



Smithsonian
Institution

Annual Performance Plan
Fiscal Year 2012

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 2012 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), GPRA Modernization Act of 2010, 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			
Unlocking the Mysteries of the Universe	Understanding and Sustaining a Biodiverse Planet	Valuing World Cultures	Understanding the American Experience
STRATEGIC PRIORITY	ORGANIZATIONAL GOALS		
1. SUSTAINING EXCELLENT RESEARCH	<ul style="list-style-type: none"> Establish the Smithsonian as national leader in each Grand Challenge area by pursuing comprehensive strategies that build upon SI strengths in research, collections, exhibitions, education and outreach and emphasize interdisciplinary and collaborative activity 		
2. BROADENING ACCESS	<ul style="list-style-type: none"> Broaden access to and invite collaboration with new and diverse audiences using a variety of tools of engagement 		
3. REVITALIZING EDUCATION	<ul style="list-style-type: none"> Clarify and expand SI's leadership role in education for learners of all ages 		
4. CROSSING BOUNDARIES	<ul style="list-style-type: none"> Grand Challenge Consortia to move forward in stimulating interdisciplinary, pan-institutional scholarship and outreach 		
5. STRENGTHENING COLLECTIONS	<ul style="list-style-type: none"> Strengthen collections stewardship to ensure the vitality and accessibility of the Smithsonian's vast and diverse collections 		
6. ENABLING OUR MISSION THROUGH ORGANIZATIONAL EXCELLENCE	<ul style="list-style-type: none"> Build financial strength and ensure accountability Optimize SI assets by developing and sustaining physical infrastructure, information technology, capabilities and human capital Cultivate SI as a learning organization committed to openness, inclusion, innovation, continuous improvement and cost efficiency 		

STRATEGIC PRIORITY 1: SUSTAINING EXCELLENT RESEARCH

Focusing on the Four Grand Challenges: 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	Type	Prior year data	FY 2012 target	FY 2012 Actual
Number of peer-reviewed publications (calendar year)	Output	2011: 1,846	2012: 1,800	
Number of fellows offered an award and research associates	Output	FY 2011: 520	Increase over FY 2011	
Number of Grant and Contract proposals submitted	Output	FY 2010: 725 FY 2011: 647	Increase over FY 2011	

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

Key Performance Indicators—Broadening Access

Key Performance Indicator	Type	Prior year data	FY 2012 target	FY 2012 Actual
Number of physical visits to SI museums and the National Zoo	Output. Indicator of museum/zoo success	FY 2009: 30 M FY 2010: 29.9 M FY 2011: 29.2 M	29.5 million	
Number of unique visitors to SI websites	Output. Indicator of level public use of SI resources via Web	New KPI FY 2011: 88.8 million	100 million	
Number of major exhibitions opened	Output	FY 2010: 82 FY 2011: 90	85	
Number of Smithsonian traveling exhibition venues	Output. Indicator of outreach success and national access to SI resources	FY 2010: 512 venues, 50 states and overseas FY 2011: 492 venues, 50 states and overseas	500 venues in all 50 states and overseas	
Number of Smithsonian Affiliates in 41 states	Output. Indicator of extent/success of outreach and national access to SI collections	FY 2009:165 Affiliates in 41 states, DC, PR, Panama FY 2010:166 Affiliates in 41 states, DC, PR and Panama FY 2011:170 Affiliates in 41 states, DC, PR and Panama	170 Affiliates in 41 states	

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	Type	Prior year data	FY 2012 target	FY 2012 Actual
Number of people served by Smithsonian education programs.	Output. Indicator of level of public use/quality of SI education programs	FY 2009: 5.3 million participants FY 2010: 5.3 million participants FY 2011: 6.3 million participants	6.0 million participants	

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:

- **PUBLIC AND GOVERNMENT AFFAIRS** (*Program Code 8400*)

Key Performance Indicator	Type	Prior year data	FY 2012 target	FY 2012 Actual
Number of Grand Challenges Consortia grants awarded	Output. Indicator of Consortia success	CY 2010: 29 awards CY 2011: 29 awards	Increase over CY 2011	

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	Type	Prior year data	FY 2012 target	FY 2012 Actual
Percent of collections groups in “appropriate” condition. SI cares for 757 named collections encompassing 140 million objects, archival items, and library volumes, and more than 100 thousand cubic feet of archival material. To attain “Appropriate Condition,” the collections must have been assessed at a rating of 3 or above on a 5 point scale (1 = lowest and 5 = highest) for each of the four condition elements (storage equipment/housing; preservation; physical access; and collections space).	Outcome. Indicator of established standards and sound management practices for collections	2011: 343 (45%)	Increase over calendar year 2011	
Percent of collection holdings digitized	Outcome. Indicator of public access to SI collections	New KPI FY 2011: 8.5%	9.0%	

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:

- **FACILITIES** (*Program Code 5XXX*)
- **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	Type	Prior year data	FY 2012 target	FY 2012 Actual																																				
Workdays to complete recruitment action against OPM End to End Hiring Model	Efficiency	FY 2010: 160.9days FY 2011: 136.1 days	Goal of 80 days																																					
Percent of SI contract actions completed within Federal Standards Time Frames	Efficiency	FY 2009: 90% FY 2010: 90% FY 2011: 91%	90%																																					
Business days to process unit service requests	Efficiency	FY 2009: 2 days FY 2010: 1.25 days FY 2011: 3 days	Goal of 3 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 2009: 81% FY 2010: 84% FY 2011: 82%	85%																																					
Percent of workforce diversity by race/ethnicity	Output	<table><thead><tr><th></th><th>2009</th><th>2010</th><th>2011</th></tr></thead><tbody><tr><td>Nat Am</td><td>1.9</td><td>1.8</td><td>1.8</td></tr><tr><td>Asian</td><td>5.2</td><td>5.4</td><td>5.4</td></tr><tr><td>NHPI</td><td>0.2</td><td>0.2</td><td>0.2</td></tr><tr><td>Black</td><td>30.9</td><td>30.8</td><td>30.6</td></tr><tr><td>Hispanic</td><td>4.6</td><td>4.6</td><td>4.5</td></tr></tbody></table>		2009	2010	2011	Nat Am	1.9	1.8	1.8	Asian	5.2	5.4	5.4	NHPI	0.2	0.2	0.2	Black	30.9	30.8	30.6	Hispanic	4.6	4.6	4.5	<table><tbody><tr><td colspan="2">Meet CLF std</td></tr><tr><td>Nat A</td><td>0.5</td></tr><tr><td>Asian</td><td>7.0</td></tr><tr><td>NHPI</td><td>0.1</td></tr><tr><td>Black</td><td>24.1</td></tr><tr><td>Hispanic</td><td>8.1</td></tr></tbody></table>	Meet CLF std		Nat A	0.5	Asian	7.0	NHPI	0.1	Black	24.1	Hispanic	8.1	
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Customer satisfaction with quality and timeliness of IT services	Outcome	FY 2009: Quality 98.2% Timeliness 97.5% FY 2010: Quality 99.17% Timeliness 98.74% FY 2011: Quality 98.6% Timeliness 98.2%	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	Type	Prior year data	FY 2012 target	FY 2012 Actual
Percent of available capital funds obligated compared to funds available	Efficiency (obligation rate is indicator in initiating capital work in a timely manner)	FY 2009: 86.5% FY 2010: 87.5% FY 2011: 91%	85%	
Number of major capital projects meeting milestones	Output	FY 2009: Met milestones on 9 of 11 projects FY 2010: Met milestones on 10 of 11 projects FY 2011: Met milestones on 5 of 7 projects	Meet milestones on all 7 major projects	
Revitalization of National Museum of American History Public Space III	Output	New project (FY 2012-2014)	Award construction contract	
Revitalization of the National Zoological Park Seal/Sea Lion project	Output	FY 2009: Seal/Sea Lion contract was awarded. FY 2010: Construction is 20% complete on Seal/Sea Lion project. FY 2011: Construction is 80% completed on Seal/Sea Lion project.	Complete Construction on Seal/Sea Lion project.	
Complete facilities earthquake damage remediation plan	Output	New project	Complete plan/start repairs	
Revitalization of the Arts and Industries Building	Output	FY 2009: Completed historic structure report and structural survey. Masonry repair ongoing FY 2010: Targets met, critical masonry repairs were completed and shell contract awarded FY 2011: Shell construction is 25% completed	Complete 50% of A&I shell construction	

Key Performance Indicator	Type	Prior year data	FY 2012 target	FY 2012 Actual
Design and construct National Museum of African American History & Culture	Output	FY 2009: Architectural program was completed and design firm was selected. FY 2010: Awarded design contract; began schematic designs FY 2011: Awarded Construction Management at Risk Contract in July	Design 65% Construction: 10% Excavation: 30%	
Construction of Mathias Laboratory at SERC	Output	FY 2009: Design contract awarded FY 2010: Target met, design completed. FY 2011: Completed 4% construction(hurricane/storms delayed construction)	Complete 50% construction	
Construction of Gamboa Lab (replace Santa Cruz School)	Output	FY 2009: Design was delayed. A pre-design contract awarded in September FY 2010: Targets met, contract awarded in September FY 2011: Permit issues have pushed start of construction to FY12	Construction: 10%	
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 2009: 80% target not met due to lack of planning funds, FY 2010: 80% target not met due to lack of planning funds. FY 2011: 80% target not met due to lack of planning funds.	Complete 35% design prior to Congressional budget submission for 80% of major projects in the FY 2012 capital program	
Percentage of buildings with Facilities Condition Index (FCI) over 90%	Output. Higher % shows improvement in buildings condition	FY 2010: 65.8% FY 2011: 66.7%	67%	

Key Performance Indicator	Type	Prior year data	FY 2012 target	FY 2012 Actual
Planned maintenance cost as percent of total annual maintenance costs	Efficiency — a higher proportion planned vs. unplanned is indicator of more efficient use	FY 2009: 55% FY 2010: 50% FY 2011: 55%	55%	
100% of facilities at level 3 “managed care” for cleanliness on the APPA scale	Output. Shows improvement in buildings cleanliness	FY 2010: Maintained Level 3 FY 2011: Maintained Level 3	Maintain APPA Level 3	
Safety: total recordable case rate (injuries per 100 employees)	Output (annual basis)	2010: 3.43 2011: 3.33	3.00	

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	Type	Prior year data	FY 2012 target	FY 2012 Actual
Dollar amount of (1) voluntary support (gifts) and (2) non-government grants	Input	FY 2009: \$126.6 million FY 2010: \$158.4 million FY 2011: \$182.1 million	\$200 million	
SI Government grants & contracts and non-government contract awards	Output	FY 2010: \$137.6 million FY 2011: \$150.1 million	\$150 million	
Smithsonian Enterprises net gain	Input	FY 2009: \$26 million FY 2010: \$27.8 million FY 2011: \$29.1 million	\$29.2 million	