

REDDING RANCHERIA
TRIBAL GOVERNMENT POLICIES

Chapter TP 11-100

Win-River General Management Policies

May 24, 2011

REDDING RANCHERIA TRIBAL GOVERNMENT POLICIES
Chapter TP 11-100
Win-River General Management Policies

Index

<u>Text</u>	<u>Page</u>
SECTION 1: PURPOSE	2
SECTION 2: BACKGROUND AND INTENT	2
SECTION 3: DEFINITIONS	2
SECTION 4: ENTERPRISE GOALS	3
SECTION 5: GENERAL STANDARDS	4
SECTION 6: BUSINESS STRATEGY	4
SECTION 7: GENERAL MANAGEMENT ROLES	4
SECTION 8: DELEGATION OF AUTHORITY	7
SECTION 9: FISCAL MANAGEMENT	9
SECTION 10: PERSONNEL MANAGEMENT	14
SECTION 11: LEGAL COUNSEL AND LEGAL REQUIREMENTS	22
SECTION 12: REPORTS AND REVIEW	23

REDDING RANCHERIA TRIBAL GOVERNMENT POLICIES

Chapter TP 11-100

Win-River General Management Policies

SECTION 1: PURPOSE

The purpose of this policy is to provide for the formal delegation of authority and responsibility to the General Manager, Enterprise Chief Financial Officer, Enterprise Executives and other Tribal Officers, as well as needed policy guidance to ensure the orderly and profitable operation of the Enterprise.

SECTION 2: BACKGROUND AND INTENT

Win-River Casino Bingo is a wholly owned gaming Enterprise of the Redding Rancheria, hereinafter referred to as "Enterprise." The Tribal Council has established the Enterprise pursuant to the Redding Rancheria Constitution and the Redding Rancheria Gaming Ordinance.

The Enterprise was established with the stated objective to "create employment and to generate income for self-sufficiency, self-determination and the general well being of the membership of the Redding Rancheria."

Pursuant to the Redding Rancheria Constitution and the Gaming Ordinance the management responsibility of the Enterprise is ultimately that of the Tribal Council. Consistent with its stated "legislative" governing role, the Tribal Council delegates executive and general management functions within the Tribal organization. Accordingly, the Tribal Council has delegated responsibility for the operation of the Enterprise to a General Manager.

In general, it is expected that the General Manager shall make day-to-day decisions based on sound business and management principles. The following policies are intended to guide the ongoing operations. The General Manager shall augment these policies as needed to provide for consistent and effective operations.

SECTION 3: DEFINITIONS

As used herein, the following terms shall mean:

- (a) Tribal Council: The Tribal Council of the Redding Rancheria.
- (b) Win-River Governing Board: The board that governs day-to-day decisions for the Enterprise.
- (c) General Council: The General Membership of the Redding Rancheria.
- (d) General Manager: The General Manager of the Enterprise (Win-River Casino Bingo).

REDDING RANCHERIA TRIBAL GOVERNMENT POLICIES
Chapter TP 11-100
Win-River General Management Policies

- (e) Enterprise Chief Financial Officer: The Chief Financial Officer of the Enterprise (Win-River Casino).
- (f) Tribe or Tribal: The Redding Rancheria Tribe.
- (g) Chief Executive Officer: The Chief Executive Officer of the Redding Rancheria.
- (h) Tribal Chief Financial Officer: The Chief Financial Officer of the Redding Rancheria.
- (i) Chief Operating Officer: The Chief Operating Officer of the Redding Rancheria.
- (j) Enterprise: The Win-River Casino Bingo.
- (k) Business Plan: The annual plan of operations of Win-River Casino, which outlines the general strategies, objectives and activities to be undertaken by the Enterprise each year to implement the proposed budget and generate expected revenues.
- (l) Enterprise Executives: Includes the Assistant General Manager, Director of Gaming, Director of Human Resources, Director of Food & Beverage, Director of Technical Services, Director of Marketing, and the Director of Security.

SECTION 4: ENTERPRISE GOALS

Consistent with its purpose, the Enterprise has as its goal of the development and operation of a gaming Enterprise that maximizes profits and efficiency of operation while considering the long-term interests of the Redding Rancheria and stability and success of the Enterprise.

The primary goal of the Enterprise is profit for distribution to the Redding Rancheria with which it will carry out social and economic development as outlined in the Tribal Gaming Distribution Ordinance.

The secondary goal of the Enterprise is to create employment for the community and particularly for Tribal members. This goal is secondary in that profit must be the underlying motive of any business venture in order to sustain itself to contribute to the long-term economic well being of the Tribe as a whole.

In balancing these goals, the Enterprise will seek out and attract Tribal Members who can make positive contributions to the Enterprise.

REDDING RANCHERIA TRIBAL GOVERNMENT POLICIES

Chapter TP 11-100

Win-River General Management Policies

SECTION 5: GENERAL STANDARDS

In all business dealings, the Enterprise shall conduct itself in accordance with the highest moral and ethical standards consistent with Tribal Governmental Management Policies. All executives, managers and employees of the Enterprise are expected to represent the Enterprise and the Redding Rancheria in a highly professional manner, at all times.

The Enterprise shall avoid business dealings that are inconsistent with Tribal values or would conflict in any way with Tribal interests.

SECTION 6: BUSINESS STRATEGY

The Enterprise, in all its business dealings, shall promote cooperative and friendly relationships, seeking always to network with the community and the public media, which will create relationships to support the Enterprise in the future.

The Enterprise shall be proactive, seeking opportunities for growth and expansion to maximize market potentials for the industry while seeking to maximize profits, which contribute to the overall economic and social objectives of the Redding Rancheria.

The Enterprise shall be developed consistent with a business plan adopted by the Tribal Council and updated annually.

SECTION 7: GENERAL MANAGEMENT ROLES

Enterprise operations shall be conducted and managed by an appointed General Manager who shall report to and serve at the pleasure of the Tribal Council. The General Manager shall have the responsibility to pursue the goals of the Enterprise subject to the directives of the Tribal Council. Tribal Council roles in management of the Enterprise shall be as follows:

- (a) Tribal Council shall retain the following authority to:
 - (1) Adopt and amend Win River Casino Bingo General Management Policies.
 - (2) Appointment of the Win-River Governing Board.
 - (3) Approve financing arrangements in excess of \$100,000.
 - (4) Approve waivers of the Tribe's sovereign immunity subject to General membership approval.

REDDING RANCHERIA TRIBAL GOVERNMENT POLICIES
Chapter TP 11-100
Win-River General Management Policies

- (5) Major construction or expansion as well as contracts with third party casino managers and land purchases shall be subject to General Membership approval.
 - (6) Approve major contracts, including legal Counsel and independent auditors.
- (b) The Win-River Governing Board shall have the following authority to:
- (1) Select and appoint the General Manager.
 - (2) Provide policy direction to the General Manager subordinate to and consistent with these policies.
 - (3) Approve business plans and budgets.
 - (4) Select depositories and appoint signatories.
- (c) General Manager, in accordance with these policies, shall have the following responsibility and authority:
- (1) Represent the Enterprise, by signature, title and person.
 - (2) Exercise direct line authority over all Enterprise employees and determine the organizational structure and positions necessary to conduct business.
 - (3) Hire, train, promote, assign, compensate, discipline and discharge employees.
 - (4) Delegate authority and responsibility and hold subordinates accountable for such delegations.
 - (5) Provide overall direction and control Enterprise affairs, ensure appropriate use of Enterprise assets and resources, expend Enterprise funds, and negotiate and execute contracts and agreements in accordance with policies and budget authorities.
 - (6) Represent the Enterprise in a highly professional manner and ensure that all employees of the Enterprise conduct themselves accordingly.
 - (7) Recommend depositories and signatories.
 - (8) Determine operational priorities.

REDDING RANCHERIA TRIBAL GOVERNMENT POLICIES
Chapter TP 11-100
Win-River General Management Policies

- (9) Maintain all records and provide written policies and procedures necessary of Enterprise operations.
 - (10) Take actions to protect property and resources of the Enterprise.
 - (11) Recommend and implement business plans and budgets.
- (d) Chief Executive Officer
- (1) Advise the General Manager on all external matters in which the Tribe is involved and of the Tribe's position in such matters.
 - (2) Advise the General Manager regarding all Tribal policies and plans that impact the operation of the Enterprise.
- (e) Tribal Chief Financial Officer
- (1) Provide oversight and assistance to the General Manager and the Enterprise Chief Financial Officer in the coordination and operation of fiscal management systems, and advise the Enterprise regarding Tribal financial reporting policies.
 - (2) Assist and coordinate insurance coverage for the Enterprise with that of the Rancheria.
 - (3) Review financial statements rendered to the Tribal Council on a monthly basis.
- (f) Chief Operating Officer
- (1) Coordinate with the Enterprise on matters of joint efforts involving personnel and human resources management, employee benefits and other related matters.
- (g) Enterprise Chief Financial Officer
- (1) The Enterprise Chief Financial Officer shall provide oversight and advisory assistance in the establishment of Fiscal Management for the Enterprise.
 - (2) Prepare, review with the Tribal Chief Financial Officer and recommend approval of financial statements rendered to the Tribal Council on a monthly basis.

SECTION 8: DELEGATION OF AUTHORITY

- (a) The General Manager has established an organizational structure to accommodate growth and enterprise efficiency, which includes executive level management positions to oversee portions of the Enterprise activity.
- (b) General Delegations

Enterprise Executives will assume responsibility for the oversight of all activities, including planning and program development, staff supervision and development, delegation of authority and maintaining accountability for those delegations, day to day oversight of all activities, ensuring the appropriate use and efficient utilization of all enterprise resources within the departments and carrying out other functions assigned by the General Manager. Additionally, the Enterprise Executive will represent the individual department by signature and person.

- (1) Personnel

Enterprise Executives will be responsible for the hiring, discipline and development of all staff within their department.

- (2) Hiring

Enterprise Executives will coordinate all position vacancies with the Human Resources Department. Position vacancy announcements will be forwarded to the Human Resources Department for review and publication. The Human Resource Department will maintain responsibility for coordination of advertisement, scheduling of interviews and notification to all candidates. Specific procedures for hiring practices will be provided to all Enterprise Executives in addition to all managers and supervisors on hiring procedures. Enterprise Executives will be the final authority for hiring decisions on all staff within their department, subject to the Tribal Preference Policy.

- (3) Discipline

Enterprise Executives will assume responsibility for discipline of all staff. Specific training will be provided for all Enterprise Executives and their management and supervisory staff. It is expected that Enterprise Executives will delegate appropriate disciplinary responsibilities to management and supervisory staff.

REDDING RANCHERIA TRIBAL GOVERNMENT POLICIES
Chapter TP 11-100
Win-River General Management Policies

(4) Staff Development

Enterprise Executives will maintain responsibility for the development of all staff, including the determination of specific training and education needs. Enterprise Executives are encouraged to develop multi-year staff development and training plans, which will be coordinated with the needs of all departments.

(c) Budget Responsibilities

Enterprise Executives will assume responsibility for development, maintenance, coordination and oversight of all departmental budgets consistent with Tribal and Win River Fiscal Policies.

(1) Budget Development

Enterprise Executives will initiate budget planning within all departmental units each year to allow presentation of a complete departmental budget to the General Manager prior to development of the overall enterprise budget. Budget plans should be developed in consideration and in cooperation with the activities and plans for other departments. Budget plans will include a narrative justification for all budgeted items and activities. Preliminary budget plans will be submitted to the General Manager in August of each year for budget planning. Final budget plans for the Fiscal Year will be submitted to the General Manager by September 30 of each year for the development of the overall enterprise budget.

(2) Budget Compliance

Enterprise Executives will ensure compliance by:

- (A) Ensuring that applicable compliance obligations are met.
- (B) Monitoring all budget activity within the department.
- (C) Coordinating all budget modifications with the Enterprise Chief Financial Officer.
- (D) Ensuring that all reports are submitted in accordance with enterprise obligations and in any special circumstances, which warrant reporting.
- (E) Exercising sound financial judgment in the expenditure of funds.

REDDING RANCHERIA TRIBAL GOVERNMENT POLICIES

Chapter TP 11-100

Win-River General Management Policies

- (F) Conducting monthly and quarterly review of the actual expenditures of the departmental budgets.
- (G) Submitting a comprehensive quarterly report to the General Manager on actual expenditures of the department in relation to departmental goals.

(d) Development and Implementation of Policies and Procedures

Enterprise Executives will assume responsibility for the development and implementation of policies and procedures by:

- (1) Ensuring that all policies and procedures are in compliance with all management policies and directives.
- (2) Ensuring that departmental units have developed policies and procedures, which promote and facilitate the effective operation of the enterprise.
- (3) Coordinating the development and implementation of a customer service process for all departmental units.
- (4) Ensuring that policies and procedures meet applicable standards and enterprise policies.

(e) Coordination with Other Departments

Enterprise Executives will assume responsibility for coordinating needs with other appropriate departments such as Human Resources, Finance, Administration and other departments of the enterprise. This will include monthly reporting and discussions with the Management Team on activities and plans and reports to the General Manager and the Tribal Council as requested. Further, it is expected Enterprise Executives will act in a responsible and cooperative manner with other authorities in resolving issues and concerns.

SECTION 9: FISCAL MANAGEMENT

(a) Fiscal Management Systems

- (1) The General Manager shall establish procedures to provide for the effective administration of all Fiscal matters of the Enterprise, including, implementation and management of budgets, accounting and information systems, receipts and depositories, expenditures and

REDDING RANCHERIA TRIBAL GOVERNMENT POLICIES

Chapter TP 11-100

Win-River General Management Policies

disbursements, procurement, property management and Tribal records.

- (2) Policies and procedures of the Enterprise shall be consistent with, all Tribal laws and policies. They will be maintained in a manner consistent with the current state of the art technology available. Fiscal management systems shall conform to Tribal Fiscal Management Policies except as otherwise provided herein.
- (3) The Chief Financial Officer shall provide oversight and advisory assistance in the establishment of Fiscal Management for the Enterprise.

(b) Business Plan and Budgets

- (1) The Enterprise shall operate in accordance with a business plan and approved budgets, which shall be submitted in advance for each Calendar Year in accordance with Tribal budget policy. The Business Plan and budgets shall be updated and submitted to the Tribal Council with recommendations for changes at the end of each calendar quarter. At any time the General Manager believes that actual experience will differ materially from the approved budget, the General Manager shall notify the Tribal Council of the anticipated differences.

Every three years, the Enterprise will develop a three-year budget and planning forecast for long term planning. These plans will be updated every three years to assist the Enterprise and the Tribe in long term strategic planning.

- (2) In general, the budget for the Enterprise is considered an estimate, in which a majority of variable costs are driven or impacted by revenue. The General Manager shall strive for efficiency in operations and maximization of profits, while taking into consideration both the short and long-range needs of the Enterprise.
- (3) In the normal course of business, capital expenditures shall be approved in advance as part of the business plan and budgets. The General Manager shall authorize such capital expenditures as may be required to maintain appropriate quality and quantity of business operations in the event of unforeseeable events or emergencies. To the extent that the amount of the capital expenditure is expected to exceed \$100,000 the General Manager shall obtain the concurrence of the Chairman or Vice-Chairman of the Tribal Council. The General

REDDING RANCHERIA TRIBAL GOVERNMENT POLICIES
Chapter TP 11-100
Win-River General Management Policies

Manager shall report such unscheduled expenditures to the Tribal Council at the next regularly scheduled Tribal Council meeting.

- (4) Budgets for the Enterprise shall contain provisions for estimated income, expenses, profits, capital expenditures and other information pertinent to evaluating the anticipated Enterprise operations.

(c) Distribution of Net Revenues

- (1) Net Revenues shall be distributed to the Redding Rancheria to the account specified by the Tribal Council by the 10th day each calendar month, for the preceding month.
- (2) Net Revenues shall be defined as the net profit from operations, plus depreciation and amortization, minus principal payments on any outstanding debt and capital expenditures, plus or minus any necessary decreases or increases in net working capital or reserves respectively.
- (3) Net working capital shall be defined as the amount of cash, inventory and other current assets required for optimal operations of the Enterprise, less the normal current liabilities.
- (4) The General Manager shall establish the needed level of working capital as part of the annual budget and shall advise the Tribal Council of any changes to the normal needed level.
- (5) Reserves may be established as part of the business plan and budget. Reserves may be used to accumulate funds for capital expenditures or for other purposes authorized by the Tribal Council.

(d) Audits

- (1) The General Manager shall coordinate with a firm of independent Certified Public Accountants, engaged by the Tribal Council, at the end of each calendar year to make an annual audit of the books, records, financial statements and procedures of the Enterprise.
- (2) The General Manager shall call for such other audits and reviews as considered necessary to ensure the protection of Enterprise interests and policy compliance.
- (3) The Enterprise shall pay for its share of audit costs.

REDDING RANCHERIA TRIBAL GOVERNMENT POLICIES
Chapter TP 11-100
Win-River General Management Policies

(e) Bonding and Insurance

- (1) A fidelity bond shall be purchased which shall insure the Enterprise from loss due to employee dishonesty or theft.
- (2) Insurance of other forms and types, including adequate fire and liability coverage on all Enterprise operations, shall be purchased in amounts determined appropriate by the General Manager to protect the interests of the Enterprise.
- (3) The General Manager may select insurers and agents; however, in making such selection, every effort shall be made to achieve savings through coordinating insurance with the Redding Rancheria.

(f) Borrowing

- (1) No borrowing or other financing arrangement shall be made or entered into on behalf of the Enterprise unless authorized by the General Manager. Provided that, any obligations involving amounts in excess of \$100,000 shall require approval of the Tribal Council.
- (2) For the purposes of "(a)" above, leases or rental agreements the terms of which exceed one year and/or \$100,000 shall be considered financing arrangements.
- (3) Collateral for financing arrangements shall be limited to the assets acquired or leased unless specifically authorized by the Tribal Council.
- (4) The General Manager shall provide a comprehensive record of all debts and financing arrangements of the Enterprise and shall ensure that provisions are made for meeting obligations of such agreements.

(g) Procurement

- (1) Procurement authority vested with the Tribal Council is hereby delegated to the General Manager for all procurement actions needed for Enterprise operations not exceeding \$100,000 for which budget authority has been provided with exception of the following items for which the Tribal Council reserves approval authority to itself.
 - (A) Selection and engagement of Legal Counsel.

REDDING RANCHERIA TRIBAL GOVERNMENT POLICIES

Chapter TP 11-100

Win-River General Management Policies

- (B) Selection and engagement of Independent Auditors.
- (C) Selection and engagement of other professional advisors to the Tribal Council for which an ongoing relationship is anticipated.
- (2) The Tribal Council reserves to itself approval of all procurement actions exceeding \$100,000.
- (3) General Manager may delegate all or any portion of his/her authority to managers and other officials under his/her direction, provided that such delegation shall:
 - (A) Be in writing and shall specify the authority and limits of authority which are individually delegated;
 - (B) Be made only to individuals who meet necessary educational and experience requirements for such delegation, and are fully advised as to Tribal policies;
 - (C) Be made only to employees of the Enterprise, and shall expire upon termination of employment;
 - (D) Be withdrawn based on failure of the employee to follow established policies and procedures; and
 - (E) Put the employee on notice that failure to follow established procedures shall result in withdrawal of such authority and/or other disciplinary action dependent on the severity of the issue.
- (4) Competitive procurement procedures shall be applied in the normal course of business, provided that the nature of the Enterprise operations will require sole source procurement regularly. The General Manager shall establish procedures to maximize profitability of the Enterprise and to ensure fair price and appropriate delivery of goods and services acquired for the Enterprise.
- (5) In general, preference will be afforded to Tribal Members when purchasing goods and services to the extent that the Tribal Member can deliver goods and services in the quality, quantity and price consistent with other vendors.

SECTION 10: PERSONNEL MANAGEMENT

(a) Purpose

To set forth uniform policies to provide for a quality work force, ensure protection of employee rights and set forth the expectations of employees and managers in the conduct of all employee relation's matters.

(b) Background

The Tribal Council desires to leave all personnel management matters to the General Manager, intervening only when all other avenues of resolving personnel management issues have failed. In doing so, the Tribal Council has determined that certain policies should be set forth to guide the General Manager and other employees in carrying out personnel matters. These policies should ensure that both the interests of the Enterprise and of the employee are protected, and that an employment environment exists wherein employees can enjoy their work, feel secure in their jobs, and make a positive contribution towards the goals of the Enterprise.

The Tribal Council is also desirous of attracting quality employees, and particularly Tribal Members to the Enterprise work force. It is the desire of the Enterprise to compete effectively with other employers for personnel having the abilities and skills necessary to effectively achieve Enterprise goals, and render quality services to the membership. Accordingly, these policies set forth compensation and other benefits intended to accomplish this end.

It is the intention of the Tribal Council that the Enterprise employees have maximum opportunity to have input into the implementation of personnel policies, to provide for cooperation and teamwork among all employees.

(c) General Expectations of all Employees

Employees of the Enterprise are expected to act professionally and contribute positively and productively in carrying out their assigned tasks. Employees are expected to maintain the highest standard of ethics in the conduct of their jobs and to interact cooperatively and courteously with all other employees and members of the public.

REDDING RANCHERIA TRIBAL GOVERNMENT POLICIES
Chapter TP 11-100
Win-River General Management Policies

(d) Code of Conduct

(1) Conflicts of Interest

Employees shall engage in no activity, which would create an appearance of or actual conflict of interest. Employees shall not sell to or do business with the Enterprise unless authorized by the General Manager.

(2) Reporting to the Tribal Council

The General Manager shall report to the Tribal Council at regular monthly intervals to keep the Tribal Council apprised of the business activities of the Enterprise.

(3) Drug Free Work Place Policy

The Enterprise shall have a drug free work place policy which shall convey to employees that no employee shall engage in the use of or be under the influence of any intoxicating or mood altering substances during working hours, except when such substance is administered by a licensed physician, and the General Manager is informed of the conditions involved. Any employee found to be in violation of this policy might be disciplined, or required to seek professional help as determined according to the circumstances involved. The General Manager shall establish specific policies and procedures as are appropriate to implement this policy, including drug-testing procedures.

(4) Employees are Role Models

Each employee is expected to conduct his/herself in such a way as to be a positive role model for the community.

(5) Political Activities

Employees of the Enterprise shall not engage in political activities of any nature while on the job or acting as a representative of the Enterprise (Unless authorized by General Manager). Nor shall employees attempt to influence or coerce management or supervisory personnel in decisions through bringing pressure of elected officials.

REDDING RANCHERIA TRIBAL GOVERNMENT POLICIES
Chapter TP 11-100
Win-River General Management Policies

(6) Disruption of the Work Place

Employees shall not engage in any activities, which disrupt the workplace, lower the morale of other employees or otherwise reduce the effectiveness of the Enterprise work force.

(e) Hiring and Employment

(1) Position Authorization

The General Manager shall authorize such positions as are necessary to carry out the work of the Enterprise and to promote Enterprise goals. When establishing positions, other than short term-temporary positions, the General Manager shall establish formal position descriptions, which shall at a minimum include:

- (A) General and specific job assignments and tasks.
- (B) Lines of authority and reporting requirements of the position.
- (C) Minimum and preferred qualifications of the position.
- (D) Performance standards against which satisfactory and exemplary performance will be measured.
- (E) Reference to established Enterprise goals, authorized Enterprise programs and objectives to which the position is expected to contribute.

(2) Position Advertising

The General Manager shall establish specific guidelines and procedures for the advertisement of all Enterprise positions to ensure the best opportunities for attracting and hiring the most qualified individuals, and at a minimum shall include the following guidelines.

- (A) Non-supervisory positions shall be advertised for a period of not less than 10 days in relevant publications and any other such publications as are considered appropriate to attract qualified applicants for the position.
- (B) Supervisory positions may be advertised for a period of not more than 30 days in relevant publications and any other such publication as are considered appropriate to attract qualified applicants for the position.

REDDING RANCHERIA TRIBAL GOVERNMENT POLICIES

Chapter TP 11-100

Win-River General Management Policies

(C) Advertising and competition may be waived when promoting an existing Enterprise employee, meeting full qualifications of a vacant position, or when hiring temporary employees for a period of less than six months.

(3) Eligibility for Employment

(A) All persons shall be considered eligible for employment without regard to race, gender, age or religious belief, provided that,

(B) No person shall be eligible who has:

(i) Been convicted of a major crime, or

(ii) Has been terminated from Enterprise employment, for cause, within 180 days.

(C) Win-River Casino shall be an equal opportunity employer, but complies with Tribal policy.

(4) Selection

(A) All persons who apply for positions with the Enterprise, meeting eligibility criterion, shall be afforded an opportunity to be considered for the position for which they have applied.

(B) In selecting eligible applicants, the General Manager shall establish a process to provide for interviews as appropriate with most preferable applicants that will be defined in specific personnel policies. Such a process may include a panel of employees to conduct interviews and recommend selection when appropriate.

REDDING RANCHERIA TRIBAL GOVERNMENT POLICIES
Chapter TP 11-100
Win-River General Management Policies

- (C) When all other qualifications are equal, the Enterprise shall give preference in hiring in the following priority:
- (i) Tribal Members
 - (ii) Other Indians
 - (iii) Spouses of Tribal Members
 - (iv) Veterans
 - (v) All other applicants

(5) Affirmative Action Program Authorized

The General Manager is authorized to institute an affirmative action program for non-supervisory positions, which will enable Tribal members not qualified for such positions to be employed with the condition of receiving necessary training and skills for the position. When it is determined that the services to the Enterprise would not be significantly adversely impacted by such a program the General Manager shall:

- (A) Advertise such position as an affirmative action position, providing that Tribal Members not meeting minimum qualifications, but willing to agree to attend training to achieve qualifications, may be considered for the position.
- (B) Provide for a formal training program under which the applicant will achieve the necessary skills.
- (C) Provide for a written agreement with the applicant, which includes:
 - (i) The training to be completed,
 - (ii) The extent to which training may be accomplished on the employer's time,
 - (iii) The method to be used to evaluate progress toward qualifications, and
 - (iv) Compensation adjustment to be made when full qualifications are obtained.

REDDING RANCHERIA TRIBAL GOVERNMENT POLICIES
Chapter TP 11-100
Win-River General Management Policies

(D) Provide budgeted funds for any portion of training to be financed by the Enterprise.

(6) Introductory Period

Individuals employed by the Enterprise shall serve an introductory period of not less than 180 days during which they may be terminated without cause if, in the opinion of the General Manager, such employee is not working out to the best interest of the Enterprise. Regular progress evaluations shall be conducted with new employees to ensure a clear understanding of job expectations.

(f) Disciplinary Actions

The General Manager shall provide procedures for carrying out disciplinary actions with regard to employees who violate Enterprise rules or fail to carry out their assigned task. Such procedures shall consider verbal and written warnings, probation, suspension and termination, depending on the severity of the infraction. Warnings and probation are preferred, but not required, in advance of more severe actions against employees.

(g) Disputes Between Employees

The General Manager shall provide procedures for resolving disputes that arise between employees. Such procedure shall include both formal and informal dispute resolution procedures.

(h) Employee Grievances

Employees may file grievances when they believe the provisions of a disciplinary action are not appropriate and they have reasonable grounds to show that a supervisor has treated them unfairly. The General Manager shall establish procedures, including timeframes for filing and responding to grievances. Grievance processes developed by the General Manager shall include due process provisions appropriate for the Enterprise, and may include fair and impartial hearings where appropriate and access to the Tribal Council where necessary.

REDDING RANCHERIA TRIBAL GOVERNMENT POLICIES
Chapter TP 11-100
Win-River General Management Policies

(i) Compensation and Benefits

(1) Salaries and Wages

The Tribal Council shall establish the salary of the General Manager. The General Manager shall establish salaries or wages for all other employees as follows:

- (A) The General Manager shall establish a salary or wage rate range for all authorized positions. Such range shall be consistent with, equal to or slightly better than the range for like positions offered by other similar employers in the region, but shall not exceed that provided by the General Manager.
- (B) Ranges for all positions shall be available for review by the Tribal Council on an annual basis and at any such time as such ranges are established or adjusted.
- (C) The General Manager shall establish actual salary levels to be paid to employees within established ranges and shall publish procedures for adjusting salaries within ranges based on performance and qualifications of employees. Such procedures shall be reasonably consistent with current practices of other similar employers.
- (D) Ranges for positions shall be made available for viewing by the Tribal Council upon request, provided that written material containing such ranges shall be confidential. Any request pertaining to confidential information should be made to the General Manager.
- (E) Actual salaries paid to individual employees shall be confidential.

(2) Work Hours, Overtime and Compensatory Time

The General Manager shall establish work hours, overtime and compensatory systems appropriate to the Enterprise. Such systems shall consider customer and client needs, staffing, and budget constraints.

(3) Employee Benefits

The General Manager shall, with input from employees, develop such benefit plans and programs as are reasonably consistent with other

REDDING RANCHERIA TRIBAL GOVERNMENT POLICIES
Chapter TP 11-100
Win-River General Management Policies

employers, and affordable within the resources available. The provisions of benefit plans and programs shall be reviewed adopted and approved by the Tribal Council before being implemented by the General Manager, provided that:

- (A) No formal pension plan shall be adopted except as approved by the Tribal Council by resolution.
- (B) No benefit plan or program may be approved which requires the obligation of the Enterprise to fund any benefits other than from amounts budgeted in conjunction with salaries.

(4) Annual Leave

The General Manager shall authorize annual leave policies and standards for the Enterprise. Such standards and procedures for leave accrual and use shall be defined in the personnel manual.

(5) Sick Leave

Employees shall be eligible to earn sick leave consistent with policies established and authorized by the General Manager. Such policies shall be appropriate to the Enterprise and shall give consideration to rate of sick leave accrual, length of service, use of leave, accrual limits and processes for authorizing sick leave.

(6) Holidays

Holidays for the Enterprise shall be authorized by the General Manager and approved by the Tribal Council.

(j) Performance Evaluation and Compensation Adjustments

- (1) Performance evaluations shall be provided for all employees at least once during each year, on such anniversary dates as are determined by the General Manager.
- (2) Performance evaluations are to be conducted based on standard criterion to ensure fair and equal treatment of all employees.
- (3) Performance evaluations criterion shall include an opportunity for self-evaluation of the employee and a participatory process aimed at improving performance and assisting the employee in personal growth. Performance evaluations should be positive experiences for employees and supervisors.

REDDING RANCHERIA TRIBAL GOVERNMENT POLICIES
Chapter TP 11-100
Win-River General Management Policies

(4) Compensation adjustments shall be based on employee performance and shall be based on a published compensation plan.

(k) Personnel Records

(1) Provision shall be made for appropriate formal records of all personnel management activities, including time slips, leave records, performance evaluations, disciplinary action, grievances and any other such records as required by law.

(2) All personnel records are considered confidential, accessible only by the General Manager, the employee's immediate supervisor the employee and the Gaming Commission with approval of the General Manager.

(l) Employee Years of Service

Employees' years of service to the Enterprise shall be accumulated for service in Tribal Government and any other entity of the Redding Rancheria.

(m) Conformance with all Applicable Laws

The General Manager shall implement policies and procedures for all personnel management matters, which shall conform to and be consistent with the provisions of all applicable Tribal, Federal and State laws (agreed upon through compact) and regulations.

SECTION 11: LEGAL COUNSEL AND LEGAL REQUIREMENTS

(a) Legal Counsel

The Tribal Council shall select legal counsel to represent the Enterprise and to assist in legal matters. The General Manager shall coordinate all appropriate matters with legal counsel and obtain review of all significant contracts and agreements. The Enterprise shall reimburse the Redding Rancheria for its share of legal costs.

(b) Legal Requirements

It shall be the responsibility of the General Manager to ensure that all legally required reports, payments, withholdings, and other actions are made on a timely basis and that all policies and procedures conform to all pertinent laws and regulations.

REDDING RANCHERIA TRIBAL GOVERNMENT POLICIES
Chapter TP 11-100
Win-River General Management Policies

SECTION 12: REPORTS AND REVIEW

(a) Reports

The General Manager shall ensure that effective reporting of all Enterprise activities is made to the Tribal Council and, as appropriate, to the General Council.

(b) Review

The General Manager shall review this policy at the end of each Calendar Year and shall make recommendations to the Tribal Council not later than January 31 of the succeeding year regarding any changes needed to carry out its intended purpose.

Legislative History:

Originally Adopted by Tribal Council Resolution: 1998

Amended: January 9, 2006

Amended: March 3, 2008

Amended by Tribal Council Resolution # 020-05-24-11, dated May 24, 2011.