



NIGC Strategic Plan Proposed Version Fiscal Years 2014 – 2018

**Consultation Presentations
September – October 2012**

NIGC Commissioners



Tracie Stevens (Tulalip)
Chairwoman



Steffani Cochran (Chickasaw)
Vice-Chairwoman



Daniel Little
Associate Commissioner

Consultation

Tribal consultation meetings are between tribal governments and the federal government. Only tribes or their designees can attend and participate in these meetings. These meetings are not open to the public.



Consultation (cont'd)

- ▶ Executive Order 13175 “Consultation and Coordination with Indian Tribal Governments”
- ▶ Section 3 – Policymaking Criteria
 - (c) When undertaking to formulate and implement policies that have tribal implications, agencies shall:
 - (1) encourage Indian tribes to develop their own policies to achieve program objectives; and
 - (2) where possible, defer to Indian tribes to establish standards.



Commitment

- ▶ Commission is committed to a clear and transparent process.
- ▶ All consultations are transcribed.
- ▶ Written comments and transcripts are posted on NIGC website.
- ▶ Every comment will be reviewed and considered.

What is Strategic Planning?

- ▶ A management tool that helps an organization focus its energy, to ensure that members of the organization are working toward the same goals, to assess, and adjust the organization's direction in response to a changing environment.
- ▶ It is a disciplined effort to produce fundamental decisions and actions that shape and guide what an organization is, what it does, and why it does it, with a focus on the future.

-(Adapted from John M. Bryson's *Strategic Planning in Public and Nonprofit Organizations*)

What is the Purpose of Strategic Planning?

- ▶ **Government Performance and Results Act of 1993 (GPRA) requires:**
 - All cabinet-level departments and independent agencies to develop strategic plans
 - 6 years of planning
 - Updates every 3 years
 - Annual performance plans and reports

- ▶ **Native American Technical Corrections Act of 2006**
 - Enacted by Congress on May 12, 2006
 - Requires the NIGC to comply with the Government Performance and Results Act of 1993 (GPRA)



What is the Purpose of Strategic Planning? (cont'd)

▶ **OMB Circular A-11**

- Sets forth administrative guidelines for complying with GPRA and various budget requirements
- Links strategic plan to budget

▶ **GPRA Modernization Act of 2010**

- Enacted in January 2011
- Agencies must set clear, ambitious goals for a limited number of outcome-focused and management priorities
- Plan must be available on Agency website
- Plan must cover a period of not less than 4 years following the fiscal year when the plan is submitted



Background: Existing Strategic Plan

NIGC Strategic Plan FY 2009 – 2014

- Covers 6 years
- Contains 3 strategic goals:
 - Increase compliance with gaming laws
 - Increase service to tribal governments and gaming operations
 - Maximize use of Commission resources
- Contains 6 objectives and 16 strategies to achieve goals



Current Strategic Planning Efforts

- ▶ Align with Commission's 4 priorities:
 - Consulting and relationship building with Tribal governments;
 - Provide technical assistance and training;
 - Continue regulatory review; and
 - Review Agency internal operations.
- ▶ Develop strategies to achieve results
- ▶ Identify key performance measures



Current Strategic Planning Efforts (cont'd)

Outreach to stakeholders is a key part of this process, to gather input and support for a collaborative effort.

► Development process steps:

- Internal Strategic Planning Working Group sessions – throughout the project period (April – September 2012)
- Internal Ad hoc meetings and communications – throughout the project period (April – September 2012)
- Agency-wide planning by senior management – July – September 2012
- Draft document reviews
- Government-to-Government consultation meetings and presentations – today and others scheduled from September – October 2012



Mission Comparison

Prior – Mission Statement

To effectively monitor and participate in the regulation of Indian gaming pursuant to the Indian Gaming Regulatory Act in order to promote the integrity of the Indian gaming industry

New – Mission Statement

The NIGC's primary mission is to work within the framework created by IGRA for the regulation of gaming activities conducted by tribes on Indian lands to fully realize IGRA's goals: (1) promoting tribal economic development, self-sufficiency and strong tribal governments; (2) maintaining the integrity of the Indian gaming industry; and (3) ensuring that tribes are the primary beneficiaries of their gaming activities.



Vision Comparison

Prior – Vision Statement

An Indian gaming industry in which Indian tribes are the primary beneficiaries of gaming revenues; gaming is conducted fairly and honestly by both operators and players; and tribes and gaming operations are free from organized crime and other corrupting influences.

New – Vision Statement

To adhere to the principles of good government, including transparency and agency accountability; to promote fiscal responsibility; to operate with consistency and clarity to ensure fairness in the administration of IGRA; and to respect the capabilities and responsibilities of each sovereign tribal nation in order to fully promote tribal economic development, self-sufficiency and strong tribal governments.



Proposed Strategic Plan: FY 2014-2018

Five strategic goals are proposed based on NIGC's mission and priorities in which achievement of desired outcomes is crucial:

- Continue the Assistance, Compliance and Enforcement (“ACE”) initiative;
- Improve technical assistance and training for stakeholders;
- Improve and update NIGC's regulations;
- Improve consultation, communication and relationship building with tribal, federal and state regulatory authorities and/or agencies; and
- Increase efficiency, transparency and accountability.



Proposed Strategic Plan: FY 2014-2018 (cont'd)

In establishing strategies, we want to focus on:

- Pursuing strategic goals;
 - Expressing priorities;
 - Implementing vision;
 - Identifying immediate issues; and
 - Identifying core agency processes for improvement.
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- ▶ 12 strategies developed to represent critical link between planning and implementation, and describing how the Agency will achieve each of the strategic goals



Proposed Strategic Plan: FY 2014-2018 (cont'd)

In identifying key performance measures, we want to ensure they are:

- Meaningful;
 - Measurable;
 - Routinely collected; and
 - Useful.
- ▶ The Agency will focus on key measures to guide success in achieving strategic plan goals through short-term and long-term actions.



Goal 1

Continue the Assistance, Compliance and Enforcement (“ACE”) initiative



- Increase the availability of technical assistance available and provided to tribes, gaming commissions, and gaming operations
- Provide timely responses to Tribes on audit findings to allow adequate time for corrective action
- Conduct site visits, audits and evaluations, with particular focus on improvements in tribal internal control systems to maintain the integrity of the gaming industry

Goal 1 Comparison

Existing - Strategies

1.1.1 Ensure that tribes meet prerequisites to gaming under IGRA.

1.1.2. Conduct uniform and consistent monitoring activities.

1.1.3. Perform regulatory enforcement actions.

1.2.2. Provide formal and informal guidance.

2.2.2 Improve external submission response time at headquarters.

Draft - Strategies

1.3. Conduct site visits, audits and evaluations, with particular focus on improvements in tribal internal control systems to maintain the integrity of the gaming industry.

1.1. Increase the availability of technical assistance available and provided to tribes, gaming commissions, and gaming operations.

1.2. Provide timely responses to Tribes on audit findings to allow adequate time for corrective action.



Goal 2

Improve technical assistance and training for stakeholders



- Provide guidance, technical assistance, training, and other forms of assistance to tribes to build and sustain the capability to prevent, respond to, and recover from weaknesses in internal controls and violations of IGRA and NIGC regulations
- Provide opportunities for tribes located within all NIGC regions to participate in trainings

Goal 2 Comparison

Existing - Strategies

1.2.2. Provide formal and informal guidance.

2.1.2 Establish and implement training program(s).

2.2.3. Provide applicant background information to tribal gaming agencies.

Draft - Strategies

2.1. Provide guidance, technical assistance, training, and other forms of assistance to tribes to build and sustain the capability to prevent, respond to, and recover from weaknesses in internal controls and violations of IGRA and NIGC regulations.

2.2. Provide opportunities for tribes located within all NIGC regions to participate in trainings.



Goal 3

Improve and update the NIGC's regulations

- Finalize and implement new and revised regulations developed through the regulatory review process



Goal 3 Comparison

Existing - Strategies

1.2.1 Promulgate regulations as necessary.

Draft - Strategies

3.1. Finalize and implement new and revised regulations developed through the regulatory review process.



Goal 4

Improve consultation, communication and relationship building with tribal, federal and state regulatory authorities and/or agencies

- Conduct consultations with tribes on NIGC proposals for regulations, rulemaking, legislation, guidance, policy formulation or actions that may have a substantial, direct effect on one or more tribes, on the relationship between tribes and the Federal government, or on the distribution of power and responsibilities between tribes and the Federal government
- Implement the NIGC's responsibilities under the Open Government Initiative as defined by the Office of Management and Budget's Open Government Directive of 2009 and improve the NIGC website to provide information about the agency and its work
- Coordinate and collaborate with tribal, federal, and state regulatory authorities and agencies using a variety of mechanisms



Goal 4 Comparison

Existing - Strategies

2.1.1. Improve the government-to-government consultation process.

2.2.1 Improve and expand external communication.

Draft - Strategies

4.1. Conduct consultations with tribes on NIGC proposals for regulations, rulemaking, legislation, guidance, policy formulation or actions that may have a substantial, direct effect on one or more tribes, on the relationship between tribes and the Federal government, or on the distribution of power and responsibilities between tribes and the Federal government.

4.2 Implement the NIGC's responsibilities under the Open Government Initiative as defined by the Office of Management and Budget's Open Government Directive of 2009 and improve the NIGC website to provide information about the agency and its work.

4.3 Coordinate and collaborate with tribal, federal, and state regulatory authorities and agencies using a variety of mechanisms.



Goal 5

Increase efficiency, transparency and accountability

- Update and further develop policies that enhance Agency employees' ability to perform their jobs effectively
- Implement and monitor a performance measurement system to enhance employee performance
- Develop and maintain more integrated information systems and processes that support the NIGC staff and functions



Goal 5 Comparison

Existing - Strategies

- 3.1.1. Enhance fiscal discipline and transparency to stakeholders.
- 3.1.2. Improve and expand internal communication.
- 3.1.3. Develop and implement technological resources.
- 3.2.1. Develop and implement policies and procedures including internal compliance programs.
- 3.2.2. Establish employee development programs.
- 3.2.3. Encourage Native American cultural awareness.

Draft - Strategies

- 5.3 Develop and maintain more integrated information systems and processes that support the NIGC staff and functions.
- 5.1. Update and further develop policies that enhance Agency employees' ability to perform their jobs effectively.
- 5.2 Implement and monitor a performance measurement system to enhance employee performance.



Next Steps

- ▶ Tribal consultation dates:
 - September 27 – Pendleton, OR (ATNI)
 - October 4 – Las Vegas, NV (G2E)
 - October 23 – Quapaw, OK (OTGRA)
- ▶ October – November: Revise plan based on tribal comments received
- ▶ November - December: Finalize plan and submit to OMB
- ▶ January 2013: Revise plan based on OMB response
- ▶ February 2013: Submit plan to Congress



Next Steps (cont'd)

- ▶ Develop action steps to implement plan
- ▶ Develop Agency Annual Performance Plans
- ▶ Plan will be reviewed and progress reported in the annual NIGC Budget Justification



Comment Period closes **October 31, 2012**

Submission via e-mail, fax, postal service or express
service welcome

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For more detailed information, please visit:

www.nigc.gov

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