



Smithsonian
Institution

Annual Performance Plan
Fiscal Year 2016

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 2016 is based on the Institution's Strategic Plan, Fiscal Years 2010-2017. The Strategic Plan is built around four grand challenges which 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, which will enable the Institution to lead 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 which 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 new Smithsonian Dashboard shares metrics related to its core activities and performance with the public at <http://dashboard.si.edu/>.

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

- **Unlocking the Mysteries of the Universe**

We will 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 involving scientific museums and research 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 more than 100 countries and expertise and collections encompassing 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 the American 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 that 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, management 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 Indicators	Type	Prior-year data	FY 2016 target	FY 2016 actual
Number of peer-reviewed publications	Output	FY 2012: 2,049 FY 2013: 1,955 FY 2014: 1,945 FY 2015: 2,295	FY 2016: 2,100	
Number of Fellows in residence	Output	FY 2012: 819 FY 2013: 799 FY 2014: 720 FY 2015: 761	Maintain current level	
Number of Grant and Contract proposals submitted	Output	FY 2012: 693 FY 2013: 651 FY 2014: 614 FY 2015: 589	Increase over FY 2015	

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 Indicators	Type	Prior- year data	FY 2016 target	FY 2016 actual
Number of physical visits to SI museums and the National Zoo	Output. Indicator of museum/zoo success	FY 2012: 30.3 M FY 2013: 30.6 M FY 2014: 26.8 M FY 2015:28.2 M	28.5 million	
Number of unique visitors to SI websites	Output. Indicator of level of public use of SI resources via Web	FY 2012: 102.6 million FY 2013: 140 million FY 2014: 99.9 (revised counting method) FY 2015:106.7	107 million	
Number of Social media contacts <ul style="list-style-type: none"> • Facebook “likes” • Twitter followers 	Output. Indicator of level of public use of SI resources	FY 2012: Facebook 1.0 million; Twitter 1.4 million FY 2013: Facebook 1.5 million; Twitter 2.0 million FY 2014: Facebook 2.9 million; Twitter 2.6 million FY 2015: Facebook 4.0 million; Twitter 3.9 million	Increase over 2015	
Number of Smithsonian traveling exhibition venues	Output. Indicator of outreach success and national access to SI resources	FY 2012: 455 venues, 50 states and overseas FY 2013: 445 venues, 50 states and overseas FY 2014: 263 locations in all 50 states and overseas (changed counting from venue events to locations) FY 2015: 386 locations in 49 states and overseas	380 venues in all 50 states and overseas	
Number of Smithsonian Affiliates	Output. Indicator of extent/success of outreach and national access to SI collections	FY 2012:176 Affiliates in 41 states, DC, PR, Panama FY 2013:181 Affiliates in 43 states, DC, PR, Panama FY 2014:197 Affiliates in 44 states, DC, PR, Panama FY 2015:205 Affiliates in 45 states, DC, PR, Panama	210 Affiliates in 45 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 encourage 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 2016 target	FY 2016 actual
Number of people served by Smithsonian education programs.	Output. Indicator of level of public use/quality of SI education programs	FY 2012: 4.7 million participants FY 2013: 5.0 million participants FY 2014: 4.6 million participants FY 2015: 5.2 million participants	5.2 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*)

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 Indicators	Type	Prior-year data	FY 2016 target	FY 2016 actual
<p>Percentage of museum collections (objects and specimens) that meets/exceeds unit standards for:</p> <ul style="list-style-type: none"> • Physical Condition: Measures the need for intervention to prevent further or future deterioration of the collections. • Housing Materials: Measures the appropriateness and stability of the materials used to house or contain collections. • Storage Equipment: Measures the appropriateness of equipment intended to provide long-term protection of the collection. • Physical Accessibility: Measures the extent to which the collection is organized, arranged, located, and retrieved for intended use. 	<p>Outcome. Indicator of established standards and sound management practices for collections</p>	<p>2013: 138 M objects/specimens</p> <ul style="list-style-type: none"> • Physical Condition: 72% • Housing Materials: 66% • Storage Equipment: 65% • Physical Accessibility: 85% <p>2014: 138 M objects/specimens</p> <ul style="list-style-type: none"> • Physical Condition: 73% • Housing Materials: 68% • Storage Equipment: 66% • Physical Accessibility: 86% <p>2015: 154 M objects/specimens¹</p> <ul style="list-style-type: none"> • Physical Condition: 73% • Housing Materials: 69% • Storage Equipment: 69% • Physical Accessibility: 87% 	<p>Increase over prior year</p>	
<p>Percentage of museum collections (objects and specimens) that are digitized:</p> <ul style="list-style-type: none"> • Digital Records: Measures percentage of collections with digital records that meets or exceeds unit standards. Number of objects and specimens: 2013: 138 million; 2014: 138 million; 2015: 154 million. • Digital Images: Measures percentage of collections prioritized to have digital images that meets or exceeds unit standards. Number of prioritized objects and specimens: 2013: 13 million; 2014: 13 million; 2015: 13 million. 	<p>Outcome. Indicator of public access to SI collections</p>	<p>2013:</p> <ul style="list-style-type: none"> • Digital Records: # Completed: 23 M (17%) • Digital Images: # Completed: 1.7 M (13%) <p>2014:</p> <ul style="list-style-type: none"> • Digital Records: # Completed: 25 M (18%) • Digital Images: # Completed: 2.0 M (15%) <p>2015:</p> <ul style="list-style-type: none"> • Digital Records: # Completed: 26 M (17%) • Digital Images: # Completed: 2.5 M (19%) 	<p>Increase over prior year</p>	

¹ FY 2015 change in the collections total is due to the National Parasite Collection accession (19.9 million items) and the deaccession of 4.1 million plankton specimens in the Department of Invertebrate Zoology at the National Museum of Natural History.

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 RESOURCES 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 Indicators	Type	Prior-year data	FY 2016 target	FY 2016 actual																														
Workdays to complete recruitment action against OPM End-to-End Hiring Model of 80 days	Efficiency	FY 2012: 125.0 days FY 2013: 117.7 days FY 2014: 143.6 days FY 2015: 95.3 days	Goal of 80 days																															
Percent of SI contract actions completed within Federal Standard Time Frames	Efficiency	FY 2012: 93% FY 2013: 96.5% FY 2014: 97.0% FY 2015: 96%	95%																															
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 2012: 81% FY 2013: 82% FY 2014: 81% FY 2015: 79%	Maintain 80%																															
Percent of workforce diversity by race/ethnicity	Output	<table border="1"> <thead> <tr> <th></th> <th>2012</th> <th>2013</th> <th>2014</th> <th>2015</th> </tr> </thead> <tbody> <tr> <td>Nat Am</td> <td>1.7</td> <td>1.7</td> <td>1.5</td> <td>1.5</td> </tr> <tr> <td>Asian</td> <td>5.6</td> <td>5.5</td> <td>5.4</td> <td>5.8</td> </tr> <tr> <td>NHPI</td> <td>0.2</td> <td>0.2</td> <td>0.1</td> <td>0.14</td> </tr> <tr> <td>Black</td> <td>30.7</td> <td>28.1</td> <td>28.0</td> <td>28.3</td> </tr> <tr> <td>Hispanic</td> <td>4.4</td> <td>9.7</td> <td>9.8</td> <td>10.1</td> </tr> </tbody> </table>		2012	2013	2014	2015	Nat Am	1.7	1.7	1.5	1.5	Asian	5.6	5.5	5.4	5.8	NHPI	0.2	0.2	0.1	0.14	Black	30.7	28.1	28.0	28.3	Hispanic	4.4	9.7	9.8	10.1	<u>Meet or exceed</u> <u>CLF standard</u> Nat Am 0.5 Asian 7.0 NHPI 0.1 Black 24.1 Hispanic 8.1	
	2012	2013	2014	2015																														
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Customer satisfaction with quality and timeliness of IT services	Outcome	FY 2012: Quality 98.0% Timeliness 97.0% FY 2013: Quality 98.0% Timeliness 97.0% FY 2014: Quality 99.4% Timeliness 98.4% FY 2015: Quality 97.5% Timeliness 97.7%	Quality 98% Timeliness 98%	
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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 Indicators	Type	Prior-year data	FY 2016 target	FY 2016 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 2012: 93% FY 2013: 91% FY 2014: 91.6% FY 2015: 91.1%	85%	
Number of major capital projects meeting milestones (see below):	Output	FY 2012: Met milestones on 3 of 5 projects FY 2013: Met milestones on 4 of 6 projects FY 2014: Met milestones on 5 of 7 projects FY 2015: Met milestones on 4 of 6 projects	Meet milestones on all 6 major projects	
Revitalization of National Museum of American History, Public Space III	Output	FY 2012: Full-scope project contract awarded FY 2013: awarded Full Scope FY 2014: 84% complete FY 2015: 99% complete	Renovation: 100%	
Revitalization of National Museum of Natural History, Paleo Halls	Output	FY 2013: Awarded Design Contract FY 2014: 65% design complete FY 2015: Award complete	Renovation: 35%	
Revitalization of Renwick Gallery	Output	New project (FY 2014-2017) FY 2014: Contract awarded FY 2015: 99% complete	Renovation: 100%	
Revitalization of Freer Gallery Humidification System	Output	New project (FY 2014-2017) FY 2015: Contract awarded	Renovation: 40%	

Key Performance Indicators	Type	Prior-year data	FY 2016 target	FY 2016 actual
Design and construct National Museum of African American History & Culture	Output	FY 2012: Awarded Construction Management at Risk Contract in July FY 2013: Design: 65%; Excavation: 50% Construction:10% FY 2014: Design: 100%; Excavation: 100%; Construction: 52% FY 2015: 87% complete	Construction: 100%	
Construction of Gamboa Lab (replace Santa Cruz School)	Output	FY 2012: Permits delayed construction (8%) FY 2013: Construction 60% FY 2014: Construction 72% FY 2015: 88% complete	Construction: 100%	
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 2012: Target not met due to lack of planning funds FY 2013: Target not met due to lack of planning funds FY 2014: Target not met due to lack of planning funds FY 2015: 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 2017 capital program	
Percentage of buildings with Facilities Condition Index (FCI) above 90%	Output. Higher % shows improvement of buildings condition	FY 2012: 72.6% FY 2013: 72.8% FY 2014: 69.4% FY 2015: 69%	70%	
Planned maintenance cost as percent of total annual maintenance costs	Efficiency — a higher proportion planned vs. unplanned is indicator of more efficient use	FY 2012: 55% FY 2013: 52% FY 2014: 53% FY 2015: 54.4%	55%	

Key Performance Indicators	Type	Prior-year data	FY 2016 target	FY 2016 actual
100% of facilities at level 3 “managed care” for cleanliness on the APPA scale	Output. Shows improvement in buildings cleanliness	FY 2012: Achieved 85% Level 3 FY 2013: Achieved 89% Level 3 FY 2014: Achieved 89% Level 3 FY 2015: Achieved 75% Level 3	Achieve 90% APPA Level 3	
Safety: total recordable case rate (injuries per 100 employees)	Output (annual basis)	2012: 2.78 2013: 2.13 2014: 2.36 2015: 2.07	<2.47	

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 Indicators	Type	Prior-year data	FY 2016 target	FY 2016 actual
Dollar amount of fundraising (1) voluntary support (gifts) and (2) non-government grants	Input	FY 2012: \$223.8 million FY 2013: \$223.3 million FY 2014: \$222.4 million FY 2015: \$230.0 million	\$250 million	
SI Government grants & contracts and non-government contract awards	Input	FY 2012: \$157.6million FY 2013: \$149.0 million FY 2014: \$149.7 million FY 2015: \$162.0 million	\$150 million	
Smithsonian Enterprises net gain	Input	FY 2012: \$29.5 million FY 2013: \$32.6 million FY 2014: \$35.7 million FY 2015: \$40.7 million	\$41 million	