recognized law enforcement agency using the NIGC fingerprints cards bearing the NIGC's ORI number for the Nation or by utilizing the Federal Bureau of Investigation (FBI) Electronic Fingerprint process controlled and maintained by the CNGC pursuant to the Memorandum of Understanding by and between the CNGC and the NIGC, in accordance with applicable NIGC and FBI guidelines.
 - b. CNGC shall follow all requirements and abide by all applicable guidelines relating to the collection, submission, receipt, distribution, and maintenance of FBI Criminal History Record Information (CHRI) as published and/or amended by the National Indian Gaming Commission and the FBI. CHRI shall be accessible only to authorized personnel for the determination of license eligibility and shall be maintained in accordance with CNGC Regulation Chapter V-E -- Fingerprints and Criminal History Record Information.
- B. CNGC Licensing shall ensure that all records and information obtained as a result of the background investigation are confidential and not disclosed to persons who are not directly involved in the licensing process.
- C. CNGC employees shall keep confidential the identity of each person interviewed in the course of the investigation.
- D. Under no circumstances shall information obtained during the background investigation be disclosed to members of management, unauthorized CNGC personnel, CNE Human Resources personnel, or others employed by the gaming operation without a signed and notarized release from the individual.
- E. All Gaming License applicant records and information will be designated confidential information and secured by CNGC Licensing at CNGC offices through physical and/or logical means.
- F. The restrictions on the applicant records do not apply to requests for such information or records from any Tribal, Federal, or State law enforcement or regulatory agency, or for the use of such information or records by CNGC and CNGC staff in the performance of their official duties.
- G. If, in the course of a background investigation, CNGC Licensing discovers that the applicant has a Notice of Results on file with the NIGC from a prior investigation and CNGC Licensing has access to the earlier investigative materials (either through the

NIGC or the previous tribal investigative body), CNGC Licensing may rely on those materials and update the investigation and investigative report under section V(G) of these regulations.

H. Background Investigative Report

1. When a gaming facility employs a Primary Management Official or a Key Employee, the tribe shall maintain a complete application file containing the information listed in section V(A)(1)(a-p) of this Regulation.
2. Before issuing a license to a Primary Management Official or Key Employee, CNGC Licensing shall create an investigative report on each background investigation which shall include all of the following:
 - a. Steps taken in conducting a background investigation;
 - b. Results obtained;
 - c. Conclusions reached; and
 - d. The basis for the conclusions.

I. NIGC Submission and Acceptance of Suitability Determination

1. If CNGC finds an applicant for a Key Employee or a PMO position suitable, the CNGC shall forward the Notice of Results and Suitability Determination to the NIGC no later than sixty (60) days after the applicant begins work. The Notice of Results shall contain:
 - a. Applicant's name, date of birth, and social security number;
 - b. Date on which applicant began or will begin work as a Key Employee or Primary Management Official;
 - c. A summary of the information presented in the investigative report, which shall at a minimum include a listing of:
 - i. Licenses that have previously been denied;
 - ii. Gaming licenses that have been revoked, even if subsequently reinstated;
 - iii. Every known criminal charge brought against the applicant within the last 10 years of the date of application; and
 - iv. Every felony of which the applicant has been convicted or any ongoing prosecution; and

- v. CNGC Licensing's recommendation on suitability determination based on Section IV of these regulations.
3. All notices under this section shall be provided to the NIGC through the appropriate Oklahoma regional NIGC office.
4. The NIGC shall have thirty (30) business days to review the suitability determination and to request additional information or make any objections to the licensure. If NIGC has no objection to issuance of a license, it shall also notify CNGC within thirty (30) business days of receiving the Notice of Results and Suitability determination.
5. If a Gaming License is not issued to an applicant for a Key Employee or Primary Management Official position, CNGC Licensing:
 - a. Shall notify the NIGC; and
 - b. Shall forward copies of the eligibility determination and notice of results to the NIGC or inclusion in the Indian Gaming Individuals Record System.

J. NIGC Objection to CNGC Licensure

1. If an objection is raised within the NIGC's 30-day review period with respect to the licensure of a Key Employee or Primary Management Official, NIGC will notify CNGC and CNGC shall reconsider the application, taking into account the objections itemized by the NIGC.
2. If, after the issuance of a Gaming License, NIGC receives reliable information indicating that a Key Employee or a Primary Management Official is not eligible for employment under 25 C.F.R. §556.5, the NIGC shall notify the CNGC of the information.
3. If CNGC Licensing has issued a Gaming License before receiving the NIGC's statement of objections, notice and hearing shall be provided to the licensee as provided by §558.4.
4. Upon receipt of the objection information from the NIGC, CNGC will suspend the Gaming License and shall provide the Licensee with written notice of suspension and proposed revocation.
5. CNGC Licensing shall notify the Licensee of a time and a place for a hearing on the proposed revocation of the Gaming License.
6. A right to a hearing under this part shall vest only upon receipt of a Gaming License granted under the Gaming Ordinance.

7. After a revocation hearing, CNGC shall decide to revoke or to reinstate a Gaming License. CNGC shall notify the Commission of its decision within 45 days of receiving notification from the Commission pursuant to paragraph (I)(2) of this section.
8. CNGC shall make the final decision whether to issue a license to such applicant.

K. SCA submissions and objections

1. The SCA may conduct its own background investigation of the gaming applicant at SCA expense, and shall notify CNGC of such investigation within a reasonable time from initiation of the investigation, and shall provide a written report to the CNGC of the outcome of such investigation within a reasonable time from the receipt of a request from the CNGC for such information. CNGC inspector field notes and the SCA inspector shall be available upon reasonable notice for CNGC review and inquiry.
2. The SCA may object to the employment of any individual by the gaming facility upon the criteria set forth in section III(F)(1)(d). Such objection will be in writing setting forth the basis of the objection. The SCA's inspector's work papers, notes, and exhibits which formed the SCA conclusion shall be available upon reasonable notice for CNGC review.
3. If CNGC decides to deny, suspend, or revoke a license based on an objection by the SCA, then CNGC will notify CNE Human Resources and suspend the Gaming License and shall provide the Licensee with written notice of suspension and proposed revocation.
4. CNGC Licensing shall notify the Gaming Licensee of a time and a place and reason for a hearing on the proposed revocation of the Gaming License. *See VI(B) of this document.*
5. After a revocation hearing, CNGC shall decide to revoke or to reinstate a Gaming License.
6. The gaming facility shall have discretion to employ an individual over the objection of the SCA.

VI. Preliminary Determination & License Suspension

- A. Whenever, upon preliminary factual finding, CNGC determines that any person has failed to comply with the Cherokee Gaming Ordinance, or any regulations promulgated thereunder, CNGC shall make a certification of findings with a copy thereof to the Licensee(s) and/or subjects of the determination.

- B. CNGC Licensing shall provide at least (5) days notice to the Licensee and the employing gaming facility of a time and place for a hearing on the proposed revocation of a license or permit, to be held within 30 days of a preliminary determination.
- C. All hearings concerning license decisions will be held in conformance with §§60-68 of the Cherokee Gaming Ordinance.

VII. Ongoing Gaming Licensing

A. Transfers

- 1. If an employee is transitioning from a non-licensed position to one that requires a Gaming License, the Gaming Applicant will follow the rules in this regulation for the application for a Gaming License.
- 2. Notification for all transfers may be provided to CNGC Licensing by CNE Human Resources.
- 3. Prior to the employee transferring from a non-licensed position to a position requiring a Gaming License an application for a Gaming License must be submitted with all the requirements listed in sections III(G) and V(A) of this regulation, if CNGC licensing does not already have this information on file.

CNGC Licensing will run the same background investigation as is required for initial applicants for Gaming Applicants who are moving from an unlicensed position to one requiring a Gaming License. CNGC Licensing will perform a supplemental background investigation for Gaming Applicants moving from one licensed position to a higher licensed position.

B. Renewals

- 1. CNGC will provide renewals for Gaming Licenses at least one (one) month prior to the license's expiration date.
- 2. CNE Licensing may perform additional and ongoing updating of the Background Investigative Report created during the initial gaming application period for a Licensee.
- 3. As a condition of a CNGC Gaming License, Licensees have an ongoing responsibility to inform CNGC Licensing of the following:
 - a. Any changes to contact information or mailing address;

- b. Any arrests or criminal charges, excluding minor traffic offenses, regardless of type within ten (10) calendar days of the occurrence; and
- c. Any change to the Licensees' legal name within ten (10) calendar days of the occurrence.
- d. If any information on the original application changes or becomes inaccurate in any way.

C. Rehire Application Standards

1. If an individual that voluntarily separates from employment, either temporary or permanent, with CNGC and/or the gaming operation and whose Gaming License has not expired applies for rehire, no action is needed to be taken by CNGC Licensing for the remaining licensure period. Upon rehire, the Gaming License may be reinstated by CNGC Licensing for the remainder of applicable period, if the licensee is rehired in the same license type. If any information has changed since the initial application, the Licensee will provide that information in accordance with VII.B.3 above.
2. If an individual that voluntarily separates from employment with CNGC and/or the gaming operation and whose Gaming License has expired applies for rehire within 6 months from the effective date of separation, the individual shall not be required to submit another gaming application for licensing, unless otherwise directed by the CNGC or returning in a different license type. The CNGC shall review the individual file and make a determination on the license status dependent on the time frames of the prior background investigation, license approval, and/or separation. The following shall apply in consideration of the status:
 - a. The individual shall submit an updated contact form;
 - b. If in the renewal process, the individual may be presented as a renewal;
 - c. If a Temporary Permit has been issued, the individual may continue with the renewal process; or,
 - d. If the individual has not received a gaming permit or license, then the determination shall be based on report time frames from the initial background investigation.
3. If an individual that voluntarily separates from employment with CNGC and/or the gaming operation and whose Gaming License has expired applies for rehire after 6 months from the effective date of separation, the individual must apply as a new applicant for a Gaming License.
4. An individual that involuntarily separates from employment with the gaming operation and is not subject to rehire may not be considered for gaming licensing by the CNGC.

D. Reapplication and Reconsideration of CNGC Gaming License Action

1. An individual who has had his/her Individual License Application denied or revoked by the CNGC and afforded a hearing for reconsideration cannot reapply for a gaming license for a period minimum of six (6) months from the date of denial or revocation.
2. An individual who has had his/her permit/license denied or revoked by the CNGC for violations of the CNGC substance abuse regulation and afforded a hearing for reconsideration cannot reapply for an individual license for a period eighteen (18) months from the date of revocation.

VIII. Gaming License Records

1. CNGC shall retain applications for licensing, eligibility determination, and investigative reports (if any) for a period of at least six (6) years from the date of termination of employment. After that time frame, the CNGC Licensing will utilize confidential destruction methods to purge license files as approved by the CNGC Commissioners.
2. The CNGC shall maintain a permanent archive record of all active and deactivated license files.
3. All CHRI will be destroyed in accordance with Chapter V-E – Fingerprints and Criminal History Record Information.

IX. Gaming License Fees

- A. Each licensee, or the gaming operation on behalf of the licensee, under the jurisdiction of CNGC shall pay directly to the Cherokee Nation fees as established and scheduled by CNGC.
- B. The Gaming Commission, by a vote of not less than a majority of its members, shall adopt the rate of the fees imposed on any employee licensing fee schedule on a bi-annual basis.¹

¹ Cherokee Gaming Ordinance §26(A)(1)(c)

HUMAN RESOURCES

February 2021

ALANA CASTEEL, INTERIM EXECUTIVE DIRECTOR
Extension 5243

As of February 26, 2021, the total number of Employees is 4143. Of those employees, 3420 are Cherokee and 259 are members of another Federally recognized tribe.

EMPLOYMENT

Processed	Monthly	YTD
Number of Employees Hired	31	63
% of Cherokees Hired	84	83
% of Indians Hired	0	3
% of All Others Hired	16	14
# of Applications Received	300	901
# of Interview Panels Sent	112	258

COMPENSATION

Processed	Monthly	YTD
# of Terminations	12	52
# of Voluntary Terminations	10	44
# of Involuntary Terminations	2	8

BENEFITS

Processed	Monthly	YTD
Educational Reimbursement Requests	3	42
401(k) Distributions	89	510
401(k) Loans	87	260
401(k) Hardship	0	17
FMLA	41	311
COBRA	61	465
Short Term Disability	17	124

EMPLOYEE RELATIONS & DEVELOPMENT

Orientations/Trainings Presented	Monthly	YTD
Trainings Presented	29	58



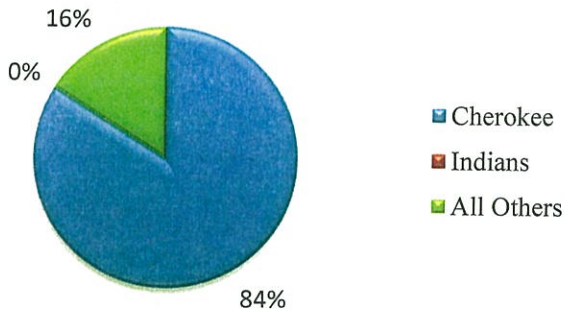
Human Resources

ONBOARDING/BACKGROUND/COMPENSATION/BENEFITS EMPLOYEE RELATIONS & DEVELOPMENT

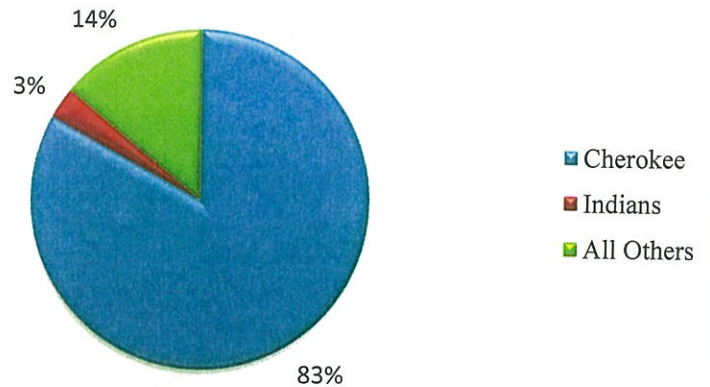
Monthly Report

February 2021

Monthly Number of Employees Hired: 31

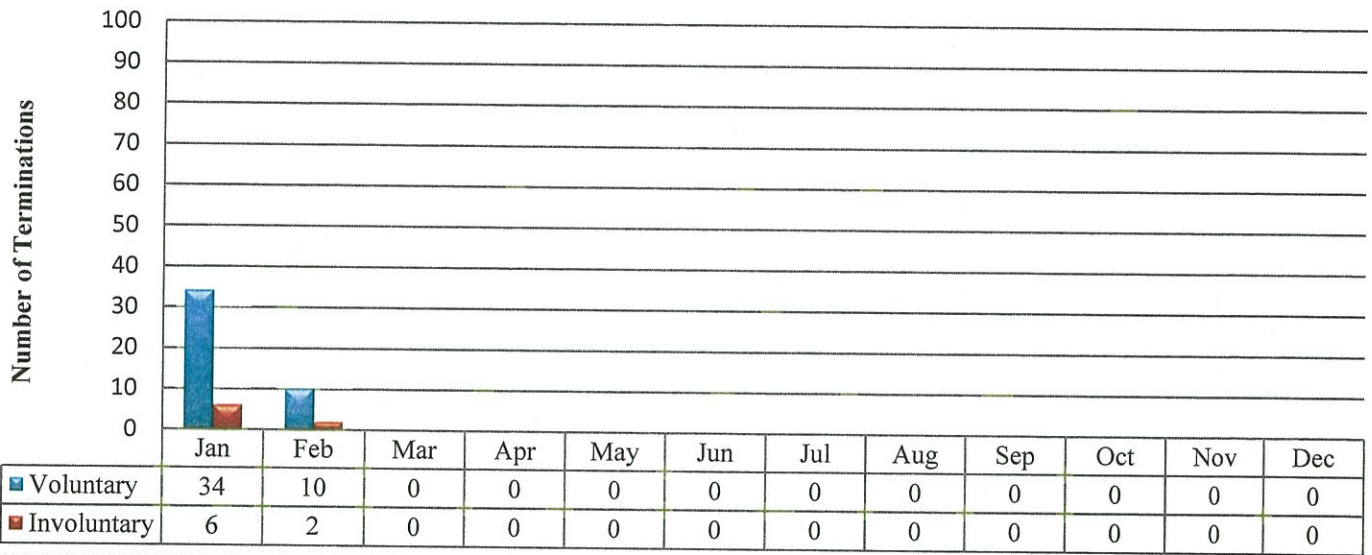


YTD Number of Employees Hired: 63

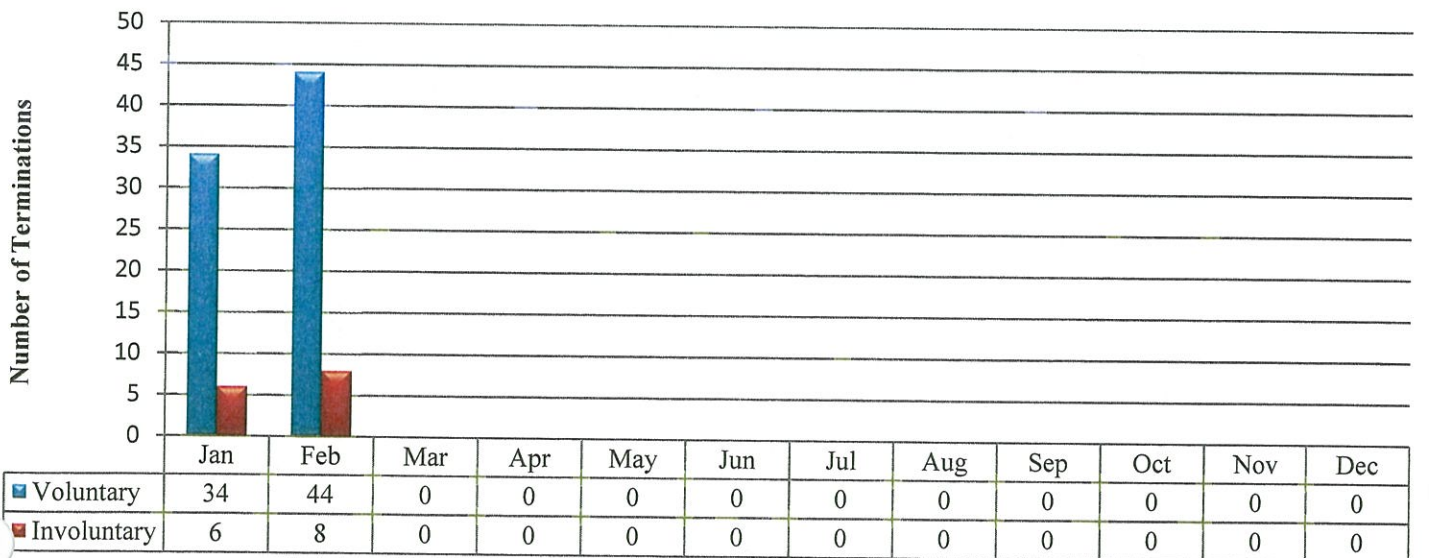




Monthly Terminations

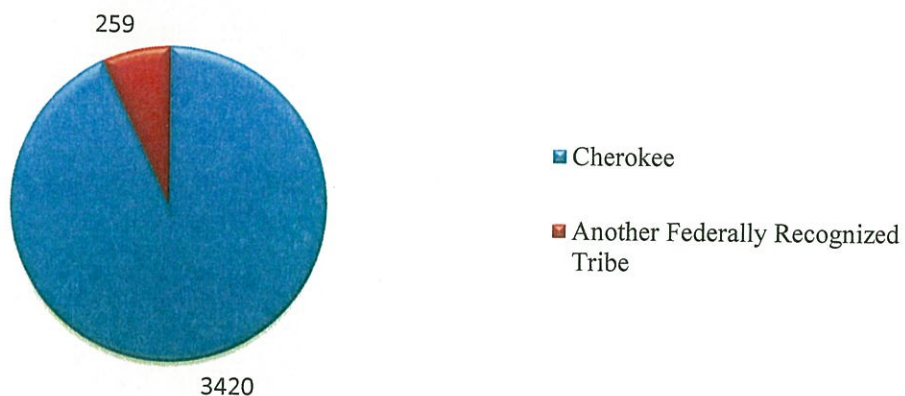


YTD Terminations



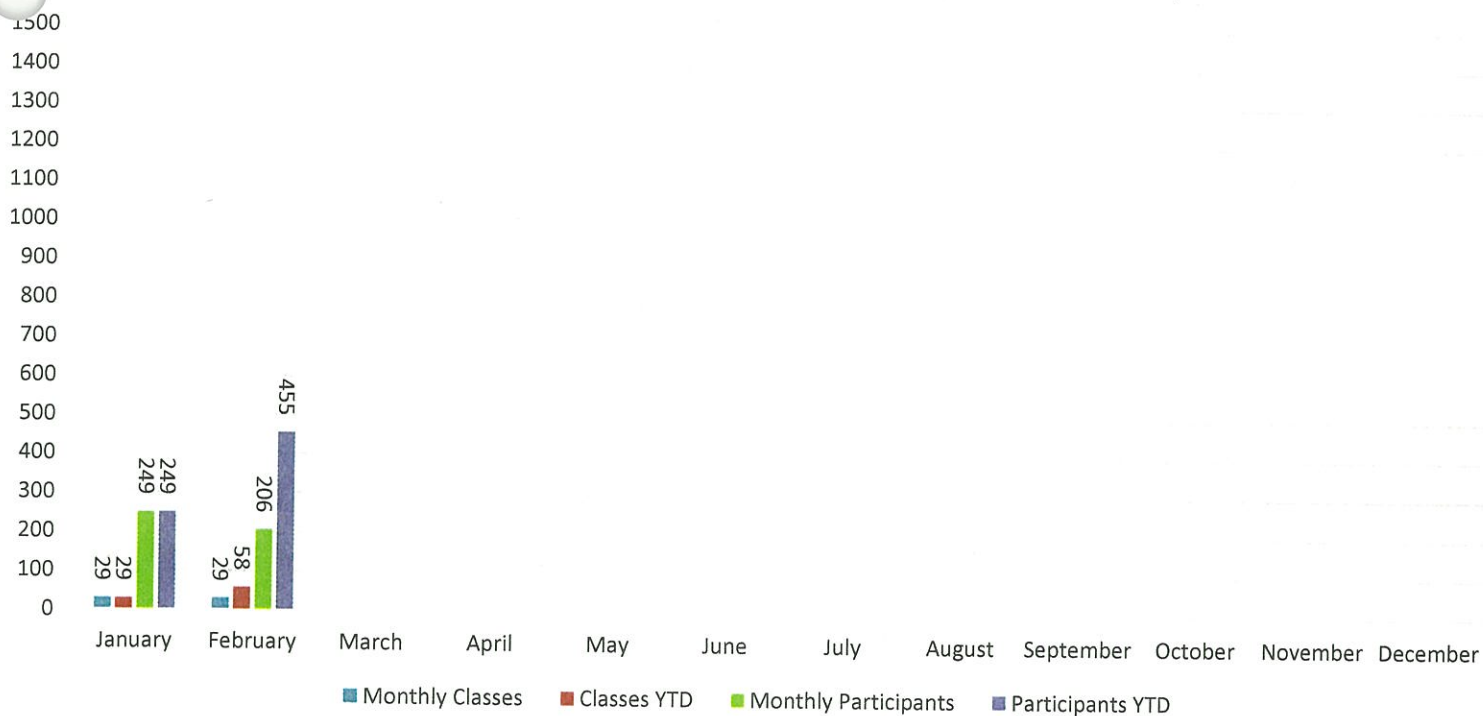


Cherokee Nation Employees: 4143



EMPLOYEE RELATIONS & DEVELOPMENT

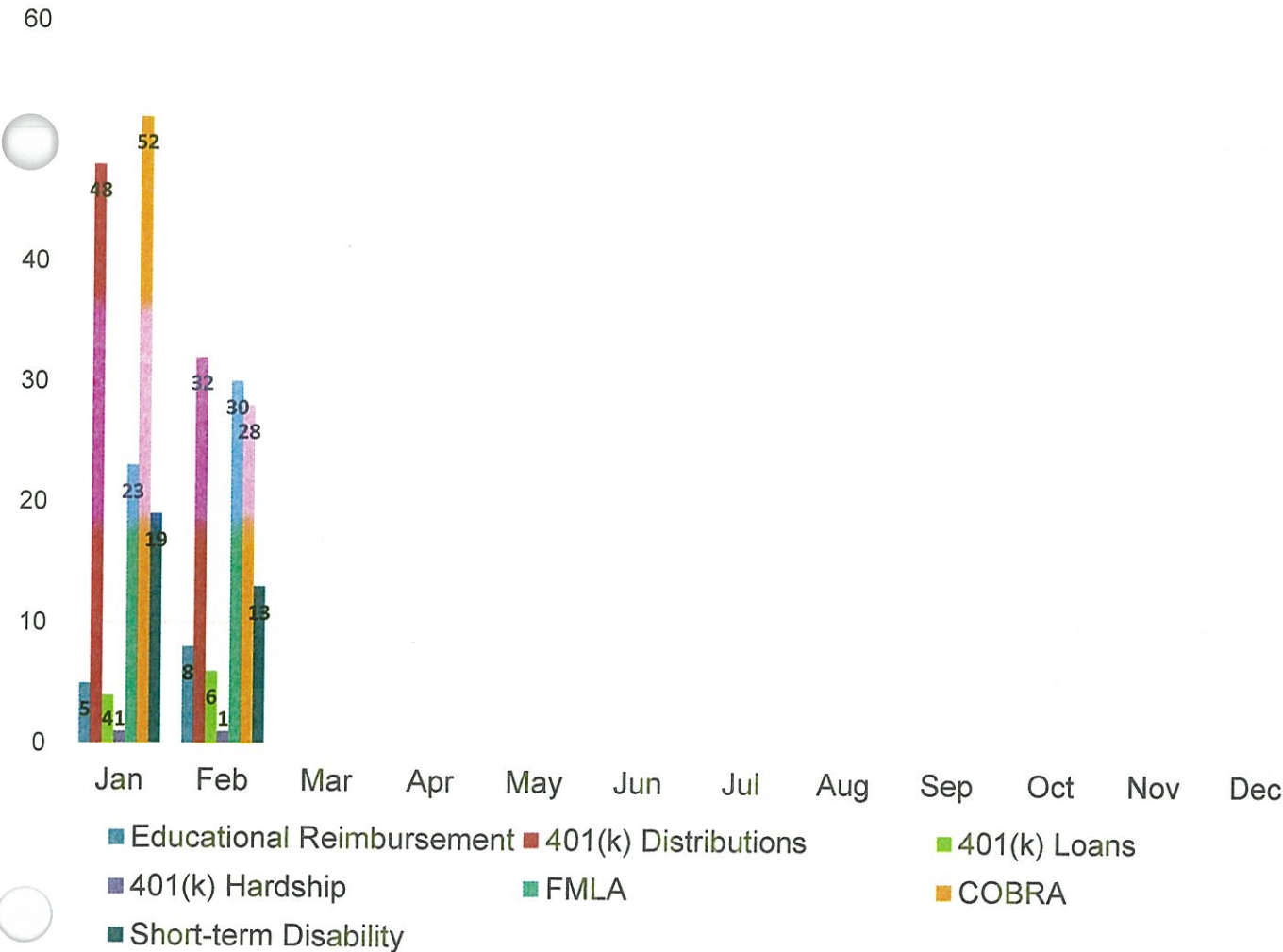
Summary of PassPort Training Classes & Participants - Monthly & YTD



BENEFITS



2021 MONTHLY REPORTS



CHEROKEE NATION TRIBAL COUNCIL RULES COMMITTEE REPORT

RISK MANAGEMENT February 2021

ALANA CASTEEL, INTERIM EXECUTIVE DIRECTOR
Extension 5243

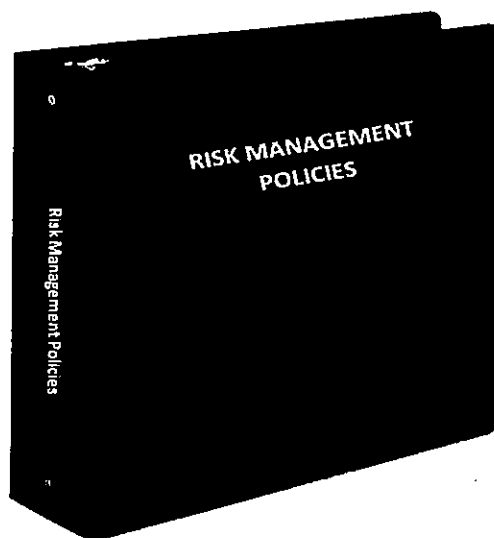
PROPERTY INSPECTIONS:

- Stilwell One Stop Shop
- Cares Act Evac. Plans
- Dahlonega Shop
- Dahlonega Warehouse
- Sanitary Landfill
- New Septic Tank Property – Hazard Inspection
- Noweta Community Building
- Nowata Daycare – Lease
- Catoosa Career Services
- Hastings Hospital – Flood Loss
- Env. Health – Flood Loss
- CNOHC – Flood Loss
- Old KATS – Flood Loss
- FRB – Flood Loss
- CN Home Health – Flood Loss
- No-we-ta Comm. Bldg. – Flood Loss
- Nowata Daycare – Flood Loss
- Bull Hollow Comm. – Flood Loss



SAFETY POLICIES DRAFTED for RM MANUAL:

- Fleet Safety
- PPE
- Forklift Safety
- Fall Protection
- Hearing Conservation
- Trenching and Excavation
- Heavy Equipment
- Electrical Safety
- Walking and Working Surfaces
- Accident Investigation
- Scaffolding Safety
- Fire Prevention
- Aerial Lifts
- Respiratory Protection
- Material Handling
- Lead Protection
- Department Safety Officer
- Boiler Safety Facility Inspections
- Fire Drills/Emergency Evacuation
- Ergonomics
- Hazard Communication
- First Aid
- Confined Space with Permit
- Ladder Safety
- Lock Out / Tag Out
- Evacuation Plan Policy
- Safety Training Policy
- Bloodborne Pathogen
- Machine Guarding
- Stairways and Walkways
- Fire Extinguisher Training Policy
- Asbestos Policy
- Occupational Safety
- Pesticide Handling



CONSTRUCTION SAFETY:

- Wilma P. Mankiller Clinic – Construction is ongoing
- Kansas Cares Act Building – Waiting for final occupancy
- Vinita Cares Act Building - Waiting for final occupancy
- Hulbert Cares Act Building - Waiting for final occupancy
- Stilwell Blackjack Property – Waiting for final occupancy
- Meat Processing Plant - Scheduled to be complete in April
- Belfonte Cares Act Building – Certificate of Occupancy Issued
- Jay Cares Act Building – Certificate of Occupancy Issued
- Muskogee Cares Act Building – Certificate of Occupancy Issued
- New Ga-Du-Gi Clinic – Certificate of Occupancy Issued
- OSU Medical School – Certificate of Occupancy Issued
- Pryor Cares Act Building – Certificate of Occupancy Issued
- Stilwell Old Wal-Mart – Certificate of Occupancy Issued
- Stilwell Cares Act Building - Certificate of Occupancy Issued

STATUS of CONSTRUCTION PROJECTS:

