

**WSEC**

**Strategic**

**Plan**

**Washington State  
Gambling Commission**



**2007 - 2011**

## Introduction

### ***MESSAGE FROM DIRECTOR RICK DAY...***

In order for an agency to have a future, we must plan for that future. A strategic plan provides the Agency a process by which we assess what we are about, what we do, and a method to document and implement the results of that assessment. In order to develop a strategic plan for the Agency, we selected a process that provided staff and stakeholders an opportunity to directly contribute to our future direction. Our strategic plan is designed to be a document that speaks plainly, means something to all of us, is flexible, and guides our decision making in the future.

As we developed our plan, we reinforced our mission statement, shortened our value statement, and identified a vision that beckons us to the future. The strategic plan relies on actions designed to reinforce our mission, vision, and values, and the actions will define the kind of agency we work for and dictate our future success.

This strategic plan recognizes that the Agency's future is largely dependent on the quality of our employees. As a result, the Agency's priority projects include activities to revise compensation plans to reward staff for strengthening their knowledge, skills, and performance. The projects reflect new enforcement efforts and reinforce the need to use resources wisely by evaluating our processes and implementing improvements to increase our efficiency and effectiveness. This plan includes the message that although we intend to follow through with legislative direction to strictly regulate and control gambling in Washington, we also plan to scrutinize rules to ensure they have value and don't place unnecessary burdens on the business community.

Teams are part of the daily activities of this agency and will continue to play a primary role in our future. Many of the Agency's priority projects rely on teams to develop and, in some cases, even implement new solutions. Teams often challenge us to step outside our individual comfort zone and work together. Our experience has proven that we always arrive at a better solution or with a better product when we work together.

The planning process has also required us to re-examine how we measure success. We have developed some indicators that may help us monitor progress toward each agency goal. In addition, the process has resulted in a longer-term effort to find credible ways to measure our progress.

Now that we have updated our strategic plan, the more challenging part lays before us. Strategic plans look good on paper and they fill a state budgeting requirement, but they often fall victim to neglect or to the constant pressure on public agencies to react instead of maintaining a steady course. The job of staying the course falls directly on agency leadership. However, we have asked the dedicated members of our Strategic Planning Team to help us monitor progress, hold us accountable for the action outlined in the plan, and propose modifications and new measurements as we move forward into the future.

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## Definitions

**Strategic Plan** - The Strategic Plan identifies Agency's goals and the actions needed to achieve them. It serves to determine the approximate priority and resources allocated to projects that are brought forward to support the overall direction of the Agency. Our strategic plan incorporates a mission, a vision, values, goals, projects, and performance measures developed by Commission staff.

**Goal** - Long-term aim or purpose to attain or reach an overall direction.

**Marketplace & Environmental Decisions** - Factors that are expected to affect the Agency over the next few years. All other licensed gambling activities will slightly decline as other forms of gambling continue to increase.

**Performance Measures** - Performance measures are created to determine whether the individual goal or project selected is making the difference the Agency expected. Measures should be set at the beginning of the goal or project and taken at the end when it is completed.

**Mission Statement** - A mission describes our main purpose for existing: Who we are, what we do, why we do it, and for whom we do it. It is usually grounded in statute.

**Vision Statement** - What we aspire to be: A vision encompasses the ideals, hopes, and dreams of the people within the Agency. A vision is a long-term commitment.

**Value Statement** - Values express the core principles for the conduct of the Agency in carrying out its mission. Values describe behaviors and are the preferred cultural norms for the interactions within the Agency.

**Strategies** - Strategies are statements of the methods for achieving goals. While goals and objectives state what the organization wants to achieve, strategies state how goals will be achieved. Strategies guide the activities the Agency uses to achieve goals and objectives.

**Projects** - Projects are the individual actions that support the goals. Projects have specific timelines, performance measures and expected outcomes. Projects are prioritized in the overall strategic plan and usually have staggered start dates to ensure proper resource allocation.

**Essential Project** - Projects with the Agency's highest level of commitment.

**Important Project** - Projects that are very important, but must be considered against other ongoing projects and activities if funds are not sufficient.

**Beneficial Project** - Projects that are beneficial to Agency's programs, but will only be pursued if they don't infringe on the higher level priority.

## Mission, Vision, Values & Goals

### **Mission**

Protect the public by ensuring that gambling is legal and honest.

### **Vision**

Anticipate, Innovate and Excel.

### **Values**

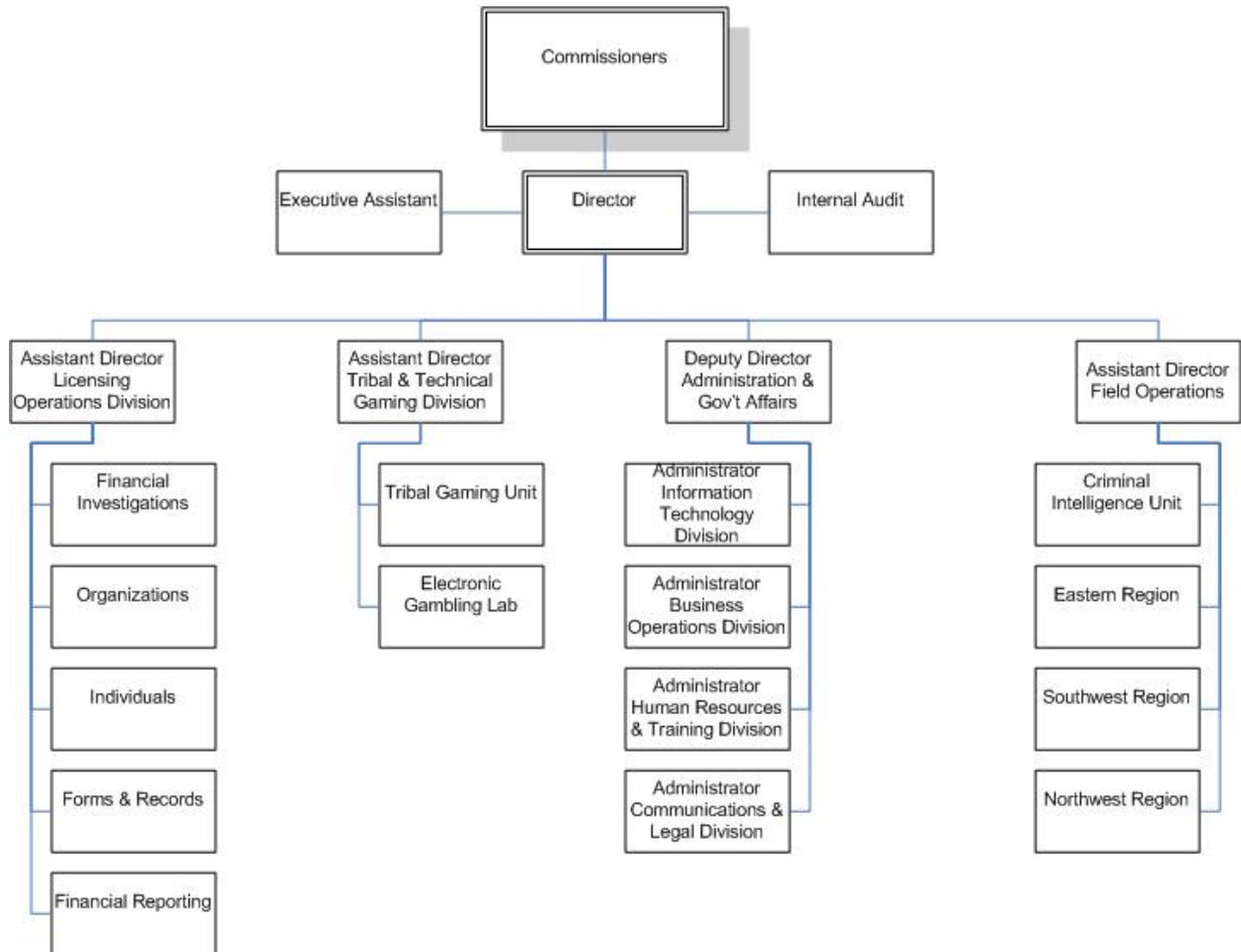
We value integrity, professionalism, respect, and diversity.

### **Goals**

- ✧ Develop, retain and value our employees
- ✧ Foster a positive, productive and fulfilling work environment
- ✧ Maintain a regulatory environment that promotes compliance
- ✧ Pursue improvements and innovations in agency programs and processes
- ✧ Conduct business as simply as possible
- ✧ Build and strengthen relationships
- ✧ Detect and remove the criminal element from gambling

# Organizational Chart

## Washington State Gambling Commission



## Agency Overview

**Commission** - Five member citizens' commission appointed by the Governor and four ex officio members from the Legislature.

**Director's Office** - Administration for the Commission to carry out its powers and duties, including tribal compact negotiations and legislative liaison.

The Washington State Gambling Commission is comprised of the following divisions:

**Business Operations** - Performs fiscal planning and budgeting, accounting, contracting, purchasing, vehicle fleet operations, and facilities management along with processing ID stamps.

**Human Resources and Training** - Provides comprehensive services in recruitment, hiring, training and development, compensation, and safety. Administers employee programs that include quality, staff recognition, benefits, ADA, FMLA, and FLSA.

**Information Technology** - Maintains agency databases, computer technology and support, agency web-page design, and the agency network system.

### **Communications and Legal:**

Legal – Reviews case reports and initiates administrative action for noncompliance of laws and rules.

Communications – Creates two licensee newsletters (six issues each year) and responds to questions from the Legislature, media, and general public.

Rules Coordination – Coordinates changes to gambling rules. Notifies stakeholders of proposed rule changes. One staff person is a permanent member of the Agency's rules team.

**Licensing Operations** - Administers an approval process that requires all individuals and businesses apply for and obtain a license before engaging in a gambling activity. The process generates the funds necessary to cover costs of licensing and enforcement.

Financial Reporting – Compiles information from gambling activity reports. Prepares various reports for staff, management, the Legislature, and the public to inform them of gambling issues.

Licensing Services (Forms and Records, Individuals, and Organizations) – Conducts pre-licensing reviews and processes initial, renewal, change applications, and changes to licensing records; maintains licensee records and processes public disclosure requests.

Financial Investigations – Conducts pre-licensing investigations, financial reviews and source of funds investigations, and criminal record investigations to determine eligibility and ongoing suitability for licenses. Conducts post licensing investigations and nonprofit reviews.

**Field Operations** - Regulates all non-tribal gambling activities by conducting inspections, reviews, and investigations. Field staff provides technical assistance on gambling operations and works with numerous licensee groups.

Criminal Intelligence Unit - Collects, evaluates, collates, analyzes, and disseminates information on illegal gambling and other associated crimes.

**Tribal and Technical Gambling**

Tribal Gaming Unit - Works with each tribe's Tribal Gaming Agency to monitor Class III (Nevada/casino style) tribal gaming activities.

Electronic Gambling Lab - Tests electronic gambling equipment for compliance and integrity.

## History

### Gambling in Washington – The Early Years

1889	Constitution prohibits all lotteries.
1933	Pari-mutuel betting on horse races authorized.
1937	Slot machines allowed for private clubs only.
1952	Washington State Supreme Court ruled the 1937 law allowing slot machines unconstitutional.
1950s	Illegal gambling took place in various parts of the state, payoffs to police and government officials alleged in some jurisdictions. Known as
60's	“Tolerance Policy” period.
1971	“Tolerance Policies” end with King County Grand Jury issuing 34 indictments against 51 police officers and public officials alleging payoffs related to gambling.
1972	Senate Joint Resolution approved by voters, allowing gambling activities by a 60% vote of the Legislature or voters.

The 1973 Legislature created the Washington State Gambling Commission as a law enforcement agency in response to the corruption of the tolerance years. They tasked the Agency with the responsibility of regulating authorized gambling activities and controlling illegal gambling and related activities.

In 1992, the Legislature added the responsibility to negotiate tribal/state compacts for casino gambling activities and to implement the terms of such agreements reached with tribes.

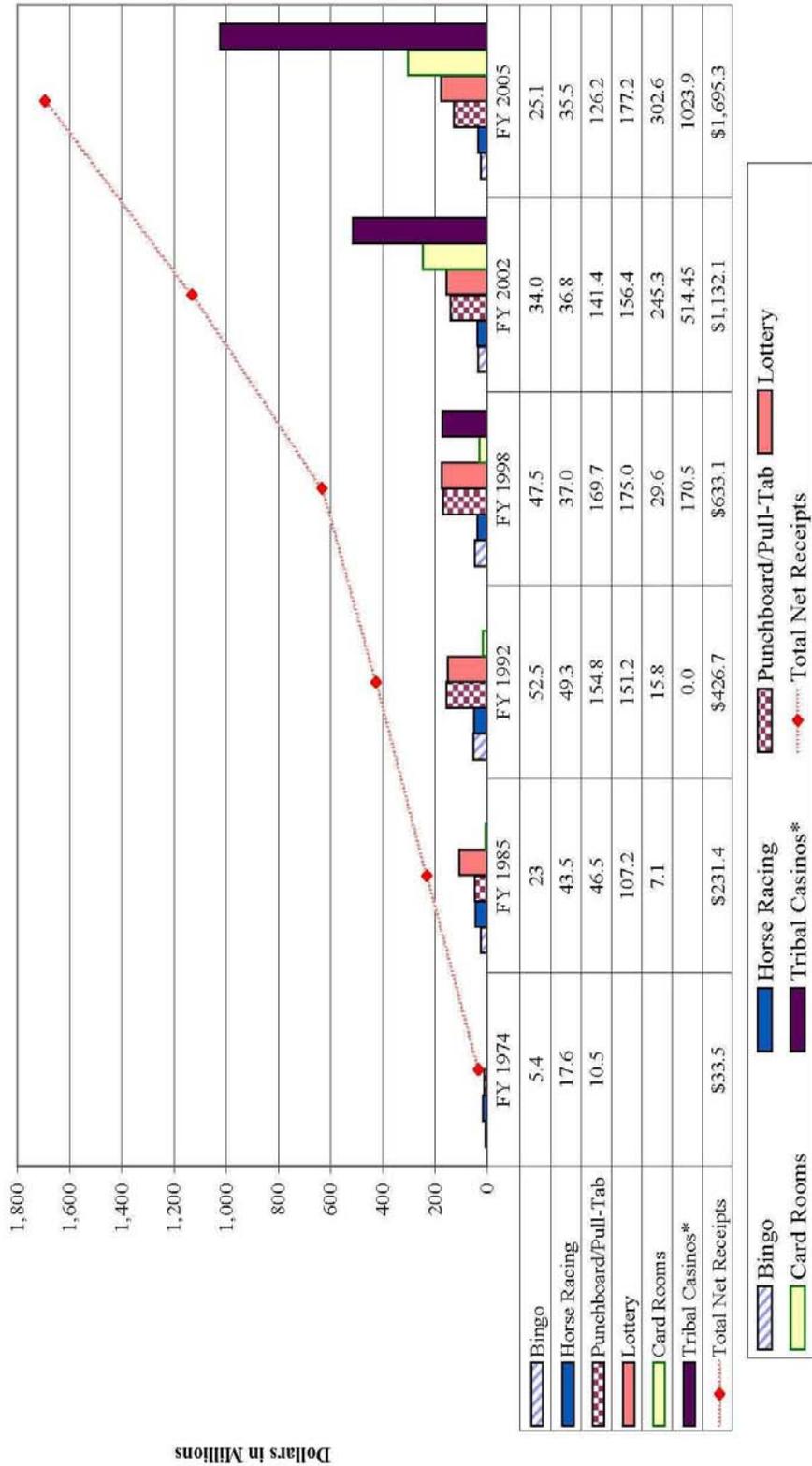
After the Nevada Gambling Control Board, the Washington State Gambling Commission is the oldest gambling regulatory agency in the nation and the third largest state gambling regulatory agency.

### Gambling Activities Authorized by Legislature/Congress after 1973

1973	Bingo, Punchboards and Pull Tabs, Raffles, and Amusement Games
1974	Social Card Games
1977	“Reno Nights” for nonprofits
1982	State Lottery implemented
1988	Indian Gaming Regulatory Act passed by Congress
1992	First tribal casino opens
1997	House-Banked card games for non-tribal card rooms
1999	Tribes begin operating Tribal Lottery System machines

### Fiscal Year Net Receipts Comparison

[Net Receipts = amount wagered minus amount paid out as prizes]



\* = Estimated

Source: Washington State Gambling Commission

## Statutory Authority

RCW 9.46.040 establishes the Washington State Gambling Commission, which consists of five members whom the Governor appoints with the consent of the Senate. The law also requires four ex officio members from the Legislature serve on the Commission: Two members of the Senate, one from each party; and two members of the House of Representatives, one from each party. The ex officio members are non-voting members, except for the purposes of approving tribal/state compacts (RCW 9.46.360).

RCW 9.46.080 states that the Commission must employ a full time Director, who is responsible for carrying out the purposes and provisions of the Gambling Act.

The Commission is a law enforcement agency with the power to investigate violations of the Gambling Act (RCW 9.46.210).

The Commission must put all revenues received into the gambling revolving fund and must pay all expenditures from the fund. The Commission is a non-appropriated agency. The Commission must authorize all disbursements from the gambling revolving fund (RCW 9.46.100).

Among its various powers and duties set forth in RCW 9.46.070, the Commission is authorized to issue licenses to bona fide charitable or nonprofit organizations, commercial stimulant businesses, and to individuals. In addition, the Commission is authorized to issue licenses to manufacturers, suppliers, or distributors of devices used in connection with gambling activities. The Commission is required to establish fees that are adequate to cover all costs incurred by the Commission.

## Appraisal of External Environment

There are many factors outside of Gambling Commission's control that have significant impacts on the Agency's ability to complete its mission. In order to operate effectively and efficiently, management must identify the key external factors impacting the Agency. The external factors most impacting the Gambling Commission are:

### TECHNOLOGY

Technology impacts the activity being regulated (gambling) and the tools and methodology used to regulate the activity. Changes in technology will be one of the most important factors impacting the Agency's programs over the next few years. Key areas include:

- Innovations in information technology that will change the way we do our work (investigations, monitoring, collection and dissemination of public information, communication with licensees and law enforcement);
- Automation of records and reports of regulated activities in a technological environment;
- Advances in Internet technology, including the increasing availability of illegal online gambling;
- The use of the Internet by staff and licensees to share and access information;
- Licensees and potential licensees who will conduct online transactions with the Agency to apply for licenses, renew licenses and submit activity reports. Fees may be accepted via credit/debit cards, electronic checks, or electronic funds transfer;
- The increasing amount of data transferred electronically, which will create storage challenges for the Agency.

### GOVERNMENT

The Agency can be impacted by the decisions of other governmental and judicial bodies. Those that have the potential for the greatest impact are:

- Judicial decisions at the state or federal level may interpret the law in a manner that expands or restricts the scope of gambling activities in Washington;
- State and local governments may need to seek other forms of revenue to make up for budgetary shortfalls. Tax revenues from new or existing gambling activities may be an attractive option;
- Cities and counties may allow or prohibit authorized gambling activities;
- The state may change the general structure of state government and the funding available to the Commission;

- Civil service reform, including collective bargaining and contracting out of services, will impact the work force;
- Tribal governments are seeking ways to reduce state regulatory costs;
- The United States Congress may amend the Indian Gaming Regulatory Act or other federal laws that impact the scope of gambling in Washington.

### **MARKET TRENDS**

- Demand has increased for electronic gambling that offers more speed, variety, and action;
- Bingo revenue, though declining before the advent of machine gambling, has experienced an even bigger drop and is projected to continue to decline;
- Pull-tab license fees, the Agency's largest revenue source, are expected to continue to decline;
- The number of house-banked card rooms is expected to remain stable;
- Public awareness of problem/pathological gambling and utilization of related services is expected to increase;
- The state-wide smoking ban may impact gambling establishments;
- Internet gambling activities have increased;
- Televised coverage of high stakes poker events has increased popularity of home poker games;
- Tribal casinos are increasingly popular for gambling;
- Illegal and legal gambling equipment and related activities have proliferated;
- Gambling has increased in popularity among young people.

### **STATE ECONOMY**

Washington State's economy has begun improving, however this economic recovery is expected to be slow. Gambling revenues have continued to increase. This can be attributed to:

- Tribal casinos;
- House-banked card rooms.

## Goals and Performance Measures

**GOAL:**                    **Develop, Retain, and Value Our Employees**

**Performance  
Measures:**

Percentage of staff taking advantage of training

Percentage of staff leaving the Agency

Number of promotions available filled by agency personnel

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**GOAL:**                    **Foster a Positive, Productive, and Fulfilling Work Environment**

**Performance  
Measures:**

Number of Star Awards redeemed

Number of performance coaching sessions conducted

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**GOAL:**                    **Maintain a Regulatory Environment that Promotes Compliance**

**Performance  
Measures:**

Number of violations recorded (written in Notice of Violation and Settlement (NOVAS) or case report) as a percentage of total inspections performed

Number of cases referred for administrative action

Number of individuals attending Commission study sessions, licensee training, and licensee group meetings (task forces, card room meetings, other Commission sponsored sessions such as public policy research issues)

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**GOAL:**                    **Pursue Improvements and Innovations in Agency Programs and Processes**

**Performance  
Measures:**

Percentage of deliverables completed within contractual timelines established in the Gambling Information Management System project

Number of improvements implemented to current tribal licensing procedures

Number of people using online processes

Number of organizations using on line processes

**GOAL: Conduct Business as Simply as Possible**

**Performance Measures:**

Average number of hits on Washington State Gambling Commission's web page per month

Percentage of gambling Washington Administrative Code chapters simplified and number of words reduced

**GOAL: Build and Strengthen Relationships**

**Performance Measures:**

Number of employees that participate in Partnership Program

Number of individuals attending agency sponsored training (local law enforcement, other regulatory agencies, other non-licensed organizations)

Number of outreach visits by agency leadership team members to law enforcement agencies, regulatory agencies, units of local government, and legislative staff

**GOAL: Detect and Remove the Criminal Element from Gambling:**

**Performance Measures:**

Percentage of criminal cases referred to prosecutor

Number of licenses revoked or surrendered due to criminal history or criminal activity

Percentage of applications received that were withdrawn or denied due to disqualifying factors

## Prioritized Projects

- Essential:** Highest level of commitment.  
(This may require current activities to be adjusted)
- Important:** Very important.  
(Must be considered against other ongoing activities)
- Beneficial:** Only pursued if it doesn't infringe on higher-level priorities.

### Essential

- Rules Simplification
- Define Supervisor Roles & Functions
- Standardize Promotional Opportunity Testing
- Underage Gambling Enforcement
- Gambling Information Management System
- Online Processes
- Performance Management Confirmation
- Agent Safety Enhancement
- Tribal Licensing and Permitting Program Review
- Gambling Licensing Technician Classification & Compensation
- Special Agent Compensation Plan

### Important

- Electronic Gambling Device Technical Standards
- Expansion of Partnership Program
- Agency Conference
- Rules Training Program
- Additional Field Operations Supervisor
- Modernization of Tribal and State Regulations and Compacts
- Personnel Service Reform
- Licensing Training Workshops and Outreach Program
- Internet Gambling Enforcement

### Beneficial

- Law Enforcement Accreditation
- Card Room Employee Training Video
- Review of Licensing Fees Structure & Regulatory Fees
- Intelligence Unit Enhancement

## Goals and Projects

**GOAL: Develop, retain and value our employees**

- Project Personnel Service Reform
- Project Gambling Licensing Technician Classification & Compensation
- Project Performance Management Confirmation
- Project Special Agent Compensation Plan
- Project Agent Safety Enhancement

**GOAL: Foster a positive, productive and fulfilling work environment**

- Project Standardize Promotional Opportunity Testing
- Project Define Supervisor Roles and Functions
- Project Expansion of Partnership Program
- Project Agency Conference

**GOAL: Maintain a regulatory environment that promotes compliance**

- Project Card Room Employee Training Video
- Project Electronic Gambling Device Technical Standards
- Project Licensing Training Workshops and Outreach Program
- Project Additional Field Operations Supervisor
- Project Modernization of Tribal and State Regulations and Compacts
- Project Underage Gambling Enforcement

**GOAL: Pursue improvements and innovations in agency programs and processes**

- Project Gambling Information Management System
- Project Law Enforcement Accreditation
- Project Tribal Licensing and Permitting Program Review

**GOAL: Conduct business as simply as possible**

Project Rules Simplification

Project Online Processes

Project Review of Licensing Fees Structure and Regulatory Fees

**GOAL: Build and strengthen relationships**

Project Rules Training Program

**GOAL: Detect and remove the criminal element from gambling**

Project Internet Gambling Enforcement

Project Intelligence Unit Enhancement

## Project Proposals for Goal Develop, Retain and Value Our Employees

<b>Project:</b>	<b><u>Personnel Service Reform</u></b>
<b>Priority:</b>	Important
<b>Background:</b>	The 2002 Personnel System Reform Act resulted in the most sweeping changes to the state's civil service system since it was created more than forty years ago.
<b>Solution:</b>	<p>The Act's major components are:</p> <ul style="list-style-type: none"><li>• New Civil Service/Human Resource System – The act provides an opportunity to create a totally new, vastly improved, human resource system for state government. The new system applies in total for those employees who are not covered by a collective bargaining agreement and in part for those who are covered by collective bargaining. This includes new rules, policies and processes for hiring; revised and new classification and compensation, performance management, performance evaluations, job assessments, competencies, training, corrective/disciplinary action, reduction-in-force, and other aspects of Human Resource Management</li><li>• Collective Bargaining – The scope of collective bargaining has been greatly expanded. Wages, hours, the dollar amount provided for insurance benefits, and other terms and conditions of employment will be mandatory subjects for bargaining.</li><li>• Competitive Contracting Out – Contracting out of services that have “customarily and historically been provided by state employees” will be allowed.</li><li>• Human Resource Management System (HRMS) – This new electronic data base will support the new personnel/payroll application and replaces the existing outdated mainframe system. It will contain a number of advances that will greatly enhance future usability for agencies. This includes electronic leave reporting, changes to payroll, integrated data bases, and e-recruiting.</li></ul>
<b>Stakeholders:</b>	All agency employees, Department of Personnel, Department of Retirement, Health Care Authority
<b>Lead Division(s):</b>	Human Resources and Training Division
<b>Participating Division(s):</b>	Business Operation Division
<b>Start Date:</b>	February 2004
<b>Finish Date:</b>	June 2007

**How Will You Measure Success:**

- User surveys
- FTE usage/savings
- Focus groups
- Comparisons with new/existing measure tools on current systems
  - Recruitment timeline
  - Employee Survey
  - Training registration and tracking processes
  - Contracting out - savings
  - Retention/turnover
  - Reduction in leave processing and approval time
  - Time required to process payroll
  - Number of payroll exceptions

**Who Is Responsible for Measuring Success:**

- Human Resources and Training Division
- Business Operations Division
- Agency Leadership Team

**Project:** **Gambling Licensing Technician Classification & Compensation**

**Priority:** Essential

**Background:** The Gambling License Technician is the second largest group of employees, the first being the Special Agent category. The Gambling License Technician is classified as general government; but, unlike most general government positions, it is non-represented. Recent changes to civil service reform, hopefully, will allow for more flexibility in terms of compensation. The Gambling License Technician classification will not be reviewed by the Department of Personnel until fiscal year 2009.

**Solution:** In order to compensate Gambling License Technicians to the best of the Agency's ability, the Gambling License Technician Compensation and Classification Project Team was formed. The Team is sponsored by the Agency's Director and includes as active members one Assistant Director, one representative from Human Resources, one supervisor, four technicians, a recorder, and one part-time facilitator from the Department of Personnel.

**Stakeholders:** Gambling License Technicians-in-training, Gambling License Technicians, Gambling License Supervisors, Licensing Operations Division, Human Resources and Training, Business Office Division, and Agency Leadership Team

**Lead Division(s):** Licensing Operations Division

**Participating Division(s):** Licensing Operations Division, Human Resources and Training, and Business Office Division

**Start Date:** March 2006

**Finish Date:** December 2006

**How Will You Measure Success:**

- The team will submit a final report with recommendations to the Director on or before December 31, 2006.
- The team will have identified and listed issues and items that should be addressed as part of the ongoing agency salary team.
- If the team presents a proposal that complies with the parameters set forth in this document and the Director approves, it will go forward to the Department of Personnel for approval if required.

**Who Is Responsible for Measuring Success:**

- The Agency Director and the Gambling License Technician Compensation and Classification Project Team.

**Project:** **Performance Management Confirmation**

**Priority:** Essential

**Background:** Performance Management Confirmation (PMC) is one facet of the state's new performance-based human resources system. PMC affords agencies the use of additional tools to recognize and reward exceptional performance. Examples include recognition leave and recognition pay for non-represented employees/teams based on achievement of pre-defined work goals.

House Bill 1970/Executive Order 05-02: Government Management, Accountability and Performance. The Governor's management agenda includes six strategies that comprise a performance and accountability system. The strategies include alignment of employee performance with agency goals and priorities, defining expectations, holding staff accountable, and recognizing performance.

**Solution:** Develop a comprehensive implementation plan which describes key tasks, employee-related activities and key deliverables needed for successful implementation of a Performance Management Program. The plan will address requirements for successful implementation including: executive commitment and oversight; manager/supervisor support; supervisor-subordinate trust; establishing measurable differences in performance; effective communication; and funding support.

Before implementation, the proposed plan will be submitted to the Director of the Department of Personnel for verification that systems are in place to ensure performance-based human resources decisions are made in a predictable and transparent manner.

**Stakeholders:** All agency staff and leadership

**Lead Division(s):** Human Resources and Training Division

**Start Date:** June 2006

**Finish Date:** January 2008

**How Will You Measure Success:**

- Number of individual and team high performances acknowledged.
- Percentage of managers with processes for measuring progress of employees in accomplishing key results and communicating results.
- Performance Evaluation completion rate meeting requirements of timeliness, quality, and relationship to organizational goals.
- Completion rate of performance management related policies and procedures.
- Completion of performance management communication strategy and plan.

- Tracking performance pay increases by unit/region, supervisor, and classification.

**Who is Responsible for Measuring Success:**

- Human Resource and Training

**Project:** **Special Agent Compensation Plan**

**Priority:** Essential

**Background:** A project team comprised of cross-divisional representatives from the Gambling Special Agent series was formed in 2005. Their purpose was to review and recommend changes to the existing Special Agent Compensation Plan that would create broader participation and opportunities for career development and compensation.

**Solution:** By increasing value and adding endorsements, the revised plan will provide for a broader diversity in skills and knowledge that can be applied to the Special Agent job functions. The project team's proposal was reviewed and approved by the Agency Leadership Team for implementation as funds become available.

**Stakeholders:** Gambling Commission, Agency Gambling Special Agents, Supervisors and Agents-in-Charge, Licensees, Gaming Agents, Law Enforcement Agencies, and Public.

**Lead Division(s):** Human Resources and Training

**Participating Divisions(s):** Human Resources and Training

**Start Date:** 2005

**Finish Date:** 2007-2008

**How Will You Measure Success:**

- Retention measures
- Number of new endorsements authorized
- Job satisfaction survey
- Reduction of accidents and injuries
- Recruitment – increased pool of applicants

**Who Is Responsible for Measuring Success:**

- Human Resources and Training

**Project:** **Agent Safety Enhancement**

**Priority:** Essential

**Background:** In 2005 the Agency entered into a contract with the Washington State Patrol (WSP) to provide radio communication and support services for the safety of Special Agents. Special Agents work at all hours of the day in environments where alcohol and gambling occur. Radios are needed to provide sufficient coverage for Special Agents working in field assignments. A number of digital radios were purchased.

**Solution:** Continue to purchase and provide digital radios and the necessary training for Special Agents to radios.

**Stakeholders:** Washington State Gambling Commission Special Agents and Washington State Patrol/Communications

**Lead**

**Division(s):** Field Operations and Tribal and Technical Gambling Division

**Participating**

**Division(s):** Agency Leadership Team

**Start Date:** July 2006

**Finish Date:** June 2007

**How Will You Measure Success:**

- Number of Special Agent entries by Washington State Patrol Communications
- Agent Survey FY 2007

**Who Is Responsible for Measuring Success:**

- Agency Leadership Team

## Project Proposals for Goal Foster a Positive, Productive & Fulfilling Work Environment

**Project:** Standardize Promotional Opportunity Testing

**Priority:** Essential

**Background:** Procedures for promotional testing have varied from time to time. Employee surveys in 2000, 2002, and 2004 showed that questions dealing with fairness in promotions were the #1 and #3 questions, respectively, with the most standard deviation in answers. This indicates that staff view the procedures used to make promotional decisions as varying widely. One cause of this may be that procedures have often changed. Whether those changes were valid or not, the fairness of the system is called into question.

**Solution:** Create a cross-divisional project team to review current processes and create written policies and procedures outlining the processes that will be used for promotional opportunities. Where differences exist between general service and exempt employees, provide separate systems that reflect those differences. Train all staff on the policies and procedures developed to ensure understanding and consistency of application.

**Stakeholders:** Agency Staff

**Partners:** Human Resources and Training

**Lead Division(s):** Human Resources and Training

**Participating Divisions(s):** All Divisions/Units and Regions

**Start Date:** January 2006

**Finish Date:** August 2006

**How Will You Measure Success:**

- Establishment and implementation of policies and procedures
- Employee Survey results

**Who Is Responsible for Measuring Success:**

- Human Resources and Training

**Project:** **Define Supervisor Roles & Functions**

**Priority:** Essential

**Background:** Over the past several years, budget cuts and streamlining proposals have resulted in the elimination of many mid-management and supervisor positions. The most important task of supervisors is to focus on their staff. As a result, we must find the most efficient means for supervisors to develop their staff while still remaining a vital force in agency policy decision making.

**Solution:**

- Assess each supervisor position for job duties and effectiveness (based upon modern leadership theory, agency mission, and core competencies).
- Affirm or create methods/measures for ensuring objectives are met, e.g., file review, time spent in the field with staff, etc.
- Determine whether the current leadership academy is effective and where improvements can be made.
- Recommend avenues for better communication between supervisors in all units/divisions to ensure consistent information to staff.
- Revisit performance coaching to ensure an effective forum for mutual feedback at least twice a year.

**Stakeholders:** All agency supervisors and managers

**Partners:** All agency staff

**Lead Division(s):** Human Resources and Training  
Agency Leadership Team

**Participating Division(s):** All

**Start Date:** January 2006

**Finish Date:** June 2006

**How Will You Measure Success:**

- Defined and documented roles for supervisors
- Increased responsibility and accountability within the chain of command
- Decreased comments regarding supervisory leadership roles and turf in agency surveys
- Consistently trained staff with clear expectations

**Who Is Responsible for Measuring Success:**

- Agency Leadership Team

**Project:** **Expansion of Partnership Program**

**Priority:** Important

**Background:** The 2004 Employee Survey suggested that the current Partnership Program be expanded to include all staff. The program presently is for new agency employees only, scheduled quarterly or as needed. The program takes four to five days to complete, consisting of two one day meetings with each unit at Lacey Headquarters, one day at a commission meeting, one-half day attending an agency leadership team (ALT) meeting, and one day on a ride-a-long with a special agent.

**Solution:** Expand the existing Partnership Program to include all employees who would like to participate. To determine interest, an e-mail survey will be conducted with options for scheduling. We currently have approximately 100 staff members who have not participated, in addition any new employees that may be hired will be eligible to participate. Quarterly scheduling will be based on date preference and level of interest as well as consideration for staffing in each division and region. Every effort will be made to schedule attendees evenly throughout the year. The new program will begin in January 2006 and each quarter through December 2006. Following an assessment to measure success, a report will be provided to ALT members by February 2007.

**Stakeholders:** Agency staff

**Partners:** All Divisions/Units and Regions participating as hosts of the program

**Lead Division(s):** Human Resources and Training

**Participating Divisions(s):** All Divisions/Units and Regions

**Start Date:** November 2005

**Finish Date:** February 2007

**How Will You Measure Success:**

- Evaluations and number of attendees

**Who Is Responsible for Measuring Success:**

- Human Resources and Training

**Project:** Agency Conference

**Priority:** Important

**Background:** Sponsor a biennial all agency conference to build teamwork and increase internal cooperation.

**Solution:** Hold an all agency conference every other year and dedicate the necessary funds.

**Stakeholders:** Agency Staff

**Lead**

**Division(s):** Agency Leadership Team

**Participating**

**Divisions(s):** All Agency

**Start Date:** January 2007

**Finish Date:** August 2007

**How Will You Measure Success:**

- Agency conference evaluations

**Who Is Responsible for Measuring Success:**

- Agency Leadership Team

## Project Proposals for Goal Maintain a Regulatory Environment that Promotes Compliance

**Project:** Card Room Employee Training Video

**Priority:** Beneficial

**Background:** The card room employee training responsibility was transferred to card room owners as of January 1, 2003. The training materials provided to the owners/management were created for instructor-led training. The concern is that not all card rooms will deliver a consistent message to the employees or be able to deliver it in a style that will impress upon the employees the implications of violating the state law or the rules. Also, some owners may find it difficult to adequately train all new employees using the Gambling Commission provided materials. A video will be a better method to train those card room employees who are visual or kinesthetic learners.

**Solution:** Create a 15-minute training video using material from the present training program. This video would be made available to all card room owners to show to their employees as a supplement to/substitute for the hard copy training materials.

**Stakeholders:** Card room owners and employees

**Lead**

**Division(s):** Field Operations Division, Communications and Legal Division

**Participating**

**Division(s):** Licensing Operations Division

**Start Date:** July 2007

**Finish Date:** April 2008

**How Will You Measure Success:**

- Decreased number of violations by card room employees

**Who Is Responsible for Measuring Success:**

- Field Operations

**Project:** **Electronic Gambling Device Technical Standards****Priority:** Important**Background:** Electronic gambling devices are increasing in popularity. Keno systems came into the state in 1995. Since then card shufflers, bingo systems, electronic daubers, electronic pull tab dispensers, electronic card facsimile tables, Tribal Lottery Systems, promotional contest of chance devices, and tracking and record systems have been added to our regulatory enforcement program.

To stay current with new gambling activities, our agency needs to develop technical standards to test these new devices for compliance, ensure the devices operate in the way that the company represented, and ensure that licensees are operating the approved version of the device.

**Solution:** Create a project team including Field Operations and the Tribal and Technical Gambling Division (Tribal Gaming Unit and Electronic Gambling Lab) with technical advisory support from the Communications and Legal Division, to draft technical standards and rule language to incorporate the testing, review, and ongoing regulation of electronic gambling devices. The best plan of action and appropriate performance measurers will be determined by the team.**Stakeholders:** Equipment manufacturers, licensees and tribes that use the equipment, the Legislature, and the general public**Lead Division(s):** Tribal and Technical Gambling Division**Participating Divisions(s):** Field Operations Division, Communications and Legal Division**Start Date:** Immediately**Finish Date:** December 2006**How Will You Measure Success**

- Ability to measure compliance
- Implementation of standards
- Decreased operation of illegal or non-compliant devices

**Who Is Responsible for Measuring Success?**

- Field Operations Division, Tribal and Technical Gambling Division

**Project:** Licensing Training Workshops and Outreach Program**Priority:** Important**Background:** During the past several years, there have been many changes to the licensing process including changes in rules, forms, procedures, technology and, most recently, the ongoing Rules Simplification Project. All involve training or “retraining” staff and licensees. Staff often have trouble keeping current with changes, and applicants and licensees find the changes even more difficult to understand.**Solution:** Licensing staff have determined there is value in proactively communicating, educating, and informing applicants and licensees of changes and potential changes to the licensing process.

- Licensing implemented on-site training workshops for house-banked card rooms and Tribal Gaming Agencies. These two groups of licensees are responsible for approximately 14,000 of our active individual licenses or certifications. After eighteen months, we will evaluate this workshop portion of the program to determine if the program should be expanded, reduced, or discontinued
- Licensing has committed to being available at many local area Commission meetings. This portion of the project is expected to take the form of a tradeshow whereby an agent and a technician may promote licensing staff, changes in licensing (e.g., procedures, forms, rules, etc.) and answer questions. After a twelve month test period, we will evaluate to determine if the Commission meeting portion of the project should be expanded, reduced, or discontinued.

**Stakeholders:** Licensing Operations Division, Field Operations Division, Tribal and Technical Gambling Division, licensees, and applicants.**Lead Division(s):** Licensing Operations Division**Participating Divisions(s):** Licensing Operations Division**Start Date:** June 2005 (workshops); January 2006 (Commission Meeting)**Finish Date:** January 2007**How Will You Measure Success:**

- Number of workshops held and number attendees trained
- Positive survey comments received or general comments received verbally, electronically or in writing.

**Who Is Responsible for Measuring Success:**

- Agency Leadership Team

**Project:** **Additional Field Operations Supervisor**

**Priority:** Important

**Background:** Currently there are two supervisors in each region, a reduction from three per region. Supervisors are the primary source of new agent training and ongoing training of Field Agents. Field agents are required to be knowledgeable in the rules and regulations for Bingo, Punchboard/Pull-Tabs, Raffles, Amusement Games, and Card Room activities, as well as unlicensed gambling activities and criminal activities. They are required to be able to conduct both administrative and criminal investigations. Because of the large number of activities they regulate, new agents often take up to two years to become fully trained. The ever-changing environment of gambling laws and rules requires agents to rely on the knowledge and training of their supervisors as well. With only two supervisors in each region, agents are not always able to receive the training and assistance they need.

**Solution:** Adding a third supervisor in the Southwest Region would provide a better balance of supervisors to agents. The additional supervisor would be available to assist the other field operations supervisors in performing their duties, provide training to staff, and assist with case management. Adding a supervisor may allow further supervisor participation on agency teams. This additional supervisor will also help coordinate the increased emphasis on underage gambling enforcement.

**Stakeholders:** Agency Staff

**Lead Division(s):** Field Operations

**Participating Divisions(s):** Field Operations

**Start Date:** May 2006

**Finish Date:** June 2007

**How Will You Measure Success:**

- Commission approval of Decision Package authorizing supervisor position
- Increased underage gambling enforcement
- Increased training for field operations agents

**Who Is Responsible for Measuring Success:**

- Field Operations

- Project:** **Modernization of Tribal and State Regulations and Compacts**
- Priority:** Important
- Background:** The Tribal State Compacts and Appendices have not been reviewed or updated in their entirety since first signed by each tribe. Many compact provisions are different for each tribe, which has further complicated the piecemeal process used to amend specific sections as requested by a tribe.
- Solution:** Form a Tribal – State Workgroup to review each entire compact and appendices and make suggestions to improve compact understanding and regulatory enforcement.
- Stakeholders:** Tribes, Agency staff
- Lead Division(s):** Tribal and Technical Gambling Division
- Participating Divisions(s):** Communications and Legal Division and Licensing Operations Division
- Start Date:** July 2006
- Finish Date:** June 2008
- How Will You Measure Success:**
- Successful implementation of proposed compact provisions
- Who Is Responsible for Measuring Success:**
- Tribal and Technical Gambling Division

**Project:** **Underage Gambling Enforcement**

**Priority:** Essential

**Background:** Numerous complaints have been received throughout the state involving underage people being allowed to gamble at licensed facilities. Field Operations has implemented and conducted numerous underage gambling compliance inspections over the course of two years where violations have occurred. These inspections have shown that minors are able to gamble and in some cases are being served alcohol.

**Solution:** Increase the frequency of enforcement actions targeting underage gambling and develop information sharing programs to assist licensees with complying with age restrictions for gambling. Consider proposing legislation to strengthen the Gambling Commission's ability to enforce gambling age restriction laws.

**Stakeholders:** Agency Staff, Licensees, General Public, Local Law Enforcement Agencies

**Lead Division(s):** Communications and Legal Division

**Participating Divisions(s):** Communications and Legal Division, Field Operations Division

**Start Date:** June 2006

**Finish Date:** June 2007

**How Will You Measure Success:**

- Approval of underage gambling laws by the Legislature and Governor.

**Who Is Responsible for Measuring Success:**

- Communications and Legal Division

## Project Proposals for Goal Pursue Improvements & Innovations in Agency Programs & Processes

**Project:** **Gambling Information Management System**

**Priority:** Essential

**Background:** The current licensing system (Commission's Automated Records System - CARDS) was implemented approximately three years ago, after nearly two years in development. CARDS was required to migrate us off a legacy mini-computer system that was not Y2K compliant and was proving less and less useful. Since CARDS was implemented, it has undergone significant changes, primarily because of users changing requirements. Information Technology Division continues to receive many complaints about the difficulty of using the program.

**Solution:** Develop a system that meets more of the user requirements than our current system.

**Stakeholders:** All agency programs

**Lead Division(s):** Information Technology Division

**Participating Divisions(s):** Licensing Operations Division, Business Operations Division, Field Operations, Tribal Gaming and Technology Division, and , Communications and Legal Division.

**Start Date:** July 2005

**Finish Date:** June 2007

**How Will You Measure Success:**

- On-time completion of the project
- Percentage of user satisfaction (qualitative)

**Who Is Responsible for Measuring Success:**

- Information Technology Division

**Project:** **Law Enforcement Accreditation**

**Priority:** Beneficial

**Background:** Accreditation is a dynamic process that provides the public, agency management, and staff a level of assurance that systems are in place to ensure the public's business is being done properly. Accreditation symbolizes professionalism, excellence, and competence to other agencies, the public, and staff. The accreditation process mandates self-analysis and is reinforced by third party verification. We think we are the best; accreditation verifies and legitimizes the claim.

**Solution:** Apply for and seek accreditation through the Commission on Accreditation of Law Enforcement Agencies (CALEA).

**Stakeholders:** Licensees and General Public

**Lead Division(s):** Director and Agency Leadership Team

**Participating Divisions(s):** Entire Agency

**Start Date:** July 2007

**Finish Date:** June 2010

**How Will You Measure Success:**

- Receiving initial accreditation and re-accreditation every three years from CALEA.
- More positive results in the stakeholder's survey.

**Who Is Responsible for Measuring Success:**

- Agency Leadership Team

**Project:** **Tribal Licensing and Permitting Program Review****Priority:** Essential

**Background:** The Agency's Tribal Class III Certification program has existed for many years operating in essentially the same manner. Beginning in mid-2004, the program began to change significantly. External influences to the program include changes in technology; the ability of Tribes to gather information once excluded from them; various memorandums of understanding that have fragmented agency certification processing; and an expanded licensing role of the National Indian Gaming Commission. Fees for Tribal Class III Certifications are a significant source of agency revenue.

**Solution:** Assign a person at the supervisory level to comprehensively examine all Tribal-State compacts, memorandums of incorporation, memorandums of understanding, agency laws, rules, licensing procedures and processes, and Tribal Gaming Agency processes in order to evolve our roles and relationships and account for the passage of time and maturation of these roles and relationships.

**Stakeholders:** All agency staff, All Tribal Gaming Agencies, citizens of Washington

**Lead**

**Division(s):** Licensing Operations Division

**Participating**

**Divisions(s):** Licensing Operations Division, Tribal Gaming Unit, Business Operations Division, Information Technology Division, Communications and Legal Division

**Start Date:** February 2006

**Finish Date:** On or before June 2008

**How Will You Measure Success:**

- Number of changes implemented to current procedures
- Number of agreements entered into with existing Tribes
- Successfully enter into licensing agreements with Colville, Spokane and other newly Compacted Tribes
- Development of on-site tribal licensing review program
- Development of staff training program for practical implementation of the Agency's Class III Tribal certification and permitting program

**Who Is Responsible for Measuring Success:**

- Agency Leadership Team

## Project Proposals for Goal Conduct Business as Simply as Possible

**Project:** Rules Simplification

**Priority:** Essential

**Background:** To promote understandability of rules for licensees and staff and to keep government regulation of business to the minimum necessary to accomplish the Agency's mission. Having clear rules and regulations also supports the Governor's Executive Orders (#05-03) on Plain Talk and (#06-02) on Regulatory Improvement.

**Solution:** Phase I

1. Determine the most practical/effective way to review rules; i.e. a project position, outside contract, or staff review.
2. Identify necessary resources.
3. Define parameters for review and readability level.
4. Determine methodology for rules simplification: Re-organization, repealers.
5. Specifically consider rules for repeal to ensure rules add value.
6. Determine where simplification could best be achieved by statutory change and provide recommendations.
7. Provide recommendations to rules team for processing.
8. Present a proposal outlining the project including parameters, plans, costs, and duration.

Phase II

1. Acquire the necessary support and propose and implement rule changes.
2. Begin rules rewrite.
3. Form small groups of subject matter experts to review rewrite for technical correctness.
4. Invite selected outside stakeholders to participate in technical review.
5. Hold administrative level review of small group work.
6. Have input from Attorney General's Office.
7. Present draft chapters at Study Sessions.
8. Present chapters to Commission for review and vote to file.
9. Perform usability testing.

Phase III

1. Train agency staff on new rules.
2. Train outside stakeholders on new rules.

**Stakeholders:** Licensees

**Lead**

**Division(s):** Communications and Legal Division and Rules Team

**Participating****Divisions(s):** Field Operations, Licensing Operations, and Communications and Legal Division**Start Date:** October 2004**Finish Date:** March 2008**How Will You Measure Success:**

- Number of rules decreases
- Number of words decreases
- Readability increases (usability testing)
- Usability increases (usability testing)
- Number and type of violations decreases
- Number of housekeeping changes to rules decreases

**Who Is Responsible for Measuring Success:**

- Agency Leadership Team

**Project:** Online Processes

**Priority:** Essential

**Background:** In order to provide better customer service, we must make various online applications and application renewals available on the Internet. Currently, activity reports are printed in house and mailed to licensees for completion and return to the Gambling Commission. Often times, licensees make mathematical errors on reports, or return reports late.

**Solution:** Create an online system for licensees to use to file information with the Gambling Commission.

**Stakeholders:** Licensees

**Lead Division(s):** Information Technology Division

**Participating Divisions(s):** Licensing Operations Division and Financial Reporting Services

**Start Date:** September 2003

**Finish Date:** September 2006

**How Will You Measure Success:**

- On-time completion of the project
- Percentage of licensees who use the online systems

**Who Is Responsible for Measuring Success:**

- Licensing Operations Division
- Financial Reporting Services

**Project:** **Review of Licensing Fees Structure and Regulatory Fees**

**Priority:** Beneficial

**Background:** The Gambling Commission's license fee structure has remained virtually unchanged since the Agency's inception. During this time, new gambling activities have entered the Washington State market, and the Agency's regulatory/enforcement focus and priorities on these activities has also experienced several changes.

The Commission must review licensee regulatory billing rates for different regulatory units to ensure they reflect actual direct and indirect costs of the work performed. Current billing rates are not directly tied to any cost allocation to ensure the Agency captures its actual costs for its billable work.

Many tribes have expressed interest in renegotiating regulatory and certification fees agreed to in Tribal-State Compacts. Many of these compacts have been in place several years with relatively little change to fees, despite changes in the relationship between state and tribal regulation of Class III gambling facilities.

These factors make it prudent for the Commission to reexamine its fee structures to ensure they reflect current regulatory/enforcement priorities, workload, and stakeholder interests.

**Solution:** The Commission will begin analyzing its license fee structure to determine if fees for different activities and license classes are fair and consistent based on the size of those activities/classes, percentage of fees to revenues, and on workload/priorities. We will interact with stakeholders for ideas on how we can improve our fee structure to make it simpler and more effective. If legislation is necessary to enact such changes, the Agency will propose changes in law necessary to implement a new fee structure.

The Commission will also conduct a cost allocation study to determine what regulatory billings should be set at, and set rates that ensure we are recovering our costs while not over billing our licensees.

We will also meet with tribal gaming representatives to review the current fee structure and determine how it can be simplified and better reflect the interests of both the tribe and state.

**Stakeholders:** Licensed Organizations and Individuals and Class III Compacted Tribes

**Lead Division(s):** Business Operations Division

**Participating Divisions(s):** Licensing Operations Division, Tribal and Technical Gambling Division, and Field Operations Division

**Start Date:** July 1, 2006

**Finish Date:** June 30, 2008

**How Will You Measure Success:**

- Implementation of a License Fee Structure that reflects agency and stakeholder requirements
- Changes to fee structures in Tribal-State Compacts
- Variance between budget allotted billing rates and actual costs
- Percentage of tribes and manufacturers with accounts receivable past 30 days

**Who Is Responsible for Measuring Success:**

- Business Operations Division

## Project Proposals for Goal Build & Strengthen Relationships

**Project:** Rules Training Program

**Priority:** Important

**Background:** The Agency survey and assessments reveal that staff and licensees do not feel they are adequately trained on rules or changes made to rules. This project will promote rules training for staff to ensure consistent enforcement between regions, and training for licensees to increase understanding and interpretation.

**Solution:** Promote education of rules for licensees and staff, and therefore increase consistency of implementation and interpretation.

**Stakeholders:** Washington State Gambling Commission Staff and licensees

**Lead Division(s):** Rules Team

**Participating Divisions(s):** Operating Units

**Start Date:** July 2007

**Finish Date:** July 2008

**How Will You Measure Success:**

- Decrease in the number of violations

**Who Is Responsible for Measuring Success:**

- Rules Team

## Project Proposals for Goal Detect & Remove the Criminal Element from Gambling

**Project:** Internet Gambling Enforcement

**Priority:** Important

**Background:** Illegal Internet gambling is increasing even though it has never been allowed in Washington State. Organizations that offer internet gambling may not be subject to a background investigation and web based gambling sites are not subject to regulatory inspection. There is no way of knowing whether organization members are involved in criminal activity, where the money is going to, or if the games are played honestly. In addition, addicted gamblers and the personal identification of participants may be at risk and there is no way of effectively restricting internet gambling activities by children.

**Solution:** In August 2005, the Agency initiated an international, national, state and local task force to broaden and coordinate enforcement efforts of illegal Internet gambling. Part of the enforcement effort will be to increase public awareness that internet gambling is illegal in many jurisdictions, including Washington State. The agency plans to increase public awareness efforts and additional resources at the agency level may be necessary to meet state enforcement demands.

**Stakeholders:** Agency staff, local and national enforcement agencies.

**Lead**

**Division(s):** Criminal Intelligence Unit

**Participating**

**Divisions(s):** Agency Leadership Team, operational divisions

**Start Date:** January 2006

**Finish Date:** December 2009

**How Will You Measure Success:**

- Number of illegal Internet gambling investigations initiated
- Number of civil forfeiture proceedings initiated
- Quality and number of work products found by administration and operational units to provide knowledge based input to help educate and/or recommend proactive legislation or regulation on Internet gambling.

**Who Is Responsible for Measuring Success:**

- Criminal Intelligence Unit

**Project:** **Intelligence Unit Enhancement**

**Priority:** Important

**Background:** The Criminal Intelligence unit was formed in 1996 to address issues associated with the growing gambling industry. The creation of an intelligence unit allowed the Agency to formalize its ability to gather, analyze, and disseminate information of a sensitive nature that, while not constituting criminal history information, may be germane to the decision-making process. The unit's role in 2005 was proactively expanded to include strategic and tactical intelligence projects for agency administration such as analysis of criminal events at casino's and resource management.

**Solution:** Enhance the Criminal Intelligence Unit to enable it to better meet the demands of agency administration and the operational sections.

- Purchase analytical software to support intelligence and crime analysis functions.
- Enhance computer forensics capabilities.

**Stakeholders:** Agency staff, local and national enforcement agencies.

**Lead Division(s):** Criminal Intelligence Unit

**Participating Divisions(s):** Agency Leadership Team, operational divisions, and Human Resources and Training Division.

**Start Date:** July 2006

**Finish Date:** December 2006

**How Will You Measure Success:**

- Quality and number of work products found by administration and operational units to enhance their decision-making processes.
- Participation in the National Task Force and LEIU Gambling Intelligence Sharing Group.

**Who Is Responsible for Measuring Success:**

- Criminal Intelligence Unit

## Current Strategies

The Gambling Commission is a limited jurisdiction law enforcement agency with a mission to protect the public by ensuring gambling is legal and honest. As such, the strategies and goals stated in this plan relate to the Governor's Priority of Government to "Improve the Safety of People and Property."

Some strategies support goals involving employee retention, development, and positive work environment. The Agency believes a well trained and experienced staff working in a positive environment is critical in accomplishing the Agency mission and state priorities. Other strategies support goals on improving processes and conducting business as simply as possible. These strategies will help ensure the Agency is more efficient and spends time on the most important functions needed to improve public safety. Lastly, there are strategies that support voluntary regulatory compliance, strengthening relationships, and keeping the criminal element out of gambling. These goals focus on ensuring we work in partnership with licensees, other law enforcement/regulatory agencies, the public, and other stakeholders to ensure gambling is legal and honest and improve the safety of people and property.

**Strategy: Guide the Washington State Gambling Commission in developing, retaining, and valuing our employees. This will be accomplished by:**

- Providing staff with opportunities for general and specialized training.
- Recognizing and celebrate employees agency wide.
- Developing teams with membership designed to encourage a broad spectrum of representation to work on issues important to staff.
- Enhancing agency technology and equipment in order to allow the staff to work as efficiently as possible.
- Maintaining and celebrating our diverse work force.

**Strategy: To provide a positive work environment those employees will find fulfilling and lead to a productive work place. This will be accomplished by:**

- Establishing an active Safety Committee which encourages healthy living and provides ergonomic evaluations of working spaces.
- Creating a partnership program that gives participating staff members the ability to spend time with other staff members, emphasizing delegation to and participation by employees in decision-making processes.
- Helping staff become more efficient in finding information and producing a quarterly licensee newsletter with relevant information to assist licensees in complying with gambling laws and rules.

**Strategy: To create an environment that promotes regulatory compliance by:**

- Researching policies in gambling regulation and control.
- Conducting training classes for licensees in order to provide an orientation on the rules and laws regarding gambling.
- Conducting follow-up inspections as part of administrative settlement agreements.
- Providing assistance to licensees using as many venues as possible.
- Posting of information in an agency newsletter of changes to rules.
- Conducting regulatory inspections at licensees and tribal casinos.
- Conducting enforcement patrols, developing information sharing programs, and proposing legislation dealing with underage gambling.

**Strategy: To identify areas where the Washington State Gambling Commission can make improvements in programs and processes through the pursuit of innovative ideas. This will be accomplished by:**

- Conducting an internal audit of systems and internal controls.
- Developing more efficient licensing systems.
- Enhancing the effectiveness of certain specialized units.
- Seeking state law enforcement accreditation to improve the delivery of law enforcement services.

**Strategy: To develop programs to simplify the way the Washington State Gambling Commission conducts business. This will be accomplished by:**

- Simplifying the Washington State Administrative Code (WAC) rules dealing with gambling.
- Creating electronic business processes allowing for greater efficiency.
- Reviewing the licensing fee structure and regulatory fees.
- Enhancing the Agency internal and external web site to allow downloading of license application forms, and provide information to licensees, legislators, the media, and general public.
- Creating joint action teams to review and evaluate ongoing licensing processes.
- Simplifying license applications to ensure they are understood.
- Developing and updating brochures for the public and others.

**Strategy: The Washington State Gambling Commission is committed to building and strengthening internal and external relationships. This will be accomplished by:**

- Encouraging staff to participate in action teams and projects.
- Holding study sessions to allow stakeholders to voice opinions and ask questions before formal Gambling Commission meetings.
- Creating customer satisfaction questionnaires.
- Holding and participating in meetings with other law enforcement agencies to share ideas and information.
- Creating training programs for customers and employees.
- Building teamwork and increasing internal cooperation.

- Developing strategies for communicating effectively with employees, customers, and stakeholders.

**Strategy: The Washington State Gambling Commission is committed to detecting and removing criminal activities from gambling. This will be accomplished by:**

- Increasing the effectiveness of the criminal intelligence function by adding an automated criminal intelligence system for case management and telephone toll analysis.
- Using an automated fingerprint scanning system in conducting criminal background investigations of license applicants.
- Conducting undercover inspections and investigations to detect administrative and criminal violations.
- Investigating the source of funds of national and international funds used to invest in gambling businesses.
- Distributing internal and external criminal intelligence information bulletins.
- Referring cases for criminal and administrative prosecution.
- Cooperating with, and coordinating investigations with, other agencies.

## Current Activities

### Develop, Retain and Value Our Employees

#### Training

- Gambling Commission staff have several opportunities for general and specialized training, including several training programs developed within the Agency for specialized functions.
- Staff are encouraged to attend forty hours of training per year including participation in the E-Learning Network.
- Staff can take advantage of tuition reimbursement for college classes that will advance their careers.
- The Human Resources and Training Division has developed a tracking system to assist with tracking staff training.
- Because of the specialized nature of their work, Licensing Operations staff have developed dedicated training programs and staff manuals to assist in performing their jobs.
- Financial Investigations Unit Special Agents are required to have successfully completed a two-year Financial Investigative Training Program. These agents have the option to attend the Basic Law Enforcement Academy after three years.
- Field Operations and Tribal Gaming Unit Special Agents are required to have successfully completed the Basic Law Enforcement Academy.
- Basic Law Enforcement Academy graduates also receive specific training in use of force, including firearms training and other law enforcement related topics during their time with the Agency.
- All Special Agents are eligible to take the necessary classes to attain Certified Fraud Examiner or Certified Public Accountant credentials.
- The role of supervisors will be examined in an effort to identify tools or training areas which could be used to increase decision making consistency and to open better channels of communication.

#### Recruitment and Retention

- After civil service reform, the Agency now directly recruits for all positions, as well as using the state Department of Personnel.
- The law enforcement classifications within the Agency are all exempt positions. Therefore, the Agency directly hires these positions instead of using the state hiring pool.

- The Human Resources Unit developed a web-based application form that makes it easier for applicants seeking special agent employment.
- The Human Resources Unit has redesigned recruitment and testing programs to assist in hiring quality people.
- The Agency conducts extensive exit interviews with all staff when they leave the Agency. The information is used to determine whether there are any issues that should be addressed to make the Agency an even better place to work.
- For internal recruitment, the Human Resources Unit is part of a cross sectional team reviewing current promotional testing processes.
- Written policy and procedures will be created to ensure better understanding and consistency of the application of testing processes.
- The Director is the sponsor for the new Gambling Licensing Technician Classification and Compensation Committee. This committee will examine classification and compensation for the Agency's second largest group of employees. The purpose of the committee is to compensate this group of employees to the best of the Agency's ability.

**Recognition**

- There are recognition awards developed within units, departments, and for the entire agency.
- The criteria and frequency for receiving each recognition award vary with the award.
- The Human Resources and Training Division sponsors agency-wide recognition and/or quality celebrations quarterly.
- A Quality Team ensures accomplishments and contributions are recognized agency-wide by holding quarterly celebrations and through coordinating an awards program.

**Benefits**

- All employees of the Gambling Commission enjoy the standard state health, life insurance, and leave time benefits as well as retirement/benefits planning and career counseling from the Human Resources and Training Division.

**Teamwork**

- The Agency has developed several teams to work on a variety of issues important to staff.
- The membership of agency teams has been designed to encourage a broad spectrum of representation and allow employees to get to know other staff with whom they don't normally interact. It also provides an opportunity for those who are involved in the process to be involved in determining ways to improve that process.
- The Business Office has cross-trained their staff so they can assist in other areas when needed.

- The Tribal Gaming Unit has developed a teamwork approach with the tribal gaming agencies to assist them in regulation of the tribal casinos and has also developed a cross-training program to share skills and abilities.

**Diversity**

- The Human Resources and Training Division has developed recruitment outreach to assist in meeting diversity goals.
- The Gambling Commission does not discriminate when making decisions regarding hiring, promotions, or special assignments.

**Enhance Agency Technology and Equipment**

- The Agency has encouraged enhancement of agency technology and equipment in order to allow the staff to work as efficiently as possible. The leaders in identifying areas for improvement are members of the Information Technology Action Team. Examples of technology and equipment that assist staff in performing their duties are:
  - Development and improvements to the internal agency website.
  - Ensuring all agency computers, printers, and other peripherals are upgraded as needed.
  - Exploration of automation opportunities for paperwork including scanning applications, etc.

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**Foster a Positive, Productive and Fulfilling Work Environment****Work Environment and Schedule**

- The Agency offers alternatives to traditional 8AM to 5PM / Monday through Friday work schedules for most of the staff.
- Flextime and/or a flexible environment are offered to the majority of the general service staff.
- Exempt employees in the special agent work classes often are required to work evenings and weekends to perform their duties. These agents arrange their working hours within a four week cycle in order to complete the required monthly hours.
- The Agency has an active Safety Committee, participates in a Wellness Challenge event to encourage healthy living, conducts ergonomic evaluations of working spaces, and conducts Performance Coaching for supervisors and staff to enhance the working environment.
- The Partnership Program gives each participating staff member the ability to spend time with field agents and in the Headquarters office getting to know more about the full workings of the Agency and how each unit supports other units' work.

**Empowerment / Meaningful Work**

- There are a variety of ways that staff is individually empowered.
- The Agency emphasizes delegation to, and participation by, employees in decision-making.
- In the Agency, empowerment occurs at the lowest possible level for many decisions.
- The special agent positions provide a variety of work assignments including undercover assignments and significant regulation and enforcement discretion.

**Communication**

- The Agency utilizes an internal web site where all departments can post a variety of information useful to others in the Agency. This helps staff to become more efficient in finding information with less disruption of other staff.
- Postings of frequently requested items on the Agency's external web site has freed up staff time while giving the public immediate access to this information 24/7. This site includes licensee training, statistical information, and informational brochures as well as progress on licensing applications.
- A quarterly licensee newsletter is sent to all licensees with relevant information to assist them with compliance of all gambling laws and rules.
- The Agency action teams are made up of a cross-section of job classifications. This has helped create an opportunity for better communications between staff.

**Maintain a Regulatory Environment That Promotes Compliance****Training**

- Licensing staff conduct periodic training workshops at headquarters and on-site at licensed premises and Tribal Gaming Operations.
- Licensing staff are also experimenting with a license outreach program conducted in conjunction with Commission meetings at various locations throughout the state.
- The Agency requires that all licensees attend a training class prior to obtaining a license in order to provide an orientation for them on the rules and laws regarding gambling.
- Training continues after the license is issued to ensure that the licensees have knowledge of changes to rules.
- The Tribal Gaming Unit provides training to various regulatory agencies from within the state and across the nation concerning a variety of compliance issues.

**Regulating**

- Coordinate all rule revisions through an Agency Rules Team.
- Uses risk-based licensing application and approval process.
- Conduct onsite pre-licensing investigations.
- Use a criminal history record review program.
- Conduct a financial statement review program.
- Conduct nonprofit qualification review programs.
- Use an on-site citation program for certain violations known as NOVAS (Notice of Violation and Settlement).
- Monitor the frequency of inspections for all licensees.
- Perform early review of card room financial statements/quarterly reports so issues can be addressed before violations are committed.
- Conduct compliance inspections with the goal of voluntary compliance when possible.
- Conduct undercover inspections and criminal investigations.
- Issue administrative charges against licensees.
- Share tribal updates in Tribal Gaming Unit meetings.
- Maintain consistency in responses and interaction for all Tribes.

- Monitor Tribal compacts through on-site visits.
- Coordinate underage gambling emphasis patrols.
- Perform program review of the Tribal certification and permitting process.

**Compliance**

- Establish fair, consistent and timely penalties for violators.
- Include follow-up inspections as part of settlement agreements to encourage regulatory compliance.
- Issue administrative charges within 30 days and settlements prior to setting hearings.
- Gather Activity Reports from licensees.
- Distribute problem gambling information and brochures to licensees for posting.
- Develop technical standards for electronic gambling devices to ensure compliance.

**Communication**

- Conduct regular staff meetings to communicate regulatory information to all staff members.
- Communicate in a timely way between Licensing and Special Agents regarding licensees operating without a license, going out of business, and reporting late.
- Use as many venues as possible to provide licensee assistance, including the Agency Internet site, training classes, on-site visits, and answering telephone and mail inquiries.
- Post information in the Agency newsletter of changes to rules as well as the list of licensees charged for non-compliance.
- Make Internet based and written training material available to licensees.
- Hold quarterly information sharing meetings with Tribal Gaming Directors and Agents.
- Hold licensee workshop meetings or sessions with licensees.
- Provide formal and informal classes concerning compliance issues with the Tribal Gaming Unit.

**Pursue Improvements and Innovations In Agency Programs And Processes****Automation**

- Create an automated human resources evaluation tracking system for internal customers.
- Automate the application process for those seeking employment with the Agency.
- Automate a fingerprint submission process for gambling license applicants.
- Develop electronic submission of agency paperwork, forms, applications, and fees.
- Automate flagging of repeatedly late Activity Reports from licensees.
- Automate all databases to the Internet for the Electronic Gaming Lab Electronic Gambling Lab.
- Automate tribal gaming information to improve access and availability for the Agency and Tribal Gaming Agencies.
- Automate Human Resources and Training Division training records to provide access to, and tracking of, employee training.

**Computer Technology Enhancement**

- Make Tribal Forums available on the Agency Intranet.
- Create and maintain "All About Rules" website (Internet and Intranet) for use by staff and the public.
- Offer agency newsletter and commission meeting agendas online, saving printing and mailing costs.
- Provide reports to the public and other staff through the Internet.
- Post Administrative Case Update, Hearing Calendar, Closed Case Updates, Seizure Update, and other case information on the Agency Intranet.
- Distribute charges, Agreed Orders and Final Orders by e-mail.

**Communication**

- Create a new employee reference manual.
- Use video conferencing to provide agency-wide information sharing.
- Review the Licensing Operations Risk Assessment Model approach for licensing applicants.
- Create bi-monthly Supervisor/Program Manager meeting in Field Operations.

- Refine the Tribal Gaming Unit (within the Agency) philosophy to remove duplication with Tribal Gaming Agencies (within the Tribes).
- Improve Tribal Gaming Unit Internal Control guidelines.
- Modify Pre-Operational and Phase II programs in the Tribal Gaming Unit.
- Continue updates and improvements on all Tribal Gaming Unit training programs.
- Continue to coordinate Tribal visits more efficiently.
- Provide consistent answers to Business Office questions.

**Processes**

- Use a Licensing Operations steering committee/project team approach to review processes to ensure they are appropriate.
- Create a Business Office trend team.
- Establish a pilot program to purchase from central stores.
- Simplify manager review of scan and cellular telephone bills, as well as vehicle use reports.
- Review cellular phone bills and vehicle use report processes.
- Review the automated travel system and leave process within the Agency.
- Create settlement guidelines for administrative cases.
- Use Judicial Information System to access records while conducting criminal records investigations.
- Create and continue modification of test scripts for the Electronic Gambling Lab.
- Use online training through the Department of Personnel.
- Create web-based new employee orientation.
- Monitor process improvement recommendations with the Agency Quality Team.

### **Conduct Business As Simply As Possible**

#### **Computer Technology Enhancement**

- License files and renewal notices are now tracked using bar codes.
- House-banked card room licensees and tribes can now update employee license records online.
- We have also enhanced our agency web site to allow applicants to download most application forms as well as to check the status of applications once they have been submitted.
- The external web site contains a variety of useful information for licensees, legislators, the media, and general public.
- The Agency has also used a “teleform” that allows for easier data entry for staff.

#### **Processes**

- Tribal Gaming Agencies and house banked-card rooms may use an online paperless process that updates licensing records when certified Tribal Gaming Operations are no longer working.
- A review of agency process resulted in the following simplifications:
  - Card room mandatory training was incorporated into an existing process of pre-operational review and evaluation (P.O.R.E) and card room owners were given the responsibility to train their own card room employees instead of the Agency conducting classroom instruction.
  - Card Room Employees change of employment can be made by using a specially created Fax-document/process.
  - Revamped time codes for tribal billing and streamlined game approval processes in the Tribal Gaming Unit.
  - Developed an online structure that maintains tribal information needed to perform the Tribal Gaming Unit’s regulatory/monitoring function effectively.
  - Approved gambling equipment database was created for the Electronic Gaming Lab as well as Internet interface for transportation of Class III gambling devices.
  - Teams in Licensing review, evaluate, and provide ongoing recommendations for rules, applications and licensing processes.
  - Development of numerous management and exception reports to monitor, verify and/or evaluate processes, requirements, activities, and actions.
  - Continually simplify licensing applications and materials to ensure they are understood and contain only information to determine suitability and license action.

- Continually review staff needs for adequate staffing to support licensing operations applications and renewals.
- The renewal process was modified to decrease the turnaround times.

**Communication**

The Agency uses the following mediums for external as well as internal communications:

- The public and licensees are served through information and assistance using the toll-free phone number, centrally located offices, informational brochures, agency website, and special phone numbers to assist visual, hearing, and speech impaired callers.
- The Human Resource site on the Agency Intranet provides information related to each unit and unit processes.
- Licensing works with tribes to avoid duplication of efforts.
- The Agency has developed, and is continually updating, brochures for the public, applicants, and others.
- There is improved communication between agency and tribal client agencies.
- The Rules Team approach allows the Rules Coordinator to be involved in the rule-making process from the start.
- The Communications and Legal Division seeks Special Agent input regarding settlements and starts with bottom-line settlement scenarios in discussions with licensees.
- A cash flow template has been developed for nonprofit licensees to measure how much money is going back to support their nonprofit purpose.
- The Agency provides timely information by utilizing e-mail or fax when possible.
- We have begun a rules simplification project.

## **Build and Strengthen Relationships**

### **Internal Agency Relationships**

- Partnership and ride-a-long programs allow the staff to spend time with other units and become more familiar with how the Agency functions.
- All staff are encouraged to participate on action teams. This allows staff to get to know each other better through working on the projects together.
- Field Agents share information with the Criminal Intelligence Unit and vice versa.
- All units and divisions are encouraged to establish and update the Intranet site, which is user friendly and contains useful information.
- Several departments have established regular visits to other units to improve understanding and communication. The emphasis in these visits is to work out solutions to problems instead of finding fault.
- The Legal Division seeks out Special Agent assistance and input regarding cases, as well as forwarding case status reports to Program Managers and posting the information on the Agency Intranet.

### **External Relationships**

- Licensing applications have been developed and/or revised to be more user friendly.
- Correspondence is evaluated to ensure it reflects what is needed.
- Field Operations conducts routine inspections and investigates complaints from the public in order to ensure that the mission of the Agency is accomplished.
- Work Shop Study Sessions are held before each Commission meeting to allow stakeholders to voice their opinions and ask questions in a more informal environment.
- Criminal Intelligence Unit Information Bulletins are disseminated to Special Agents, Tribes, Operators, and Law Enforcement as appropriate.
- Licensing conducts workshops for Tribal Gaming and house-banked card rooms.
- Informational pamphlets have been created and provided to anyone seeking information related to gambling activities and licensing processes.
- Licensing maintains a customer satisfaction survey program.
- Inquiries, complaints, and/or recommendations from a variety of stakeholders are evaluated to determine possible changes to facilitate our processes.
- Routine and/or special informational contacts are developed with stakeholders and/or other local, state, tribal, or federal agencies, including law enforcement agencies.

- Field Operations agents attend meetings with other law enforcement agencies and encourage them to forward gambling-related incident reports.
- The Tribal Gaming Unit coordinates Tribal Gaming Agency Directors meetings and quarterly meetings with each tribe, as well as assigning a special agent as contact for each tribe.
- The Legal Division conducts quarterly meetings with the Attorney General's Office.
- The Legal Division takes extra efforts to explain the case process to licensees and applicants. Final case outcomes are published in the Agency newsletter.

**Detect and Remove the Criminal Element from Gambling****Automation**

- Increase the effectiveness of the criminal intelligence function by adding an automated criminal intelligence system for case management and telephone toll analysis.
- Use of the Judicial Information System link to access court records for criminal history record investigations.
- Use of an automated fingerprint scanning system in conducting criminal background Investigations of license applicants.

**Processes**

- Conduct emphasis patrols of underage gambling.
- Conduct undercover inspections and investigations to detect administrative and criminal violations.
- Investigate the source of funds of national and international funds used to purchase gambling businesses.
- Distribute internal and external criminal intelligence information bulletins.

## Performance Assessment

Generally speaking, the Agency's actual performance is on-target with what we expected at this point. We are, however, reassessing all of our performance measures to ensure that they are meaningful and actually tell the story on how the Agency is performing. This, coupled with the Agency implementing an internal GMAP process, will allow the Agency to better measure its performance in relationship to what our customers and stakeholders expect.

Since the Agency is just now embarking on its internal GMAP process, it is too early to identify what we have learned; we do hope to be able to identify a number of performance improvement opportunities once our GMAP process is fully in place.

The Washington State Gambling Commission is sought out by other state gaming regulatory agencies as a model and mentor organization. The Agency also provides gaming regulatory and enforcement training to other agencies. Because the Washington State Gambling Commission is considered a leader in gaming regulation and enforcement, any comparison would be made by other agencies to the Washington State Gambling Commission.

## Accomplishments

### Performance Measures

The 2003-2008 Strategic Plan articulated twenty-eight measures that would be established to measure agency progress in achieving the six goals included in that plan. Considerable progress has been made in defining, collecting and reporting on many of those measures. In the course of establishing performance tracking, the Agency concluded that fourteen of the original twenty-eight performance measures did not provide useful or relevant information, and so they were discontinued. Another two of the original measures have been changed to unit measurers rather than agency-level performance measures. The Agency is making steady progress in implementing routine, reliable reporting for these measures, but has more work to do to incorporate them into the normal reporting routines.

Work with the performance measures played a significant part in leading the Agency to conclude that the 2003-2008 Strategic Plan was missing an important goal and related measures. This new goal was introduced earlier in this updated plan. The three agency performance measures associated with it are being added, bringing the number of agency level performance measures to fifteen for the next two years.

### Projects

The 2003-2008 Strategic Plan included twenty-seven projects that were established to help meet each of the six agency goals. Each project was designated as either essential (having the highest level of commitment), important (deemed as being very important but had to be considered against other ongoing activities), or beneficial (to be pursued if it did not infringe on higher-level priorities). During the first three years of the Strategic Plan, four additional projects were created bringing the total to thirty-one.

Considerable progress has been made in completing agency projects. Nineteen of the thirty-one projects have been completed. The anticipated completion dates for six of the projects were moved back and are still being undertaken. Two projects were completed before their anticipated completion date.

Projects include a variety of cost savings and other efficiency measurers. Some of the completed projects include identifying and implementing best business practices through a business process assessment project, developing a computer based case report writing system, developing a diversity policy and training program to better help staff appreciate diversity in the workplace, enhancing and simplifying our internal communications process, and automating our FBI fingerprint submission process for persons applying for gambling licenses.

### Other Accomplishments

- Completed a major reorganization of the Agency which helped the Agency to avoid additional cuts through the 2006 Legislative Session.
- The Licensing Operations Division successfully converted thousands of documents to electronic records.

- A rules simplification project produced a final version of the first two chapters of the Gambling Washington State Administrative Code (WAC).
- A biennial employee survey was made available to all staff, giving each of them the opportunity to express their opinions regarding a wide range of topics from the effectiveness of management to their satisfaction with the job.
- Utilized teams of employees to develop new approaches and problem solving.
- Continued examinations of our programs and processes allowed the Agency to continue to identify its strengths and weaknesses with the introduction of an internal auditor.
- Imaged 16,000 license files associated with individual license holders and set up the process for imaging licensed files as they are received.

## Appendix

### Office Locations

#### Lacey Headquarters

**Mailing Address**

P.O. Box 42400  
Olympia, WA 98504-2400  
(800) 345-2529

**Location Address\***

4565 7<sup>th</sup> Avenue, S.E.  
Lacey, WA 98503  
(360) 486-3440

**Web Page**    [www.wsgc.wa.gov](http://www.wsgc.wa.gov)

#### Field Offices

**Spokane**

N. 901 Monroe, Room 240  
Spokane, WA 99201  
(509) 329-3666

**Yakima**

1703 Creekside Loop, Suite 120  
Yakima, WA 98902  
(509) 575-2820

**Everett**

3501 Colby Avenue, Suite 102  
Everett, WA 98201  
(425) 339-1728

**Renton**

451 Southwest 10<sup>th</sup> Street  
Plaza 451 Building, Suite 218  
Renton, WA 98055  
(425) 277-7014

**Tacoma**

4301 Pine Street, #307  
Tacoma, WA 98409-7206  
(253) 471-5313

**Wenatchee**

PO Box 2067  
Wenatchee, WA 98807

\*Location address does not receive US Postal Service items. Use location address only for delivery services that require the physical address such as Federal Express, UPS, etc.