

Annual Performance Plan Fiscal Year 2011

MISSION STATEMENT

The increase and diffusion of knowledge

VISION STATEMENT

Shaping the future by preserving our heritage, discovering new knowledge, and sharing our resources with the world

INTRODUCTION

The Smithsonian's annual performance plan for fiscal year 2011 is based on the Institution's Strategic Plan, Fiscal Years 2010-2015. The Strategic Plan is built around four grand challenges that provide an overarching strategic framework for Smithsonian programs and operations – Unlocking the Mysteries of the Universe; Understanding and Sustaining a Biodiverse Planet; Valuing World Cultures; and Understanding the American Experience. Strategic priorities that will enable the Institution to make leading contributions to national and global efforts in the four challenges include conducting world-class research, broadening access, revitalizing education, crossing boundaries, strengthening collections, and achieving organizational excellence. Under each strategic priority are annual organizational goals and key performance indicators that will be used to assess Institutional performance. The organizational goals are aligned with the program structure used in the Smithsonian's Federal budget documents and Enterprise Resource Planning (ERP) financial accounting system. This framework allows the Institution to focus on program results and organizational accountability as mandated by the Government Performance and Results Act (GPRA) and related Office of Management and Budget (OMB) performance standards, which include having a limited number of outcome-oriented goals and key performance indicators, and relating dollars budgeted and results achieved. The Smithsonian has made great progress in integrating performance indicators throughout the institution to track program results, and incorporating linked performance metrics in individual performance plans.

THE SMITHSONIAN'S OVERARCHING STRATEGIC FRAMEWORK: FOCUSING ON FOUR GRAND CHALLENGES

Unlocking the Mysteries of the Universe

We will continue to lead in the quest to understand the fundamental nature of the cosmos, using next-generation technologies to explore our own solar system, meteorites, the Earth's geological past and present, and the paleontological record of our planet.

• Understanding and Sustaining a Biodiverse Planet

We will use our resources across scientific museums and centers to significantly advance our knowledge and understanding of life on Earth, respond to the growing threat of environmental change, and sustain human well-being.

Valuing World Cultures

As a steward and ambassador of cultural connections, with a presence in some 100 countries and expertise and collections that encompass the globe, we will build bridges of mutual respect, and present the diversity of world cultures and the joy of creativity with accuracy, insight, and reverence.

Understanding the American Experience

America is an increasingly diverse society that shares a history, ideals, and an indomitable, innovative spirit. We will use our resources across disciplines to explore what it means to be an American and how the disparate experiences of individual groups strengthen the whole, and to share our story with people of all nations.

THE SMITHSONIAN'S STRATEGIC PRIORITIES

Sustaining Excellent Research

Broadening Access

Revitalizing Education

Crossing Boundaries

Strengthening Collections

Enabling Mission through Organizational Excellence

INDEX TO STRATEGIC PRIORITIES AND ORGANIZATIONAL GOALS

	Overarching Strategic Framework: Grand Challenges					
Unlo	Unlocking the Mysteries of the Universe		Understanding and Sustaining a Biodiverse Planet	Valuing World Cultures	Understanding the American Experience	
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STR	ATEGIC PRIORITY			ORGANIZATIONAL GOALS		
1.	SUSTAINING EXCELLENT RESEARCH	 1.1 Develop at least 2 high risk proposal for major research problems 1.2 Organize at least 1 international conference on a major research topic 1.3 Initiate planning for a signature NMAAHC scholarly publication 1.4 Refine SI-wide research metrics and implement new baseline 				
2.	BROADENING ACCESS	2.2 2.3 2.4 2.5	2.4 Facilitate development of data asset management plans for units seeking NSF funding			
3.	REVITALIZING EDUCATION					
4.	CROSSING BOUNDARIES	4.1 Launch operation of four Grand Challenge Consortia and two rounds of grant-making 4.2 Complete provisional A&I program plan				
5.	STRENGTHENING COLLECTIONS	5.2	Increase from 75% to 100% the Refine Phase 1 collections asses Develop 5-year Collections Spac	<u>.</u> ,	lans from	

6. ENABLING OUR MISSION THROUGH ORGANIZATIONAL EXCELLENCE	 6.1 Implement strategy for financing the National Campaign 6.2 Complete agreements on National Campaign roles, responsibilities, staffing, budgets, sponsorship, and donor recognition 6.3 Transform valuing of unit/central problem-solving, process efficiency, cost control, transparent decision-making and communication 6.4 Complete funded critical milestones in the internal control work plans for high risk processes 6.5 Create Secretarial initiative on increasing diversity in the professional and scholarly workforce 6.6 Benchmark SLDP and recommend follow-on initiatives to foster professional development 6.7 Meet supplier diversity goals; 80% EEO training compliance; involvement of underrepresented groups on decision-making boards and in senior level positions 6.8 Create SI-wide safety initiative to improve culture of safety 6.9 Complete critical funded milestones to open NMAAHC by 2015 6.10 Complete 25% A&I shell construction 6.11 Develop SI sustainability vision document with research and programmatic links 6.12 Raise \$175M in annual fundraising 6.13 Generate \$28M in SE revenue (total net gain) including \$500K in new initiatives 6.14 Generate non-SE revenue that is \$4M above 2010 base including indirect cost recovery 6.15 Advance research expenditures via government grants and contracts to \$108M 6.16 Achieve Federal appropriation of \$798M
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STRATEGIC PRIORITY 1: SUSTAINING EXCELLENT RESEARCH

Advance knowledge at the forefront of understanding the universe and solid Earth; Advance and synthesize knowledge that contributes to the survival of at-risk ecosystems and species; Contribute insights into the evolution of humanity and the diversity of the world's cultures, arts, and creativity; and Advance and synthesize knowledge that contributes to understanding the American experience, particularly its history, arts and culture, and its connections to other world regions

TIES TO PROGRAM CATEGORIES IN ERP:

• RESEARCH (Program Code 4XXX)

Key Performance Indicators—Sustaining Excellent Research

Key Performance Indicator	Туре	Prior year data	FY 2011 target
Number of awards for	Output	FY 2008: 415	Increase number of awards for
Smithsonian fellowships		FY 2009: 380	SI Fellows over FY 2010 level.
		FY 2010: 423	
Number of research and scholarly	Output	FY2009: 1,725	Increase number of research
publications produced		FY2010: 1,771	and scholarly publications over
			FY 2010 level.

STRATEGIC PRIORITY 2: BROADENING ACCESS

Reach new audiences and ensure that the Smithsonian's collections, exhibitions, and outreach programs speak to all Americans and are relevant to visitors who come from around the world.

TIES TO PROGRAM CATEGORIES IN ERP:

- PUBLIC PROGRAMS (Program Code 1XXX)
 - WEB DEVELOPMENT ACTIVITIES IN SUPPORT OF PUBLIC PROGRAMS
 - **O IT ACTIVITIES IN SUPPORT OF PUBLIC PROGRAMS**
- **EXHIBITIONS** (Program Code 2XXX)

Key Performance Indicators—Broadening Access

Key Performance Indicator	Туре	Prior year data	FY 2011 target
Average percent of surveyed	Outcome. Visitor	FY 2008: 71% excellent +	68% excellent + superior
audiences rating their experience	satisfaction is a	superior	
in SI exhibitions as "superior" or	standard indicator of	FY 2009: 69% excellent +	
"excellent" on a five-point scale	museum/zoo success	superior	
		FY 2010: 67% excellent +	
		superior	
Number of physical visits to SI	Output. Indicator	FY 2008: 24M	30 million
museums and the National Zoo	of museum/zoo	FY 2009: 30 M	
	success	FY 2010: 29.9 M	
Number of SI website visitor	Output. Indicator	FY 2008: 172.7 M	183 million
sessions	of level public use of	FY 2009: 188.4 M	
	SI resources via Web	FY 2010: 182 M	
Number of visitors to Smithsonian	Output. Indicator	FY 2008: 5.15 M	5.0 million
(SITES) traveling exhibitions	of extent/success of	FY 2009: 4.75 million	
	outreach and	FY 2010: ~5.0 M visitors	
	national access to SI		
	resources		
Number of Smithsonian (SITES)	Output. Indicator	FY 2008: 58 exhibits, 510	54 exhibits to 500 venues in
traveling exhibitions and	of extent/success of	venues, 50 states + DC,	all 50 states
geographic distribution	outreach and	Guam, American Samoa	
	national access to SI	FY 2009: 52 exhibits, 697	
	resources	venues, 50 states + DC,	
		Guam, American Samoa	
		FY 2010: 54 exhibits, 512	
		venues, 50 states + DC, Guam	
		and U.S. military bases in 10	
		countries	
Number of Smithsonian Affiliates	Output. Indicator	FY 2008: 162 Affiliates in 40	168 Affiliates in 41 states
and geographic distribution	of extent/success of	states, DC, PR, Panama	
	outreach and	FY 2009:165 Affiliates in 41	
	national access to SI	states, DC, PR, Panama	
	collections	FY 2010:166 Affiliates in 41	
		states, DC, PR and Panama	

STRATEGIC PRIORITY 3: REVITALIZING EDUCATION

Inspire people to probe the mysteries of the universe and planetary systems; Inspire all generations of learners to turn knowledge of life on Earth into awareness and action aimed at improving sustainability; Inspire audiences to explore the cultural and artistic heritage of diverse peoples; and Turn knowledge into awareness, action, and results that encourages American cultural vitality.

TIES TO PROGRAM CATEGORIES IN ERP:

• EDUCATION (Program Code 11XX)

Key Performance Indicator—Revitalizing Education

Key Performance Indicator	Туре	Prior year data	FY 2011 target
Number of people participating	Output. Indicator	FY 2008: 5.3 million	5.8 million
in Smithsonian education	of level of public	participants/users in 9 program types	participants
programs.	use/quality of SI	FY 2009: 5.8 million participants; 1.5	2.0 million receive
	education	million received educational	education
	programs	publications	publications
		FY 2010: 5.6 million participants; 1.9	
		million received educational	
		publications	

STRATEGIC PRIORITY 4: CROSSING BOUNDARIES

Maximize the Smithsonian's impact on complex issues and problems by marshaling resources across disciplines and strengthening external relationships.

TIES TO PROGRAM CATEGORIES IN ERP:

- FACILITIES (Program Code 5XXX)
- PUBLIC AND GOVERNMENT AFFAIRS (Program Code 8400)

STRATEGIC PRIORITY 5: STRENGTHENING COLLECTIONS

Strengthen collections stewardship to ensure the vitality and accessibility of the Smithsonian's vast and diverse collections.

TIES TO PROGRAM CATEGORIES IN ERP:

• COLLECTIONS (Program Code 3XXX)

Key Performance Indicators—Strengthening Collections

Key Performance Indicator	Туре	Prior year data	FY 2011 target
Number of collecting units meeting goals for current policies/plans of four types: collections management policy; collections plan; cyclical inventory plan; and digitization plan	Output. Indicator of established standards and sound management practices for collections development, refinement, control, and access.	FY 2008: Individual performance targets met FY 2009: 50% of SI collecting units have Collections Management Plans FY 2010: 100% of units have collections policies; 76% of units have Phase 1 collections plans	100% of units have Phase 1 collections policies 80% of units have Phase 1 collections plans
Percent of SD 600 collections digitized	Output. Indicator of public access to SI collections		FY 2011 baseline: 13% of collection items and lots 3% of archival collections measured by cubic feet 14% of archival collections measured by linear feet

STRATEGIC PRIORITY 6: ENABLING OUR MISSION THROUGH ORGANIZATIONAL EXCELLENCE

Strengthen those organizational services that allow us to deliver on our mission

TIES TO PROGRAM CATEGORIES IN ERP:

- PERFORMANCE MANAGEMENT (Program Code 81XX)
- HUMAN RESOURCE MANAGEMENT (Program Code 8200)
- **DIVERSITY/EEO** Program Code 8210)
- **PROCUREMENT AND CONTRACTING** (Program Code 8600)
- **INFORMATION TECHNOLOGY** (Program Code 7XXX)
- FINANCIAL MANAGEMENT (Program Code 8300)

Key Performance Indicators – Organizational Excellence

Key Performance Indicator	Туре	Prior year data	FY 2011 target
Completion rate for senior-level (SL) and non-senior level performance appraisals	Output	FY 2008: 100% SL and 99.6% non-SL FY 2009: 100% SL and 98.4% non-SL FY 2010: 100% SL and 99.8% non-SL	100% SL and 99.8% non-SL
Workdays to complete recruitment action against OPM End to End Hiring Model	Efficiency	FY 2010: 160.88 days	Goal of 80 days (new measure)
Percent of processed job requisitions meeting the OPM 80 day standard	Efficiency	FY 2009: 20% FY 2010: 24%	25%
Percent of SI contract actions completed within Federal Standards Time Frames	Efficiency	FY 2008: 90% FY 2009: 89.6% FY 2010: 90%	90%
Business days to process unit service requests	Efficiency	FY 2008: 2 days FY 2009: 2 days FY 2010: 1.25 days	Goal of 5 days
Percent of employees who are satisfied with working at the Smithsonian on annual employee survey	Outcome. Employee satisfaction is a standard indicator of a healthy organization	FY 2008: 78% FY 2009: 80% FY 2010: 84%	85%
Percent of minorities in the Smithsonian workforce	Output	2008 2009 2010 Nat Am 1.9 1.9 1.8 Asian 5.1 5.2 5.4 NHPI 0.2 0.2 0.2 Black 30.9 30.9 30.8 Hispanic 4.7 4.6 4.6	Meet or exceed DC Metro Civilian Labor Force (CLF) statistics
Percentage of EEO training compliance	Process	New KPI	80%
Network Availability (email, file & print, directory, network servers and network switches and routers during normal business hours)	Output	FY 2008: 99.99% FY 2009: 99.99% FY 2010: 99.99%	99.99%

Key Performance Indicator	Туре	Prior year data	FY 2011 target
Customer satisfaction with quality and timeliness of IT services	Outcome	FY 2008: Quality 99.13%; Timeliness 98% FY 2009: Quality 98.2% Timeliness 97.5% FY 2010: Quality 99.17% Timeliness 98.74%	Quality 98% Timeliness 97%

TIES TO PROGRAM CATEGORIES IN ERP:

- **SECURITY & SAFETY** (*Program Code 6XXX*)
- FACILITIES (Program Code 5XXX)

Key Performance Indicators – Facilities Capital/ Maintenance and Safety/Security

Key Performance Indicator	Туре	Prior year data	FY 2011 target
Percent of available capital funds obligated compared to funds available	Efficiency (obligation rate is indicator in initiating capital work in a timely manner)	FY 2008: 87% FY 2009: 86.5% FY 2010: 87.5%	85%
Number of major capital projects meeting milestones	Output	FY 2008: Met milestones on 6 of 9 major projects FY 2009: Met milestones on 9 of 11 major projects FY 2010: Met milestones on 10 of 11 major projects	Meet milestones on all 7 major projects
Revitalization of public space, National Museum of American History (NMAH)	Output	FY 2008: Not met due to project delay (asbestos; contactor scheduling FY 2009: NMAH reopened to the public 11/21/08; design of garage infill was completed and design for West Wing revitalization underway FY 2010: Awarded contract for garage infill. Completed 35% design for West Wing revitalization	Convert garage into swing space to 70% completed. Complete 95% design for West Wing revitalization.

Key Performance Indicator	Туре	Prior year data	FY 2011 target
National Zoological Park ongoing revitalization	Output	FY 2008: Not met due to project delay (longer design period to resolve budget and scope issues) FY 2009: Extensive punch list delayed completion of barn and habitat 2 & 3. Work has begun on the Community Center and habitat 1. The most urgent structural repairs for GSB were completed. Seal/Sea Lion contract was awarded. Met target for fire protection projects. FY 2010: AT is behind schedule, but other NZP targets were met. Contractor issues delayed Phase I completion, Phase II is under way with a new contractor. Construction is 20% complete on Seal/Sea Lion project. 35% design complete on education facility.	Complete Construction to 80% on Seal/Sea Lion project.
Revitalization of National Museum of Natural History space ongoing building renovation	Output	FY 2008: Milestones met. FY 2009: Base construction work in west wing basement completed, work on subsequent modifications to be completed in mid-2010. Completed SW 3 rd Floor revitalization. Work on NE ground floor and LAB are underway. FY 2010: Targets met, West Wing first and ground floor construction at 30%.	Complete 75% of West Wing construction.
Revitalization of the Arts and Industries Building	Output	FY 2008: Milestones met. Concluded RFQ process; began "possibility study" of restoration and revitalization FY 2009: Completed historic structure report and structural survey. Masonry repairs underway. FY 2010: Targets met, critical masonry repairs were completed and shell contract awarded	Complete 25% of A&I shell construction

Key Performance Indicator	Туре	Prior year data	FY 2011 target
Design and construct National Museum of African American History & Culture	Output	FY 2008: Milestones met. FY 2009: Architectural program was completed and design firm was selected. FY 2010: Awarded design contract; began schematic designs	Award Construction Management at Risk Contract
Construction of Mathias Laboratory at SERC	Output	FY 2009: Design contract awarded FY 2010: Target met, design completed.	Complete 10% construction
Construction of Gamboa Lab (replace Santa Cruz School)	Output	FY 2009: Design delayed. Pre-design contract awarded September FY 2010: Targets met, contract awarded in September	Start construction
Percent of revitalization projects designed to 35% prior to request for construction funding	Efficiency (35% design prior to funding improves cost estimates; early award avoids cost escalation and project delays)	FY 2008: 50% Not met due to changes in priorities and lack of funding in Planning & Design FY 2009: 80% target not met due to lack of planning funds, a minor delay on design of the Mathias Lab, and a major design delay on the Gamboa project. FY 2010: 80% target not met due to lack of planning funds. Excluding NMAAHC, 67% of major revitalization funding was for projects designed to 35%.	Complete 35% design prior to Congressional budget submission for 80% of major projects in the FY 2012 capital program
Percent of major projects completed within budget compared to initial government estimate at construction start	Output/ Efficiency (control of change orders and scope avoids costs/delays)	FY 2008: 100% FY 2009: 100% FY 2010: 100%	100%
Progress in improving average Facility Condition Index (FCI) of SI facilities	Output. Long range target is 96% (Good) by 2017. Higher % shows improvement in condition.	FY 2008: FCI = 86.1% FY 2009: FCI = 86% FY 2010: FCI = 86.9%	86.5%

Key Performance Indicator	Туре	Prior year data	FY 2011 target
Number of major projects in which the change from the 35% design cost estimate to final project completion cost is within ±15% per industry standards	Efficiency (indicates cost, scope & schedule control during project development and construction-results in cost avoidance)	FY 2009: Target met. The NMNH Third Floor project incurred additional costs due to lead contamination — an unknown condition. The base construction work met the target. FY 2010: Target (2 of 2 major projects) met, MSC Greenhouses and NASM electrical system	1 of 1 major projects
Planned maintenance cost as percent of total annual maintenance costs	Efficiency (a higher proportion planned vs. unplanned maintenance is indicator of more efficient use of available resources)	FY 2008: 53% FY 2009: 55% FY 2010: 50%	55%
Systems meet reliability targets	Output	FY 2008: Targets met for 5 of 5 systems FY 2009: Targets met for 5 of 5 systems FY 2010: Targets met for 5 of 5 systems	Meet targets for 5 of 5 systems
Improve level of cleanliness from Moderate Dinginess (level 4) to Orderly Tidiness (level 2) on APPA scale	Output	FY 2008: Maintained APPA Appearance level 3 (Casual Inattention) FY 2009: Maintain APPA level 3 FY 2010: Maintain APPA level 3	Maintain APPA level 3

Financial Strength

TIES TO PROGRAM CATEGORIES IN ERP:

- **DEVELOPMENT** (Program Code 9XXX)
- SMITHSONIAN ENTERPRISES (SE) AND UNIT BUSINESS ACTIVITIES (Program Code 01XX)
- **INVESTMENT MANAGEMENT** (*Program Code 8310*)

Key Performance Indicators—Financial Strength

Key Performance Indicator	Туре	Prior year data	FY 2011 target
Dollar amount of (1) voluntary support (gifts) and (2) non-government grants and contracts	Input	FY 2008: \$135.6 M FY 2009: \$126.6 million FY 2010: \$158.4 million	\$175 million
Research Expenditures for SI grants & contracts awarded	Output	New KPI FY 2010: \$104.8M	\$108M (3% increase over FY2010 level)
Dollar amount of SE net gain	Input	FY 2008: \$26.7 M FY 2009: \$26 million FY 2010: \$27.8 million	\$28 million (to include \$500 K in new initiatives)
Dollar amount of non-SE new revenue generation (indirect cost recovery and other unit activities)	Input	New KPI	\$24.7 million (\$4 million above 2010 base)

Acronym or Abbreviation	Full Text
A&I/ AIB	Arts and Industries Building
AAA	Archives of American Art
ACM	Anacostia Community Museum
BCI	Biological Conservation Institute (NZP facility in Front Royal, VA)
CFCH	Center for Folklife and Cultural Heritage
CHNDM	Cooper-Hewitt National Design Museum
CIS	Collections Information System
CRC	Cultural Resources Center (NMAI facility in Suitland, MD)
DWRC	Donald W. Reynolds Center for American Art and Portraiture
ERP	Enterprise Resource Planning
FSG	Freer & Sackler Galleries
GGHC	George Gustav Heye Center
HMSG	Hirshhorn Museum and Sculpture Garden
MCI	Museum Conservation Institute

Acronym or Abbreviation	Full Text
MSC	Museum Support Center
NASM	National Air and Space Museum
NCP	National Collections Program
NMAAHC	National Museum of African American History and Culture
NMAfA	National Museum of African Art
NMAH	National Museum of American History
NMAI	National Museum of the American Indian
NMNH	National Museum of Natural History
NPG	National Portrait Gallery
NPM	National Postal Museum
NSRC	National Science Resources Center
NZP	National Zoological Park
OCFO	Office of the Chief Financial Officer
OCIO	Office of the Chief Information Officer
OCon&PPM	Office of Contracting & Personal Property Management
OD	Office of Development
OEC	Office of Exhibits Central
OEEMA	Office of Equal Employment and Minority Affairs
OF	Office of Fellowships
OFEO	Office of Facilities, Engineering and Operations
OGC	Office of the General Counsel
OGR	Office of Government Relations
OHR	Office of Human Resources
OP&A	Office of Policy and Analysis
OPA	Office of Public Affairs
ОРМВ	Office of Planning, Management and Budget
OPS	Office of Protection Services
OSP	Office of Sponsored Projects
OUSFA	Office of the Under Secretary for Finance and Administration/CFO

Acronym or Abbreviation	Full Text
OUSHAC	Office of the Under Secretary for History, Art, and Culture
OUSS	Office of the Under Secretary for Science
POB	Patent Office Building
Quad	Quadrangle Building
RG	Renwick Gallery
SAAM	Smithsonian American Art Museum
SAO	Smithsonian Astrophysical Observatory
SE	Smithsonian Enterprises
SCEMS	Smithsonian Center for Education and Museum Studies
SERC	Smithsonian Environmental Research Center
SI	Smithsonian Institution
SIA	Smithsonian Institution Archives
SIB	Smithsonian Institution Building (Castle)
SIL	Smithsonian Institution Libraries
SISC	Smithsonian Institution Service Center
SITES	Smithsonian Institution Traveling Exhibition Service
STRI	Smithsonian Tropical Research Institute
TSA	The Smithsonian Associates
UHC	National Air and Space Museum: Steven F. Udvar-Hazy Center