

2020 1st Quarter Report (Oct. '19 – Dec '19)

For Boards, Committees, and Commissions (BCCs)

Approved by official entity action on: February 18, 2020

Submitted by: Mark A. Powless Sr., Chairman

OBC Liaison: Kirby Metoxen

OBC Liaison: Brandon Yellowbird-Stevens

ONEIDA GAMING COMMISSION

Purpose:

The Oneida Gaming Commission and its departments collectively promote and ensure the integrity, security, honesty and fairness of the regulation and administration of all Gaming activities within the jurisdiction of the Oneida Nation.

BCC Members

Mark A. Powless Sr.
Chairman
August 2023

Reynold "Tom" Danforth
Vice Chair
August 2020

Michelle Braaten
Secretary
August 2022

Jonas Hill
Commissioner
August 2024

Substantiated Complaints (if applicable)

Per § 105.12-4.(a) of the [Boards, Committees and Commissions law](#), annual and semi-annual reports shall contain information on the number of substantiated complaints against all members of the entity.

Per § 105.3-1.(q) a "Substantiated complaint" means a complaint or allegation in a complaint that was found to be valid by clear and convincing evidence.

NUMBER OF SUBSTANTIATED COMPLAINTS:

0

Meetings

Held every 1st and 3rd Monday of the month.

Emergency Meetings: [Click here](#) to enter any emergency meetings that were held during the reporting period and the reason for the meeting

Contact Info

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Develop/Finalize and revise all regulations, as necessary, including the OGMICS and regulations for Compliance and Enforcement, Employee Licensing, Hearings, Administration/Staffing, and Raffles.

IS THIS A LONG-TERM OR QUARTERLY GOAL? Long-term

GOOD GOVERNANCE PRINCIPLE:

Rule of Law - Ensuring the rules are known and applied equally to all with clear appeal (if needed) and are enforced by an impartial regulatory body, for the full protection of Oneida Nation stakeholders

HOW OUTCOME/GOAL SUPPORTS THE GOOD GOVERNANCE PRINCIPLE:

Establishing and maintaining comprehensive and clear regulations that promulgate the rule of law, ensures fair and consistent processes are followed by the Gaming Commission and its departments. Keeping regulations up to date and available for stakeholder reference also allows for a transparent process and knowledge of what is expected. Up-to-date regulations provide for operational and customer references that benefit the Nation and assist the OGC regulate Oneida Gaming effectively.

ACCOMPLISHMENTS REGARDING THE OUTCOME/GOAL:

The following chapters of the Oneida Nation Gaming Minimum Internal Control Standards have been reviewed, revised and approved in the first quarter: Gaming Machines, Complimentary Services or Items, Table Games, Surveillance, and Card Games. The following Rules of Play have also been reviewed, revised and approved in the first quarter: Mississippi Stud, Ultimate Texas Hold'Em, Poker, EZ Baccarat, Roulette, and Four Card Poker. The Compliance and Enforcement regulation is also in the final stages of revision and approval.

EXPECTATIONS/FUTURE PLANS REGARDING THE OUTCOME/GOAL:

The OGMICs revision project will continue with OGC-Compliance facilitating the OGMICS Revision Project process for the OGC and Gaming Operations. The OGMICs chapters to be completed include: Information Technology, Player Tracking and Promotions, Off Track Betting, Cage/Vault, and Title 31. The OGC will also move the Compliance and Enforcement Regulation and the Employee Licensing Regulation forward in upcoming months.

Outcome/Goal # 2

Implement department-wide software system/technology for streamlined communication and regulatory processes and information sharing, budget permitting.

IS THIS A LONG-TERM OR QUARTERLY GOAL? Long-term

GOOD GOVERNANCE PRINCIPLE:

Effectiveness and Efficiency - Processes implemented by the Nation producing favorable

results which meets the needs of Membership, Employees, Community, while making the best use of resources – human, technological, financial, natural and environmental

HOW OUTCOME/GOAL SUPPORTS THE GOOD GOVERNANCE PRINCIPLE:

“Doing more with less” has been an on-going phrase heard over the years, particularly during the budget planning cycles, and taken to task. To implement processes that produce favorable results to meet all stakeholders’ needs is ideal. And to do so, utilizing the Nation’s resources responsibly and to the fullest is even more ideal. In order to improve operational effectiveness and efficiencies for the OGC and its departments, leveraging technology is a focal point of such improvement.

ACCOMPLISHMENTS REGARDING THE OUTCOME/GOAL:

Attempting to utilize what the Nation has already invested in, namely OnBase, to create customized work flows is not working out as anticipated. Surveillance reporting and employee licensing information, as well as regulatory compliance matters, need more targeted project attention. It’s been determined that a turn-key solution must be considered at this point.

EXPECTATIONS/FUTURE PLANS REGARDING THE OUTCOME/GOAL:

The OGC and its departments are conducting a needs assessment for a regulatory compliance system. The ideal system will be a cross-functional regulatory platform that accommodates the needs of the Investigations & License, Surveillance, Compliance and Administrative departments. The ideal platform will handle processing and record keeping from/for licensing applications, surveillance reporting, compliance checks, audit reports, special investigations, and internal process work flows. This matter may not wait until FY21, but instead be an unbudgeted request for FY20 to ensure compliance is maintained internally.

Outcome/Goal # 3

Determine staff competencies and expectations, evaluate staff and identify gaps, and train accordingly.

IS THIS A LONG-TERM OR QUARTERLY GOAL? Long-term

GOOD GOVERNANCE PRINCIPLE:

Accountability - The acknowledgement and assumption of responsibility for decisions and actions as well as the applicable rules of law

HOW OUTCOME/GOAL SUPPORTS THE GOOD GOVERNANCE PRINCIPLE:

Accountability is achievable when expectations are communicated, and stakeholders are held to those expectations. In order to ensure the OGC departments are sufficiently accountable, required competencies must first be identified, staff evaluated, and

subsequently trained, accordingly. For accountability-sake, stakeholders need to acknowledge determined expectations and be held to them as standards of performance.

ACCOMPLISHMENTS REGARDING THE OUTCOME/GOAL:

Each department of the OGC has developed annual SMART Goals to move this goal forward. Competencies and expectations have been identified, staff evaluated and trained identified and/or planned for all departments to ensure staff is aware and understands expectations. The Surveillance department has already initiated on-going staff training with periodic assessments. The training material continues to be improved upon as the on-going assessments ensue.

EXPECTATIONS/FUTURE PLANS REGARDING THE OUTCOME/GOAL:

All OGC departments are to tie these staff accountability goals into finalizing strategic workforce plans that are to be complete by June 2020.

Stipends

Per the Boards, Committees, and Commissions law, stipends are set via OBC resolution. BC resolution # 05-08-19-B sets the stipend amounts.

Budget Information

FY-2020 BUDGET: \$4,609,642

FY-2020 EXPENDITURES AS OF END OF REPORTING PERIOD: \$1,140,854

The OGC's budget, along with the budgets for the departments under the Executive Director's oversight and the umbrella guidance of the OGC, are utilized to accomplish regulatory requirements and expectations.

Requests

- 1) Request OBC ensure Gaming General Manager communicates regulatory matters relevant to Gaming Operations to the OGC in a timely manner. Minimally, this includes but is not limited to: OGMICS revision concerns and Sports Betting status and implementation plans
- 2) Request OBC continue to update the OGC on governmental dialogue about Oneida Nation's gaming exclusivity and jurisdictional matters

Other