

NIGC Strategic Plan 2014 -2018 Performance Measures

Goal 1: Continue the Assistance, Compliance and Enforcement (“ACE”) initiative.				
Strategy: Increase the availability of technical assistance available and provided to tribes, gaming commissions, and gaming operations.				
Measure	2014 Actual	2015 Actual	2016 Actual	2017 Plan
Number of voluntary audit technical assistance requests. ¹	165	403	29	N/A
Number of technical assistance sessions provided to tribal gaming commissions to enhance success in maintaining compliance with IGRA. ²	N/A	N/A	N/A	N/A
<p>¹This data is the total phone technical assistance provided by NIGC staff which includes audit related questions. Other forms of technical assistance data is provided in other measures. This data is no longer collected as this was not an effective measure.</p> <p>²This data was a factor in the measure on number of site visit technical assistance events. This data is presented under that measure and thus not reported separately.</p>				
Strategy: Provide timely responses to Tribes on audit findings and IGRA violations to allow adequate time for corrective action and voluntary compliance.				
Measure	2014 Actual	2015 Actual	2016 Actual	2017 Plan
Percent of NIGC staff compliance with informing, assisting, and providing technical assistance to Tribes within established internal deadlines in regard to audit findings and compliance issues. ¹	92%	93%	18%*	90%
<p>¹This data is the percent of Internal Control Assessments and other audit reports provided within internal timelines and percent of Letters of Concern provided within internal timelines.</p> <p>*In fiscal year 2016, nine audit reports issued by NIGC staff were delivered to the tribe passed the internal deadline.</p>				
Strategy: Conduct site visits, audits and evaluations, with particular focus on improvements in tribal internal control systems to maintain the integrity of the gaming industry.				
Measure	2014 Actual	2015 Actual	2016 Actual	2017 Plan
Number of audits and evaluations of tribal gaming facilities completed annually.	13	14	11	12
Number of IGRA/NIGC regulation compliance reviews completed annually to assist in voluntary compliance by tribal gaming operations. ¹	N/A	N/A	N/A	N/A
Number of tribal gaming facility site visits completed annually.	465	596	537	500

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Percent of MICS audit exceptions satisfactorily resolved by tribal gaming operations as a result of an audit or evaluation conducted by the NIGC.	100%	78%*	TBD*	70%
Percent of tribal gaming facility audited financial statements and management letters received in compliance within timelines.	92%	93%	TBD**	99%
Percent of quarterly fees worksheets received in compliance with timelines.	80%***	84%	87%	99%

¹This data was a factor in the measure on number of site visits completed annually as NIGC staff perform compliance reviews of various areas during a site visit. This data is presented under that measure and thus not reported separately.
^{*}To Be Determined: Follow-up by NIGC staff is still being conducted for audits completed in fiscal years 2015 and 2016.
^{**}To Be Determined: Audited financial statements and management letters are still being received for 2016.
^{***}The NIGC office move occurred in fiscal year 2014 which resulted in mail problems. In fiscal year 2014, the NIGC implemented an electronic payment system through Pay.gov for annual fees payments and submission of worksheets.

Goal 2: Improve technical assistance and training for stakeholders.

Strategy: 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.

Measure	2014 Actual	2015 Actual	2016 Actual	2017 Plan
Proactively respond to tribal needs and industry changes by modifying course offerings, and methods of providing technical assistance.	Survey results reviewed and discussions on changes to training catalog	Training Catalog updated	Training course on Preventing Gamesmanship was added	Feedback Reviewed
Percent of respondents who “agree” or “strongly agree” that the training they have received from the NIGC has assisted them with the work they do. ¹	N/A	N/A	N/A	N/A
Number of trainings offered that provide cost-saving measures for tribes and the regulated community, such as an agency web portal or online training. ²	N/A	N/A	N/A	N/A

¹Satisfaction surveys were eliminated for this measure as data did not capture efforts and is therefore not useful. Instead, this data is presented under the measure of percent of attendees satisfied with training and thus not reported separately. The NIGC also began conducting knowledge reviews at the end of the training course and will expand on this area.
²The NIGC is continuing to seek ways to provide online and/or web portal trainings. At this time, the NIGC provided site-specific trainings and the data is presented under the measure of number of site visit technical assistance events provided annually and is thus not reported separately.

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

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Measure	2014 Actual	2015 Actual	2016 Actual	2017 Plan
Number of training events held annually.	70	52	33*	70
Percent of tribes who attended annual training events.	83%	91%	61%	70%
Number of site visit technical assistance events provided annually.	51	31	12	12
Number of attendees attending training events annually.	2,330	2,148	1,662	2,000
Percent of attendees satisfied with training (indicating such by surveys at training events).	99%	99%	98%	85%

*In fiscal year 2016, there was a 61% decrease in site-specific training events.

Goal 3: Improve and update the NIGC's regulations.

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

Measure	2014 Actual	2015 Actual	2016 Actual	2017 Plan
Number of Tribal Advisory Committee meetings held annually.	0	0	0	As needed
Continue to inform Tribes of new regulations through the use of NIGC's website and other media outlets, including social media. ¹	1	15*	3	Annually Reviewed
Percent of trainings provided to agency staff and Tribes to enhance understanding of new and revised regulations.	100%	100%	100%	100%
Conduct ongoing evaluations of regulations to determine the need for regulatory updates and changes through consultations, Tribal Advisory Committee meetings, Tribal Gaming Working Group meetings, and input received from agency staff and Tribes.	Annually Reviewed**	Annually Reviewed**	Annually Reviewed**	Annually Reviewed

¹This data is the number of regulations that are new or amended during the fiscal year that were posted to the agency website and the Federal Register.

*In fiscal year 2015, 14 regulations were amended for minor changes to correct the mailing address, grammatical errors, and outdated references.

**Since the Notice of Inquiry issued in November 2010, the NIGC has reviewed 20 regulations or potential regulations. From fiscal years 2014 - 2016, there were nine consultations held that covered a variety of topics such as updating the NIGC Privacy Act regulations, the proposed NEPA Manual, Class III MICS guidance, and the Buy Indian Goods & Services drafted policy.

Goal 4: Improve consultation, communication and relationship building with tribal regulatory authorities, and federal and state agencies.

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Strategy: Conduct meaningful 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.				
Measure	2014 Actual	2015 Actual	2016 Actual	2017 Plan
Percent of gaming tribes and their officials, and employees attending consultations. ¹	N/A	N/A	N/A	N/A
Adoption and full implementation of the NIGC's tribal consultation policy. ²	N/A	N/A	N/A	N/A
Conduct meaningful tribal consultations in conjunction with national and widely attended meetings to conserve tribal and Agency resources.	4	4	1	4
<p>¹This data is no longer collected as this was not an effective measure. A Dear Tribal Leader letter is sent notifying Tribes of upcoming consultations. A press release is issued on topics for discussion and dates of consultations. A consultation briefing is prepared on the summary of each topic and posted to the agency website. Consultation transcripts and comments received are posted to the agency website.</p> <p>²The NIGC Consultation policy was adopted by the Commission in February 2013.</p>				
Strategy: Implement the NIGC's responsibilities under the Open Government Initiative as defined by the Office and Management Budget's Open Government Directive of 2009 and improve the NIGC website to provide information about the agency and its work.				
Measure	2014 Actual	2015 Actual	2016 Actual	2017 Plan
Number of increased opportunities for tribes to engage and collaborate with the agency through a forum for feedback through the NIGC website and social media platforms.	social media fully implemented	web re-design survey; employee BETA website testing, new NIGC website	hired Rural Outreach and Inter-governmental Affairs Coordinators	Annually Reviewed
Continue to improve the quality, quantity and timeliness of information made available to Tribes through the Tribal Access Portal (TAP).	Ongoing	Ongoing	Ongoing	Ongoing
Regularly inform tribes of Agency financial resources (Gross Gaming Revenue, Agency Budget, etc.).	Posted on agency website and media advisory	Posted on agency website and media advisory	Posted on agency website and media advisory	Posted on agency website and media advisory
Percent of users satisfied with the amount and type of information available on the agency's website. ¹	N/A	N/A	N/A	N/A

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<p>¹Satisfaction surveys were eliminated for this measure as data does not capture efforts and is therefore not useful.</p>				
<p>Strategy: Coordinate and collaborate with tribal regulatory authorities, and federal and state agencies using a variety of mechanisms.</p>				
Measure	2014 Actual	2015 Actual	2016 Actual	2017 Plan
Develop a system for referrals to and from relevant federal regulatory authorities and agencies.	Ongoing	Ongoing	Ongoing	Ongoing
Continue to develop partnerships via MOUs with tribal regulatory authorities, and federal and state agencies to promote efficiency.	Ongoing	Ongoing	Ongoing	Ongoing
Percent of tribal regulatory authorities who said that the NIGC was doing a “good” or “very good” job of fulfilling its mission of improving and building relationships (indicating such by surveys). ¹	N/A	N/A	N/A	N/A
<p>¹Satisfaction surveys were eliminated for this measure as data does not capture efforts and is therefore not useful.</p>				
<p>Goal 5: Increase efficiency, transparency and accountability.</p>				
<p>Strategy: Update and further develop policies that enhance Agency employees’ ability to perform their jobs effectively.</p>				
Measure	2014 Actual	2015 Actual	2016 Actual	2017 Plan
Percent of employees receiving trainings on new policies and employee awareness programs.	100%	100%	100%	100%
Percent compliant with mandatory staff training.	100%	100%	100%	100%
Maintain up-to-date human resource policies and procedures.	2 policies approved	1 policy approved	1 policy approved	Annually Reviewed
Develop an Action Plan to respond to employee feedback generated by the Employee Viewpoint Survey.	Action Plan reviewed	Action Plan reviewed	Action Plan results included in fiscal year 2017	Action Plan created
<p>Strategy: Implement and monitor a performance measurement system to enhance employee performance.</p>				
Measure	2014 Actual	2015 Actual	2016 Actual	2017 Plan
Implement new performance measurement system. ¹	N/A	N/A	N/A	N/A
Implement new career development policy. ²	N/A	N/A	N/A	N/A
Percent of employees who received training regarding individual performance management responsibilities. ³	N/A	N/A	N/A	N/A

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Number of performance management goals achieved within their set timeline.	Measured in employee EPAP	Measured in employee EPAP	Measured in employee EPAP	Measured in employee EPAP
<p>¹The Performance Appraisal System and associated policy was approved by the Commission in July 2013. ²The Training & Employee Development policy was approved by the Commission in July 2013. ³The NIGC employees and supervisors received training on the new performance appraisal system in September 2013.</p>				
<p>Strategy: Develop and maintain more integrated information systems and processes that support the NIGC staff and functions.</p>				
Measure	2014 Actual	2015 Actual	2016 Actual	2017 Plan
Meet all federally required IT security regulations.	Upgraded NIGC infrastructure	Continued upgrades	Reviewed for security patches	Annually Reviewed
Implement and realize Agency cost savings and increased IT resources with DOI IT integration agreement. ¹	N/A	N/A	N/A	N/A
Increase the number of communication forums for all users.	monthly NIGC all staff conference calls started			
<p>¹Strategic sourcing was used when purchasing upgrades and completing the office move of its IT infrastructure in fiscal year 2014 and continuation of the upgrades into fiscal year 2015. In fiscal year 2015, upgrades included increased bandwidth of the T1 line to the DS3 connection, improved communication speed with field offices and tribes, and a virtualized server environment.</p>				