



Smithsonian

FY 2004 Budget Justification to OMB

September 2002

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Smithsonian Institution
Fiscal Year 2004 Budget Request to OMB
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THE SMITHSONIAN INSTITUTION IN THE 21ST CENTURY

As the guardian of our nation's greatest historic, artistic, and scientific treasures, the Smithsonian takes its task of serving the American public very seriously. For more than 155 years, this Institution has worked hard to fulfill its mission, "the increase and diffusion of knowledge." Over the decades, commitment to that mission has raised new challenges—none more striking than those presented by the events of September 11th. We are more determined than ever to meet those challenges and transform the Smithsonian into a modern 21st-century institution.

As the largest museum and research complex in the world, the Smithsonian's reputation rests on a strong foundation. Unfortunately, it is also an institution with a severely deteriorated infrastructure, outdated technology, and many aged, outmoded exhibitions. The tragedy of September 11th has led to a drop in visitors with a resulting loss in revenues needed to supplement federal funding. Today's challenge is to build on the Smithsonian's reputation, rebuild the physical plant, bring visitors back, and thereby expand the reach of a great and trusted institution.

The Smithsonian is a unique entity, an independent trust instrumentality, that is dependent for nearly 70 percent of its funding on the federal government. Ever mindful and grateful for this support from the American public, the Smithsonian is committed to improving its communications with both OMB and Congress and to providing each with the information necessary to justify their continued support. The Institution is particularly intent on improving its performance regarding the President's Management Agenda, with a number of initiatives underway to advance financial management, utilize e-government wherever possible, and more closely integrate budgeting with long-term performance goals.

The Smithsonian agenda is ambitious, but it must be as efficient as it is ambitious, as focused as it is far-reaching. Given budget realities, Smithsonian priorities fall into five categories: First, funding to keep Institution museums in operation, collections safe, and research programs intact—in other words, what can be referred to as mandatory costs. These include what is necessary to meet current requirements in staff salaries and benefits, legislated pay raises, utilities, postage, communications, rent, and Congressionally mandated items.

The Smithsonian's second priority is funding for security-related items. This includes all programs and activities to provide adequate security

to the Institution's staff, visitors, collections, and facilities, and to protect against terrorist actions.

The Smithsonian's third priority is to secure funding increases for National Academy of Public Administration (NAPA) recommended activities such as addressing the Institution's crucial facilities revitalization and information technology needs. This budget includes the Institution's plans to continue to repair and renovate some of our oldest and most heavily visited museums and to begin to address the Institution's maintenance needs at levels recommended by NAPA. The Smithsonian is also continuing its information technology initiatives, including the Enterprise Resource Planning project and the infrastructure modernization effort, as well as addressing newly identified information technology security requirements.

The Institution's fourth priority is the financial resources needed to fulfill the Smithsonian's mandate to open and operate two new museums: the National Museum of the American Indian on the National Mall, and the National Air and Space Museum's new Steven F. Udvar-Hazy Center, adjacent to Dulles Airport in Northern Virginia.

Lastly, the request includes several initiatives to address priorities for scientific research, public impact through our annual Folklife Festival, reaching new audiences, and improving our contracting efforts.

The Smithsonian plays a vital role in our country's civic and cultural life. Using art, artifacts, history, and science, the Smithsonian tells a comprehensive story—America's story. Now more than ever, this is an important service to maintain. To reach more Americans with such seminal stories, the Smithsonian needs to transform itself into a true 21st-century institution. It won't be easy. The Smithsonian Institution faces significant challenges if it is to continue to serve the public in an exemplary manner with both engaging, modern exhibitions backed by authoritative scholarship, and groundbreaking scientific research and exploration. What follows is our plan to meet the challenges head-on.

**President's Management Agenda
Smithsonian Institution**

	Current Status (As of July 31, 2002)	Progress in Implementing the President's Management Agenda
Initiative		
<p>Human Capital</p> <p>Smithsonian</p> <p>lead:</p> <p>Carolyn Jones</p>	<ul style="list-style-type: none"> • The Smithsonian is preparing a workforce analysis that will be completed by September 30, 2002. • The Smithsonian has reconciled its headcount with OPM. OPM had not accounted for Smithsonian trust employment. • OPM endorsed the Smithsonian's human capital accountability systems in past audits and permitted the Smithsonian to monitor its own performance because of the reliability of its systems. The Smithsonian is currently working with OPM to explain how the Institution's system has continued to function in the intervening periods. • The Smithsonian does not yet have an integrated planning approach that aligns mission, staffing, Standards for Success and the Human Capital Scorecard. The first element of strategic planning showing how unit activities are aligned with Smithsonian strategic goals is complete. Units are currently identifying performance goals and metrics for measuring accomplishments. Individual performance goals will then be prepared showing links to organizational objectives. These elements will be improved in future iterations as management and staff gain experience with the process. 	<p><u>Actions Taken Since October 1, 2001</u></p> <ul style="list-style-type: none"> • Analysis of the current workforce is complete. Discussions to determine key characteristics of current staff and future requirements identified in unit strategic plans have been completed with more than 50 of the Smithsonian's 77 units. Turnover models to predict attrition are being designed. Strategies for acquiring the staff that will be required in five years and aligning staff with key objectives will be designed after data gathering and analysis are complete. • The Smithsonian worked with OPM to explain the composition of the Smithsonian's headcount. • The Smithsonian believes its human capital accountability systems are sound and is working with OPM to explain how they function. Smithsonian-wide quality control procedures are being designed to document human capital accountability. • A strategic planning process has been designed and all units have submitted an initial plan showing how their activities align with key Smithsonian objectives. <p><u>Planned Actions for FY 2003 and FY 2004</u></p> <ul style="list-style-type: none"> • Strategic planning processes will be completed, and repeated, with the expectation that each iteration will produce a better result than the previous one.

Initiative	Current Status (As of July 31, 2002)	Progress in Implementing the President's Management Agenda
<p>Human Capital Smithsonian lead: Carolyn Jones</p>		<ul style="list-style-type: none"> • Processes will be designed to permit units to participate in strategic realignment of staff to support key Smithsonian objectives. • Strategies will be designed to acquire future staff in accordance with the outcomes of the staffing analysis. • Personnel processes will be redesigned to coincide with the introduction of PeopleSoft as the Smithsonian's Enterprise Resource Planning system. New processes will take advantage of the integrated system's efficiencies while maintaining accountability for the merit system.

Human Capital: In addressing the President's Management Agenda in the area of human capital, the Smithsonian Institution is taking significant steps to align human capital policies to accomplish its mission. Foremost among these is the initiative to attract and retain people with the right knowledge and skills to perform the work and perform it well. A Workforce Analysis study will provide the means along with information gathered from the various Smithsonian units, to make assessments for hiring and aligning staff over the next several years.

To improve job performance, the Smithsonian is actively pursuing the objective of having all units prepare performance plans from which individual performance plans will be developed. An individual's objectives will link to organizational objectives, which will result in improved performance. While OPM has judged the Smithsonian's human capital accountability systems to be sound, the Institution has placed a priority on improving these systems with the implementation of a new Enterprise Resource Planning system (PeopleSoft). Personnel processes and reporting systems will be completely redesigned as PeopleSoft is installed. As a result, management and staff will be more effective in acquiring and assessing resources required to perform their work and achieving the desired results leading to mission accomplishment. Strategic planning for FY 2003 and FY 2004 will include strategies and processes designed to permit Smithsonian management to deploy and assess its human resources more efficiently and effectively.

**President's Management Agenda
Smithsonian Institution**

	Current Status (As of July 31, 2002)	Progress in Implementing the President's Management Agenda
<p>Initiative</p> <p>Competitive Sourcing</p> <p>Smithsonian lead:</p> <p>Curtis Sanchez</p>	<ul style="list-style-type: none"> The Smithsonian Competitive Sourcing Plan is being drafted. Coordination with Smithsonian organizations is projected to begin in mid-August to assure that functional area representatives are allowed to participate in the competitive sourcing process. 	<p><u>Actions Taken Since October 1, 2001</u></p> <ul style="list-style-type: none"> Completed direct conversion of 11 FTE positions in the Office of Imaging, Printing and Photographic Services, Office of the Chief Information Officer, to contractor performance Completed direct conversion of 1 FTE cash management position in the Office of the Comptroller, Office of the Chief Financial Officer, to contractor performance. Completed direct conversion of 4 FTE general accounting positions in the Office of the Comptroller, Office of the Chief Financial Officer, to contractor performance. <p>These 16 positions represent an 11.3% conversion of the 142 positions listed on our FY 2000 FAIR Act Inventory. The goal established by OMB was 5%, or 7, of the FTE positions listed on the baseline inventory.</p> <ul style="list-style-type: none"> The Smithsonian FY 2002 FAIR Act inventory has been coordinated with Smithsonian units to assure the most accurate count and appropriate activity/function coding for listed FTEs. FAIR Act procedures were developed and presented for review by senior level managers

Initiative	Current Status (As of July 31, 2002)	Progress in Implementing the President's Management Agenda
<p>Competitive Sourcing</p> <p>Smithsonian lead:</p> <p>Curtis Sanchez</p>		<p><u>Planned Actions for FY 2003 and FY 2004</u></p> <ul style="list-style-type: none"> • In FY 2003 address the competitive sourcing or direct conversion of five (5) Smithsonian FTEs to attain the total goal of 15% of FTEs listed on the FY 2000 FAIR Act inventory. • Obtain review and approval of a Smithsonian Institution Competitive Sourcing Plan that addresses processes for determining Smithsonian activities/functions to be considered for competitive sourcing, and the requirements of OMB Circular A-76 that are reasonable and consistent with the Smithsonian mission and strategic plan. • Implement the Competitive Sourcing Plan and Outsourcing Procedures across the Smithsonian through education sessions with unit leaders or their designees. • Explore possibilities for establishing a functional office responsible for outsourcing initiatives. • Conduct quarterly reviews of organizational structures and assigned FTEs with organizational staff designated by senior management to ensure that competition determinations are consistent with organizational missions and strategic plans, and to compile accurate and timely FAIR Act inventories.

Competitive Sourcing: The Smithsonian Institution has established competitive sourcing as a centralized program, with input into decisions made throughout the Institution. The core team, made up of representatives from the Office of General Counsel and Office of Contracting, has direct interface with the most senior levels of Smithsonian Institution leadership involved in making competitive sourcing plans and decisions. This year, the Smithsonian Institution has developed its first Competitive Sourcing Plan and has drafted its Competitive Sourcing policy.

The Institution's view of the scope of competitive sourcing has expanded to include not only the positions listed on the Federal Activities Inventory Reform (FAIR) Act inventory of commercial services, but other related decisions. Competitive sourcing is being considered a factor in the current major reorganization of facilities maintenance services. While the reorganization has not progressed to the point where a decision can be made regarding whether or not services currently provided by Smithsonian employees can be considered for possible outsourcing, the goals of the competitive sourcing program, most importantly ensuring commercial services are provided in the most efficient manner, are being considered in every stage of the reorganization process. Additionally, the principles and goals of competitive sourcing are being factored into decisions regarding new services, such as the operation and maintenance of the National Air & Space Museum's new Steven F. Udvar-Hazy Center.

In FY 2003, the Smithsonian Institution will continue to develop its competitive sourcing program, finalize its policy, and expand membership of the core team to improve its effectiveness.

**President's Management Agenda
Smithsonian Institution**

	Current Status (As of July 31, 2002)	Progress in Implementing the President's Management Agenda
Initiative Financial Management Smithsonian lead: Alice Maroni	<ul style="list-style-type: none"> The key to the Smithsonian's improvement in financial management is to implement an Enterprise Resource Planning (ERP) system. Implementation of the ERP is underway, with an integrated project team established. Published Financial Management Systems Remediation Plan (December 2001) which outlined the major financial management weaknesses, reviewed planned improvements, and established milestones for future actions. 	<p><u>Actions Taken Since October 1, 2001</u></p> <ul style="list-style-type: none"> Published Chief Financial Officer (CFO) Report FY 2001. Established Financial Management Steering Committee for implementation of ERP, which includes all major stakeholders. Established Financial Policies and Procedures Division and corresponding Compliance Review Branch in February 2002. Established written procedures in Office of Comptroller Operational Handbook for Accounts Payable, Chapter 3 (June 2002). Established written procedures in Office of Comptroller Operational Handbook for Payroll, Chapter 6 (August 2002). Established written procedures in Office of Comptroller Operational Handbook for Financial Document Retention, Chapter 10 (August 2002). Updated Smithsonian Directive (SD) 106, <i>Smithsonian Institution Policies Covering Claims</i>, Section C for regulations covering claims reporting procedures (June 2002). Updated SD 309, <i>Merchant Credit Card</i>, (July 2002). Updated SD 303, <i>Interest Payments to Specified Trust Funds</i>, (August 2002).

Initiative	Current Status (As of July 31, 2002)	Progress in Implementing the President's Management Agenda
<p>Financial Management</p> <p>Smithsonian lead:</p> <p>Alice Maroni</p>		<ul style="list-style-type: none"> • Updated SD 311, <i>Travel Handbook</i>, (July 2002.) • Closed five Office of Inspector General audit recommendations that were outstanding for over three years in the financial areas of accounts payable, accounts receivable, and document retention (July 2002). <p><u>Planned Actions for FY 2003 and FY 2004</u></p> <ul style="list-style-type: none"> • Beginning in September 2002, publish weekly releases via CFO Bulletins SI-wide announcing interim policy changes in anticipation of PeopleSoft implementation. • Establish compliance review cycle (consisting of reviews in the areas of travel and accounts payable) and begin performance of compliance reviews of SI units (October 2002). • Establish written procedures in Office of Comptroller Operational Handbook for External Reporting, Chapter 8 (November 2002). • Establish written procedures in Office of Comptroller Operational Handbook for Internal Reporting, Chapter 9 (December 2002). • Establish written procedures in Office of Comptroller Operational Handbook for Reconciliations, Chapter 5 (January 2003). • Establish written procedures in Office of Comptroller Operational Handbook for accounts receivable, Chapter 4 (November 2002).

Initiative	Current Status (As of July 31, 2002)	Progress in Implementing the President's Management Agenda
Financial Management Smithsonian lead: Alice Maroni		<ul style="list-style-type: none"> • Establish written procedures in Office of Comptroller Operational Handbook for Cash and Disbursements, Chapter 1 (October 2002). • Establish written procedures in Office of Comptroller Operational Handbook for Accounting Service Units, Chapter 2 (November 2002). • Establish written procedures in Office of Comptroller Operational Handbook for Travel Processing in Operations, Chapter 7 (January 2003).

Financial Management: The Smithsonian Institution has taken major steps to respond to the President's initiative on improving financial performance. In FY 2002 the Institution's Chief Financial Officer (CFO) published a Financial Management Systems Remediation Plan, established a Financial Management Steering Committee for implementation of ERP that included all major stakeholders, established a Financial Policies and Procedures Division and corresponding Compliance Review Branch, and published an FY 2001 CFO Report. The CFO's Office of the Comptroller (OC) established an Operational Handbook and developed written financial policies and procedures to include in the Handbook for accounts payable, payroll, and financial document retention. The OC updated Institution-wide financial policies in the form of Smithsonian Directives for regulations covering claims reporting procedures, merchant credit card policy, interest payments to specified trust funds, and the Travel Handbook. The OC closed five Office of Inspector General audit recommendations that were outstanding for over three years in the financial areas of accounts payable, accounts receivable, and document retention.

For FY 2003 and FY 2004, the Office of the Comptroller will establish a compliance review cycle for the areas of travel and accounts payable and will begin performance of compliance reviews of Smithsonian Institution units. OC will establish written procedures in the Operational Handbook for external reporting, internal reporting, reconciliations, accounts receivable, cash and disbursements, accounting service units and travel processing in Operations. OC will also update Smithsonian Directives for regulations covering time and attendance reporting, financial support outside the Institution, Financial Management – Accounting Policies and Procedures; Payment Policies, Systems and Procedures; and Auxiliary Activities. Beginning in September 2002 and continuing into FY 2003, OC will publish weekly releases via CFO Bulletins SI-wide announcing interim policy changes in anticipation of the PeopleSoft implementation.

**President's Management Agenda
Smithsonian Institution**

Initiative	Current Status (As of July 31, 2002)	Progress in Implementing the President's Management Agenda
<p>E-Government Smithsonian lead: Dennis Shaw</p>	<ul style="list-style-type: none"> • The Smithsonian has submitted business cases for 10 of its major IT systems with 3 more to be completed with the FY 2004 budget submission. • The Smithsonian has published its directive for Life Cycle Management and has implemented a Technical Review Board to ensure compliance with these guidelines. • The Institution also has made great strides in the development of other policy and guidelines to govern Institution-wide IT management, including IT planning and budgeting, acquisition, security, and testing. • The call for annual procurement plans from Smithsonian units was released in July 2002. Plans should include all proposed purchases and contracts with dollar values at or above \$25,000, and are due 9/30/02. 	<p><u>Actions Taken Since October 1, 2001</u></p> <ul style="list-style-type: none"> • Published Technical Reference Model Version 1.0 (January 15, 2002). • Published first Smithsonian Information Technology Plan FY 2002-FY 2007 (February 4, 2002). • Updated the capital asset plan for the National History Museum Research and Collections Information System based on the results of an economic analysis (April 2002). • Major contributions by Smithsonian staff were incorporated into the E-Gov Enterprise Architecture Guidance issued by the Federal CIO Council (July 25, 2002). • Published Smithsonian Directive (SD) 920 <i>Life Cycle Management</i> (August 5, 2002). • Published SD 931 <i>Use of Computers & Networks</i> (August 5, 2002). • Established Technical Review Board (August 5, 2002). • Began posting select synopses of solicitations valued at \$25,000 or more on the Internet using the E-Government portal at FedBizOps.gov.

Initiative	Current Status (As of July 31, 2002)	Progress in Implementing the President's Management Agenda
<p>E-Government</p> <p>Smithsonian</p> <p>lead:</p> <p>Dennis Shaw</p>		<p><u>Planned Actions for 4th Qtr FY 2002, FY 2003, and FY 2004</u></p> <ul style="list-style-type: none"> • Publish SD 940 <i>Acquisition of Information Technology Products</i> (August 2002). • Publish SD 910 <i>Information Technology Planning</i> (August 2002). • Publish Technical Standard & Guideline IT-930-01 <i>Automated Information System Security Planning</i> (August 2002). • Publish Technical Standard & Guideline <i>Information Systems Testing</i> (August 2002). • Publish Technical Standard & Guideline IT-920-02 <i>Life Cycle Management Manual</i> (September 2002). • Complete plan of action to address information technology security weaknesses identified by the Inspector General (September 2002). • Publish Technical Reference Model Version 2.0 (December 2002). • Publish Smithsonian Information Technology Plan FY 2003–FY 2008 (February 2003). • Publish Technical Standard & Guideline IT-930-02 <i>Information Technology Security Controls Manual</i> (March 2003). • Publish Technical Reference Model Version 3.0 (December 2003). • Publish Smithsonian Information Technology Plan FY 2004–FY 2009 (February 2004).

Initiative	Current Status (As of July 31, 2002)	Progress in Implementing the President's Management Agenda
E-Government Smithsonian lead: Dennis Shaw		<ul style="list-style-type: none"> • Office of Contracting will lower the threshold for annual procurement plans and review plans to select synopses for posting on FedBizOps. • Determine feasibility of posting all federal solicitations on the Internet.

E-Government: The Smithsonian is well underway in the development of information technology policies and procedures to govern the acquisition and implementation of IT. In February of this year, the Institution published its first Smithsonian Information Technology Plan. This plan provides information on how the Institution will leverage information technology to meet its goals as well as the management strategies, planning assumptions, constraints, and decision-making processes. The Institution also published its Technical Reference Model (TRM). The TRM defines the information technology services, standards, and products used by the Smithsonian. Its purpose is to guide IT investments and to provide a set of consistent Institution-wide standards and products. As companions to these policy documents, the Smithsonian has developed directives and technical standards and guidelines in the areas of IT acquisition, computer and network usage, IT planning, security, testing, and life cycle management. These governing policies and standards will enable the Institution to migrate to a standards based, open system environment.

In the area of procurement, the Smithsonian assessed how its small purchasing and contracting processes would be affected by posting synopses for all purchases at or over \$25,000 on the Internet. The result of the assessment was a decision to post only those types of solicitations customarily advertised by the Institution in Commerce Business Daily. In FY 2003 and 2004, the Smithsonian will assess the feasibility of posting all federally-funded solicitations on the Internet, taking into consideration the training required for staff in order to synopsize and post solicitations, procurement/contracting lead times, and estimated number of proposals to be received versus available staff.

**President's Management Agenda
Smithsonian Institution**

	Current Status (As of July 31, 2002)	Progress in Implementing the President's Management Agenda
Initiative Budget & Performance Integration	<ul style="list-style-type: none"> • The Smithsonian has put in place an updated strategic plan for the period FY 2003-2007 and drafted a performance plan for FY 2003. • The FY 2004 budget request was developed by connecting program spending at the unit and project level to the Institution's strategic goals and performance objectives. • All unit submissions for proposed increases in the FY 2004 budget were justified on the basis of how they would contribute to accomplishing the Institution's strategic goals and performance objectives. • The FY 2004 budget justification to OMB has been significantly revised so that base resources and requested increases are all linked to the Institution's strategic goals and performance objectives. 	<p><u>Actions Taken Since October 1, 2001</u></p> <ul style="list-style-type: none"> • Smithsonian has produced strategic and performance plans. The strategic plan has been approved by the Board of Regents and submitted to Congress. • The Institution submitted a Budget and Performance integration action plan to OMB in June 2002. <p><u>Planned Actions for FY 2003 and FY 2004</u></p> <ul style="list-style-type: none"> • Reach agreement with OMB on action plan with milestones to measure progress for this initiative. • Submit final FY 2003 performance plan to OMB (September, 2002). • Implement FY 2003 Institution-wide performance plan, including new measurement system. • Submit FY 2004 budget aligned with Institutional performance plan (September, 2002). • Draft FY 2004 performance plan based on FY 2003 results • Use FY 2003 measurement reports, FY 2004 draft plan and FY 2005 initial draft plan to develop FY 2005 budget request to OMB.
Smithsonian lead: Bruce Dauer		

Budget and Performance Integration: The Smithsonian Institution has taken major steps to respond to the President's initiative on integrating budget and performance information. For the first time, the Institution developed its FY 2004 budget request by requiring all units to link their budget information to the Institution's strategic plan goals, and draft performance plan objectives. All increases presented to senior management for decision-making included information on how the increase would impact the achievement of the Institution's goals. The budget justification format has been entirely revised for FY 2004 in order to tie all resources, both base and requested increases, to the strategic plan and performance objectives, and all justification is based on the strategies units will use, including specific and measurable annual performance goals, to achieve the Institution's goals with the related resources identified.

At the same time, the FY 2003 performance plan is being finalized after completing an Institution-wide process involving all museums, research centers, and offices. This plan, the first such comprehensive Institution-wide plan developed at the Institution, will be implemented on October 1, 2002, and will include the first round of systematic performance data collection and reporting. The plan includes quantifiable performance measures of program results, i.e., benefits/impacts on visitors and other stakeholders, and minimizes the number of output and "work process" measures. Annual surveys or other audience evaluation tools will be used pan-Institutionally beginning in the spring of 2003. The FY 2004 performance plan will be developed in concert with the final decisions on the FY 2004 budget request to Congress, and will be adjusted as necessary based on the information that becomes available from the first data collection and reports resulting from the FY 2003 plan. This information in turn will be used in the development of the FY 2005 budget request internally, with all decisions regarding both increases and decreases being tied to the results as reported by individual units against the Institution's strategic goals.

While this process will take the next several years to fully implement and reflect in the Institution's budget requests, the Smithsonian is confident that these first steps in FY 2003 and FY 2004 will result in fully integrated budget and performance information by FY 2006.

FY 2004 GUIDANCE LEVEL BUDGET

Background. The 2002 OMB Circular A-11 requires agencies to submit an annual budget request at the guidance level, which is defined as the FY 2004 amount included in OMB's passback of the FY 2003 budget. For the Smithsonian, the total FY 2004 guidance level is \$539 million, broken down as follows:

- \$444 million for Salaries & Expenses
- \$83 million for the RR&A account
- \$12 million for Construction

To develop its federal budget request for FY 2004, the Smithsonian has gone through a rigorous internal budget development and decision process. Guiding this process have been the overarching priorities established by the Secretary for federal funding, in the following order:

- **Non-discretionary costs** - including pay increases at the guidance level, utilities, rent, and communications, and Congressionally mandated items.
- **Security-related items** - the programs and activities needed to protect against terrorist actions and to provide adequate security to the Institution's people, collections, and facilities.
- **Overdue facilities maintenance and revitalization, and related information technology improvements** - items that must be addressed in response to the Congressionally mandated report of the National Academy of Public Administration released in 2001, including critical revitalization projects such as the Patent Office Building.
- **Staffing** - the staff necessary to open the National Air and Space Museum's Steven Udvar-Hazy Center at Dulles Airport and the National Museum of the American Indian on the Mall in accordance with already announced target dates.
- **Other Institutional priorities** - including all other initiatives and programs that have been identified as needing additional funding in FY 2004, including enhanced outreach to underserved audiences and maintaining the Smithsonian's position in the forefront of astrophysics research.

This process has resulted in a total budget request for FY 2004 of \$647 million, against an OMB guidance level of \$539 million. OMB's guidance represents a 2% increase over the Smithsonian's \$528 million budget approved by OMB for FY 2003. However, **the guidance level is understated by \$14 million.**

The FY 2003 budget approved by OMB and submitted to Congress included a rescission of \$14 million of prior-year funds, as a one-time offset to help fund the identified needs in the approved budget. Hence, the FY 2003 base for calculating the FY 2004 guidance level should have been \$542 million (\$528 million for FY 2003 plus an add-back of \$14 million). OMB, in the guidance, allowed a 2 percent increase for S&E over the FY 2003 base level, and a \$2 million increase for RR&A. **These changes would result in an additional \$11 million, for a total adjusted guidance level of \$553 million over the correct base level of \$542 million.** The Institution would propose that this total be divided with \$468 million for S&E and \$85 million for Facilities Capital.

In order to reduce the required funding level of \$647 million to the guidance level of \$553 million, a reduction of \$94 million, the Smithsonian will be required to make significant reductions in critical programs. If required, these reductions would be made in reverse order of the priorities listed above, starting with other Institutional priorities, then the funds for opening the National Air and Space Museum's Udvar-Hazy Center and the National Museum of the American Indian, and so on. The following sections describe the impact of making these reductions in both the S&E and Facilities Capital (the new account resulting from combining RR&A and Construction) accounts in FY 2004.

Salaries & Expenses. The FY 2004 adjusted guidance level for the S&E account is \$468 million. Overall, the Institution would only be able to fund mandatory, or non-discretionary, costs, including the required pay increase for federal employees, and necessary increases in utilities, communications, and rent. One Congressionally mandated program, the Kids' Farm at the National Zoo, would not be funded at this level. **Other programs, supported in the past by the Administration and the Congress, would be eliminated. In some cases, the Smithsonian would find itself in violation of agreements, and at odds with other constituencies such as state and local governments.**

First, to reach the adjusted level of \$468 million, the Smithsonian will have to halt high-priority security activities, **including physical security, those activities initiated in response to 9/11, and eliminating vulnerabilities in the Institution's information technology infrastructure.** A recent Inspector General report describes woefully inadequate computer systems security that leaves the Institution vulnerable to cyber attack and potential loss of data and disruption of services. With regard to physical security, a decision has been made to limit the use of electronic screening to the Smithsonian's three largest museums—NASM, NMAH, and NMNH—which receive 75% of the Institution's visits, and to do only manual bag checks in other museums. **The elimination of the requested funding in FY 2004 would require the Institution to delay the**

implementation of electronic screening at NMAH and NASM, placing at risk national treasures, visitors, volunteers, and employees. Maintenance of newly installed security equipment and structures would also be foregone, resulting in more costly repairs and replacement requirements in the future.

Second, the Institution has been striving to be responsive to the findings of the Congressionally mandated NAPA report on the deteriorated condition of its facilities that has led to a \$1.5 billion backlog of overdue revitalization needs. One of the primary recommendations of the report was to increase funding and staffing levels for facilities maintenance. **The Institution's proposed increase of \$7 million for this purpose is less than half of the needed \$15 million, and if not funded will continue to leave the Institution's buildings with inadequate levels of maintenance and in turn increase the future repair and replacement costs of these facilities.** In addition, at the guidance level, the Institution would not be able to add staff support required for oversight and management of the facilities revitalization program that OMB and the Congress have supported. A final loss in the NAPA-driven priority area would be the next increment of funding in the Institution's multiyear effort to bring its information technology architecture into line with modern requirements for managed IT infrastructure, delaying the replacement of outmoded hardware, the consolidation of duplicative and inefficient application servers, and the installation of modern internal communications software.

Third would be the **elimination of new staffing and operational funds required to support the two new museums** now nearing construction completion: the NASM Udvar-Hazy Center, and the NMAI Mall Museum. **Not funding the Udvar-Hazy Center for the December 2003 opening and operations—the Centennial of powered flight—will place the Smithsonian in violation of its agreement with the Metropolitan Washington Airports Authority, place in jeopardy the Institution's relationship with the Commonwealth of Virginia and regional governments who have helped fund this project, and potentially cause major donors to withhold funds or not fulfill existing pledges.** Delaying the Udvar-Hazy Center would also derail one of the major Presidential Management initiatives undertaken by the Institution—outsourcing the maintenance and security functions at the Center. In the case of the NMAI Mall Museum, **not opening in the fall of 2004 will break a commitment to the Native peoples** of America to display their history, cultures, arts, and current lives in this new facility on the National Mall. **A delay in either project would weaken future fundraising opportunities by highlighting that initial Administration and Congressional intent may not be sustained in the future.**

Finally, a variety of important initiatives will be affected by holding the Smithsonian to the guidance level. These include significant scientific initiatives, including the VERITAS project, an array of seven telescopes that will study extraterrestrial sources of gamma rays. This new field—opened up by SAO

scientists and deemed critical by the astronomy and astrophysics community—is supported by many other members of an international consortium and awaits only Smithsonian funding to proceed as initially planned. Another initiative affected would address scientific computing requirements at the Institution’s three major science research centers (SAO, SERC, and STRI). Also affected will be necessary infrastructure costs to support the annual Folklife Festival on the Mall, previously but no longer provided by other agencies or groups; funds to increase the Institution’s ability to reach out to the Latino community with more programs, exhibits, and other activities; funds to stop the erosion of the Smithsonian Libraries’ ability to purchase books and journals, including electronic resources; funds to set up a website as required by the Presidential Advisory Commission on Holocaust Assets; and additional resources required to support the Institution’s expanded contracting workload, including activities in support of the President’s Management Agenda (e-government and competitive sourcing).

The following table displays the specific reductions from the identified FY 2004 needs that would be required in the S&E account at the adjusted guidance level.

Salaries and Expenses:

	<u>FTEs</u>	<u>\$(000)s</u>	<u>\$(000)s</u>
FY 2004 Request	4,839		\$508,426
<i>Less</i>			
<u>Other Institutional Priorities:</u>			
Folklife Festival Infrastructure	--	-250	
Scientific Computing	-2	-701	
VERITAS	-1	-1,172	
Latino Pool/Latino Initiatives	-1	-311	
SI Libraries Serials Inflation	--	-255	
Holocaust website	--	-200	
Office of Contracting	<u>-2</u>	<u>-75</u>	
Subtotal	-6	-2964	505,462
<u>Staffing:</u>			
NMAI Mall Museum	-70	-13,463	
Support to Mall Museum (OFEO)	-33	-1,858	
NASM Udvar-Hazy Center	<u>-8</u>	<u>-7,867</u>	
Subtotal	-111	-23,188	482,274
<u>NAPA-Driven:</u>			
Managed IT Infrastructure	--	-1,070	
Facilities Program Staff Support	-13	-1,539	
Facilities Maintenance	<u>-19</u>	<u>-7,000</u>	
Subtotal	-32	-9,609	472,665
<u>Security:</u>			
IT Security	--	-1,085	
Protection Services	<u>-68</u>	<u>-2,964</u>	
Subtotal	-68	-4,049	468,616
<u>Non-Discretionary:</u>			
National Zoo Kids Farm Exhibit	<u>-6</u>	<u>-400</u>	
Subtotal, Decreases	-223	-40,210	
Total, Salaries and Expenses	4,616		468,216
OMB Control Level (adjusted)			468,000

Facilities Capital. If the Institution is funded only at the OMB guidance level of \$85 million for Facilities Capital in FY 2004, it would **severely compromise progress toward ameliorating the seriously deteriorated condition of the Smithsonian's physical plant.** The expected result would be a significant increase in major system failure throughout its facilities, and the costs of performing the required work in a later year would be much higher. Further, increasing amounts of maintenance funding will need to be invested just to keep the buildings functioning.

In order to stay within the OMB guidance level in FY 2004, the Institution would have to **eliminate planned funding to continue required security improvements, as identified in recently-completed risk and threat assessments.** Specific initiatives that would be deferred include temporary shelters to house and operate electronic screening devices for NMNH, permanent barriers for Mall facilities, and electronic access control at Mall facilities. This deferral would leave the Institution more vulnerable to the impacts of possible terrorist attacks. Another specific impact would be at least a **year's delay in completing restoration of the Institution's highest priority revitalization project, the Patent Office Building, which has been closed to the public since 2000.** In addition to denying public access to the important collections displayed in that building, the delay would incur an increased project cost of \$2 to 5 million.

Funding at the OMB guidance level would also require **deferral of construction of an accessible entrance to the National Museum of Natural History from the Mall.** In addition to continuing to deny appropriate access to this popular museum by those who cannot climb stairs, this delay will increase the eventual cost of completing the work, and jeopardize the ongoing major revitalization of the building. This project has been underway since 1989, and is in danger of being extended to the point where the Institution will need to begin again replacing systems and components as soon as the current project is complete. Finally, the **Other Revitalization funding would be cut in half.** These funds are essential to allow the Institution to respond to urgent safety and habitability needs across the Institution. The reduction would **leave only minimal amounts beyond performing emergency "breakdown" replacements of equipment that can no longer be maintained.**

The following table displays the specific implications of funding at the OMB guidance level for the Facilities Capital program.

Facilities Capital:

<u>Facility</u>	<u>Project</u>	<u>OMB Request \$(000)s</u>	<u>OMB Guidance \$(000)s</u>
Revitalization			
<i>Major Projects</i>			
Patent Office Building	Restore Patent Office Building	48,000	27,000
National Zoological Park	Construct Asia II: New Elephant Holding Area and Yard Renovation	9,000	9,000
National Museum of American History-Behring Center	Revitalize NMAH-BC Public Space	5,500	5,500
National Museum of Natural History	Ongoing Revitalization	11,000	3,000
Multiple Locations	Anti-Terrorism Modifications	10,100	0
<i>Other Revitalization Projects</i>		<u>20,435</u>	<u>9,035</u>
Subtotal, Revitalization		104,000	53,535
Construction			
Museum Support Center	Construct Pod 5	22,000	22,000
Facilities Planning & Design	Miscellaneous Facilities Planning and Design	<u>12,965</u>	<u>9,465</u>
Total, Facilities Capital		139,000	85,000

The following table shows the FY 2004 budget assuming the OMB guidance level of \$553 million.

	<u>FTES</u>	<u>\$(000)s</u>	<u>\$(000)s</u>
Salaries & Expenses			
FY 2003 Adjusted Base¹	4,583		\$461,555
<i>Adjustment to base for minor repairs and maintenance²</i>	+33	+10,431	471,986
<u>Non-discretionary activities:</u>			
Pay and Related Costs	--	+11,181	
Utilities, Postage, Communications, Rent	--	+3,467	
Non-recurring costs	--	<u>-18,418</u>	
Subtotal		-3,770	
Total, Salaries & Expenses	4,616		468,216
Facilities Capital			
<i>Revitalization</i>			
Patent Office Building			27,000
National Zoological Park			9,000
National Museum of American History-BC			5,500
National Museum of Natural History			3,000
Other Revitalization Projects	+5		<u>9,035</u>
Subtotal			53,535
<i>Construction</i>			
Museum Support Center, Pod 5	+5		22,000
Facilities Planning & Design			9,465
Total, Facilities Capital	+10		85,000
Total Request at Guidance Level	4,626		\$553,216
OMB Guidance Level (adjusted)			\$553,000

¹ Adds back one-time rescission of \$14,100,000 and one-time reduction of \$12,795,000 to FY 2003 base of \$434,660,000.

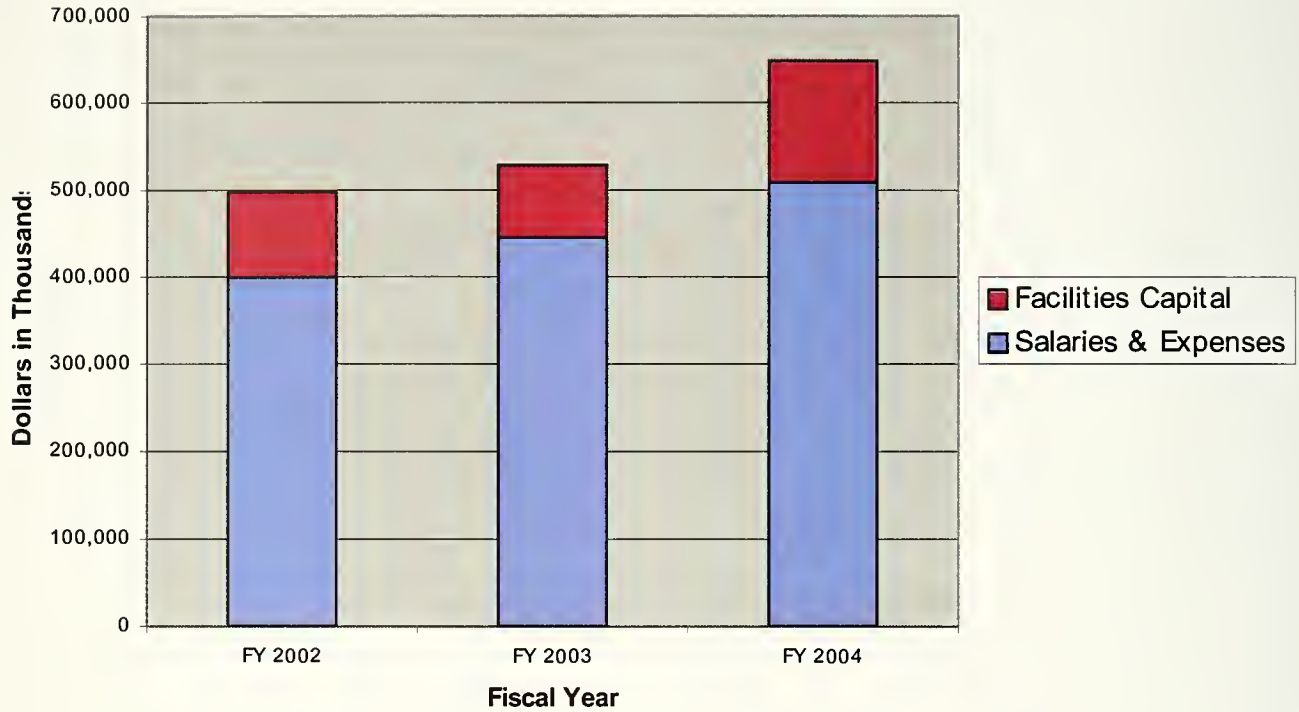
² Transfer to S&E from old RR&A account of \$11,430,000 for minor repairs and maintenance, offset by \$999,000 transferred from S&E to Facilities Capital account beginning in FY 2004 for security modernization upgrade and renewal.

FY 2004 Hierarchy of Needs
(\$ in 000's)

	Amt. of Change	Full Request
<i>SALARIES AND EXPENSES</i>		
FY 2003 Congressional Request		434,660
Restore one-time rescission	14,100	
Restore one-time offsetting reduction	12,795	
Net Transfer from Facilities Capital for maintenance/minor repairs	10,431	
FY 2003 Base		471,986
<i>Non-Discretionary Costs</i>		
Pay and Related Costs	11,181	
Utilities, Postage and Communications	2,997	
Rent	470	
Non-recurring Costs	-18,418	
National Zoological Park: Farm Exhibit	400	
<i>Subtotal</i>	<u>-3,370</u>	
<i>Security</i>		
Security Staffing	2,964	
Information Technology Security Requirements	1,085	
<i>Subtotal</i>	<u>4,049</u>	
<i>NAPA-Driven</i>		
Information Technology: Managed Information Technology Infrastructure	1,070	
Facilities Program Staff Support	1,539	
Facilities Maintenance	7,000	
<i>Subtotal</i>	<u>9,609</u>	
<i>Staffing/Opening New Facilities</i>		
NASM Udvar-Hazy Center	7,867	
NMAI Mall Museum	13,463	
NMAI Mall Museum Program Support	1,858	
<i>Subtotal</i>	<u>23,188</u>	
<i>Other Institutional Priorities</i>		
Center for Folklife and Cultural Heritage: Festival Infrastructure	250	
Smithsonian Astrophysical Observatory VERITAS	1,172	
Smithsonian Institution Libraries Serials Inflation	255	
Scientific Computing: Smithsonian Astrophysical Observatory, Smithsonian Tropical Research Institute, Smithsonian Environmental Research Center	701	
Latino Pool and Latino Initiatives	311	
Information Technology Holocaust Website	200	
Office of Contracting Support	75	
<i>Subtotal</i>	<u>2,964</u>	
<i>SUBTOTAL, SALARIES AND EXPENSES</i>		508,426
<i>FACILITIES CAPITAL</i>		
<i>Security</i>		
Major Revitalization: Security Modernization and Anti-Terrorism		10,100
Construction: National Museum of Natural History, Museum Support Center Pod 5		<u>22,000</u>
<i>Subtotal</i>		32,100
<i>NAPA-Driven</i>		
Major Revitalization: Patent Office Building		48,000
Major Revitalization: National Zoological Park		9,000
Major Revitalization: National Museum of American History, Behring Center		5,500
Major Revitalization: National Museum of Natural History		11,000
Other Revitalization Projects: Program Level		20,435
Facilities Capital Program: Planning and Design		<u>12,965</u>
<i>Subtotal</i>		106,900
<i>SUBTOTAL, FACILITIES CAPITAL</i>		139,000
<i>TOTAL, FY 2004 REQUEST</i>		647,426

Smithsonian Institution

Summary by Account



Account (\$ in Thousands)	FY 2002 Appropriation	FY 2003 Estimate	FY 2004 Request
Salaries & Expenses	399,253	434,660	508,426 ¹
Facilities Capital	<u>97,900</u>	<u>93,300</u>	<u>139,000</u>
Total	497,153	527,960	647,426

¹Does not include \$22,137,000 for CSRS/FEHB accrued costs.

FEDERAL RESOURCE SUMMARY BY PERFORMANCE OBJECTIVES

In accordance with the President's Management Agenda initiative on budget and performance integration, the Smithsonian has developed its FY 2004 budget request by reviewing all resources, both base amounts and identified increases or decreases, in relation to the Institution's performance plan. In the sections that follow, detailed justifications are provided for all funding and FTEs by Institutional strategic goal and by performance objective under each goal, and specific annual performance goals are provided for each objective for which funding is requested.

The following table provides a summary of the Institution's FY 2003 and FY 2004 estimates, and the proposed changes, by strategic goal and performance objective.

Federal Resource Summary by Performance Objective
(\$ in Thousands)

Performance Objective	FY 2003		FY 2004		Change	
	FTE	\$000	FTE	\$000	FTE	\$000
GOAL 1: PUBLIC IMPACT						
1.1 Offer compelling, first-class exhibitions and other public programs at Smithsonian museums, research centers, and the National Zoo	512	47,374	526	45,564	14	-1,810
1.2 Expand a national outreach effort to share the Smithsonian experience with larger audiences throughout America	173	16,377	175	17,852	3	1,475
1.3 Maintain the high caliber of scholarly research and communicate the results to mass lay and professional audiences	188	14,210	188	14,535	0	325
1.4 Increase the access of Smithsonian audiences to high-quality education resources based on collections, programs, and research	188	15,264	208	18,479	20	3,215
1.5 Judiciously build, refine, care for, and manage the national collections for future generations	484	38,398	485	43,593	1	5,195
1.6 Have a world-class Web presence	20	1,755	21	1,940	1	185
1.7 Have the highest quality, state-of-the-art visitors' services in Smithsonian museums	56	3,661	64	4,449	8	788
GOAL 2: FOCUSED, FIRST CLASS SCIENCE						
2.1 Determine the areas of scientific research in which the Smithsonian excels and has the potential for making a significant contribution, and focus the Institution's resources to those centers of excellence	24	2,458	25	2,602	1	144
2.2 Strengthen capacity and establish preeminence in science research centers of excellence	3	342	3	351	0	9
2.3 Conduct focused scientific research programs that are recognized for their quality, relevance, and high performance	478	56,629	481	59,527	3	2,898
GOAL 3: MANAGEMENT EXCELLENCE						
3.1 Take steps to strengthen a stakeholder-focused performance orientation throughout the Institution	467	38,546	474	43,384	7	4,838
3.2 Bring the Institution's financial management systems and functions up to date	72	6,458	75	7,157	3	699
3.3 Bring the Institution's information technology systems and functions up to date	169	45,359	172	50,504	3	5,145
3.4 Strengthen human capital resources	69	8,447	68	8,773	-1	326
3.5 Promote and maintain a diverse workforce and culture of equal opportunity in all aspects of the Smithsonian's employment and business relationships	10	944	10	979	0	35
3.6 Enhance relations with the press, mass media, and federal, state, and local governments	19	1,649	19	1,730	0	81
3.7 Complete the construction of new facilities	1	62	1	64	0	2
3.8 Execute an aggressive, long-range facilities maintenance and revitalization program	661	92,881	757	122,093	96	29,212
3.9 Ensure optimal safety and protection of facilities, collections, visitors, staff, and volunteers	1,154	69,332	1,252	63,343	98	-5,989
GOAL 4: FINANCIAL STRENGTH						
4.1 Secure the financial resources needed for Institutional operations	18	1,409	18	1,507	0	98
4.2 Over the long term, grow the annual payout from the Endowment while increasing or maintaining its principal, adjusting for inflation	0	0	0	0	0	0
4.3 Secure the financial resources needed for major new construction and renovation projects	0	0	0	0	0	0
4.4 Increase the net revenue of Smithsonian Business Ventures	0	0	0	0	0	0
TOTAL	4,766	461,555	5,022	508,426	257	46,871

SMITHSONIAN INSTITUTION
FEDERAL BUDGET BY FUNCTION TABLE
Salaries & Expenses
(Dollars in Thousands)

Function	FY 2002 Appropriation	FY 2003 Estimate	FY 2004 Estimate
Exhibitions	\$ 42,046	\$ 42,831	\$ 40,139
Education	26,454	28,005	32,195
Collections	55,062	59,236	63,239
Research	56,783	59,150	60,970
Facilities	97,080	112,239	142,453
Security	61,360	65,319	57,832
Information Technology	29,816	32,907	37,821
Finance/General Administration	52,359	61,868	62,740
Total, Smithsonian	\$420,960 ¹	\$461,555 ²	\$497,389 ³

¹ FY 2002 Appropriation includes FY 2002 emergency supplemental (P.L. 107-117).

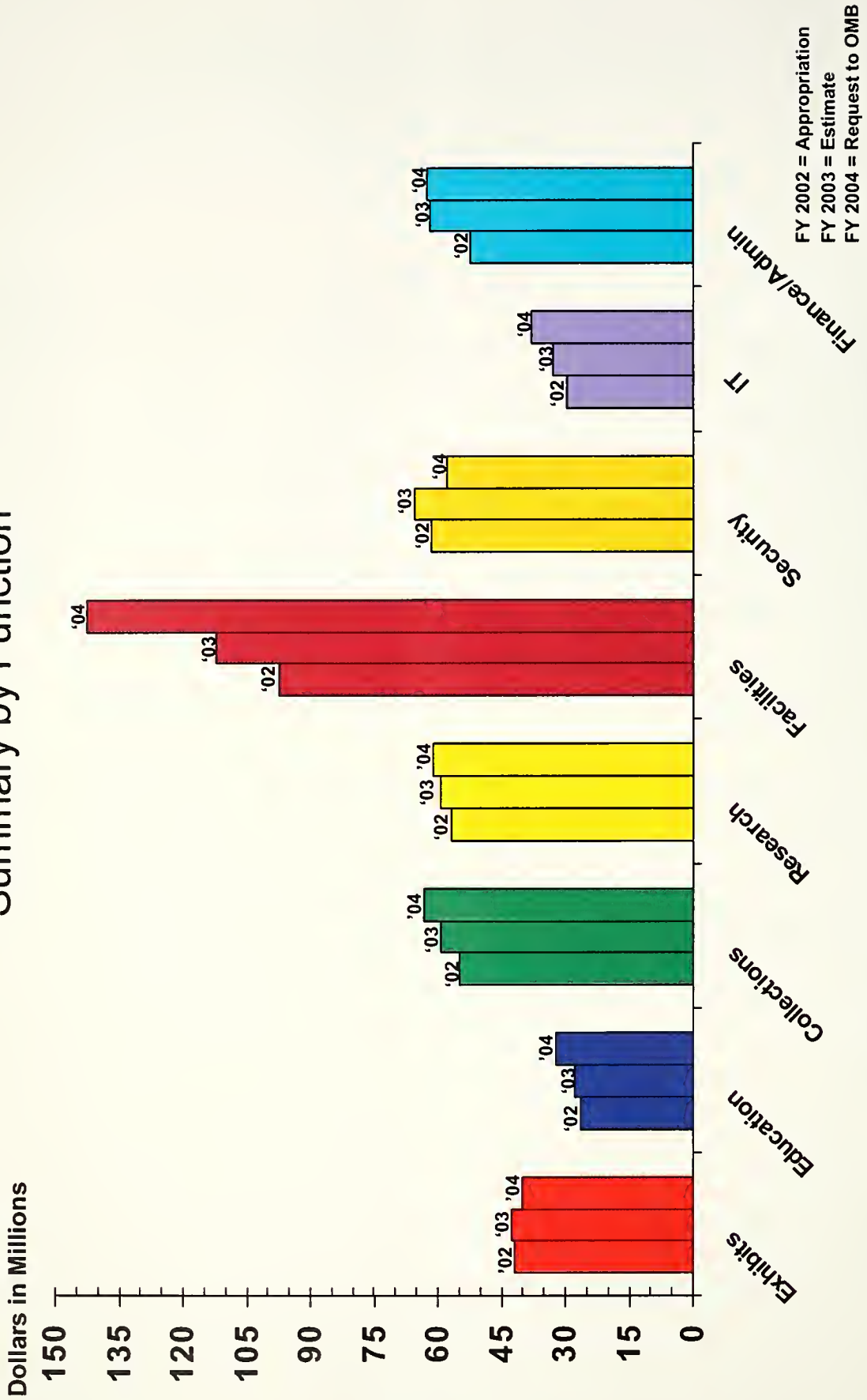
² FY 2003 Request does not reflect offsetting reductions of \$12,795,000 and rescission of prior years' unobligated funds of \$14,100,100.

³ FY 2004 Request excludes Necessary Pay of \$11,037,000 and CSRS/FEHB costs of \$22,137,000.

Smithsonian Institution

Salaries & Expenses

Summary by Function



FY 2002 Appropriation includes FY 2002 emergency supplemental (P.L. 107-117).

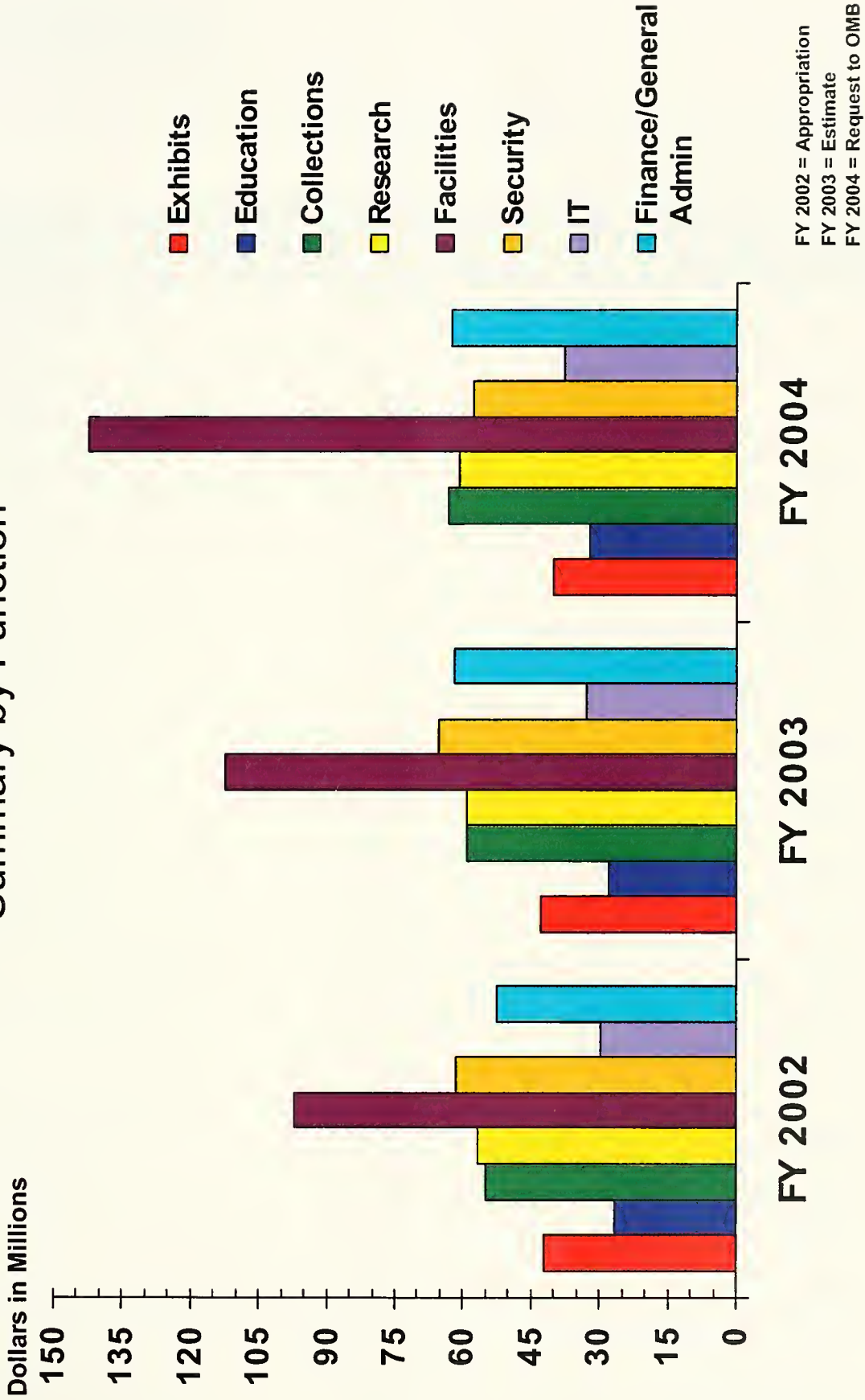
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FY 2004 Request excludes Necessary Pay of \$11,037,000 and CSRS/FEHB costs of \$22,137,000.

Smithsonian Federal Budget

Salaries and Expenses



Summary by Function



FY 2002 Appropriation includes FY 2002 emergency supplemental (P.L. 107-117).



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FY 2004 Request excludes Necessary Pay of \$11,037,000 and CSRS/FEHB costs of \$22,137,000.

 SI Unit Base Adjustments and Transfers
 OMB Requested Increases and Decreases

SI Activities	es						FY 2004 Request	
	(b) Amount	IT ^(c)		Finance/ General Admn. ^(d)		Necessary Pay	FTEs	Amount
		FTEs	Amount	FTEs	Amount			
FY 2002 Appropriation								
FY 2003 Request								
FY 2004 Request	57,832	148	37,821	551	62,740	11,037	5,022	530,563
MUSEUMS AND RESEARCH INSTITUTES								
<i>American Museums</i>								
Anacostia Museum/Center for African American History and Culture	0	0	0	5	486	54	23	2,035
**Adjustment to Base to Reflect FY 2004 Plan	0	0	0	0	128			
Archives of American Art	0	0	0	5	621	54	22	1,856
Center for Folklife and Cultural Heritage	0	0	0	2	158	51	18	2,212
**Folklife Festival Infrastructure	0	0	0	0	0			
National Air and Space Museum	1,375	6	939	23	1,530	596	239	28,345
**Moving and Installation of Artifacts at Udvar-Hazy, NASM	0	0	0	0	0			
** Udvar-Hazy Center, NASM	325	1	463	1	65			
**Adjustment to Base to Reflect FY 2004 Plan	0	0	0	1	93			
National Museum of American History	120	10	993	17	1,384	687	271	21,637
National Postal Museum	0	0	30	0	9	16	6	670
**Adjustment to Base to Reflect FY 2004 Plan	0	0	(15)	0	(1)			
National Museum of the American Indian	0	17	2,347	68	6,559	775	399	42,151
**Exhibition Activities	0	0	0	0	0			
**Communications Cabling	0	0	(800)	0	0			
**NMAI Mall Museum	0	3	2,778	1	413			
**Adjustment to Base to Reflect FY 2004 Plan	0	0	75	0	0			
National Portrait Gallery								
-NPG	0	1	128	14	884	152	63	4,925
-1/2 SAAM/NPG Bldg. Mgr.	0	0	0	0	0	23	14	800
Smithsonian American Art Museum								
-SAAM	0	5	419	10	796	236	97	7,783
**Adjustment to Base to Reflect FY 2004 Plan	0	0	(6)	0	3			
-1/2 SAAM/NPG Bldg. Mgr.	45	0	0	0	0	24	15	804
<i>International Art Museums</i>								
Arthur M. Sackler Gallery/Freer Gallery of Art	0	3	355	5	595	185	71	6,353
**Adjustment to Base to Reflect FY 2004 Plan	0	0	(20)	0	0			
Cooper-Hewitt, National Design Museum	0	1	141	5	435	89	40	3,139
Hirshhorn Museum & Sculpture Garden	78	1	82	6	643	138	65	4,862
National Museum of African Art	0	1	144	5	597	120	48	4,584
<i>Science Museums and Research Institutes</i>								
National Museum of Natural History	152	12	1,206	21	2,644	1,374	514	46,356
National Zoological Park	2,229	3	435	18	1,368	737	340	25,237
**NZIP Security Improvements	(175)	0	0	0	0			
**NZIP Kids' Farm Exhibit	0	0	0	0	0			
Smithsonian Astrophysical Observatory	0	1	398	3	336	485	124	22,258
**Scientific Computing	0	0	0	0	0			
**VERITAS	0	0	0	0	0			
**Rental Costs	0	0	0	0	0			
Smithsonian Center for Materials Research and Education	0	0	0	5	517	95	29	3,555
Smithsonian Environmental Research Center	0	3	217	5	265	94	42	3,660
**Scientific Computing	0	1	56	0	0			
Smithsonian Tropical Research Institute	853	4	180	36	1,801	310	243	11,604
**Scientific Computing	0	0	0	0	0			
TOTAL, MUSEUMS AND RESEARCH INSTITUTES	5,002	73	10,545	256	22,329	6,295	2,683	244,826

**SMITHSONIAN INSTITUTION FEDERAL BUDGET
BY FUNCTION AND ACTIVITY
(Thousands of Dollars)**

 SI Unit Base Adjustments and Transfers
 OMB Requested Increases and Decreases



	FY 2002 Appropriation		FY 2003 Request		FY 2003 Request w/ FY 2004 Increases and Decreases														FY 2004 Request						
	FTEs	Amount	FTEs	Amount	Functions														Necessary Pay	FTEs	Amount				
					Exhibitions		Education		Collections		Research		Facilities ^(a)		Security ^(b)		IT ^(c)					Finance/ General Admn. ^(d)			
					FTEs	Amount	FTEs	Amount	FTEs	Amount	FTEs	Amount	FTEs	Amount	FTEs	Amount	FTEs	Amount	FTEs	Amount	FTEs	Amount	FTEs	Amount	
SI Activities																									
FY 2002 Appropriation	4,697	420,960																							
FY 2003 Request			4,766	434,660																					
FY 2004 Request					451	40,139	374	32,195	726	63,239	517	60,970	1,067	142,453	1,188	57,832	148	37,821	551	62,740	11,037	5,022	530,563		
MUSEUMS AND RESEARCH INSTITUTES																									
American Museums																									
Anacostia Museum/Center for African American History and Culture	18	1,932	23	1,981	5	492	7	511	5	352	0	0	1	140	0	0	0	0	5	486	54	23	2,035		
**Adjustment to Base to Reflect FY 2004 Plan					0	(145)	0	12	0	0	0	0	0	5	0	0	0	0	0	128					
Archives of American Art	22	1,738	22	1,802	1	105	6	377	10	699	0	0	0	0	0	0	0	0	5	621	54	22	1,856		
Center for Folklife and Cultural Heritage	18	1,850	18	1,911	9	996	5	599	2	158	0	0	0	0	0	0	0	0	2	158	51	18	2,212		
**Folklife Festival Infrastructure					0	250	0	0	0	0	0	0	0	0	0	0	0	0							
National Air and Space Museum	220	16,599	231	20,402	34	3,408	6	917	60	4,626	37	3,675	60	3,932	5	1,375	6	939	23	1,530	596	239	28,345		
**Moving and Installation of Artifacts at Udvar-Hazy, NASM					0	0	0	0	0	(520)	0	0	0	0	0	0	0	0							
**Udvar-Hazy Center, NASM					3	794	1	98	0	3,483	0	0	0	2,639	2	325	1	463							
**Adjustment to Base to Reflect FY 2004 Plan					0	0	0	0	0	(4)	0	0	(1)	(89)	0	0	0	0	1	93					
National Museum of American History	271	20,162	271	20,950	50	4,131	43	3,325	90	6,704	17	1,988	43	2,305	1	120	10	993	17	1,384	687	271	21,637		
National Postal Museum	6	638	6	654	2	145	0	53	4	309	0	108	0	0	0	0	0	30	0	9	16	6	670		
**Adjustment to Base to Reflect FY 2004 Plan					0	0	0	2	0	11	0	3	0	0	0	0	0	(15)	0	(1)					
National Museum of the American Indian	296	27,995	329	33,616	32	8,102	75	5,860	100	8,043	0	0	37	2,705	0	0	17	2,347	68	6,559	775	399	42,151		
**Exhibition Activities					0	(4,903)	0	0	0	0	0	0	0	0	0	0	0	0							
**Communications Cabling					0	0	0	0	0	0	0	0	0	0	0	0	0	(800)	0	0					
**NMAI Mall Museum					7	944	32	3,870	1	624	0	0	26	4,834	0	0	3	2,778	1	43					
**Adjustment to Base to Reflect FY 2004 Plan					0	1	0	(1)	0	(75)	0	0	0	0	0	0	0	75	0	0					
National Portrait Gallery																									
-NPG	63	4,607	63	4,773	14	1,224	8	466	23	1,843	3	228	0	0	0	0	1	128	14	884	152	63	4,925		
-1/2 SAAM/NPG Bldg. Mgr.	14	753	14	777	0	0	0	0	0	0	0	0	14	777	0	0	0	0	0	0	23	14	800		
Smithsonian American Art Museum																									
-SAAM	97	7,270	97	7,547	23	1,718	25	1,921	31	2,369	3	324	0	0	0	0	5	419	10	796	236	97	7,783		
**Adjustment to Base to Reflect FY 2004 Plan					0	8	0	(14)	0	9	0	0	0	0	0	0	0	(6)	0	3					
-1/2 SAAM/NPG Bldg. Mgr.	15	753	15	780	0	0	0	0	0	0	0	0	14	735	1	45	0	0	0	0	24	15	804		
International Art Museums																									
Arthur M. Sackler Gallery/Freer Gallery of Art	71	5,961	71	6,168	22	1,721	12	1,110	13	1,357	7	512	9	518	0	0	3	355	5	595	185	71	6,353		
**Adjustment to Base to Reflect FY 2004 Plan					0	(24)	0	24	0	20	0	0	0	0	0	0	0	(20)	0	0					
Cooper-Hewitt, National Design Museum	40	2,942	40	3,050	5	417	5	315	10	724	1	62	13	956	0	0	1	141	5	435	89	40	3,139		
Hirshhorn Museum & Sculpture Garden	65	4,575	65	4,724	19	1,559	9	650	13	1,081	0	0	16	631	1	78	1	82	6	643	138	65	4,862		
National Museum of African Art	48	4,334	48	4,464	16	1,587	11	865	14	1,160	0	0	1	111	0	0	1	144	5	597	120	48	4,584		
Science Museums and Research Institutes																									
National Museum of Natural History	514	43,419	514	44,982	43	4,438	64	5,026	156	13,083	144	15,101	71	3,332	3	152	12	1,206	21	2,644	1,374	514	46,356		
National Zoological Park	336	26,331	334	24,275	92	5,948	3	224	44	3,802	27	2,105	107	8,164	40	2,229	3	435	18	1,368	737	340	25,237		
**NZIP Security Improvements					0	0	0	0	0	0	0	0	0	0	0	(175)	0	0	0	0					
**NZIP Kids Farm Exhibit					4	271	0	0	0	0	0	0	2	129	0	0	0	0	0	0					
Smithsonian Astrophysical Observatory	123	20,546	123	21,121	0	0	5	800	0	0	97	16,748	17	2,839	0	0	1	398	3	336	485	124	22,258		
**Scientific Computing					0	0	0	0	0	0	0	380	0	0	0	0	0	0	0	0					
**VERITAS					0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0					
**Rental Costs					0	0	0	0	0	0	0	0	0	100	0	0	0	0	0	0					
Smithsonian Center for Materials Research and Education	29	3,357	29	3,460	0	0	8	920	4	563	12	1,460	0	0	0	0	0	0	5	517	95	29	3,555		
Smithsonian Environmental Research Center	41	3,391	41	3,510	0	0	1	73	0	0	25	2,281	7	674	0	0	3	217	5	265	94	42	3,660		
**Scientific Computing					0	0	0	0	0	0	0	0	0	0	0	0	1	56	0	0					
Smithsonian Tropical Research Institute	242	10,691	242	11,029	0	0	7	264	0	0	124	6,001	46	1,930	25	853	4	180	36	1,801	310	243	11,604		
**Scientific Computing					0	0	0	0	0	0	1	265	0	0	0	0	0	0	0	0					
TOTAL MUSEUMS AND RESEARCH INSTITUTES	2,549	209,844	2,596	221,976	381	33,187	333	28,267	580	50,421	499	51,413	483	37,367	78	5,002	73	10,545	256	22,329	6,295	2,683	244,826		

	FTEs						FY 2004 Request	
	(b) Amount	IT ^(c)		Finance/ General Admn. ^(c)		Necessary Pay	FTEs	Amount
		FTEs	Amount	FTEs	Amount			
SI Activities								
FY 2002 Appropriation								
FY 2003 Request								
FY 2004 Request	57,832	148	37,821	551	62,740	11,037	5,022	530,563
PROGRAM SUPPORT AND OUTREACH								
<i>Outreach</i>								
–Smithsonian Institution Traveling Exhibition Service	0	0	0	10	631	114	43	4,376
–Smithsonian Center for Education and Museum Programs	0	1	63	3	562	55	17	1,775
–Smithsonian Affiliation Program	0	0	0	2	258	8	3	344
–National Science Resources Center	0	0	0	0	0	6	2	174
–Office of Fellowships	0	0	0	5	275	10	5	339
–Smithsonian Press	0	0	0	2	135	49	19	1,617
<i>Communications</i>								
–VIARC	0	0	0	0	0	9	6	480
–Office of Public Affairs	0	0	0	4	447	26	9	911
–Smithsonian Productions	0	0	0	0	0	0	0	0
<i>Institution-wide Programs</i>								
–Research Equipment	0	0	0	0	0	0	0	1,706
–Information Resources	0	0	1,346	0	1,000	0	0	3,304
–Latino Programming	0	0	0	0	0	0	0	1,246
**Increased Latino Programming	0	0	0	0	0			
Office of Exhibits Central	0	0	0	4	247	85	35	2,673
Major Scientific Instrumentation	0	0	0	0	0	0	0	6,000
**VERITAS	0	0	0	0	0			
Museum Support Center	0	2	160	3	329	67	45	2,536
**Adjustment to Base to Reflect FY 2004 Plan	0	0	6	0	(48)			
Smithsonian Institution Archives	0	0	0	4	300	57	24	1,731
Smithsonian Institution Libraries	0	5	463	9	549	244	111	8,987
**Libraries Serials Inflation	0	0	0	0	0			
TOTAL, PROGRAM SUPPORT AND OUTREACH	0	8	2,038	46	4,685	730	319	38,199

**SMITHSONIAN INSTITUTION FEDERAL BUDGET
BY FUNCTION AND ACTIVITY
(Thousands of Dollars)**

SI Unit Base Adjustments and Transfers
OM Requested Increases and Decreases

SI Activities	FY 2002 Appropriation		FY 2003 Request		FY 2003 Request w/ FY 2004 Increases and Decreases														FY 2004 Request				
	FTEs	Amount	FTEs	Amount	Functions														Necessary Pay	FTEs	Amount		
					Exhibitions		Education		Collections		Research		Facilities ^(a)		Security ^(b)		IT ^(c)					Finance/ General Adm. ^(d)	
				FTEs	Amount	FTEs	Amount	FTEs	Amount	FTEs	Amount	FTEs	Amount	FTEs	Amount	FTEs	Amount	FTEs	Amount		FTEs	Amount	
FY 2002 Appropriation	4,697	420,960																					
FY 2003 Request			4,766	434,660	451	40,139	374	32,195	726	63,239	517	60,970	1,067	142,453	1,188	57,832	148	37,821	551	62,740	11,037	5,022	530,563
FY 2004 Request																							
PROGRAM SUPPORT AND OUTREACH																							
<i>Outreach</i>																							
--Smithsonian Institution Traveling Exhibition Service	43	4,136	43	4,262	33	3,631	0	0	0	0	0	0	0	0	0	0	0	0	10	631	114	43	4,376
--Smithsonian Center for Education and Museum Programs	17	1,668	17	1,720	0	0	13	1,095	0	0	0	0	0	0	0	0	1	63	3	562	55	17	1,775
--Smithsonian Affiliation Program	3	327	3	336	0	0	1	78	0	0	0	0	0	0	0	0	0	0	2	258	8	3	344
--National Science Resources Center	2	161	2	168	0	0	2	168	0	0	0	0	0	0	0	0	0	0	0	0	6	2	174
--Office of Fellowships	5	317	5	329	0	0	0	0	0	0	0	54	0	0	0	0	0	0	5	275	10	5	339
--Smithsonian Press	19	1,514	19	1,568	0	0	6	550	0	0	11	883	0	0	0	0	0	0	2	135	49	19	1,617
<i>Communications</i>																							
--VIARC	6	461	6	471	0	0	6	471	0	0	0	0	0	0	0	0	0	0	0	0	9	6	480
--Office of Public Affairs	9	857	9	885	0	0	5	438	0	0	0	0	0	0	0	0	0	0	4	447	26	9	911
--Smithsonian Productions	1	299	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
<i>Institution-wide Programs</i>																							
--Research Equipment	0	1,706	0	1,706	0	0	0	0	0	0	0	1,706	0	0	0	0	0	0	0	0	0	0	1,706
--Information Resources	0	2,804	0	3,304	0	0	0	0	0	958	0	0	0	0	0	0	1,346	0	1,000	0	0	0	3,304
--Latino Programming	0	996	0	996	0	372	0	457	0	29	0	138	0	0	0	0	0	0	0	0	0	0	1,246
**Increased Latino Programming					0	112	0	138	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
Office of Exhibits Central	35	2,494	35	2,588	31	2,341	0	0	0	0	0	0	0	0	0	0	0	0	4	247	85	35	2,673
Major Scientific Instrumentation	0	6,229	0	5,000	0	0	0	0	0	0	0	5,000	0	0	0	0	0	0	0	0	0	0	6,000
**VERITAS					0	0	0	0	0	0	0	1,000	0	0	0	0	0	0	0	0	0	0	
Museum Support Center	45	3,074	45	2,469	0	0	0	0	18	1,077	0	0	22	903	0	0	2	160	3	329	67	45	2,536
**Adjustment to Base to Reflect FY 2004 Plan					0	0	0	0	0	0	0	0	0	42	0	0	0	6	0	(48)	0		
Smithsonian Institution Archives	24	1,611	24	1,674	0	0	3	185	14	906	3	283	0	0	0	0	0	0	4	300	57	24	1,731
Smithsonian Institution Libraries	107	8,278	111	8,488	1	72	0	0	96	7,404	0	0	0	0	0	0	5	463	9	549	244	111	8,987
**Libraries Serials Inflation					0	0	0	0	0	255	0	0	0	0	0	0	0	0	0	0	0		
TOTAL PROGRAM SUPPORT AND OUTREACH	316	36,932	319	35,964	65	6,528	36	3,580	128	10,629	14	9,064	22	945	0	0	8	2,038	46	4,685	730	319	38,199

 SI Unit Base Adjustments and Transfers
 OMB Requested Increases and Decreases

SI Activities	es						FY 2004 Request	
	(b)	IT ^(c)		Finance/ General Adm. ^(d)		Necessary Pay	FTEs	Amount
		Amount	FTEs	Amount	FTEs			
FY 2002 Appropriation								
FY 2003 Request								
FY 2004 Request	57,832	148	37,821	551	62,740	11,037	5,022	530,563
ADMINISTRATION								
Office of the Secretary	0	0	0	8	744	18	8	762
Office of Diversity Initiatives (Equal Employment & Minority Affairs)	0	0	0	10	928	34	10	962
Office of General Counsel	0	0	0	10	1,229	43	10	1,272
Office of Inspector General	0	0	0	13	1,488	54	13	1,542
Office of Policy and Analysis	0	0	0	4	369	16	4	385
Chief Financial Officer								
Office of the Chief Financial Officer	0	0	0	3	249	12	3	261
–SI Audit Costs	0	0	0	0	101	0	0	101
Office of the Comptroller	0	0	0	38	2,969	115	38	3,084
–National Finance Center Costs	0	0	0	0	613	0	0	613
Office of Contracting	0	0	0	34	2,643	96	36	2,814
**Support for Increased Workload	0	0	0	2	75			
–Paper	0	0	0	0	179	0	0	179
Office of Planning, Management and Budget	0	0	0	14	2,257	45	14	2,302
Office of the Treasurer	0	0	0	0	12	0	0	12
Chief Information Officer								
Office of Information Technology (w/Chief Information Officer)	0	64	12,477	28	11,281	259	96	26,569
**Enterprise Resource Planning (ERP)	0	0	(645)	0	0			
**Managed Information Technology Infrastructure	0	0	1,070	0	0			
**Information Technology Security	0	0	1,085	0	0			
**Holocaust Website	0	0	0	0	0			
–Communications	0	0	10,164	0	0	0	0	11,031
**Telecommunications Infrastructure Modernization	0	0	867	0	0			
Office of Imaging and Photographic Services	0	3	220	3	213	54	21	1,761
Director for International Art Museums Division	0	0	0	2	310	12	3	372
Office of the Under Secretary for Science (w/ Diving Pgm)	0	0	0	6	847	29	8	1,174
Office of Under Secretary for Am Mus and Nat'l Progs (w/A&I Exh & Asf)	0	0	0	5	460	16	6	546
Director for National Programs	0	0	0	3	287	11	3	298
Office of Government Relations	0	0	0	6	483	16	6	499
Office of Human Resources	0	0	0	58	5,018	222	58	5,240
–Workers' Compensation	0	0	0	0	2,656	0	0	2,800
**FY 2004 Workers' Compensation Increase	0	0	0	0	144			
Office of Special Events and Protocol	0	0	0	1	93	3	1	96
Smithsonian Center for Latino Initiatives	0	0	0	1	78	2	3	215
**Increased Latina Programming	0	0	0	0	0			
Office of the Under Secretary for Finance and Administration	0	0	0	0	0	0	0	0
TOTAL, ADMINISTRATION	0	67	25,238	249	35,726	1,057	341	64,890

**SMITHSONIAN INSTITUTION FEDERAL BUDGET
BY FUNCTION AND ACTIVITY
(Thousands of Dollars)**

SI Unit Base Adjustments and Transfers
OMB Requested Increases and Decreases

	FY 2002 Appropriation		FY 2003 Request		FY 2003 Request w/ FY 2004 Increases and Decreases														FY 2004 Request						
					Functions																				
	FTEs	Amount	FTEs	Amount	Exhibitions		Education		Collections		Research		Facilities ^(a)		Security ^(b)		IT ^(c)		Finance/ General Admn. ^(d)		Necessary Pay	FTEs	Amount		
SI Activities																									
FY 2002 Appropriation	4,697	420,960																							
FY 2003 Request			4,766	434,660																					
FY 2004 Request					451	40,139	374	32,195	726	63,239	517	60,970	1,067	142,453	1,188	57,832	148	37,821	551	62,740	11,037	5,022	530,563		
ADMINISTRATION																									
Office of the Secretary	8	724	8	744	0	0	0	0	0	0	0	0	0	0	0	0	0	0	8	744	18	8	762		
Office of Diversity Initiatives (Equal Employment & Minority Affairs)	10	891	10	928	0	0	0	0	0	0	0	0	0	0	0	0	0	0	10	928	34	10	962		
Office of General Counsel	10	1,183	10	1,229	0	0	0	0	0	0	0	0	0	0	0	0	0	0	10	1,229	43	10	1,272		
Office of Inspector General	13	1,431	13	1,488	0	0	0	0	0	0	0	0	0	0	0	0	0	0	13	1,488	54	13	1,542		
Office of Policy and Analysis	4	352	4	369	0	0	0	0	0	0	0	0	0	0	0	0	0	0	4	369	16	4	385		
Chief Financial Officer																									
Office of the Chief Financial Officer	2	143	3	249	0	0	0	0	0	0	0	0	0	0	0	0	0	0	3	249	12	3	261		
--SI Audit Costs	0	101	0	101	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	101	0	0	101		
Office of the Comptroller	47	3,505	38	2,969	0	0	0	0	0	0	0	0	0	0	0	0	0	0	38	2,969	115	38	3,084		
--National Finance Center Costs	0	613	0	613	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	613	0	0	613		
Office of Contracting	35	2,531	34	2,643	0	0	0	0	0	0	0	0	0	0	0	0	0	0	34	2,643	96	36	2,814		
**Support for Increased Workload					0	0	0	0	0	0	0	0	0	0	0	0	0	0	2	5					
--Paper	0	179	0	179	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	179	0	0	179		
Office of Planning, Management and Budget	14	1,635	14	2,257	0	0	0	0	0	0	0	0	0	0	0	0	0	0	14	2,257	45	14	2,302		
Office of the Treasurer	0	17	0	12	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	12	0	0	12		
Chief Information Officer																									
Office of Information Technology (w/Chief Information Officer)	57	12,866	96	24,600	0	0	0	0	4	842	0	0	0	0	0	0	64	12,477	28	11,281	259	96	26,569		
**Enterprise Resource Planning (ERP)					0	0	0	0	0	0	0	0	0	0	0	0	0	(645)	0	0					
**Managed Information Technology Infrastructure					0	0	0	0	0	0	0	0	0	0	0	0	0	1,070	0	0					
**Information Technology Security					0	0	0	0	0	0	0	0	0	0	0	0	0	1,085	0	0					
**Holocaust Website					0	0	0	0	1	200	0	0	0	0	0	0	0	0	0	0					
--Communications	0	9,792	0	10,164	0	0	0	0	0	0	0	0	0	0	0	0	0	10,164	0	0	0	0	0	11,031	
**Telecommunications Infrastructure Modernization					0	0	0	0	0	0	0	0	0	0	0	0	0	867	0	0					
Office of Imaging and Photographic Services	22	2,205	21	1,707	4	354	3	213	5	424	2	195	1	88	0	0	3	220	3	213	54	21	1,761		
Director for International Art Museums Division	3	346	3	360	0	0	0	0	1	50	0	0	0	0	0	0	0	0	2	310	12	3	372		
Office of the Under Secretary for Science (w/ Diving Pgm)	8	1,217	8	1,145	0	0	0	0	0	0	2	298	0	0	0	0	0	0	6	847	29	8	1,174		
Office of Under Secretary for Am Mus and Nat'l Progs (w/A&I Exh & AsPacAm Init)	6	512	6	530	1	70	0	0	0	0	0	0	0	0	0	0	0	5	460	16	6	546			
Director for National Programs	3	276	3	287	0	0	0	0	0	0	0	0	0	0	0	0	0	3	287	11	3	298			
Office of Government Relations	6	467	6	483	0	0	0	0	0	0	0	0	0	0	0	0	0	6	483	16	6	499			
Office of Human Resources	60	5,039	58	5,018	0	0	0	0	0	0	0	0	0	0	0	0	0	58	5,018	222	58	5,240			
--Workers' Compensation	0	2,495	0	2,656	0	0	0	0	0	0	0	0	0	0	0	0	0	0	2,656	0	0	0	2,800		
**FY 2004 Workers' Compensation Increase					0	0	0	0	0	0	0	0	0	0	0	0	0	0	144						
Office of Special Events and Protocol	1	89	1	93	0	0	0	0	0	0	0	0	0	0	0	0	0	1	93	3	1	96			
Smithsonian Center for Latino Initiatives	2	150	2	152	0	0	1	74	0	0	0	0	0	0	0	0	0	1	78	2	3	215			
**Increased Latino Programming					0	0	1	61	0	0	0	0	0	0	0	0	0	0	0						
Office of the Under Secretary for Finance and Administration	2	280	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0		
TOTAL, ADMINISTRATION	313	49,039	338	60,976	5	424	5	348	10	1,516	4	493	1	88	0	0	67	25,238	249	35,726	1,057	341	64,890		

SI Unit Base Adjustments and Transfers
 OM8 Requested Increases and Decreases

SI Activities	es						FY 2004 Request	
	Amount	FTEs	Amount	FTEs	Amount	Necessary Pay	FTEs	Amount
FY 2002 Appropriation								
FY 2003 Request								
FY 2004 Request	57,832	148	37,821	551	62,740	11,037	5,022	530,563
FACILITIES SERVICES ⁽¹⁾								
Facilities Maintenance	0	0	0	0	0	582	276	36,221
**Facilities Maintenance	0	0	0	0	0			
**NMAI Mall Museum Support	0	0	0	0	0			
**OPS Security Improvements	0	0	0	0	0			
**Transfer of FTEs and Resources from RR&A Account	0	0	0	0	0			
Facilities Operations, Security and Support	50,467	0	0	0	0	2,373	1,403	124,290
**NMAI Mall Museum Support	1,379	0	0	0	0			
**OPS Security Improvements	2,134	0	0	0	0			
**Security Systems Modernization	(550)	0	0	0	0			
**Security Improvements	0,825	0	0	0	0			
**FY 2004 Rent Increase	0	0	0	0	0			
**FY 2004 Utilities and Postage Increase	0	0	0	0	0			
**Facilities Staff Support	225	0	0	0	0			
**Transfer of Security Modernization Resources to Facilities Capital	0	0	0	0	0			
TOTAL, FACILITIES SERVICES	52,830	0	0	0	0	2,955	1,679	160,511
Subtotal, Smithsonian Institution	57,832	148	37,821	551	62,740	11,037	5,022	508,426
FY 2003 Offsetting Reduction							0	0
FY 2003 Rescission of Prior Years' Unobligated Funds							0	0
Additional CSRS/FEHB Costs							0	22,137
TOTAL, SMITHSONIAN INSTITUTION	57,832	148	37,821	551	62,740	11,037	5,022	530,563

Definitions:

- (a) Facilities Services - Housekeeping, physical plant and grounds
- (b) Security - Protection and safeguarding of staff, visitors, collections, and facilities
- (c) Information Technology - Information technology infrastructure (defining methodology and capturing and maintaining data and computer-based applications (designing, acquiring, and software specifications and capabilities)
- (d) Finance/General Admn. - This includes Finance, Human Resources, and other administrative activities

Footnotes:

- (1) For comparison purposes, the FY 2002 and FY 2003 request amounts are presented in thousands of dollars.
- (2) Non-odd entries to reflect FY 2002 and FY 2003 equivalent amounts.

**SMITHSONIAN INSTITUTION FEDERAL BUDGET
BY FUNCTION AND ACTIVITY
(Thousands of Dollars)**

■ SI Unit Base Adjustments and Transfers
■ OMB Requested Increases and Decreases

SI Activities	FY 2002 Appropriation		FY 2003 Request		FY 2003 Request w/ FY 2004 Increases and Decreases														FY 2004 Request				
	FTEs	Amount	FTEs	Amount	Functions														Necessary Pay	FTEs	Amount		
					Exhibitions		Education		Collections		Research		Facilities ^(a)		Security ^(b)		IT ^(c)					Finance/General Adm. ^(d)	
				FTEs	Amount	FTEs	Amount	FTEs	Amount	FTEs	Amount	FTEs	Amount	FTEs	Amount	FTEs	Amount	FTEs	Amount	FTEs	Amount		
FY 2002 Appropriation	4,697	420,960																					
FY 2003 Request			4,766	434,660																			
FY 2004 Request					451	40,139	374	32,195	726	63,239	517	60,970	1,067	142,453	1,188	57,832	148	37,821	551	62,740	11,037	5,022	530,563
FACILITIES SERVICES ⁽¹⁾																							
Facilities Maintenance	196	11,876	220	16,023	0	0	0	0	0	0	0	0	220	16,023	0	0	0	0	0	0	582	276	36,221
**Facilities Maintenance					0	0	0	0	0	0	0	0	19	7,000	0	0	0	0	0	0			
**NMAI Mall Museum Support					0	0	0	0	0	0	0	0	4	156	0	0	0	0	0	0			
**OPS Security Improvements					0	0	0	0	0	0	0	0	0	830	0	0	0	0	0	0			
**Transfer of FTEs and Resources from RR&A Account					0	0	0	0	0	0	0	0	33	11,430	0	0	0	0	0	0			
Facilities Operations, Security and Support	1,323	113,269	1,293	126,616	0	0	0	0	8	673	0	0	273	65,476	1,012	60,467	0	0	0	0	2,373	1,403	124,290
**NMAI Mall Museum Support					0	0	0	0	0	0	0	0	1	123	28	1,379	0	0	0	0			
**OPS Security Improvements					0	0	0	0	0	0	0	0	0	0	68	2,134	0	0	0	0			
**Security Systems Modernization					0	0	0	0	0	0	0	0	0	0	0	(550)	0	0	0	0			
**Security Improvements					0	0	0	0	0	0	0	0	0	0	0	(10,825)	0	0	0	0			
**FY 2004 Rent Increase					0	0	0	0	0	0	0	0	0	370	0	0	0	0	0	0			
**FY 2004 Utilities and Postage Increase					0	0	0	0	0	0	0	0	0	2,130	0	0	0	0	0	0			
**Facilities Staff Support					0	0	0	0	0	0	0	0	11	1,314	2	225	0	0	0	0			
**Transfer of Security Modernization Resources to Facilities Capital Account					0	0	0	0	0	0	0	0	0	(999)	0	0	0	0	0	0			
TOTAL, FACILITIES SERVICES	1,519	125,145	1,513	142,639	0	0	0	0	8	673	0	0	561	104,053	1,110	52,830	0	0	0	0	2,955	1,679	160,511
Subtotal, Smithsonian Institution	4,697	420,960	4,766	461,555	451	40,139	374	32,195	726	63,239	517	60,970	1,067	142,453	1,188	57,832	148	37,821	551	62,740	11,037	5,022	508,426
FY 2003 Offsetting Reduction	0	0	0	(12,795)																		0	0
FY 2003 Rescission of Prior Years' Unobligated Funds	0	0	0	(14,100)																		0	0
Additional CSRS/FEHB Costs	0	(19,187)	0	(19,702)																		0	22,137
TOTAL, SMITHSONIAN INSTITUTION	4,697	420,960	4,766	434,660	451	40,139	374	32,195	726	63,239	517	60,970	1,067	142,453	1,188	57,832	148	37,821	551	62,740	11,037	5,022	530,563

Definitions:

- (a) Facilities Services - Housekeeping, physical plant and grounds maintenance, environmental management, health and safety, engineers and architects supporting
- (b) Security - Protection and safeguarding of staff, visitors, collections and buildings
- (c) Information Technology - Information technology infrastructure (operating and evaluating the information technology infrastructure), data management (defining metadata and capturing and maintaining data in electronic form for internal databases, web sites, and data exchanges used by Smithsonian staff and the and computer-based applications (designing, acquiring or developing, maintaining, and enhancing computer-based application software; training staff; advising on and software specifications and capabilities)
- (d) Finance/General Adm. - This includes Finance, Human Resources, Archives, Public Affairs, Administrative Management, Central Staff and other general administrative activities

Footnotes:

- (1) For comparison purposes, the FY 2002 and FY 2003 requests have been adjusted to reflect the restructuring of the Office of Facilities Engineering and Operations.
- (2) Non-add entries to reflect FY 2002 and FY 2003 equivalent amounts for CSRS/FEHB full funding.

SALARIES AND EXPENSES

CHANGES WITHIN APPROPRIATION ACCOUNTS – As explained later in this section, this budget reflects the proposed restructuring of the Institution's facilities programs, including combining the former Repair, Restoration and Alteration of Facilities (RR&A) and Construction accounts into one new Facilities Capital account. As part of this restructuring, requests formerly included in the RR&A account for minor repairs and maintenance activities are now included with other maintenance activities under the new Facilities Maintenance line item in the S&E account. Funds that had been included in the S&E account for upgrade and renewal of equipment installed as part of the security modernization effort carried out over the last several years are now being requested in the Facilities Capital account. These changes, which result in a net increase to S&E of \$10,431,000 and 33 FTEs, are reflected in the FY 2004 request as follows:

- **Facilities Capital to S&E (\$11,430,000 and 33 FTEs)** includes funds for Reliability Centered Maintenance (\$2,100,000) and funds and staffing for minor repairs and maintenance (\$9,330,000 and 33 FTEs).
- **S&E to Facilities Capital (\$999,000)** includes funds for security modernization upgrade and renewal.

NON-RECURRING COSTS - Fiscal year 2004 non-recurring costs of \$18,418,000 include the following:

- **Office of Protection Services (\$10,825,000)** to reduce one-time funding for security improvements.
- **National Museum of the American Indian (\$5,703,000)** to reduce base funding for exhibition preparation and installation (\$4,903,000) and one-time communications cabling costs (\$800,000) for the Mall Museum.
- **Enterprise Resource Planning System (\$645,000)** to reduce one-time funding used for the development of financial modules that will be deployed by the end of FY 2003.
- **Security System Modernization Program (\$550,000)** to reduce base funding as replacement of the outdated security system nears completion.
- **National Air and Space Museum (\$520,000)** to reduce one-time funding for contractual services to move and install artifacts at the Udvar-Hazy Center (\$470,000) and for supporting equipment (\$50,000).
- **National Zoological Park (\$175,000)** to reduce one-time funding for security improvements.

SALARY AND RELATED COSTS - The Institution requests an increase of \$33,318,000 for higher projected salary and benefits costs in FY 2004 for staff as described below.

Salary and Related Cost Increases:

Annualization of FY 2002 Pay Raises	2,010,000
Proposed FY 2003 Pay Raises	9,027,000
Workers' Compensation	144,000
CSRS/FEHB Additional Costs	<u>22,137,000</u>
Total, Salary and Related Cost Increases	\$33,318,000

- **Annualization of FY 2003 Pay Raises (\$2,010,000)** - to annualize funding of the anticipated 2.6 percent January 2003 pay raise for one-quarter of a year. If pending legislation authorizing a 4.1 percent January 2003 pay raise is enacted, the impact will be an additional \$4,432,000.
- **Proposed FY 2004 Pay Raises (\$9,027,000)** - to fund the anticipated 3.4 percent January 2004 pay raise for three-quarters of a year.
- **Workers' Compensation (\$144,000)** - to support the provisions of Section 8147(b) of Title 5, United States Code, as amended April 21, 1976 by Public Law 94-273. Workers' Compensation is based on actual costs incurred in FY 2001, as provided by the Department of Labor. With an amount of \$2,656,000 in its FY 2003 Request to Congress for workers' compensation, the Institution requests a total of \$2,800,000 in FY 2004, an increase of \$144,000.
- **CSRS/FEHB Additional Costs (\$22,137,000)** - to fund the FY 2004 incremental retirement costs (\$5,458,000) for Civil Service Retirement System employees as prescribed by the FY 2002 Circular A-11. Proposed legislation requires agencies to contribute the agency share of the full actuarial cost of 17.4 percent. In addition, the legislation also requires agencies to pay the full accruing costs (\$16,679,000) of post-retirement health benefits for current civilian employees participating in the Federal Employee Health Benefit (FEHB) program. In FY 2004, the Smithsonian's contribution per FEHB participant will be \$3,976.

UTILITIES, POSTAGE, AND COMMUNICATIONS (\$2,997,000) – For FY 2004, the Institution requests an increase of \$2,997,000 for utilities, postage, and communications to cover additional costs attributable to increased consumption, projected rate and inflationary increases, and project needs. The following table displays estimates from FY 2002 through FY 2004. Detailed explanations of each line item follow.

**Federal Utilities, Postage and Communication Costs
FY 2002 - FY 2004**

(Dollars in Thousands)	FY 2002 Appropriated	FY 2003 Estimate	FY 2004 Estimate	Change
Electricity	11,420	19,537	21,649	2,112
Steam	3,955	4,900	5,014	114
Natural Gas	1,993	2,842	3,388	546
D.C. Gov't Water/Sewer	4,570	4,164	3,640	(524)
Other Water & Fuel	434	644	760	116
Postage	2,528	2,451	2,217	(234)
Communications	9,792	10,164	11,031	867
Total	34,692	44,702	47,699	2,997

- **Electricity (+ \$2,112,000)** - Electricity is used to operate large air conditioning equipment that cools Smithsonian Facilities. Equipment in most of the facilities on the south side of the Mall is now old and in need of replacement. The Smithsonian has contracted with the General Services Administration (GSA) to supply chilled water from their central plant to all Smithsonian facilities on the south side of the Mall. This \$38 million project has been implemented through an Energy Saving Agreement under a GSA Area-Wide Contract. The net cost of this project is being funded from the utility account over fifteen years. For FY 2004, an additional \$500,000 is requested to cover the difference between the initial GSA agreement and the actual GSA agreement, which was revised to reflect increases in project costs.

The electricity estimate also includes increases for the Smithsonian Astrophysical Observatory's Hilo telescope operations (\$625,000), Patent Office Building (POB) usage during construction (\$350,000), National Museum of the American Indian Mall Museum operations (\$200,000), National Museum of Natural History's HVAC upgrade (\$51,000), and the Smithsonian Environmental Research Center research trailers and scientist dormitories (\$10,000). The request includes inflationary increases at 2.5 percent (\$400,000).

- **Steam (+ \$114,000)** - The Smithsonian uses steam for heating and humidification and to produce domestic hot water in facilities on the Mall and in New York City. This request includes a 2.5-percent inflation factor (\$132,000), offset by a net decrease for costs at the National Air and Space Museum's restaurant that will be paid directly by the vendors (-\$18,000).
- **Natural Gas (+ \$546,000)** - These estimates include increases for the National Museum of the American Indian (\$350,000) and the Patent Office Building operations (\$125,000), and an inflationary increase of 2.5 percent over the base (\$72,000). The estimates also reflect a net decrease for costs at the National Air and Space Museum's restaurant that will be paid directly by the vendors, offset by anticipated reimbursements (-\$1,000).
- **D.C. Water and Sewer (-\$524,000)** - The FY 2004 net estimate for water and sewer costs is based on cost projections by the District of Columbia Water and Sewer Authority in April 2002.
- **Other Water and Fuel (+ \$116,000)** - Water consumption at satellite facilities in Maryland and Virginia should remain constant. The FY 2004 estimate includes water and fuel costs for the new Udvar-Hazy Center (\$100,000) and an inflationary increase of 2.5 percent (\$16,000).
- **Postage (-\$234,000)** - The FY 2004 estimate includes an additional \$12,000 for the Udvar-Hazy Center and an inflationary increase of 2.5 percent (\$54,000). The request also includes a reduction of \$300,000 for FY 2003 non-recurring equipment costs. The anticipated U.S. Postal Service rate increases in FY 2004 are offset by the decline in the Institution's postage costs as a result of decreased usage.
- **Communications/Networks (\$867,000)** - The FY 2003 estimate for communications includes \$867,000 to support efforts of the Office of the Chief Information Officer to modernize the Smithsonian's telecommunications infrastructure. The requested resources will enable the Smithsonian to replace aged and outdated telephone systems at the Arthur M. Sackler Gallery/Freer Gallery of Art, Quadrangle, African Art Museum, Hirshhorn Museum, and Renwick Gallery. More than 50% of the Institution's telephone systems are no longer maintained under the GSA/WITS2001 contract.

RENTAL SPACE (\$470,000) - The Institution requests \$470,000 to pay annual increases agreed to as part of lease terms in current contracts. In

addition, justified here but included in the Smithsonian Astrophysical Observatory (SAO) line item is an increase of \$100,000 to cover rental increases at the Cambridge, Massachusetts' facilities. The increase will support the federal portion of SAO's costs for additional leased space required for expanding research projects.

The following table reflects the projected costs for rental space for FY 2002 through FY 2004.

**Federal Central Rental Costs
FY 2002 - FY 2004**

(Dollars in Thousands)	FY 2002 Appropriated	FY 2003 Estimate	FY 2004 Estimate	Change
Office Space	4,373	5,085	5,345	260
Warehouse Space/Other ¹	3,105	3,198	3,294	96
NMAA/NPG Relocation	2,270	2,270	2,384	114
Total	9,748	10,553	11,023	470

¹ Other includes National Museum of the American Indian GSA lease in New York City and leased greenhouses.

SECURITY/ANTI-TERRORISM - The Institution requests an increase of \$4,049,000 and 68 FTEs for security and anti-terrorism requirements at Smithsonian facilities, including the National Zoological Park, and for information technology security infrastructure.

- **Facilities, Operations, Security and Support (68 FTEs and \$2,134,000)**
The requested increase includes 68 FTEs and \$2,134,000 for the Smithsonian to provide additional security staff and support costs resulting from the increased security and anti-terrorism requirements following the September 11, 2001, attacks. The requested resources will allow the Institution to respond to recently completed security and facility threat assessments, and include staff to operate magnetometers at the National Museum of American History and the National Air and Space Museum, two additional canine teams, support staff, and funds for background investigations.
- **Facilities Maintenance (\$830,000)** The requested increase of \$830,000 for Facilities Maintenance provides funding for warranties on equipment and security facilities acquired with FY 2002 Anti-terrorism Supplemental funding. The requested funds will allow the Institution to continue maintenance of magnetometers and x-ray equipment, concrete planters and plantings, pop-up barriers, and permanent vehicle barriers protecting Smithsonian buildings and facilities.
- **Chief Information Officer (\$1,085,000)** The requested increase of \$1,085,000 will allow the Chief Information Officer to develop and implement a redesigned firewall and Virtual Private Network (VPN) gateway, and to implement an intrusion detection system to protect the Institution's information technology security infrastructure. This will allow the Smithsonian to distribute digital information to the public, researchers, and other customers or partners while minimizing the associated IT security risk.

NAPA-DRIVEN - The Institution requests an increase of \$9,609,000 and 32 FTEs to support improvements to the Smithsonian's information technology infrastructure and facilities program as recommended by the National Academy of Public Administration (NAPA) in its July 2001 report.

- **Managed Information Technology Infrastructure (\$1,070,000)** The requested increase will provide funds to replace obsolete desktop workstations with modern systems. These new systems will provide the technology foundation that is necessary to complement the Institution's newly implemented Enterprise Resource Planning system.

- **Facilities Program (13 FTEs and \$1,539,000)** The increase for FY 2004 will provide necessary staff support to the Smithsonian's expanded facilities program. Included are 10 FTEs and \$1,172,000 for the Office of Facilities Engineering and Operations to provide additional oversight and management of the facilities program, 1 FTE and \$122,000 for the National Zoo's facilities programs, and 2 FTEs and \$245,000 for additional contracting specialists in support of the facilities program.
- **Facilities Maintenance (19 FTEs and \$7,000,000)** The increase for FY 2004 will provide funds to develop and implement a structured maintenance program that includes preventive maintenance, periodic testing and inspection, and programmed maintenance. This effort will improve reliability of mechanical equipment, reduce maintenance and energy costs, and ensure safer facilities for visitors and staff.

STAFFING/OPENING NEW FACILITIES - The Institution requests an increase of \$23,188,000 and 111 FTEs for the opening of two new facilities: the National Museum of the American Indian and the National Air and Space Museum Udvar-Hazy Center

- **National Museum of the American Indian (103 FTEs and \$15,321,000)** The requested increase includes 70 FTEs and \$13,463,000 for the National Museum of the American Indian (NMAI) to continue preparing for the opening of the NMAI Mall Museum in September 2004. The requested resources will be used for completing the development of three long-term exhibitions, providing education and cultural art programs and visitor services, completing the move of collections from New York, and developing the Mall Museum infrastructure. The request also includes 33 FTEs and \$1,858,000 for facilities maintenance and operations, including security, to protect and maintain the buildings and grounds of the new Museum.
- **National Air and Space Museum (8 FTEs and \$7,867,000)** The increase for FY 2004 will provide funds to continue preparing for the December 2003 opening of the Udvar-Hazy Center. These funds will be used for the preparation of the collections for transport from the Garber Facility; installation of the artifacts at the Center for public display; and the development of a new, regional education outreach program. These funds will also provide outsourced services for security, building and grounds upkeep, and information technology. The outsourcing of these activities at the Udvar-Hazy Center is a major accomplishment in keeping with the competitive sourcing initiative of the President's Management Agenda.

OTHER INSTITUTIONAL PRIORITIES - The Institution requests an increase of \$2,964,000 and 6 FTEs for other Institutional priorities to keep key areas in scientific research and public programming viable. The infusion of new resources in these areas will stimulate initiatives designed to pursue scientific innovation and discovery and enlarge the Smithsonian's audiences.

- **Center for Folklife and Cultural Heritage: Festival Infrastructure (\$250,000)** The requested increase includes \$250,000 for the Smithsonian Folklife Festival, to increase the quality and safety of exhibits and programming by increasing infrastructure support, including utilities, vehicles and equipment, security services, and services to make the Festival more accessible. The increase covers services and items historically provided by the National Park Service and other units and organizations, but no longer supported by them.
- **Smithsonian Astrophysical Observatory: Very Energetic Radiation Imaging Telescope Array System (VERITAS) (1 FTE and \$1,172,000)** This increase is required to exploit SAO's pioneering development of the field of very-high-energy gamma-ray astronomy. Part of the increase will cover the costs of an astrophysicist and related support costs. Funds under the Major Scientific Instrumentation line item in the amount of \$1,000,000 will be used to purchase a second VERITAS telescope, based on SAO experience with the construction of the Prototype telescope that will be completed with DOE/NSF funds.
- **Scientific Computing (2 FTEs and \$701,000)** The FY 2004 budget estimate includes an increase to upgrade the scientific computing capability for three science centers: the Smithsonian Astrophysical Observatory (\$380,000), the Smithsonian Environmental Research Center (\$56,000 and 1 FTE), and the Smithsonian Tropical Research Institute (\$265,000 and 1 FTE). These funds will be used to add high-speed server capability and data storage equipment at SAO, to support a Research Data Collection Information program at SERC, and to implement a Geographic Information System at STRI.
- **Latino Pool and Latino Initiatives Support (1 FTE and \$311,000)** The FY 2004 budget estimate includes an increase of \$250,000 for the Latino Initiatives pool to enhance support for research, exhibitions, collections, and educational programs that recognize Latino contributions to the United States' heritage and culture. The increase also includes 1 FTE and \$61,000 to provide critical staff support in the Center for Latino Initiatives of the expanded programs aimed at reaching the Latino community.

- **Smithsonian Institution Libraries: Serials Inflation (\$255,000)** Over the last 15 years, the cost of scientific journals has risen faster than inflation rates for other sectors. The Institution has been directly affected and has addressed diminished buying power for these essential research tools through cancellations, inter-library loans, and gifts and exchanges. The requested increase is to purchase electronic journals and databases and to help cover the annual inflation need for purchasing scientific books and journals.
- **Information Technology: Holocaust Website (\$200,000)** The requested increase includes resources necessary to implement a Web application that will satisfy requirements defined by the Presidential Advisory Commission on Holocaust Assets in the United States by September 2004. Funding will support contractor development of an application that runs on Smithsonian Enterprise-level software and hardware platforms.
- **Administration: Office of Contracting (OCon) Support (2 FTEs and \$75,000)** OCon has been assigned programmatic responsibility for three of the initiatives included in the President's Management Agenda: competitive sourcing, performance-based service contracting, and e-commerce in contracting. OCon has requested additional staff to effectively develop, implement, and monitor compliance with these complex programs throughout the Institution. The requested increase includes two analysts (2 FTEs and \$75,000) to oversee the President's Management Agenda initiatives, as well as to respond to increased workload associated with the Institution's purchase card program.

FACILITIES BUDGET STRUCTURE - The Institution is proposing in this budget to realign its facilities budget structure based on recommendations of the National Association of Public Administration (NAPA) and in line with industry standards and definitions. The definitions used to create this structure are consistent with those endorsed by NAPA, the National Research Council, and federal facility definitions and guidelines.

The restructuring involves the following:

- Consolidating facilities Salaries & Expenses (S&E) resources formerly included under the Office of Physical Plant, Office of Protection Services, the Office of Safety and Environmental Management, and the Office of Facilities Engineering and Operations (the latter two within the Administration line item) into two new S&E line items: Facilities Maintenance and Facilities Operations, Security and Support. Funds formerly included under the Repair, Restoration and Alteration of Facilities (RR&A) account, for maintenance and minor repairs, have also been included in the new line items.
- Combining the former RR&A and Construction accounts into a new Facilities Capital account. Funds for permanent changes to security systems and modifications to prevent or minimize acts of terrorism against Smithsonian facilities, formerly included in the Office of Protection Services line item in S&E, have also been included in this new account.

In the S&E account, the Facilities Maintenance line item will encompass routine maintenance and minor repairs, including the upkeep of property and equipment or work necessary to realize the originally anticipated useful life of a fixed asset. Maintenance includes work such as periodic or occasional testing and inspection, adjustment, lubrication, and cleaning of equipment. This category also includes the funds for Reliability Centered Maintenance, utility systems maintenance, skilled trades, and facilities assessment programs. The Facilities Operations, Security and Support line item includes resources that are required to keep systems and processes running. Operational activities include security operations, utilities, rent, mail service, fire protection, environmental operations, grounds care, snow removal, central utility plant operations, and refuse collection and disposal. The support activities include the staff responsible for administration of the facilities program. In the future, the Institution proposes to include museum maintenance and operations staff now included under the individual unit line items in the Facilities Maintenance and Facilities Operations, Security and Support line items. The number of affected staff and related resources

will be negotiated unit by unit and presented to OMB and Congress before shifting to the new line items.

The Facilities Capital line item includes facilities revitalization, new construction, and facilities planning and design. A portion of S&E funding from the Office of Protection Services—no-year funds for anti-terrorism revitalization of security systems—is also included within this line item.

The outline below lists the components of the new structure; the table following details the FY 2003 base funds by program and presents a crosswalk to the new structure. In this budget, the FY 2003 column has been adjusted to reflect the new structure for illustrative purposes, although funds will actually be allocated and executed under the old structure.

New Structure Outline

Salaries & Expenses:

Facilities Maintenance:

- Physical Plant Maintenance Staff
- Protection Services Maintenance Staff
- Reliability Centered Maintenance
- RR&A Minor Repairs
- Museums and NZP Facilities Maintenance Staff – in the future

Facilities Operations, Security and Support:

- Physical Plant Operations Staff
- Protection Services Operations Staff
- Rent
- Utilities and Postage
- Safety and Environmental Management
- Facilities Engineering and Operations
- Museums and NZP Facilities Operations Staff – in the future

Facilities Capital:

Revitalization:

- Repair, Restoration and Alterations
- Security Systems Renewal/Upgrade
- Anti-terrorism Revitalization of Security Systems

Construction:

- (Projects)

Facilities Planning and Design:

- Repair, Restoration and Alterations Planning and Design
- Construction Planning and Design
- Protection Services-Anti-Terrorism Funding for Design

Facilities Budget Structure Crosswalk – FY 2003 Base

Existing Structure			New Structure		
<i>SALARIES & EXPENSES</i>	<i>FTEs</i>	<i>\$(000)s</i>		<i>FTEs</i>	<i>\$(000)s</i>
Administration: --Office of Facilities Engineering & Operations --Office of Safety and Environmental Mgmt.	5 40	630 3,624	S&E-Facilities Operations, Security and Support: --Facilities Engineering and Operations --Safety and Environmental Management	5 40	630 3,624
Facilities: Office of Physical Plant --Utilities and Postage --Rent --All other Office of Physical Plant	0 0 485	34,538 10,553 34,748	S&E-Facilities Operations, Security and Support: --Utilities and Postage --Rent ▪ S&E-Facilities Maintenance: Maintenance Staff ▪ S&E-Facilities Operations: Operations Staff	0 0 209 276	34,538 10,553 14,320 20,428
Office of Protection Services (OPS) --OPS Funding	983	58,546	S&E-Facilities Maintenance: --Protection Services Maintenance Staff S&E-Facilities Operations, Security and Support: --Protection Services Operations Staff Facilities Capital-Revitalization: ▪ Security Systems Renewal/Upgrade ▪ Protection Services Anti-terrorism Revitalization of Security Systems Facilities Capital-Facilities Planning and Design: --Protection Services-Anti-terrorism Funding for Design	11 972 0 0 0	1,703 45,019 999 9,825 1,000
Museums and National Zoological Park (NZP) Facilities Maintenance and Operations Staff	TBD	TBD	S&E-Facilities Maintenance: --Museums and NZP Facilities Maintenance Staff	TBD	TBD
<i>CAPITAL PROGRAM</i>					
Repair, Restoration and Alterations: --RR&A Funding	27	79,200	S&E-Facilities Maintenance: --RR&A Minor Repairs Facilities Capital-Revitalization: --Repair, Restoration and Alterations Facilities Capital-Facilities Planning and Design: --Repair, Restoration and Alterations Planning and Design	0 27 0	9,330 61,595 8,275
Repair, Restoration and Alterations: --Reliability Centered Maintenance	33	2,100	S&E-Facilities Maintenance: --Reliability Centered Maintenance	33	2,100
Construction: --Construction Funding	5	12,000	Facilities Capital-Construction: --Construction Funding	5	12,000
GRAND TOTAL	1,578	235,939	GRAND TOTAL	1,578	235,939

ANACOSTIA MUSEUM AND CENTER FOR AFRICAN AMERICAN HISTORY AND CULTURE

	APPLICATION OF OPERATING RESOURCES							
	FEDERAL APPROPRIATIONS		GENERAL TRUST		DONOR/SPONSOR DESIGNATED		GOV'T GRANTS & CONTRACTS	
	FTE	\$000	FTE	\$000	FTE	\$000	FTE	\$000
FY 2002 ESTIMATE	18	1,932	3	808	0	68	0	104
FY 2003 ESTIMATE	23	1,981	3	476	0	215	0	100
FY 2004 ESTIMATE	23	2,035	3	452	0	400	0	0

STRATEGIC GOALS: PUBLIC IMPACT AND MANAGEMENT EXCELLENCE

Federal Resource Summary by Performance Objective

Performance Objective	FY 2003		FY 2004		Change	
	FTE	\$000	FTE	\$000	FTE	\$000
Public Impact:						
Offer compelling, first-class exhibitions	5	495	5	350	0	-145
Expand a national outreach effort	1	73	1	102	0	29
Increase the access of Smithsonian audiences to high-quality education resources	6	389	6	417	0	28
Build, refine, care for, and manage the national collections	3	259	3	238	0	-21
Have a world-class Web presence	0	50	0	75	0	25
Management Excellence:						
Bring financial management systems and functions up to date	3	174	3	252	0	78
Bring information technology systems and functions up to date	2	122	2	144	0	22
Strengthen human capital resources	2	204	2	204	0	0
Enhance relations with the press, mass media, and federal, state, and local governments	0	75	0	108	0	33
Execute an aggressive, long-range facilities maintenance and revitalization program	1	140	1	145	0	5
Total	23	1,981	23	2,035	0	54

BACKGROUND AND CONTEXT

The Anacostia Museum and Center for African American History and Culture is dedicated to enhancing the quality of the nation's educational

and cultural life through increasing understanding of the historical and social experiences and creative expressions of people of African heritage living in the Americas. The Museum will serve as a leading advocate for the collection, preservation, documentation, and care of materials that reflect African American family and community history and traditions.

To achieve the Institution's goal of Public Impact, the Anacostia Museum is focusing its resources on presenting original exhibitions that explore unique aspects of the African American experience, using historic artifacts that record the lived experience of African American citizens and document exceptional and every day events. Learning opportunities through church-based partnerships will be expanded to reach more young people in the after-school hours. Online public access to scholars in African American history as well as the Museum's collections will be enhanced. Resources to support Management Excellence will be dedicated to increasing capacities in human resources, technology, financial management, and facilities management, and to supporting the care of national collections.

MEANS AND STRATEGY

To achieve the goal of Public Impact, the Museum uses scholarship, research, exhibitions, publications, and educational and public programs to reach a wide and diverse audience. The Museum also takes national leadership in examining and presenting contemporary African American popular culture with particular emphasis on film, television, and the performing arts.

The Museum plans to increase both African American and non-African American visitation to its facility in southeast Washington by offering unique and compelling exhibitions, expanding its program of learning opportunities for families and students, and enhancing the diversity of its audience through offering unique commemorative performances and film-based programs. The Anacostia Museum will expand its unique presence on the Web by expanding the Online Academy, a first-of-its-kind offering on an African American museum website. As part of its national outreach efforts, the Museum will continue providing website visitors with unique perspectives on collecting and preserving African American material culture using some of the nation's most well-known collectors and scholars.

In FY 2004, the Museum will present two major exhibitions based on Smithsonian scholarship, and aimed at increased visitation. The first, *Lift Every Voice: African American Personal Narrative and American History*, will examine the use of individual accounts as gateways to understanding

larger historical themes. The second, *Come Sunday: Adornment and Dress Among the Enslaved* will be the first major museum exhibition to explore dress and adornment traditions within the context of slavery.

To broaden national outreach and make Smithsonian scholarship and resources available to wider audiences, the Museum will develop a traveling exhibition (*Jubilee: African American Family and Community Celebrations*) and two publications, one specifically for youth, focusing on African American holiday and celebration traditions. These activities will begin in fall of 2004. The Museum will launch another unique national outreach initiative through a series of programs and activities focusing on African American literature for children and youth, and will develop an after-school program focusing on the collection and care of family and community history materials.

The reopening of its renovated facility in FY 2002 has provided the Museum with the opportunity to focus on the unique role information technology plays in efforts to preserve and interpret African American history and culture, specifically the use of collections information systems and digitization of collections. The expanded focus on advocacy for the collection of family and community history has created the need to focus on staff development and training, ensuring that the staff is capable of leadership in this arena.

STRATEGIC GOALS AND FY 2004 ANNUAL PERFORMANCE GOALS

Public Impact

Offer compelling, first-class exhibitions (5 FTEs and \$350,000)

- Achieve 10% increase in visitation to the Anacostia Museum
- Install and present *Come Sunday: Adornment Among the Enslaved* and *Lift Every Voice: African American Personal Narrative and American History*
- Install two exhibitions in the Kinard Gallery focusing on collections acquisitions

Expand a national outreach effort (1 FTE and \$102,000)

- Develop the traveling exhibition, *Jubilee: African American Family and Community Celebrations*
- Develop two publications on African American family and community celebrations, including one specifically for children and youth

Increase the access of Smithsonian audiences to high-quality education resources (6 FTEs and \$417,000)

- Continue to offer the Summer Academy for elementary school students and increase participation by 10%

- Offer an initial After-School Academy with services to approximately 125 students
- Continue presentation of Martin Luther King Commemorative Program and film screenings, with a goal of increasing attendance by 10%

Build, refine, care for, and manage the national collections (3 FTEs and \$238,000)

- Add one additional major collection in one of the following categories: archives, art, and family or community history

Have a world-class Web presence (0 FTEs and \$75,000)

- Expand the Online Academy by adding 5 presentations, and achieving a 5-10% increase in Web visits, including a 5% increase in length of visit

Management Excellence

Bring financial management systems and functions up to date (3 FTEs and \$252,000)

- Implement detailed project and financial tracking to insure optimal management of the Museum's gifts and grants

Bring information technology systems and functions up to date (2 FTEs and \$144,000)

- Complete installation of the Collections Information System
- Digitize and make 30% of the Museum's collection electronically accessible

Strengthen human capital resources (2 FTEs and \$204,000)

- Provide for expanded human resources development for career development, information management, and training 50% of staff to enhance focus on family and community history collection

Enhance relations with the press, mass media, and federal, state, and local governments (0 FTEs and \$108,000)

- Increase press/media coverage by 10%

Execute an aggressive, long-range facilities maintenance and revitalization program (1 FTE and \$145,000)

- Implement a systematic building management program to ensure that Smithsonian investment in facilities renovation is maintained

FUNCTIONAL DETAIL OF FY 2004 REQUEST

The following table provides detail of the programs and functions to be carried out by the Anacostia Museum in FY 2004:

ANACOSTIA MUSEUM

Detail of Base Resources By Function

	FY 2002		FY 2003		FY 2004	
	FTEs	\$ (000's)	FTEs	\$ (000's)	FTEs	\$ (000's)
Exhibitions						
Collector's Passion	-	350	-	-	-	-
Come Sunday	-	-	-	20	-	-
Ali Exhibition	-	20	-	-	-	-
Transatlantic Slave Trade	-	-	-	75	-	-
Lift Every Voice	-	-	1	98	-	-
Exhibition Operations	7	479	4	299	5	347
Subtotal, Exhibitions	7	849	5	492	5	347
Education						
Martin Luther King Program	-	5	-	-	-	-
Outreach Programming	-	4	-	-	-	-
Programming: Collector's Passion Exhibition	-	28	-	-	-	-
Filming Presentations	-	2	-	-	-	-
Summer Academy	-	4	-	-	-	-
Web presence	-	-	-	50	-	75
Jubilee	-	-	1	72	1	55
Programming: Beauford Delaney	-	55	-	-	-	-
Education Operations	3	162	6	389	6	393
Subtotal, Education	3	260	7	511	7	523
Collections						
Collections Operations	3	177	5	352	5	352
Subtotal, Collections	3	177	5	352	5	352
Research						
Publications	-	36	-	-	-	-
Subtotal, Research	-	36	-	-	-	-
Facilities						
Facilities Operations	1	138	1	140	1	145
Subtotal, Facilities	1	138	1	140	1	145
Finance/General Administration						
Finance	2	142	3	174	3	252
Human Resources	1	47	2	204	2	204
Public Affairs	-	8	-	75	-	108
Information Technology	1	76	-	33	-	50
Central Administration	-	199	-	-	-	-
Subtotal, Finance/General Administration	4	472	5	486	5	614
Subtotal, Functional Categories	18	1,932	23	1,981	23	1,981
Necessary Pay	-	-	-	-	-	54
GRAND TOTAL	18	1,932	23	1,981	23	2,035

ARCHIVES OF AMERICAN ART

	APPLICATION OF OPERATING RESOURCES							
	FEDERAL APPROPRIATIONS		GENERAL TRUST		DONOR/SPONSOR DESIGNATED		GOV'T GRANTS & CONTRACTS	
	FTE	\$000	FTE	\$000	FTE	\$000	FTE	\$000
FY 2002 ESTIMATE	22	1,738	0	284	14	798	0	0
FY 2003 ESTIMATE	22	1,802	0	150	16	1,226	0	0
FY 2004 ESTIMATE	22	1,856	0	130	16	1,090	0	0

STRATEGIC GOALS: PUBLIC IMPACT AND MANAGEMENT EXCELLENCE

Federal Resource Summary by Performance Objective

Performance Objective	FY 2003		FY 2004		Change	
	FTE	\$000	FTE	\$000	FTE	\$000
Public Impact:						
Expand a national outreach effort	2	120	2	127	0	7
Build, refine, care for, and manage the national collections	8	655	8	675	0	20
Have a world-class Web presence	5	322	5	329	0	7
Management Excellence:						
Strengthen a stakeholder-focused performance orientation	4	586	4	602	0	16
Bring information technology systems and functions up to date	2	84	2	86	0	2
Strengthen human capital resources	1	35	1	37	0	2
Total	22	1,802	22	1,856	0	54

BACKGROUND AND CONTEXT

The mission of the Archives of American Art (AAA) is to collect, preserve, and make available primary sources that document the history of the visual arts in the United States, to foster research, and to connect the public to a uniquely American cultural heritage. The AAA has the largest collection of primary source materials documenting the history of the visual arts in the United States from the eighteenth century to the present.

To achieve the Institution's goal of Public Impact, the AAA is focusing on making more of its collections and resources available to

researchers, and completing small, compelling exhibits. Resources will also be used for redesigning AAA's website, and for improving systems and processes for collections management. The goal of Management Excellence will be met by implementing state-of-the-art technology methods and techniques, and continuing to improve fund-control processes and staff training.

MEANS AND STRATEGY

To achieve the Institution's goal of Public Impact, AAA is directing its resources to activities that will expand availability to collections and resources via the World Wide Web, attract new and larger audiences, and foster art-historical and humanities research. In FY 2004, AAA will increase the number of digitized documents, photographs and oral histories in its growing digital repository, concentrating on increasing online access to AAA's vast holdings of photographs of artists and providing an online order system. AAA will also increase the number of online finding aids on its website by devoting resources to fully processing and creating finding aids for several large collections. AAA will also improve the design and structure of its website as well as its web-based online catalog to support varied means of searching and exploring AAA's collections. Efforts to assess collections management procedures and workflow, and maintain trained staff as a result of system upgrades, will be ongoing during FY 2004.

AAA will continue to produce small, compelling exhibitions that reflect the richness and cultural diversity of its collections and make tangible the firsthand accounts of America's artists, dealers, collectors, and critics, for both the general public and the scholarly community. Through strategies such as collaboration with other institutions, developing special exhibitions, securing multiple venues for exhibitions, and promoting loans of significant documents, AAA will increase its audience and strengthen its alliances with affiliate museums and other institutions. Exhibitions for FY 2004 include *The National Academy of Design: Bearing Witness*; selections from the papers of metalsmiths, the third in a series of small exhibitions about the history of American craft; and *Getting the Picture: The Art of the Illustrated Letter, Part II*. Resources will also be devoted to presenting online versions of exhibitions to reach an even wider audience. AAA will continue to lend documents to exhibitions in museums and other institutions around the world. During FY 2004, AAA will also build on its Web-based, dynamic online system for delivering subject-focused guides to its collections.

The goal of Management Excellence will be addressed in part by devoting resources to technology-based solutions to collections

management systems and processes. Achieving this goal requires active participation in Smithsonian-wide IT planning related to website and online catalog management systems, as well as ongoing refinement and enhancement internally of AAA's Web-based Digital Collections Database. In addition, FY 2004 will be a pivotal year for realizing the benefits of AAA's multi-year barcoding initiative for collections tracking and inventory control. Management Excellence will also be achieved through initiating detailed spending plans for each individual fund and/or project within AAA and performing internal audits on various administrative processes and procedures. AAA will also address mission-critical training needs after completion of assessments.

STRATEGIC GOALS AND FY 2004 ANNUAL PERFORMANCE GOALS

Public Impact

Expand a national outreach effort (2 FTEs and \$127,000)

- Target 50% of exhibitions to appeal to multiple interests and new audiences
- Increase by one the number of subject-focused online guides

Build, refine, care for, and manage the national collections (8 FTEs and \$675,000)

- Implement Phase 2 of AAA's plan for assessment of collections management procedures and workflow

Have a world-class Web presence (5 FTEs and \$329,000)

- Add approximately 200 documents, photographs, and oral histories to AAA's digital repository
- Increase by 4-5 the number of online finding aids
- Complete redesign of AAA's website to provide increased national and international access to AAA's collections and resources

Management Excellence

Strengthen a stakeholder-focused performance orientation (4 FTEs and \$602,000)

- Implement controlled spending plans for 100% of each fund source and/or designated code

Bring information technology systems and functions up to date (2 FTE's and \$86,000)

- Complete Phase 1 of the development of Web-based, database-driven IT infrastructure for digital projects
- Implement barcoding of all storage containers, microfilm, and video and motion picture collections

Strengthen human capital resources (1 FTE and \$37,000)

- Implement training plans after assessment of changes in functions to determine mission-critical training needs

FUNCTIONAL DETAIL OF FY 2004 REQUEST

The following table provides detail of the programs and functions to be conducted by the Archives of American Art in FY 2004:

ARCHIVES OF AMERICAN ART

Detail of Base Resources By Function

	FY 2002		FY 2003		FY 2004	
	FTEs	\$ (000's)	FTEs	\$ (000's)	FTEs	\$ (000's)
Exhibitions	1	-	1	-	1	-
American Traditions	-	19	-	-	-	-
Marcel Breuer	-	19	-	-	-	-
Fiber Art	-	5	-	-	-	-
Andre Emmerich	-	19	-	-	-	-
Erle Loran	-	-	-	21	-	-
TBA (FY 2003)	-	-	-	44	-	-
TBA (FY 2004)	-	-	-	-	-	65
Information Technology (On Line Exhibitions-conti	-	19	-	19	-	19
Loan Program (Registrarial Functions)	-	21	-	21	-	21
Subtotal, Exhibitions	1	102	1	105	1	105
Education						
Reference Services (Includes InterLibrary Loan Pro	5	302	5	312	5	312
Website Management (includes digital initiatives)	1	48	1	50	1	50
Publications Program	-	5	-	5	-	5
Intern/Fellowship Program	-	5	-	5	-	5
Lecture and Seminar Series	-	5	-	5	-	5
Subtotal, Education	6	365	6	377	6	377
Collections						
Collections Acquisitions	2	187	2	194	2	194
Collections Processing	5	394	5	408	5	408
Catalog Management	1	42	1	44	1	44
Registrarial Program	1	12	1	13	1	13
Other Information Technology	1	39	1	40	1	40
Subtotal, Collections	10	674	10	699	10	699
Finance/General Administration						
Finance	1	84	1	87	1	87
Human Resources	1	44	1	46	1	46
Senior Management	3	469	3	488	3	488
Subtotal, Finance/General Administration	5	597	5	621	5	621
Subtotal, Functional Categories	22	1,738	22	1,802	22	1,802
Necessary Pay	-	-	-	-	-	54
GRAND TOTAL	22	1,738	22	1,802	22	1,856

CENTER FOR FOLKLIFE AND CULTURAL HERITAGE

	APPLICATION OF OPERATING RESOURCES							
	FEDERAL APPROPRIATIONS		GENERAL TRUST		DONOR/SPONSOR DESIGNATED		GOV'T GRANTS & CONTRACTS	
	FTE	\$000	FTE	\$000	FTE	\$000	FTE	\$000
FY 2002 ESTIMATE	18	1,850	13	1,567	15	4,240	3	365
FY 2003 ESTIMATE	18	1,911	13	1,212	2	1,000	0	49
FY 2004 ESTIMATE	18	2,212	13	1,212	6	1,100	0	0

STRATEGIC GOALS: PUBLIC IMPACT AND MANAGEMENT EXCELLENCE

Federal Resource Summary by Performance Objective

Performance Objective	FY 2003		FY 2004		Change	
	FTE	\$000	FTE	\$000	FTE	\$000
Public Impact:						
Offer compelling, first-class exhibitions	9	996	9	1,274	0	278
Increase the access of Smithsonian audiences to high-quality education resources	5	599	5	614	0	15
Have the highest quality, state-of-the-art visitors' services	0	158	0	162	0	4
Management Excellence:						
Strengthen a stakeholder-focused performance orientation	4	158	4	162	0	4
Total	18	1,911	18	2,212	0	301

BACKGROUND AND CONTEXT

The Center for Folklife and Cultural Heritage produces research-based public programs that promote the understanding and continuity of traditional grass-roots regional, ethnic, tribal, and occupational heritage in the United States and abroad. The Center maintains the Ralph Rinzler Folklife Archives and Collections, a repository of documentary sound recordings, photographic images, and reports deemed a national treasure through the Save America's Treasures program. The Center produces the annual Smithsonian Folklife Festival on the National Mall every summer—long recognized as the premier event of its kind. The Center produces Smithsonian Folkways Recordings, which among more than 2,000

published titles includes several Grammy award winners. The Center also produces educational materials—websites, kits for schools, documentary films, publications, traveling exhibitions, conferences, and training programs examining cultural traditions and the means of conserving them for the good of communities and the broader society. The Center cooperates with federal, state, and international agencies to advance the nation’s interest in cultural matters.

MEANS AND STRATEGY

To achieve the Smithsonian’s goal of Public Impact, the Center will continue its annual production of the Smithsonian Folklife Festival on the National Mall. This museum of living cultural heritage is very popular with the public and the media. In 2002, the Silk Road Festival drew a record number of visits, over 1.3 million. The 2004 Festival will feature a variety of American and international musical, artistic, culinary, and occupational traditions from a diversity of cultural groups. In 2004, the Center will also take on the added responsibility of working with the WWII Memorial Commission to organize a high-quality public event involving hundreds of thousands of veterans and their families to mark the Memorial’s dedication. To apply Smithsonian research to its work and collections, the Center will continue to study its documentary sound, photographic and ethnographic collections as well as generate new materials through the organization of research projects necessary to produce the Festival and Smithsonian Folkways Recordings. In order to bring Smithsonian education resources to the nation, the Center will publish its recordings and disseminate them across the country. It will also continue to shift resources toward the Web-based distribution of materials and lesson plans to increase efficiency. To better serve the needs of its Festival visitors, the Center will use the increase requested to provide better services and improve security.

STRATEGIC GOALS AND FY2004 ANNUAL PERFORMANCE GOALS

Public Impact

Offer compelling, first-class exhibitions (9 FTEs and \$1,274,000)

- Achieve visitation of 1 million visits to the Smithsonian Folklife Festival
- Feature more than 300 musicians and artists from cultural communities important to Americans
- Generate 400 media stories about the Festival
- Generate 90% approval ratings by the public for the Festival
- Generate 90% approval ratings by participants in the Festival

- Produce with the WWII Memorial Commission a high-quality public event on the Mall to celebrate the dedication of the new Memorial

Increase the access of Smithsonian audiences to high-quality education resources (5 FTEs and \$614,000)

- Generate 500 audio recordings, 100 video tapes, 1,000 images, and at least 100 narrative reports documenting contemporary community-based cultural traditions for preparation of the Festival, Smithsonian Folkways Recordings, and other Center projects
- Generate more than 8 million hits on Center webpages
- Produce at least 18 documentary recordings through Smithsonian Folkways Recordings distributed nationwide
- Travel at least two exhibitions generated from the Festival and other projects throughout the United States

Have the highest quality, state-of-the-art visitors' services (0 FTEs and \$162,000)

- Provide services for the disabled at the Festival by contracting for eight sign language interpreters
- Provide four audio loops at all music stages to provide cassette copies of all the programs for the visually impaired
- Provide two golf carts and five wheel chairs for the disabled

Management Excellence

Strengthen a stakeholder-focused performance orientation (4 FTEs and \$162,000)

- Coordinate with the central Smithsonian system and modernize the current tracking system used for Festival planning

FY 2004 REQUEST – EXPLANATION OF CHANGE

The FY 2004 request includes an increase of \$250,000 for infrastructure support of the Smithsonian Folklife Festival to increase the quality and safety of exhibits and programming as follows:

- (+ \$129,000) These funds will provide for the rental of service vehicles and electrical and gas plumbing services, along with the purchase of generators, building materials for public stages, and equipment, which generally has been rented for each festival. Purchasing the equipment will avoid increasing rental costs and permit its use by other Smithsonian units when the Festival is not in operation.
- (+ \$102,000) This increase is for security services, security fencing and lighting, mandated services for disabled visitors, such as sign language interpreters and first aid. The increase covers services and items

historically covered by the National Park Service and other units and organizations, but no longer supported by them.

- (+ \$19,000) This increase will provide for necessary updating of computer, office, and telephone lines and functions that help support the Festival, as well as the processing of research materials and Festival documentation for public dissemination.

If the FY 2004 request is not allowed, the Festival will not be able to provide the infrastructure support needed to attract and serve visitors, nor attract the non-government support needed to fund actual program costs. The result will be a much smaller, much diminished Festival with lower visitation, and less impact on both public education and on the cultural communities featured at the Festival.

FUNCTIONAL DETAIL OF FY 2004 REQUEST

The following table provides detail of the programs and functions to be carried out by the Center for Folklife and Cultural Heritage in FY 2004:

CENTER FOR FOLKLIFE AND CULTURAL HERITAGE

Detail of Federal Base Resources By Function

	FY 2002		FY 2003		FY 2004	
	FTEs	\$ (000's)	FTEs	\$ (000's)	FTEs	\$ (000's)
Exhibitions						
Folklife Festival	9	964	9	996	9	1,246
Subtotal, Exhibitions	9	964	9	996	9	1,246
Education						
Education, Folkways	5	580	5	599	5	599
Subtotal, Education	5	580	5	599	5	599
Collections						
Folkways	2	153	2	158	2	158
Subtotal, Collections	2	153	2	158	2	158
Finance/General Administration						
Administrative Management	2	153	2	158	2	158
Subtotal, Finance/General Administration	2	153	2	158	2	158
Subtotal, Functional Categories	18	1,850	18	1,911	18	2,161
Necessary Pay	-	-	-	-	-	51
GRAND TOTAL	18	1,850	18	1,911	18	2,212

NATIONAL AIR AND SPACE MUSEUM

	APPLICATION OF OPERATING RESOURCES							
	FEDERAL APPROPRIATIONS		GENERAL TRUST		DONOR/SPONSOR DESIGNATED		GOV'T GRANTS & CONTRACTS	
	FTE	\$000	FTE	\$000	FTE	\$000	FTE	\$000
FY 2002 ESTIMATE	220	16,599	37	3,736	47	6,204	1	181
FY 2003 ESTIMATE	231	20,402	47	15,077	55	1,770	2	191
FY 2004 ESTIMATE	239	28,345	47	20,077	55	1,835	2	53

STRATEGIC GOALS: PUBLIC IMPACT; FOCUSED, FIRST-CLASS SCIENCE; AND MANAGEMENT EXCELLENCE

Federal Resource Summary by Performance Objective

Performance Objective	FY 2003		FY 2004		Change	
	FTE	\$000	FTE	\$000	FTE	\$000
Public Impact:						
Offer compelling, first-class exhibitions	42	4,094	45	4,886	3	792
Increase the access of Smithsonian audiences to high-quality education resources	3	557	4	667	1	110
Build, refine, care for, and manage the national collections	53	4,364	53	7,727	0	3,363
Have the highest quality, state-of-the-art visitors' services	6	526	7	596	1	70
Focused, First-Class Science:						
Determine the areas of scientific research in which the Smithsonian excels and focus the Institution's resources	8	620	8	630	1	10
Conduct focused scientific research programs recognized for their quality, relevance, and high performance	23	2,336	23	2,461	0	125
Management Excellence:						
Strengthen a stakeholder-focused performance orientation	88	7,240	91	10,666	2	3,426
Bring information technology systems and functions up to date	8	665	8	712	0	47
Total	231	20,402	239	28,345	8	7,943

BACKGROUND AND CONTEXT

The mission of the National Air and Space Museum (NASM) is to preserve and display aeronautical and space flight equipment and data of historical significance to the progress of aviation and space flight; to develop educational materials and conduct programs to increase the public's understanding of, and involvement in, the development of aviation and space flight; and to conduct and disseminate new research in the study of aviation and space flight and related technologies.

To achieve the Institution's goal of Public Impact, NASM is focusing its resources on installing the first exhibits, preliminary educational programs, and visitor support services for the new Steven F. Udvar-Hazy Center (Dulles Center) in Virginia. The Udvar-Hazy Center will house the Museum's collection and restoration facilities, enabling the Museum to exhibit over 2,600 artifacts, including its largest aircraft and spacecraft. NASM will also continue to dedicate resources to high quality research programs through its Aeronautics, Space History, and Center for Earth and Planetary Studies to meet the goal of Focused, First-Class Science. Resources will also be dedicated to providing building management and security for the new facility to meet the goal of Management Excellence.

MEANS AND STRATEGY

To achieve the goal of Public Impact, NASM is directing its resources to activities that will result in increased visitation to both its Mall Museum and the new Udvar-Hazy Center. December 17, 2003, is the centennial of powered flight, and NASM will be engaged in presenting new programs in connection with this event. NASM is strengthening its collection management programs, including its collections documentation, collections preservation, and online management services to support the move to the new Udvar-Hazy Center. NASM also is developing new Web-based interactive and education programs that broaden the public's understanding of the historical significance of America's role in aviation and in space exploration. At the Udvar-Hazy Center, NASM plans to install up to 71 major aircraft, the first of which will be those in the World War II section (including a completely restored Enola Gay), the SR-71 Blackbird, and selected WWI and commercial aircraft. Many of the smaller aircraft will be hung from the 10-story-high arched beams in the Aviation Hangar and have never before been seen by the general public. Achieving these activities in FY 2004 will provide new attractions aimed at increasing the number of visitors to the new Center, and by using new exhibition techniques, will also allow enhanced understanding of aviation and space history, and stir additional interest in these areas among new audiences.

Education at the Udvar-Hazy Center will include non-traditional educational programs as well as the more traditional student programs and teacher training. The non-traditional programs will include hands-on family science programs, and artifact-related historical lectures. Many of these may be broadcast on the Web to classrooms around the nation.

Visitor Services programs will also be expanded at the Udvar-Hazy Center. As a national facility and regional destination the Udvar-Hazy Center has a unique opportunity to work with the region and the Commonwealth of Virginia to support educational and cultural programs. NASM will be implementing many of these new programs in FY 2004.

To meet the goal of Focused, First-Class Science, NASM will continue its research programs and will present historical and scientific programs to the nation. With the centennial of powered flight occurring during FY 2004, NASM will be uniquely able to provide curatorial expertise in the areas of air and space flight. During this period, special programs, books, and seminars will be offered to the public. NASM will continue to devote resources to its Center for Earth and Planetary Studies, the unit that performs original research and outreach on remote sensing of environmental change, planetary science, and terrestrial geophysics. The Center is uniquely situated to contribute to research in these areas because of the collaborative programs developed with other agencies such as NASA, including an active research program in planetary and terrestrial geology and geophysics using remote sensing data from Earth-orbiting satellites and space missions.

The goal of Management Excellence will be addressed in part by developing the infrastructure needed to support the Udvar-Hazy Center, a facility 3½ times the size of the existing Mall location. To meet these needs, and in line with the President's Management Agenda item on competitive outsourcing of federally funded activities, NASM and the Smithsonian Institution have competitively bid the infrastructure support operations. The facilities bid was the first time the Smithsonian Institution had used its online Web capabilities to provide immediate access to proposal documents and to answer contractor questions as quickly as possible.

The Udvar-Hazy Center will be 30 miles from central Smithsonian support services. To maintain the facility in a cost-effective manner, a contracted work force that can draw on the necessary short-term specialized maintenance skills will free NASM from maintaining that skill base for a single facility. NASM has conducted studies that show that a

contracted workforce with specific performance requirements and an on-call staff for major maintenance will reduce operating costs. Competitive outsourcing options at the Udvar-Hazy Center include building cleaning and maintenance, guard services, horticulture, and information technology.

STRATEGIC GOALS AND FY 2004 ANNUAL PERFORMANCE GOALS

Public Impact

Offer compelling, first-class exhibitions (45 FTEs and \$4,886,000)

- Open the Steven F. Udvar-Hazy Center in December 2003, the centennial of powered flight, including the first three exhibit stations, kiosks, and labels
- Open the new exhibit *The Wright Brothers* and the *Invention of the Aerial Age* in the fall of 2003
- Prepare for the first major upgrade to the Air Transportation Hall since 1978
- Plan for programs and exhibits through FY 2008

Increase the access of Smithsonian audiences to high-quality education resources (4 FTE and \$667,000)

- Implement the first educational programs at the Udvar-Hazy Center
- Expand current Web broadcast educational programs to new audiences
- Develop two educational programs to support the new *Wright Brothers* exhibit

Build, refine, care for, and manage the national collections (53 FTE and \$7,727,000)

- Continue collections preparation and move up to 30 major space and 30 major aeronautical artifacts to the Udvar-Hazy Center

Have the highest quality, state-of-the-art visitors' services (7 FTEs and \$596,000)

- Develop and implement the new visitor services programs for the Udvar-Hazy Center that will include visitor guides and similar programs
- Build a relationship between the Udvar-Hazy Center and other regional cultural and educational services by evaluating options for joint programming and information sharing
- Expand Current Visitor Services programs at the Mall Museum to include a new visitor services desk and a clearer wayfinding program

Focused, First-Class Science

Determine the areas of scientific research in which the Smithsonian excels and focus the Institution's resources (8 FTEs and \$630,000)

- Utilize spacecraft data to understand planetary climate change on Mars and publish at least two peer-reviewed scientific papers
- Provide geophysical expertise to the European Space Agency and the NASA Mars Mission
- Continue membership on two Mars FY 2005 missions
- Continue peer-reviewed proposals to support three research personnel

Conduct focused scientific research programs recognized for their quality, relevance, and high performance (23 FTEs and \$2,461,000)

- Provide curatorial support for upcoming exhibit programs including the Air Transportation Gallery and *Planets*
- Continue research into new areas of aeronautics and space history and produce a major historical book on the first 100 years of aeronautics and space history
- Participate in educational and professional symposia throughout FY 2004, including hosting one major symposium on the mutual concerns of air and space museums, and contributing to four other international committee meetings throughout the year
- Continue documentation and management of the national collection including 30 enhanced records for major objects in the collection

Management Excellence

Strengthen a stakeholder-focused performance orientation (91 FTEs and \$10,666,000)

- Manage facilities integration including prime and subsidiary contractors and security outsourcing contracts for the Udvar-Hazy Center facilities operations and security programs
- Maintain an excellent working relationship with NASM stakeholders including federal, state, local, and business constituencies through annual briefings

Bring information technology systems and functions up to date (8 FTEs and \$712,000)

- Ensure that Udvar-Hazy Center new IT installations are operational
- Manage and upgrade the collection information system as NASM continues its move to the Udvar-Hazy Center

FY 2004 REQUEST—EXPLANATION OF CHANGE

FY 2004 will be the first full operational year for the Udvar-Hazy Center. NASM is seeking a program increase of 8 FTEs and \$7,867,000 to

support operations for the new center. The FY 2004 budget estimate also includes a decrease of \$520,000 of one time funding requirements, as follows:

- (-\$520,000) to reduce one-time funding for contractual services and machinery to move and install artifacts at the Udvar-Hazy Center.
- (+ \$3,483,000) This increase is one-time funding to continue preparing, moving, and installing the collection at the Udvar-Hazy Center. This includes preparing the collection for transport from the Garber Facility to the Udvar-Hazy Center, and the transportation and installation of the artifacts.
- (+ \$794,000, + 3 FTEs) NASM will continue the purchase of rails, kiosks, and barriers for the Udvar-Hazy Center. Of the increase, \$494,000 is one-time funding for the rails, kiosks, and barriers to be installed around the collections as they are delivered and installed by the collections management department, and for additional exhibit cases purchased to display smaller artifacts as they arrive. The balance of the increase is for new on-site exhibit production staff, who will be assigned to install and maintain the new exhibits.
- (+ \$98,000, + 1 FTE) An increase is requested to support new educational outreach programs for the facility. This position will be directed toward working with regional educational programs including new teacher-in-residence opportunities.
- (+ \$325,000, + 2 FTEs) Although the majority of the Udvar-Hazy security force will be outsourced, a small number of Smithsonian Office of Protective Services managers will be needed to oversee the daily operations.
- (+ \$3,102,000, + 1 FTE) This increase is to support full operations at the Udvar-Hazy Center including oversight of facilities management and information technology contractor performance. The Udvar-Hazy operation will utilize contractors to provide facility management support including cleaning, maintenance, and operations. In addition, the Center's technology support will be outsourced. A limited number of NASM staff will be assigned to oversee and direct contractor performance.
- (+ \$65,000, + 1 FTE) The greater emphasis on visitor services in a regional location necessitates another full-time on-site staff member to support visitor requirements.

If the FY 2004 request is not allowed, NASM will not be able to open the new Udvar-Hazy Center as planned. A delayed opening, with fewer exhibits and education programs in place, will mean lower visitation than projected. This in turn will affect the ability to achieve the Museum's objective of providing broader understanding of the significance of

America's role in aviation and space history. Management Excellence will be compromised if the required funds for outsourcing and supervising the building maintenance and security functions are not provided. Finally, resources may need to be shifted from research in order to move forward with priority needs in relation to opening the new Center, which will affect the quality and sustainability of ongoing collaborative research efforts.

FUNCTIONAL DETAIL OF FY 2004 REQUEST

The following table provides detail of the programs and functions to be carried out by NASM in FY 2004:

NATIONAL AIR AND SPACE MUSEUM

Detail of Federal Base Resources By Function

	FY 2002		FY 2003		FY 2004	
	FTEs	\$ (000's)	FTEs	\$ (000's)	FTEs	\$ (000's)
Exhibitions						
Hazy	2	731	2	359	3	794
Operations	32	3,678	32	3,049	34	3,408
Subtotal, Exhibitions	34	4,409	34	3,408	37	4,202
Education						
Hazy	1	367	1	78	1	98
Operations	5	1,049	5	839	6	917
Subtotal, Education	6	1,416	6	917	7	1,015
Collections						
Hazy	4	640	-	370	-	3,390
Operations	46	2,160	50	3,497	50	3,436
Archives	9	661	10	759	10	759
Archives-Hazy	1	65	-	-	-	-
Subtotal, Collections	60	3,526	60	4,626	60	7,585
Research						
Hazy	2	78	2	78	-	-
Operations	35	2,644	35	3,597	37	3,675
Subtotal, Research	37	2,722	37	3,675	37	3,675
Facilities						
Hazy	1	80	1	640	1	3,279
Operations	55	2,760	59	3,292	58	3,203
Subtotal, Facilities	56	2,840	60	3,932	59	6,482
Security						
Hazy	-	-	5	1,375	7	1,700
Subtotal, Security	-	-	5	1,375	7	1,700
Information Technology						
Hazy	1	120	2	488	1	951
Operations	4	456	4	451	6	451
Subtotal, Information Technology	5	576	6	939	7	1,402
Finance/General Administration						
Finance-Hazy	-	50	-	-	1	93
Finance-Operations	16	524	16	842	16	842
Human Resources	1	76	1	82	1	82
Director's Office	2	262	3	385	3	385
Public Affairs	2	138	3	221	3	221
Public Affairs-Hazy	1	60	-	-	1	65
Subtotal, Finance/General Administration	22	1,110	23	1,530	25	1,688
Subtotal, Functional Categories	220	16,599	231	20,402	239	27,749
Necessary Pay	-	-	-	-	-	596
GRAND TOTAL	220	16,599	231	20,402	239	28,345

**NATIONAL MUSEUM OF AMERICAN HISTORY,
BEHRING CENTER**

	APPLICATION OF OPERATING RESOURCES							
	FEDERAL APPROPRIATIONS		GENERAL TRUST		DONOR/SPONSOR DESIGNATED		GOV'T GRANTS & CONTRACTS	
	FTE	\$000	FTE	\$000	FTE	\$000	FTE	\$000
FY 2002 ESTIMATE	277	20,800	16	3,354	69	28,041	48	6,207
FY 2003 ESTIMATE	277	21,604	9	1,483	79	10,134	42	3,204
FY 2004 ESTIMATE	277	22,307	7	1,939	81	19,106	40	2,800

National Museum of American History, Behring Center

STRATEGIC GOALS: PUBLIC IMPACT AND MANAGEMENT EXCELLENCE

Federal Resource Summary by Performance Objective

Performance Objective	FY 2003		FY 2004		Change	
	FTE	\$000	FTE	\$000	FTE	\$000
Public Impact:						
Offer compelling, first-class exhibitions	59	5,000	59	5,043	0	43
Expand a national outreach effort	42	3,651	40	3,851	(2)	200
Maintain the high caliber of scholarly research and communicate the results	79	5,666	79	5,780	0	114
Increase the access of Smithsonian audiences to high-quality education resources	23	1,831	22	1,982	(1)	151
Have the highest quality, state-of-the-art visitors' services	43	2,305	43	2,415	0	110
Management Excellence:						
Bring financial management systems and functions up to date	24	2,377	27	2,443	3	66
Ensure optimal safety and protection of facilities, collections, visitors, staff, and volunteers	1	120	1	123	0	3
Total	271	20,950	271	21,637	0	687

BACKGROUND AND CONTEXT

The National Museum of American History, Behring Center (NMAH-BC) dedicates its collections and scholarship to inspiring a broader understanding of our nation and its many peoples. It creates learning

opportunities, stimulates imaginations, and presents challenging ideas about the country's past. This mission statement serves as a guide to NMAH-BC staff as they develop public programs, open new and update existing exhibitions, conduct research, and enrich the collections.

To achieve the Institution's goal of Public Impact, NMAH-BC is presenting a wide range of compelling, innovative exhibitions both on site and to the nation through several traveling shows; developing and refining Affiliation programs and seeking strategic collaborations to bring NMAH-BC scholarship, collections, and programs to a national audience; continuing to develop public programs specifically to attract new and under-served audiences; and proceeding with a new strategic planning effort to ensure that the Museum meets its stated mission building on previous plans, and in particular the recommendation of a distinguished Blue Ribbon Commission that reported to the Museum in the spring of 2002 on visitor experiences, orientation, and outreach.

To achieve the Institution's goal of Management Excellence, NMAH-BC will continue to make significant progress in implementing and maintaining the Museum's collections information system (Multi MIMSY), and will upgrade the Museum's fire detection, alarm, and public address systems.

MEANS AND STRATEGY

To achieve the Institution's goal of Public Impact, the Museum will present a wide range of exhibitions. During FY 2003, the National Museum of American History, Behring Center will engage visitors with the following special exhibitions: *September 11: Bearing Witness to History*, opening one year after the terrorist attacks; *Invention at Play*, an exhibition exploring the playful side of invention and the inventive side of play; *Bon Appetit: Julia Child's Kitchen at the Smithsonian*, the famous chef's kitchen collected by the Museum in 2001 and reconstructed in the Museum's galleries; and *West Point in the Making of America 1802-1918*. Opening in FY 2004 is the major exhibition, *America on the Move*, a 27,000-square-foot exhibition about transportation and how it has shaped American history, our country, and our lives. During FY 2003 and FY 2004, several major exhibitions will be in preparation, including the *Price of Freedom*, the history of America's armed forces, and *For Which It Stands*, the story of the American flag in American life, which will feature the preserved Star-Spangled Banner. The Museum is working on several important traveling exhibitions in partnership with SITES. Foremost among these are the *First Ladies* exhibition and the *Sports* exhibition both of which will debut in FY 2004 and travel throughout the country. Each exhibition presents original research by curators and

museum specialists and showcases objects from the Museum's collections. Most of the exhibitions have related websites that provide further opportunities to share the research, and four exhibitions have had related programming as well. While two of the exhibitions draw largely on objects on loan, *Bon Appetit* and *September 11* focus on recent NMAH-BC collecting and research. Finally, the Museum launched this year the first of what is expected to be a new series of collections-based websites—the first presents our surveying instruments collection and will serve as the prototype for future sites that provide public access to research stored in Multi MIMSY collections records.

NMAH-BC continues to develop exhibitions and public programs specifically designed to attract new and under-served audiences, such as the story of a Latina escaping the World Trade Center in the *September 11* exhibition, and special objects from the collections for both Hispanic Heritage Month and Asian Pacific American Month. NMAH-BC provided objects and curatorial support for the exhibition of *Through Deaf Eyes*, a joint program with Gallaudet College.

A wide variety of educational programming and products from curriculum materials and electronic fieldtrips to interactive Web experiences and *Hands On History* activities will be developed to complement the upcoming *America On the Move* exhibition and will be made available to visitors, schools, and audiences around the country in FY 2004. Audience research and educational planning will take place for future exhibitions.

NMAH-BC has made significant progress in implementing and maintaining Multi MIMSY, the Museum's collections information system. Work is focused in three major areas: conversion of collections data from legacy systems, manual entry of new data for acquisitions and loans and updated collections information, and digitizing images of collections objects for linking to records. In FY 2002, the conversion of over 500,000 records was completed.

The \$80,000,000 gift from Kenneth Behring in FY 2001 has allowed the Museum to begin a complete renovation of its public spaces, starting with the development of a preliminary concept study that integrates the recommendations of the Blue Ribbon Commission. The concept study will become part of a larger effort to implement improved visitor experiences and changes to the infrastructure of the Museum. In FY 2003, building on the transformation planning effort, the Museum will develop a new set of exhibition goals, outreach objectives, and collecting plans, along with the design of a dramatic new public space plan. Funded construction will begin in mid FY 2004.

To achieve the Institution's goal of Management Excellence, NMAH-BC has been working closely with the Institution on its Enterprise Resource Planning system, and will participate in implementing Phase One in FY 2003 and Phase Two in FY 2004. NMAH-BC will address visitor and staff safety by upgrading existing fire detection and alarm systems with a modern addressable system that will comply with current codes, reducing maintenance requirements, updating the building-wide smoke detection system, and eliminating nuisance alarms. The Museum also lacks complete coverage of ADA-compliant strobe lights and will address this need as well. The audio/visual equipment controls will be connected into the fire alarm system, such that during a fire emergency, all audio portions of A/V equipment in exhibit areas will shut down automatically. The new fire alarm system will be provided with back-up power from both batteries and the existing emergency generator.

STRATEGIC GOALS AND FY 2004 ANNUAL PERFORMANCE GOALS

Public Impact

Offer compelling, first-class exhibitions (59 FTEs and \$5,043,000)

- Open the *America on the Move* exhibition
- Open the *Tumultuous 50's* exhibition
- Complete de-installation of objects and relocate NMAH Archives Center for *Price of Freedom* exhibition
- Complete demolition and construction and begin installation of *Price of Freedom* exhibition

Expand a national outreach effort (40 FTEs and \$3,851,000)

- Open three traveling exhibitions *First Ladies*, *Sports*, and *Invention at Play*
- Initiate five new affiliations as part of the Smithsonian Affiliations program
- Execute plans for Latino Programming during Hispanic Heritage Month
- Hold continuing programs for Black History Month
- Conduct several film programs sponsored by the Asian Pacific American Initiatives Committee

Maintain the high caliber of scholarly research and communicate the results (79 FTEs and \$5,780,000)

- Complete research on two future exhibitions
- Establish websites for all major exhibitions opening in FY 2004
- Convert 90,000 records, migrate 20,000 records, and manually enter 10,000 records into the Museum's Multi MIMSY System

Increase the access of Smithsonian audiences to high-quality education resources (22 FTEs and \$1,982,000)

- Complete work on all educational programming and products related to the exhibition *America on The Move*
- Complete all educational planning related to the new Welcome and Education service centers

Have the highest quality, state-of-the-art visitors' services (43 FTEs and \$2,415,000)

- Begin the funded construction portion of the Public Space Plan
- Maintain industry standards relating to the maintenance, cleanliness, and quality

Management Excellence

Bring financial management systems and functions up to date (27 FTEs and \$2,443,000)

- Complete implementation of Institution's Enterprise Resource Planning system, Phase II, at the Museum level

Ensure optimal safety and protection of collections, visitors, staff, and volunteers (1 FTE and \$123,000)

- Complete installation of the new public address system
- Complete coverage of ADA compliant strobe lights

FUNCTIONAL DETAIL OF FY 2004 REQUEST

The following table provides detail of the programs and functions to be conducted by NMAH-BC in FY 2004:

NATIONAL MUSEUM OF AMERICAN HISTORY

Detail of Base Resources By Function

	FY 2002		FY 2003		FY 2004	
	FTEs	\$ (000's)	FTEs	\$ (000's)	FTEs	\$ (000's)
Exhibitions						
Introduction Exhibit	4	320	5	400	6	500
Public Space Renewal Program	6	540	6	580	7	700
Star Spangled Banner	3	200	4	300	6	450
For Which It Stands	4	320	4	380	5	500
America On The Move	6	510	6	570	-	-
Spirit of America	2	80	-	-	-	-
Global Connections	3	185	5	400	5	400
Price of Freedom	4	310	5	490	6	570
Changing Exhibit Program	10	800	8	615	8	613
Traveling Exhibitions	1	80	1	84	1	88
Presidents	-	-	-	-	-	-
Other	9	540	6	312	6	310
Subtotal, Exhibitions	52	3,885	50	4,131	50	4,131
Education						
Hands on History	2	155	2	160	2	160
Affiliations	8	800	10	1,100	10	1,100
Public Programs	16	1,100	16	1,150	16	1,150
Tours/School Programs	4	200	4	210	4	210
Other	11	1,014	11	705	11	705
Subtotal, Education	41	3,269	43	3,325	43	3,325
Collections	87	6,633	90	6,704	90	6,704
Research	19	1,935	17	1,988	17	1,988
Facilities	43	2,172	43	2,305	43	2,305
Security	1	88	1	120	1	120
Information Technology	10	890	10	993	10	993
Finance/General Administration						
Finance	9	640	9	655	9	655
Human Resources	1	60	1	62	1	62
Archives	-	-	-	-	-	-
Public Affairs	-	-	-	-	-	-
Central Staff	3	200	2	175	2	175
Management	5	390	5	492	5	492
Subtotal, Finance/General Administration	18	1,290	17	1,384	17	1,384
Subtotal, Functional Categories	271	20,162	271	20,950	271	20,950
Necessary Pay	-	-	-	-	-	687
GRAND TOTAL	271	20,162	271	20,950	271	21,637

National Postal Museum

STRATEGIC GOALS: PUBLIC IMPACT AND MANAGEMENT EXCELLENCE

Federal Resource Summary by Performance Objective

Performance Objective	FY 2003		FY 2004		Change	
	FTE	\$000	FTE	\$000	FTE	\$000
Public Impact:						
Offer compelling, first-class exhibitions	2	145	2	146	0	1
Expand a national outreach effort	0	58	0	65	0	7
Build, refine, care for, and manage the national collections	3	312	3	318	0	6
Have a world-class Web presence	0	10	0	9	0	(1)
Management Excellence:						
Bring information technology systems and functions up to date	1	129	1	132	0	3
Total	6	654	6	670	0	16

BACKGROUND AND CONTEXT

The National Postal Museum (NPM), through its collection and library, is dedicated to the preservation, study, and presentation of postal history and philately. The Museum uses research, exhibits, education, and public programs to make this rich history available to a wide and diverse audience.

To achieve the Institution's goal of Public Impact, NPM is focusing a portion of its resources on completing new exhibitions, renovating galleries, and providing Web access to the national philatelic collection. Resources will also be dedicated to the enhancement of its automated collections information systems to meet the goal of Management Excellence.

MEANS AND STRATEGY

To achieve the goal of Public Impact, NPM will aim for increased visitation both to the Museum and its website. In FY 2004, NPM will use private funds to renovate its former Stamps and Stories Gallery to become the premier venue for philatelic collections, and to renovate the Duck Stamp Gallery. NPM will increase its U.S. stamp display, and acquire additional issues under a new collecting plan. NPM is also expanding its outreach effort to attract larger audiences, and will develop a consortium of international postal museums to exchange and showcase traveling stamp exhibitions. Additional records of the collection will migrate to *eMuseum*,

making Web access to the national philatelic collection available to the public for the first time.

To meet the goal of Management Excellence, NPM will focus on enhancing its automated collections information systems by adding additional records and digital images to its collections database.

STRATEGIC GOALS AND FY 2004 ANNUAL PERFORMANCE GOALS

Public Impact

Offer compelling, first-class exhibitions (2 FTEs and \$146,000)

- Redesign, renovate, and install inaugural exhibit in the Philatelic Gallery
- Redesign and install new exhibition in the Duck Stamp Gallery
- Install 500 new U.S. and international stamps
- Develop and circulate two traveling exhibitions

Expand a national outreach effort (0 FTEs and \$65,000)

- Increase presence at two philatelic stamps shows
- Implement results of comprehensive marketing plan to attract new audiences

Build, refine, care for, and manage the national collections (3 FTEs and \$318,000)

- Increase U.S. stamp display by 500 stamp issues
- Create new collecting plan
- Acquire 50 stamp issues missing from the national collection
- Add 7,500 records to The Museum System (TMS) collections database
- Add 10,000 digital images to TMS database

Have a world-class Web presence (0 FTEs and \$9,000)

- Provide web access to the national philatelic collection by adding 5000 records to *eMuseum*

Management Excellence

Bring information technology systems and functions up to date (1 FTE and \$132,000)

- Complete the reconciliation of the legacy inventory records
- Remove duplicate revenue stamps from philatelic collection

FUNCTIONAL DETAIL OF FY 2004 REQUEST

The following table provides detail of the programs and functions to be conducted by the National Postal Museum in FY 2004:

NATIONAL POSTAL MUSEUM

Detail of Base Resources By Function

	FY 2002		FY 2003		FY 2004	
	FTEs	\$ (000's)	FTEs	\$ (000's)	FTEs	\$ (000's)
Exhibitions						
Project Management	1	98	1	98	1	101
Equipment Maintenance	1	36	1	32	1	34
Exhibition Research	1	66	-	-	-	-
Temporary Exhibits	-	10	-	-	-	-
Information Technology	-	15	-	15	-	10
Subtotal, Exhibitions	3	225	2	145	2	145
Education						
Marketing Research	-	-	-	53	-	55
Subtotal, Education	-	-	-	53	-	55
Collections						
Collections Management	1	56	1	100	1	104
Conservation Lab	-	4	-	-	-	-
US Stamp Project	-	-	1	68	1	71
Automated Collection Information Systems	-	-	2	126	2	135
The Museum System	2	161	-	-	-	-
Other Information Technology	-	-	-	15	-	10
Subtotal, Collections	3	221	4	309	4	320
Research						
US Stamp Project	-	48	-	103	-	101
Philatelic Stamp Shows	-	-	-	5	-	10
Subtotal, Research	-	48	-	108	-	111
Information Technology	-	100	-	30	-	15
Finance/General Administration						
Information Technology	-	5	-	-	-	-
Administrative Management	-	39	-	9	-	8
Subtotal, Finance/General Administration	-	44	-	9	-	8
Subtotal, Functional Categories	6	638	6	654	6	654
Necessary Pay	-	-	-	-	-	16
GRAND TOTAL	6	638	6	654	6	670

NATIONAL MUSEUM OF THE AMERICAN INDIAN

	APPLICATION OF OPERATING RESOURCES							
	FEDERAL APPROPRIATIONS		GENERAL TRUST		DONOR/SPONSOR DESIGNATED		GOV'T GRANTS & CONTRACTS	
	FTE	\$000	FTE	\$000	FTE	\$000	FTE	\$000
FY 2002 ESTIMATE	296	27,995	6	3,892	4	1,284	0	31
FY 2003 ESTIMATE	329	33,616	6	1,754	4	682	0	0
FY 2004 ESTIMATE	399	42,151	6	3,476	4	722	0	0

STRATEGIC GOALS: PUBLIC IMPACT, MANAGEMENT EXCELLENCE, AND FINANCIAL STRENGTH

Federal Resource Summary by Performance Objective

Performance Objective	FY 2003		FY 2004		Change	
	FTE	\$000	FTE	\$000	FTE	\$000
Public Impact:						
Offer compelling, first class exhibitions	32	8,102	39	4,230	7	(3,872)
Expand a national outreach effort	32	2,627	36	3,287	4	660
Increase the access of Smithsonian audiences to high-quality education resources	41	2,994	62	5,664	21	2,670
Build, refine, care for, and manage the national collections	100	8,043	101	8,880	1	837
Have a world-class Web presence	2	179	3	289	1	110
Have the highest quality, state-of-the-art visitors' services	-	60	6	623	6	563
Management Excellence:						
Strengthen a stakeholder-focused performance orientation	46	5,053	48	5,612	2	559
Bring information technology systems and functions up to date	17	2,347	20	4,449	3	2,102
Strengthen human capital resources	6	350	5	302	(1)	(48)
Execute an aggressive, long-range facilities maintenance and revitalization program	37	2,705	63	7,570	26	4,865
Financial Strength:						
Secure the financial resources needed for Institutional operations	16	1,156	16	1,245	-	89
Total	329	33,616	399	42,151	70	8,535

BACKGROUND AND CONTEXT

The mission of NMAI is to protect, support, and enhance the development, maintenance, and perpetuation of Native American cultures and communities through innovative public programming, research, and collections.

To achieve the goal of Public Impact, NMAI is focusing on completing exhibitions and educational programs for the new Museum on the national Mall. This last Museum on the Mall represents the fulfillment of a commitment made to the indigenous peoples of this hemisphere and is a fitting monument to the living cultures of our lands. Through an innovative approach to the exhibitions, involving input from representatives of the cultures presented in the exhibitions, and public programming that presents the contemporary voice of Native peoples, the Museum will educate and inform the public while countering widespread stereotypes.

MEANS AND STRATEGY

To achieve the goal of Public Impact, NMAI will focus on completing three major long term exhibitions: *Our Universes*, on Native cosmologies and philosophies; *Our Peoples*, on Native histories, and *Our Lives*, on Native identities; and a temporary exhibition featuring contemporary works of art by two prominent Native American artists, George Morrison and Alan Houser. To orient visitors to the exhibition, the Preparation Theater will present an 8-10 minute multi-media film. In addition, NMAI will produce a permanent Study Collection area featuring rotating and in-depth presentations revealing the breadth and scope of the NMAI collection, and an exhibition that honors local Native communities, *Return to Native Place*. NMAI will also continue to direct resources to the changing exhibition program at the Heye Center in New York, celebrating its tenth anniversary in 2004.

Outreach efforts will bring the Museum and its resources to audiences through media such as the radio and the Web, and innovative outreach and training programs. These contacts will link external communities to audiences at the Mall Museum through technology and involvement in planning and programming. A Film and Video center will present the variety and excellence of Native productions.

In education, funding will allow for planning and development of programs seven days a week, including interpretative activities, cultural arts performances, demonstrations, and resource materials about Native American history and cultural heritage. Print, audio, and electronic materials

will be produced to reach an audience of more than three million visitors, and inform those who are unable to visit. The Resource Center will provide daily information about Native peoples of the western hemisphere, including Hawaii, providing opportunities to correct stereotyping. A variety of tribal educational resources will be prepared in FY 2004, including curricula to be made available to local teachers before and after the opening of the Museum. Native boat building will be demonstrated and exhibited in the Potomac area, along with a variety of other activities.

Funds will be used to complete the collections move in FY 2004 and prepare collections images and text databases for broad access by Mall visitors and external audiences. In addition, staff will make research, film, video, audio, and photographic content developed for Mall exhibitions broadly available both in the Mall Museum and to Native American communities and public audiences, including through the Web.

All projections for NMAI's attendance have forecast extremely high visitation relative to the size of the building. Beyond the 50,000 square feet of public galleries, NMAI will program a theatre, the 10,196 square foot Potomac Center, a 5,726 square foot Resource Center, outdoor performance areas (in season), and numerous educational classrooms and presentation areas. NMAI staff will be used to oversee visitor pass systems, group and school tour programs, and management of volunteers, and to direct presentations in galleries and all public space and program areas to assure maximum use of all the educational resources of the building.

The goal of Management Excellence will be addressed in part by developing the infrastructure needed to support the new Mall Museum and its extensive, specifically designed educational spaces and technologies. Resources at the Cultural Resources Center and New York's Heye Center will be made available to Mall audiences by procuring technology-related equipment and software for the new Museum including a voice-over Internet protocol, as well as increasing support for information resources and website enhancement. Office equipment not covered in the construction contract will be procured in FY 2004 for staff offices and workrooms. Funds will also be directed towards facility management to care for the new building and grounds and security for staff, collections, and visitors. The goal of Financial Strength will be addressed by continuing to use resources to secure private funds for Mall Museum construction and operations.

STRATEGIC GOALS AND FY 2004 ANNUAL PERFORMANCE GOALS

Public Impact

Offer compelling first-class exhibitions (39 FTEs and \$4,230,000)

- Ensure that the four opening exhibitions and eight public space installations are coordinated with the Mall building construction schedule and completed on time
- Develop effective exhibition guidelines and processes to ensure that exhibitions and public spaces are created in collaboration with Native communities and other museums, and attain the highest professional standards
- Design education programs linked to exhibitions to serve an estimated 8,000 visitors a day.

Expand a national outreach effort (36 FTEs and \$3,287,000)

- Develop a signature film for the Mall Museum
- Provide daily information services about NMAI and Native peoples to the public using technology-based capacity at the Resource Center
- Develop strategies to extend Mall and Heye Center educational products and public programming to national audiences through Smithsonian affiliates and other venues

Increase the access of Smithsonian audiences to high-quality education resources (62 FTEs and \$5,664,000)

- Produce and distribute initial publications and media products augmenting Mall opening exhibitions
- Present diversified and ongoing publications and living arts programs that will educate the public about the history and significance of Native cultures, including about 30 cultural arts programs each month once the museum opens, craft demonstrations, storytelling, discussions, music, dance, theater performances, 7 books, one recording, and 12–15 printed pieces, including brochures and mailers
- Coordinate five community-based research heritage projects to expand the body of new Native scholarship to be used in developing programs and publications

Build, refine, care for, and manage the national collections (101 FTEs and \$8,880,000)

- Prepare condition reports for and safely pack, track, unpack, and install approximately 7,000 collection objects, exhibit props, and mounts for the opening exhibitions of the Mall Museum
- Purchase equipment to reliably track environmental conditions and implement an integrated pest management program at the Mall Museum

- As part of the move process, create digital images for some 50,000 objects
- Enter CD-ROM location data for about 2,500 ethnographic-historic images
- Complete the collections move, with all 800,000 artifacts, 100,000 photographs, and 2,500 film and video items removed from New York facilities and relocated to CRC
- Complete disposition of all human remains

Have a world-class Web presence (3 FTE and 289,000)

- Develop and adopt a strategy for using the Web to bring the Smithsonian to the nation and the world

Have the highest quality, state-of-the-art visitors' services (6 FTEs and \$623,000)

- Implement new systems for visitor passes, guidance, information, and services at the Mall Museum

Management Excellence

Strengthen a stakeholder-focused performance orientation (48 FTEs and \$5,612,000)

- Respond to all internal, OMB, Congressional, and other budgetary requirements accurately and on time
- Meet all NMAI and Smithsonian needs for procurement/travel management and reporting

Bring information technology systems and functions up to date (20 FTEs and \$4,449,000)

- Install and test all electronic, technology, and information management systems necessary for the opening of the Mall Museum
- Integrate NMAI collection databases and images representing over 800,000 artifacts and 100,000 photographs for greater public use and access
- Formulate, design, and launch a pilot technology initiative linked to the opening of the Mall museum that demonstrates the application of electronic technologies to fulfill NMAI's "fourth museum" (outreach) commitments

Strengthen human capital resources (5 FTEs and \$302,000)

- Recruit highly qualified candidates with an emphasis on reaching out to Native communities to support the opening of the Mall Museum and to fill other vacancies
- Set up a cost effective and efficient position management structure within the Museum and incorporate strategic goals and objectives into staff performance plans

Execute an aggressive, long-range facilities maintenance and revitalization program (63 FTEs and \$7,570,000)

- Provide maintenance, security, and visitor support services for a 7-day-a-week operation open to the public at the Mall Museum

Financial Strength

Secure the financial resources needed for Institutional operations (16 FTEs and \$1,245,000)

- Set goals and priorities for substantially increased private donations to sustain an annual support goal of \$10.9 million excluding extraordinary gifts
- Increase corporate members by exceeding FY 2003 levels by 50%, from 16 members to 32
- Invest 20% of the membership revenues in an aggressive acquisitions program, and launch an aggressive marketing campaign

FY 2004 REQUEST—EXPLANATION OF CHANGE

The fiscal year 2004 budget estimate includes an increase of \$13,463,000 and a decrease of \$5,703,000 in one-time prior-year funds for a net increase of \$7,760,000 and 70 FTEs. These resources are necessary to develop and implement inaugural and continuing exhibitions and related programs; implement a diverse public program of educational resources and activities, cultural arts performances, presentations, and demonstrations; establish an extensive outreach program to expand NMAI's resources throughout the country and the world; ensure that collections are managed and cared for properly; ensure that comprehensive assistance and services are provided to visitors; implement necessary information technology capacity; and maintain clean and comfortable facilities. As in previous years, these resources are requested to remain available until expended. NMAI's request also includes an increase of \$1,858,000 and 33 FTEs for central support in the areas of security, utilities maintenance, and related building engineering monitoring. These resources are included under the Facilities Operations and Facilities Maintenance line items, but are justified here. The increases and decreases are as follows:

- (-\$5,703,000) A decrease of \$4,903,000 is included to reduce the one-time funding for initial exhibits design, and a decrease of \$800,000, to reduce one-time funding for the planning and installation of communications cabling
- (+ \$944,000, +7 FTEs) This increase supports the establishment of the exhibitions operation in the new facility and will permit the continuation of contracting activities to meet the exhibition development and implementation schedule required for the opening of the Mall Museum to

the public in September 2004. This will ensure that three major galleries with curatorial input from approximately 30 tribal groups represented by the collection and one gallery devoted to contemporary arts, along with study collections throughout the building, are ready for the opening.

- (+ \$2,288,000, + 25 FTEs) This increase will support the planning, development, and implementation of interconnected educational and cultural programs, activities, and resources that NMAI will share both with on-site visitors as well as constituents across the country and around the world via enhanced outreach efforts.

NMAI will provide ongoing and dynamic programming to allow visitors to experience the contemporary arts, lives, and concerns of the indigenous peoples of the western hemisphere through performances, demonstrations, workshops, and oral presentations. In addition, outreach programs for communities throughout the hemisphere will be planned, as well as conferences and symposia that will include electronic links for distance-learning opportunities with Native American colleges and other community organizations and tribes. Necessary staff for these activities include a program specialist, program secretary, program assistant, and two performance coordinators.

Educational programs will be planned and presented to supplement the exhibits with an emphasis on the contemporary aspects of Native cultures throughout the hemisphere. These activities will include classes, gallery programs, demonstrations, workshops, curricula, and interpretative materials, and will serve an estimated 4,000 ticketed visitors per day and another 4,000 who may not be accommodated in the galleries. Required staff include an administrative assistant, a lead interpreter, six cultural interpreters, a classes/workshop specialist, a reservations secretary, a reservations supervisor, and a theater program specialist.

Funding is also required for the operation of the Resource Center, which consists of 18 interactive multi-media stations and extensive reference areas to supplement the exhibition galleries and respond to visitor needs for information about Native American experience and culture. This is anticipated to be a very popular, high-traffic area, requiring substantial coverage on a seven-day-a-week basis. Staff will respond to public inquires, support distance learning opportunities, and keep up-to-date documentation on ongoing NMAI programs. FTEs required to deliver this service include two cultural information specialists, an administrative assistant, and an audio-visual specialist.

A Film and Video Center will offer programming in the theater using NMAI's notable and expanding collection of Native American media products, and also will support filming of Native American presentations in Washington so that wider audiences can benefit from one-time programming. The Center will provide special workshops and information to Native media makers and support NMAI's outreach activities. A program manager, screening coordinator, and secretary are required to staff the Center.

The requested funding will also be used to expand a national outreach effort to attract larger audiences, including marketing membership programs to increase membership from 52,000 to 100,000 by the opening in late 2004; to support printing of promotional publications and invitations, advertising, supplies, and materials as part of the implementation of a public relations program; and for a position to build on and sustain the extensive community contacts and relationships initiated to develop the Mall exhibitions and help bring the Museum and its resources to constituents through media such as radio and the Web and innovative outreach and training programs.

- (+ \$858,000, + 6 FTEs) This increase supports the provision of a comprehensive visitor services and support function. Funding is needed to provide staff to act as the primary interface with the public in order to provide information; direct visitors to public space, exhibit gallery, theater, and special programs; oversee volunteer training and coordination; manage crowd-management and on-floor pass systems; and coordinate with Smithsonian security. To manage the array of changing programs, educational spaces, and presentations for 8,000 anticipated daily visitors, visitor services will require a manager, an assistant manager, two floor staff, a volunteer coordinator, and an administrative assistant for seven-day-a-week coverage. In addition, these funds will provide ongoing print, audio, and electronic materials to support the opening and operation of the Mall Museum.
- (+ \$624,000, + 1 FTE) This increase includes \$131,000 and 1 FTE for the Mall Museum Collections Manager to oversee all aspects of collections receiving, care, and installation in the building's exhibitions. One-time costs of \$493,000 will support supplies and equipment to outfit the Mall Museum for collections care, receiving, movement, storage, and exhibit installation, and the services required for a pest management contract at the Mall Museum. Other one-time costs include U.S. Marshals to accompany the objects transported to the Mall, riggers to place oversized objects in the Museum, radios for Mall exhibit installation communication, and bar-coding equipment for Mall exhibit object tracking during installation.

- (+ \$3,538,000, + 4 FTEs) This increase is required to implement, manage, and support NMAI's complex technology environment. Of this amount, one-time funds of \$3,028,000 are required for opening the new museum on the National Mall, and \$510,000 and 4 FTEs for ongoing operations.

One-time funds totaling \$2,108,000 will be used for technology infrastructure for the new Museum, including a voice-over Internet protocol; desk-top computers, laptops, printers, software, and other peripherals; servers; serve racks; redundant power supply modules; cables; and external communications systems. One-time funds in the amount of \$650,000 will be required for the Resource Center, including software and equipment for public access to NMAI information, technological support for classrooms, and a wide range of devices to enhance access to information resources for disabled visitors. Other one-time costs are for systems planning and systems design to support the integration of collections, contracts, media asset management, Web content management systems, Web development, and interactive systems in support of NMAI's opening exhibitions.

Support for ongoing operations includes costs for software and hardware maintenance for various systems including collections, media, contracting, and Web content, and four positions—technology coordinator, audio visual specialist, systems analyst programmer, and Web multimedia specialist—to support NMAI staff and additional technical activities at the Mall Museum, to support numerous computer applications at all NMAI locations, and to develop and release a new NMAI public website.

- (\$5,211,000, + 27 FTEs) This increase is requested for all facilities-related activities, based on the need to provide facilities service for a seven-day-a-week operation with heavy public traffic. It provides \$983,000 and 26 FTEs for two custodial supervisors, 21 laborers, one maintenance worker, and two foremen in addition to funding for cleaning supplies and equipment to maintain the building for both the public and office staff. Also, \$3,851,000 in one-time costs is requested for all facilities requirements not included under the construction contract, including loading dock equipment, mailroom operation equipment, office equipment such as faxes and copiers, and all office and public furniture. Funding of \$377,000 is also required for a mail clerk and general administrative requirements to support the new facility and staff, such as equipment maintenance, communication charges, and general supplies. Also included are one-time funds of \$100,000 for the move of staff from rented space to the Mall Museum.

- (+ 1,858,000, + 33 FTEs) The requested level of FTEs and funding will provide the necessary staff and operating dollars required to provide minimum levels of security, operation, and maintenance of the new Mall Museum. This amount (included under the Facilities Maintenance and Facilities Operations line items) only allows for the very minimum requirements of providing security, maintenance, and grounds care in time for the opening of the Museum. An additional 32 FTEs (for a total of 65 FTEs) and related funds will be required in FY 2005 to provide sufficient personnel and funding for full-scale operation of the building security operation and systems.

The FY 2004 requested FTEs and funds will allow the Institution to hire 45 security employees (1 security manager, 1 lieutenant, 5 sergeants, 3 control room operators, 34 officers, 1 administrative staff) and \$185,000 for supplies and equipment; 7 maintenance personnel (1 HVAC supervisor, 2 HVAC leaders, 4 HVAC mechanics) and \$60,000 for supplies and materials; and 2 operations personnel (1 supervisory horticulturist, 1 horticulturist) and \$69,000 for equipment and supplies. Incumbents for these positions will be hired on a staggered basis during FY 2004 so that maximal use can be made of requested funds and FTEs.

The federal support requested for FY 2004 is the level needed to do the work required to open the new Mall museum in September 2004 as planned, and any further reduction would drastically impede efforts to open the new building to the public on schedule. NMAI would not have sufficient staff during FY 2004 to prepare or install the approximately 5,000 objects that will be displayed in the 4 major exhibitions or 8 smaller presentations, and would curtail full development of interactive and multi-media visitor experiences. The result would be a phased opening of an unfinished museum rather than making a strong initial impact by presenting a complete and coherent experience for visitors. Reduced education, public programs and visitor services staff would reduce access to education spaces and programs outside of the exhibition galleries, thus preventing full educational use of the building. NMAI will also not be able to launch new Web products to bring Mall exhibitions content to a vast number of visitors unable to come to Washington. The Institutional goal of Management Excellence would also suffer without adequate staff to provide oversight and carry out technical support, facilities management, and administrative functions. Without the resources for new facilities, the Institution will be unable to sufficiently provide security for staff and collections, and operation and maintenance of installed systems, as well as the extensively landscaped exterior of the site. This inability will lead to increased risk of damage or

loss of collections and accelerated deterioration of the building systems and building structure.

FUNCTIONAL DETAIL OF FY 2004 REQUEST

The following table provides detail of the programs and functions to be conducted by the National Museum of the American Indian in FY 2004:

NATIONAL MUSEUM OF THE AMERICAN INDIAN

Detail of Base Resources By Function

	FY 2002		FY 2003		FY 2004	
	FTEs	\$ (000's)	FTEs	\$ (000's)	FTEs	\$ (000's)
Exhibitions						
Construction/Building System	-	-	-	-	-	-
Security Systems	-	336	-	10	-	55
Exhibits and Public Spaces	27	7,136	32	8,092	38	8,702
Research/Development	-	-	-	-	-	220
Exhibits Non-recurring	-	-	-	-	-	(4,903)
IT Systems Planning Start-up	-	-	-	-	-	-
Information Technology AV Support	-	-	-	-	1	70
Subtotal, Exhibitions	27	7,472	32	8,102	39	4,144
Education						
Public Programs General Ops (DC & GGHC)	7	446	7	671	7	746
Welcome Center	1	41	1	41	1	41
Outreach/Fieldwork	-	-	-	42	-	117
Film & Video Operations	6	474	6	474	9	854
Community Services Outreach	10	724	12	861	13	929
Public Affairs (OEA&O)	4	424	6	538	6	538
Education General Support	-	123	-	-	-	-
Cultural Arts	-	-	-	-	5	492
Education	11	645	18	1,039	30	1,826
Publications Unit	8	756	10	981	10	1,276
Resource Ctr (OC & NY & MO)	10	581	13	974	17	1,348
IT Resource Center Start-up	-	-	-	-	-	650
Information Technology/ITR Website/Website Development	2	179	2	179	3	289
Visitors Services	-	-	-	60	6	623
Subtotal, Education	59	4,393	75	5,860	107	9,729
Collections						
Cultural Resources Collections	45	2,866	46	3,457	47	4,081
Move Project	51	3,700	51	3,700	51	3,700
Database Development and Maintenance	-	-	-	-	3	736
IRM for CIS/Media/Content Projects	1	95	3	811	-	75
Collection Information System	-	75	-	75	-	-
Subtotal, Collections	97	6,736	100	8,043	101	8,592
Research						
Research Support	-	39	-	-	-	-
Subtotal, Research	-	39	-	-	-	-
Facilities						
L'Enfant, OC (Architectural Planning) (Mall)	1	97	4	380	29	1,332
Office Furnishings and Equipment	-	-	-	-	-	3,851
CRC, MO	13	585	15	666	16	697
GGHC, NY	18	914	18	914	18	914
L'Enfant (Lease)	-	727	-	745	-	745
Subtotal, Facilities	32	2,323	37	2,705	63	7,539
Security						
GGHC Security	-	96	-	-	-	-
Subtotal, Security	-	96	-	-	-	-

NATIONAL MUSEUM OF THE AMERICAN INDIAN
(Continued)

	FY 2002		FY 2003		FY 2004	
	FTEs	\$ (000's)	FTEs	\$ (000's)	FTEs	\$ (000's)
Information Technology						
L'Enfant Plaza DC (Mall)	3	254	3	254	6	694
Technology Infrastructure	-	-	-	730	-	2,108
Systems and Tech Planning	-	-	-	70	-	230
CRC, MD	4	447	5	392	5	392
GGHC, NY	4	363	4	363	4	363
Research Branch, NY	-	8	-	18	-	18
Information Resource Management Unit	5	733	5	520	5	595
Subtotal Information Technology	16	1,805	17	2,347	20	4,400
Finance/General Administration						
Finance	13	708	14	489	13	704
Administrative Management	33	2,989	32	4,495	35	4,605
Board of Trustees	-	68	-	69	-	69
Staff Move	-	-	-	-	-	100
Human Resources	5	329	6	350	5	302
Office of External Affairs & Development	14	1,037	16	1,156	16	1,192
Subtotal, Finance/General Administration	65	5,131	68	6,559	69	6,972
Subtotal, Functional Categories	296	27,995	329	33,616	399	41,376
Necessary Pay	-	-	-	-	-	775
GRAND TOTAL	296	27,995	329	33,616	399	42,151

NATIONAL PORTRAIT GALLERY

	APPLICATION OF OPERATING RESOURCES							
	FEDERAL APPROPRIATIONS		GENERAL TRUST		DONOR/SPONSOR DESIGNATED		GOV'T GRANTS & CONTRACTS	
	FTE	\$000	FTE	\$000	FTE	\$000	FTE	\$000
FY 2002 ESTIMATE	77	5,360	2	671	9	2,651	0	0
FY 2003 ESTIMATE	77	5,550	2	587	7	3,600	0	0
FY 2004 ESTIMATE	77	5,725	2	612	7	4,400	0	0

STRATEGIC GOALS: PUBLIC IMPACT AND MANAGEMENT EXCELLENCE

Federal Resource Summary by Performance Objective

Performance Objective	FY 2003		FY 2004		Change	
	FTE	\$000	FTE	\$000	FTE	\$000
Public Impact:						
Offer compelling, first-class exhibitions	21	1,643	21	1,690	0	47
Expand a national outreach effort	4	286	4	295	0	9
Maintain the high caliber of scholarly research and communicate the results	14	1,126	14	1,158	0	32
Increase the access of Smithsonian audiences to education resources	8	619	8	637	0	18
Build, refine, care for, and manage the national collections	3	176	3	183	0	7
Have a world-class Web presence	1	58	1	60	0	2
Management Excellence:						
Bring information technology systems and functions up to date	12	865	12	893	0	28
Execute an aggressive, long-range facilities maintenance and revitalization program	14	777	14	809	0	32
Total	77	5,550	77	5,725	0	175

BACKGROUND AND CONTEXT

The National Portrait Gallery (NPG) functions as a free public museum for the exhibition and study of portraiture and statuary depicting men and women who have made significant contributions to the history, development, and culture of the people of the United States and the artists who created such portraiture and statuary.

To achieve the goal of Public Impact, NPG will ensure that the Gallery's collections continue to be available to the American public while the Patent Office Building (POB) is closed for renovation. Definitive plans will be made for reinstalling exhibits in POB in time for its reopening on July 4, 2006. In addition, the museum's collections, programs, and research base will be expanded to be inclusive of under-represented Americans.

MEANS AND STRATEGY

Congress established NPG to represent the pinnacle of national recognition. To achieve this outcome, NPG will undertake a variety of initiatives, including continuing the nationwide tour of the iconic Lansdowne portrait of George Washington by Gilbert Stuart. With a multitude of electronic media such as audioguides, interactives, website, and video to augment it, the exhibition has increased awareness of the importance of this founding father. NPG will also work with governors in six states to present George Washington State Education Days across the country and distribute free classroom resources to teachers.

A significant focus in FY 2004 will be developing plans for reopening the POB in 2006. An additional 15 percent of the museum's collections will be on view as a result of the expanded space. Portraits, historical themes, and types of technology that can be used within the exhibitions to supplement the visitor's understanding will be selected. NPG will identify target audiences to develop new interpretive strategies.

During FY 2004, three exhibitions will be shown at the Smithsonian's International Gallery: *A Brush With History*, 75 of the museum's most significant paintings; *Portraits in Jazz: Thirty Musicians Who Made A Difference*, a new exhibition that will travel to four other venues; and *Portraits of the Presidents*, a selection of 60 images from the Hall of Presidents, NPG's most popular gallery. Two new exhibitions are being planned, including a major retrospective of the work of Gilbert Stuart, and an exhibition that will bring together Latino portraits from collections throughout the Western Hemisphere. A nationwide portrait competition allowing artists, both known and unknown, to submit their works will

culminate in an exhibition in FY 2005. Publications to accompany all exhibitions, including those planned for the POB opening, will be researched and written. NPG will continue to make extensive loans to museums throughout the country and the world, and will continue to serve as an active participant in the Smithsonian's Affiliations Program.

The collections continue to grow and work is progressing to find a permanent home for objects that will not be on continual exhibition when the POB reopens. The Gallery will continue its significant contribution to the visual history of our nation through the distribution of photographic and digital images from its collection for use in books, videos, CDs, and other media. The Gallery's award-winning website will continue to present innovative programs to increase the number of visitors and enhance their experience. New Web exhibitions, educational outreach programs, and collaborative Web presentations such as *CivilWar@Smithsonian*, *Portal to the Presidents*, and features on Hispanic and Native American portraits, will draw diverse audiences. Significant data and images will be added to the 80,000 collection and research records currently available.

NPG will continue to develop a broad range of regional and national educational programs for school and community audiences. These programs will be designed for varied ages using media as literature-based arts activities, musical performances, plays, historical actors, touch-screen interactives, and workshops for teachers and museum professionals.

To meet goals under Management Excellence, NPG will ensure that its computing infrastructure meets Institution-wide standards and staff are trained in new software required by Smithsonian systems. The Gallery's Collections Information System (CIS) contains records for all of its objects, along with more than 13,000 digital images. Two thousand research records will be added in FY 2004, and work will continue to enhance collection data and images. NPG will improve system functionality and the staff's ability to effectively use the system. Also, media opportunities will be aggressively targeted and pursued. Press mailings and events will be planned to accompany openings of four touring exhibitions, three exhibitions to be on view at the International Gallery, announcement of the Peck Presidential Awards, and public education programs.

NPG and the Smithsonian American Art Museum (SAAM) jointly share management and resources of the Office of Facilities Management (OFM). While full integration of OFM into the Office of Facilities Engineering and Operations is under discussion, OFM will continue to work on achieving the performance goals listed below, covering both NPG and SAAM.

STRATEGIC GOALS AND FY 2004 ANNUAL PERFORMANCE GOALS

Public Impact

Offer compelling, first class exhibitions and other public programs (21 FTEs and \$1,690,000)

- Continue the nationwide tour of the George Washington portrait at three venues
- Present two new major exhibitions including an exhibition on Latino portraits aimed at increasing underserved audiences, and plan one exhibition based on NPG portrait competition
- Present three exhibitions at the International Gallery to assure public access to collections, and present educational programs to increase visitor attendance
- Increase loans to museums throughout the country by 10% over FY 2001 number of loans
- Design seven education programs for 450 presentations to schools and community organizations

Expand a national outreach effort (4 FTEs and \$295,000)

- Award two Peck Presidential Medals
- Plan joint ventures with four Smithsonian Affiliate museums
- Launch NPG's first nationwide portrait competition initiative
- Publish four issues of *Profile*, the Gallery's publication

Maintain the high caliber of scholarly research and communicate the results (14 FTEs and \$1,158,000)

- Produce two books, 370 wall labels, four brochures, and approximately 18 printed pieces (announcements, activity guides, etc.) for NPG exhibitions and programs
- Research and continue work on one volume for *The Selected Papers of Charles Willson Peale and His Family* for publication

Increase the access of Smithsonian audiences to high-quality education resources (8 FTEs and \$637,000)

- Develop two online education components for special exhibitions
- Develop three new interpretative strategies for incorporating inquiry-driven interactive elements into two exhibitions

Build, refine, care for, and manage the national collections (3 FTEs and \$183,000)

- Acquire portraits of significant Americans when available, particularly from under-represented populations
- Secure a permanent home for 80% of collection objects currently in temporary storage that will not return to the POB when NPG reopens

Have a world-class Web presence (1 FTE and \$60,000)

- Increase the number of records, programs, and images on the NPG website by 2,150

- Increase the number of visitors by 250,000 and inquiries by 5,000 to the NPG website

Management Excellence

Bring information technology systems and functions up to date (12 FTEs and \$893,000)

- Maintain a state-of-the art and up-to-date Collections Information System (CIS) by implementing one upgrade and adding 2,200 images and records.

Execute an aggressive, long-range facilities maintenance and revitalization program (14 FTEs and \$809,000)

- Complete the implementation of Facilities Center software for all maintenance and operations
- Implement and participate fully in the Reliability Centered Maintenance program for critical systems
- Finalize facilities maintenance and operations planning based on return to the Patent Office Building at the end of FY 2005

FUNCTIONAL DETAIL OF FY 2004 REQUEST

The following table provides detail of the programs and functions to be conducted by the National Portrait Gallery in FY 2004:

NATIONAL PORTRAIT GALLERY

Detail of Base Resources By Function

	FY 2002		FY 2003		FY 2004	
	FTEs	\$ (000's)	FTEs	\$ (000's)	FTEs	\$ (000's)
Exhibitions						
Traveling Exhibitions	15	1,179	14	1,224	14	1,224
Subtotal, Exhibitions	15	1,179	14	1,224	14	1,224
Education						
Public Programs/Outreach	7	375	7	388	7	388
Other Information Technology: Public Access (Web)	1	73	1	78	1	78
Subtotal, Education	8	448	8	466	8	466
Collections						
Collections Management	21	1,393	22	1,443	22	1,443
Acquisitions	-	300	-	300	-	300
Art Collection Info System: Projected Maintenance	-	-	-	13	-	13
The Museum System	1	87	1	87	1	87
Subtotal, Collections	22	1,780	23	1,843	23	1,843
Research						
Publication of the Peale Family Papers	3	222	3	228	3	228
Subtotal, Research	3	222	3	228	3	228
Facilities						
AA/PG Office of Facilities Management	14	753	14	777	14	777
Subtotal, Facilities	14	753	14	777	14	777
Information Technology	1	115	1	128	1	128
Finance/General Administration						
Finance	2	87	2	89	2	89
Human Resources	1	43	1	43	1	43
Public Affairs	2	57	2	75	2	75
Management and General Administration	9	676	9	677	9	677
Subtotal, Finance/General	14	863	14	884	14	884
Subtotal, Functional Categories	77	5,360	77	5,550	77	5,550
Necessary Pay	-	-	-	-	-	175
GRAND TOTAL	77	5,360	77	5,550	77	5,725

SMITHSONIAN AMERICAN ART MUSEUM

	APPLICATION OF OPERATING RESOURCES							
	FEDERAL APPROPRIATIONS		GENERAL TRUST		DONOR/SPONSOR DESIGNATED		GOV'T GRANTS & CONTRACTS	
	FTE	\$000	FTE	\$000	FTE	\$000	FTE	\$000
FY 2002 ESTIMATE	112	8,023	7	2,129	5	4,683	0	0
FY 2003 ESTIMATE	112	8,327	5	1,028	9	4,972	0	0
FY 2004 ESTIMATE	112	8,587	5	1,045	8	5,242	0	0

STRATEGIC GOALS: PUBLIC IMPACT AND MANAGEMENT EXCELLENCE

Federal Resource Summary by Performance Objective

Performance Objective	FY 2003		FY 2004		Change	
	FTE	\$000	FTE	\$000	FTE	\$000
Public Impact:						
Offer compelling, first-class exhibitions	19	1,501	19	1,547	0	46
Expand a national outreach effort	11	830	11	857	0	27
Increase the access of Smithsonian audiences to high-quality education resources	13	977	13	1,009	0	32
Build, refine, care for, and manage the national collections	16	1,226	16	1,264	0	38
Have a world-class Web presence	3	255	3	262	0	7
Have the highest quality, state-of-the-art visitors' services	1	67	1	69	0	2
Management Excellence:						
Strengthen stakeholder-focused performance orientation	6	400	6	416	0	16
Bring financial management systems and functions up to date	1	42	1	44	0	2
Bring information technology systems and functions up to date	3	279	3	286	0	7
Enhance relations with press, mass media, and federal, state, and local governments	5	395	5	407	0	12
Execute an aggressive, long-range facilities maintenance and revitalization program	33	2,271	33	2,340	0	69
Ensure optimal safety and protection of facilities, collections, visitors, staff, and volunteers	1	84	1	86	0	2
Total	112	8,327	112	8,587	0	260

BACKGROUND AND CONTEXT

The Smithsonian American Art Museum (SAAM) is the nation's museum dedicated to the arts and artists of the United States from colonial times to the present. The Museum's programs make American art available to national audiences and beyond, as well as to those who visit its two historic landmark buildings in Washington DC: the Patent Office Building (POB) site, closed for major renovation and due to reopen in 2006, and the Renwick Building.

To meet the goal of Public Impact, SAAM is devoting more than half of its federal resources to exhibitions; a national education program; enhancement, presentation, and care of its permanent collection; research resources; a popular website; publications; and services to the public. The remainder is dedicated to effectively managing the Museum's resources and facilities in the pursuit of Management Excellence.

MEANS AND STRATEGY

While the POB is closed for major renovation, SAAM is working to achieve the goal of Public Impact by linking Americans to their heritage through showing how the works of art in SAAM's collection tell the story of this country. This outcome will be accomplished by several means. First, exhibitions, rotations of SAAM's permanent collection, and public programs at the Renwick Gallery are keeping the Museum visible while the POB is closed. To assist in national outreach, the Museum continues to publish the *American Art* journal three times annually; enhance its popular website containing extensive information about SAAM's collections, programs, and exhibitions; and extend the reach of its public online reference service—*Ask Joan of Art*—through a promotional campaign. Since 2000, the Museum has been circulating eight exhibitions of some of its finest art works throughout the U.S. Those tours end in 2003, but will be replaced by *Highlights from the Smithsonian American Art Museum*, a new series of four exhibitions that tour from 2003 to 2005. In 2004, the exhibitions *George Catlin and His Indian Gallery* and *Calico and Chintz*, an exhibition of quilts, will also tour.

The Museum continues to broaden its collection of 39,000 objects with significant acquisitions, and to move towards its goal of digitizing every object in the collection. A new national education program, designed to reach classrooms in all fifty states, will affect public impact by focusing on the effective use of new technology and distance-learning tools.

In addition to actively maintaining a vital presence in Washington and around the country, SAAM will continue significant planning for the renovated POB in FY 2004. The focus will be on revitalized permanent collection galleries, compelling exhibitions, expanded public amenities, a grand year-round courtyard, and the Luce Foundation Center for American Art, which will provide greatly enhanced public access to and enjoyment of the collections. This will be a major undertaking and will involve cooperation among all the Museum's staff, as well as with that of the National Portrait Gallery (NPG).

The Museum will work toward achieving the goal of Management Excellence by improving its business practices and internal capabilities and controls in line with the new Enterprise Resource Planning (ERP) system. By 2004, implementation of the ERP will allow resources currently spent on duplicative methods of managing financial data to be redirected to strengthening general administrative functions. The Museum will make significant progress toward developing a technical infrastructure that will support new technologies, such as hand-held personal computers, in order to allow innovative presentations in the renovated POB. FY 2004 will be a critical time period for the Museum to continue to work effectively with all involved parties to ensure that the POB renovation remains on schedule, the Museum's needs in the building are effectively addressed, and SAAM's plans for shared spaces are compatible with NPG's. The Museums will also be involved in planning a nationwide media campaign to herald the reopening of the Museum and to increase visitation at the reopened facility.

SAAM and NPG jointly share management and resources of the Office of Facilities Management (OFM). With the exception of one goal specific to SAAM's share of OFM resources, annual performance goals for OFM's resources, including SAAM's portion of those resources, are included under NPG.

STRATEGIC GOALS AND FY 2004 ANNUAL PERFORMANCE PLAN

Public Impact

Offer compelling, first-class exhibitions (19 FTEs and \$1,547,000)

- Increase visitation at the Renwick Gallery through a program of compelling exhibits and public programs
- Complete development of overall conceptual organization for all galleries in renovated POB, and produce scale models of selected ones

Expand a national outreach effort (11 FTEs and \$857,000)

- Continue circulating the *George Catlin, Calico and Chintz*, and the *Highlights* (4 shows) exhibitions to a total of 20 U.S. venues in 2004

Increase access of Smithsonian audiences to high-quality education resources (13 FTEs and \$1,009,000)

- Publish 3 issues of the journal *American Art*
- As part of newly developed National Education Program, implement pilot program to make professional education opportunities and learning materials accessible to teachers and educators in all 50 states and D.C.
- Implement a promotional campaign targeted to educators, museum and library professionals, and the general public in order to extend the reach of *Ask Joan of Art*

Build, refine, care for, and manage the national collections (16 FTEs and \$1,264,000)

- Continue enhancing the Museum's collection of approximately 39,000 objects through accession of key acquisitions
- Photo-digitize an additional 20% of objects in the collection
- Define object, information, and imagery content for the Luce Center at POB by developing a schedule for photographing approximately 5,000 objects

Have a world-class Web presence (3 FTEs and \$262,000)

- Evaluate online visitor comments and usage data and make improvements as indicated in the newly redesigned website

Have the highest quality, state-of-the-art visitors' services (1 FTE and \$69,000)

- Develop prototype interactive way-finding system for public spaces in the renovated POB

Management Excellence

Strengthen a stakeholder-focused performance orientation (6 FTEs and \$416,000)

- Provide effective administrative/financial support to all SAAM programs through efficient processes, good internal controls, and high standards of customer service

Bring financial management systems and functions up to date (1 FTE and \$44,000)

- Successfully implement Phase II of the new Smithsonian financial system, ensuring that Museum processes are adjusted accordingly and SAAM staff receive appropriate training

Bring information technology systems and functions up to date (3 FTEs and \$286,000)

- Research and develop assets for hand-held self-guides for public spaces in the newly renovated POB

- Continue to improve information technology applications at the Museum

Enhance relations with the press, mass media, and federal, state, and local governments (5 FTEs and \$407,000)

- Continue/complete marketing plan for the Renwick Gallery
- Plan a national media campaign to promote the grand reopening of POB in 2006

Execute an aggressive, long-range facilities maintenance and revitalization program (33 FTEs and \$2,340,000)

- Develop compatible plans for functions of shared POB spaces in collaboration with NPG
- Develop a plan for preparation of SAAM's gallery spaces that is effectively coordinated with POB construction phases

Ensure optimal safety and protection of collections, visitors, staff, and volunteers (1 FTE and \$86,000)

- Sustain a full service safety and occupational health program at the FY 2001 level or better (Office of Facilities Management)

FUNCTIONAL DETAIL OF FY 2004 REQUEST

The following table provides detail of the programs and functions to be conducted by SAAM in FY 2004:

SMITHSONIAN AMERICAN ART MUSEUM

Detail of Base Resources By Function

	FY 2002		FY 2003		FY 2004	
	FTEs	\$ (000's)	FTEs	\$ (000's)	FTEs	\$ (000's)
Exhibitions						
General Exhibits	21	1,561	21	1,590	21	1,598
IT/Electronic Exhibitions	2	124	2	128	2	128
Subtotal, Exhibitions	23	1,685	23	1,718	23	1,726
Education						
General Education	18	1,185	18	1,417	18	1,401
Internships (staff costs only)	1	72	1	73	1	74
Ask Joan of Art (staff costs only)	1	81	1	97	1	97
Distance Learning (staff costs only)	3	202	3	206	3	207
Save Outdoor Sculpture!	-	150	-	-	-	-
IT/Electronic Outreach (staff costs only)	2	125	2	128	2	128
Subtotal, Education	25	1,815	25	1,921	25	1,907
Collections						
General Collections (Registration, Curatorial)	30	2,050	29	2,060	29	2,068
The Museum System	2	121	2	124	2	125
Collections Acquisitions	-	185	-	185	-	185
Subtotal, Collections	32	2,356	31	2,369	31	2,378
Research						
Total Research	3	312	3	324	3	324
Subtotal, Research	3	312	3	324	3	324
Facilities						
Facilities Maintenance, AA/PG Office of Facilities Management	14	710	14	735	14	735
Subtotal, Facilities	14	710	14	735	14	735
Security						
Safety, AA/PG Office of Facilities Management	1	43	1	45	1	45
Subtotal, Security	1	43	1	45	1	45
Information Technology	5	384	5	419	5	413
Finance/General Administration						
Finance and Administration	9	718	10	796	10	799
Subtotal, Finance/General Administration	9	718	10	796	10	799
Subtotal, Functional Categories	112	8,023	112	8,327	112	8,327
Necessary Pay	-	-	-	-	-	260
GRAND TOTAL	112	8,023	112	8,327	112	8,587

ARTHUR M. SACKLER GALLERY/FREER GALLERY OF ART

	APPLICATION OF OPERATING RESOURCES							
	FEDERAL APPROPRIATIONS		GENERAL TRUST		DONOR/SPONSOR DESIGNATED		GOV'T GRANTS & CONTRACTS	
	FTE	\$000	FTE	\$000	FTE	\$000	FTE	\$000
FY 2002 ESTIMATE	71	5,961	0	442	54	7,638	0	0
FY 2003 ESTIMATE	71	6,168	0	300	56	7,526	0	0
FY 2004 ESTIMATE	71	6,353	0	300	56	7,526	0	0

STRATEGIC GOALS: PUBLIC IMPACT; FOCUSED, FIRST-CLASS SCIENCE; AND MANAGEMENT EXCELLENCE

Federal Resource Summary by Performance Objective

Performance Objective	FY 2003		FY 2004		Change	
	FTE	\$000	FTE	\$000	FTE	\$000
Public Impact:						
Offer compelling, first-class exhibitions	17	1,291	17	1,329	0	38
Expand a national outreach effort	8	679	7	676	(1)	(3)
Maintain the high caliber of scholarly research and communicate the results	11	1,108	11	1,142	0	34
Increase the access of Smithsonian audiences to high-quality education resources	7	528	6	471	(1)	(57)
Build, refine, care for, and manage the national collections	1	121	1	124	0	3
Have a world-class Web presence	2	237	2	231	0	(6)
Have the highest quality, state-of-the-art visitors' services	1	83	2	110	1	27
Focused, First-Class Science:						
Determine the areas of scientific research in which the Smithsonian excels and focus the Institution's resources	6	672	7	774	1	102
Management Excellence:						
Bring financial management systems and functions up to date	5	595	5	613	0	18
Bring information technology systems and functions up to date	4	336	4	349	0	13
Execute an aggressive, long-range facilities maintenance and revitalization program	9	518	9	534	0	16
Total	71	6,168	71	6,353	0	185

BACKGROUND AND CONTEXT

The Freer Gallery of Art and the Arthur M. Sackler Gallery (FSG) celebrate the artistic traditions of Asia. The museums collect, study, exhibit, and preserve exemplary works of Asian art as well as works by Whistler and other American artists represented in Charles Freer's original gift. The combined resources of the museums are directed toward programs that advance understanding of the arts of Asia and of the museum collections.

To achieve the goal of Public Impact, FSG will enhance its selection of exhibitions and complementary public programs to engage a broader segment of Smithsonian visitors, as well as expand the number and range of exhibitions and objects offered to other museum sites across the nation and internationally. Associated with these activities will be a continued emphasis on exhibition-related scholarly research and an increased Web presence. To meet the goal of Focused, First-Class Scientific Research, FSG will devote resources to maintaining the outstanding conservation programs currently in place for the analysis, study, and conservation of Asian art and objects. To support the goal of Management Excellence, FSG will actively participate in programs designed to improve the Institution's management and financial systems, and continue to evaluate and modernize its internal organization and systems to provide a high level of service to visitors and other customers.

MEANS AND STRATEGY

To achieve the goal of Public Impact, the exhibition program will be expanded to bring more noted loan exhibitions to the museums. Significant exhibitions anticipated for FY 2004 include: *Return of the Buddha*, an exhibition of sculptures excavated from Eastern China, and *Himalayas*, a show organized by the Art Institute of Chicago with a focus on Tibetan art. Accompanying each exhibition will be family-friendly educational programming that will enhance the museum experience. To expand national outreach efforts, FSG is also planning an enhanced program of exhibition loans to other institutions. For example, a large collection of the Sackler's Chinese jades will travel to approximately a dozen venues as part of the SITES exhibition, *Magic, Myths, and Minerals*.

High caliber research will continue to enhance major exhibitions through publications, educational programs, and lectures. In FY 2004, curators and researchers will be studying and publishing new research around the Singer gift to the Sackler, a magnificent collection of ancient Chinese jades, and the Freer's incomparable collection of Biblical

manuscripts. To provide greater access to high-quality educational resources, the museums will be looking more carefully at state-mandated educational programming to ensure that FSG's programs are curriculum-based. In addition, more effort will be devoted to placing educational resources on the FSG website, to make it the premier online resource for information on the arts of Asia in the country.

In the area of collections management, FSG plans to offer at least one symposium for serious art collectors during FY 2004. At this symposium, curators will offer their expertise in analyzing the nature and provenance of collectors' objects and will hopefully open doors for future donations to enhance the museums' collections.

Improvements in visitor services are expected during FY 2004, primarily as a result of additional surveys and improved signage and wayfinding. FSG expects to survey visitors to determine their interest in the use of increased technology in exhibitions as well as in the use of hand-held self-tour electronic guides. FSG will continue to focus on making its collections accessible to the public at large through its website. The focus of the current website will be redirected to expand the number of objects available for viewing and research by a national and international audience.

In the area of Focused, First-Class Research, FSG will continue to devote resources to its internationally renowned conservation department and laboratory. Research work in the study and conservation of the materials of Asian art will help guarantee that objects from FSG's collections and many other museums remain accessible to future generations. The staff of this department is very active internationally in symposia, lectures, and publications, as well as in the support and mentoring of numerous fellows and scholars.

To achieve the goal of Management Excellence, FSG expects to play a continuing leadership role in developing sophisticated collection management systems. In addition, as the new Institution-wide financial and human resource systems are implemented, it is anticipated that they will result in improved administrative efficiencies and reporting mechanisms within FSG.

STRATEGIC GOALS AND FY 2004 ANNUAL PERFORMANCE GOALS

Public Impact

Offer compelling, first-class exhibitions (17 FTEs and \$1,329,000)

- Mount at least two exhibitions that attract increased visitation over the same time period in FY 2003

- Ensure that each major exhibition presented is accompanied by family-friendly educational programming
- Complete space alteration study and plans to devote additional space to Sackler exhibitions

Expand a national outreach effort (7 FTEs and \$676,000)

- Place FSG objects in at least two non-FSG exhibitions at other institutions in FY 2004
- Develop one new curriculum based on state-mandated guidelines and distribute to schools by the end of FY 2004

Maintain the high caliber of scholarly research and communicate the results (11 FTEs and \$1,142,000)

- Use FSG scholarly research to enhance at least 50% of the FY 2004 exhibitions through publications, educational programs, or lectures
- Increase the number of published books and articles authored by professional staff by 10% over FY 2003

Increase the access of Smithsonian audiences to high-quality educational resources (6 FTEs and \$471,000)

- Increase the number of attendees at family programs by 10% over FY 2003
- Develop at least 2 self-guided tours for the permanent collection by the end of FY 2004

Build, refine, care for, and manage the national collections (1 FTE and \$124,000)

- Organize one symposium for serious art collectors

Have a world-class Web presence (2 FTEs and \$231,000)

- Increase by 10% the number of website visitors
- Increase by 30% the number of FSG objects available on the web site over FY 2003

Have the highest quality state-of-the-art visitors' services (2 FTEs and \$110,000)

- Use the FY 2003 visitor survey results to implement at least two recommended improvements in visitor services
- Complete a plan to retrofit the Sackler pavilion to include potential café service

Focused, First-Class Science

Determine areas of scientific research in which the Smithsonian excels and focus the Institution's resources (7 FTEs and \$774,000)

- Initiate at least one new fellowship or scholarly award in FY 2004
- Increase the number of published books and articles authored by conservation staff over the number published in FY 2003
- Complete conservation on at least 100 FSG objects

Management excellence

Bring financial management systems and functions up to date (5 FTEs and \$613,000)

- Use the new PeopleSoft modules to improve monthly tracking of budget vs. actual and to enhance management reports for senior staff and Board members.
- Reduce by 10% the number of purchase orders generated through purchase card improvements and consolidation of orders

Bring information technology systems and functions up to date (4 FTEs and \$349,000)

- Install the latest software for The Museum System (TMS) within 90 days of release and train staff within 60 days thereafter
- Complete all Institution-wide system upgrades within authorized time frame

Execute an aggressive, long-range facilities maintenance and revitalization program (9 FTEs and \$534,000)

- Identify and isolate 100% of leaks within 8 hours
- In conjunction with OFEO, improve timeliness of general facility and mechanical repairs by 20% over FY 2003
- Replace fire alarm system in the Sackler during first half of FY 2004

Functional Detail of FY 2004 Request

The following table provides detail of the programs and functions to be conducted by the Freer Gallery of Art/Arthur M. Sackler Gallery in FY 2004:

ARTHUR M. SACKLER GALLERY AND FREER GALLERY OF ART

Detail of Base Resources By Function

	FY 2002		FY 2003		FY 2004	
	FTEs	\$ (000's)	FTEs	\$ (000's)	FTEs	\$ (000's)
Exhibitions						
Exhibitions	18	1,333	18	1,411	18	1,411
Publications	3	266	4	310	4	286
Subtotal, Exhibitions	21	1,599	22	1,721	22	1,697
Education						
Internal to Unit	5	341	5	363	5	363
Publications	1	133	1	155	1	155
Curatorial Activities	2	239	2	240	2	240
Photographic Services	-	20	-	20	-	20
Public Affairs and Marketing	3	246	4	332	4	356
Subtotal, Education	11	979	12	1,110	12	1,134
Collections						
Collections Management	5	403	5	363	4	303
Conservation	5	568	4	536	5	616
Photographic Services	-	10	-	10	-	10
Collections Documentation	2	222	2	221	2	221
Archives	1	103	1	106	1	106
The Museum System	2	135	1	121	1	121
Subtotal, Collections	15	1,441	13	1,357	13	1,377
Research						
Conservation Scientific Research	2	130	2	136	2	136
Curatorial Research	4	342	5	376	5	376
Subtotal, Research	6	472	7	512	7	512
Facilities	10	553	9	518	9	518
Information Technology	3	346	3	355	3	335
Finance/General Administration						
Finance	3	321	3	332	3	332
Human Resources	1	59	1	64	1	64
General Administration	1	191	1	199	1	199
Subtotal, Finance/General Administration	5	571	5	595	5	595
Subtotal, Functional Categories	71	5,961	71	6,168	71	6,168
Necessary Pay	-	-	-	-	-	185
GRAND TOTAL	71	5,961	71	6,168	71	6,353

COOPER-HEWITT, NATIONAL DESIGN MUSEUM

	APPLICATION OF OPERATING RESOURCES							
	FEDERAL APPROPRIATIONS		GENERAL TRUST		DONOR/SPONSOR DESIGNATED		GOV'T GRANTS & CONTRACTS	
	FTE	\$000	FTE	\$000	FTE	\$000	FTE	\$000
FY 2002 ESTIMATE	40	2,942	29	2,918	10	3,468	0	0
FY 2003 ESTIMATE	40	3,050	26	2,486	10	3,275	0	0
FY 2004 ESTIMATE	40	3,139	25	2,317	10	3,289	0	0

STRATEGIC GOALS: PUBLIC IMPACT AND MANAGEMENT EXCELLENCE

Federal Resource Summary by Performance Objective

Performance Objective	FY 2003		FY 2004		Change	
	FTE	\$000	FTE	\$000	FTE	\$000
Public Impact:						
Offer compelling, first-class exhibitions	8	495	8	510	0	15
Expand a national outreach effort	2	144	2	149	0	5
Maintain the high caliber of scholarly research and communicate the results	6	556	6	572	0	16
Increase the access of Smithsonian audiences to high-quality education resources	5	310	5	319	0	9
Management Excellence:						
Bring financial management systems and functions up to date.	5	295	5	304	0	9
Bring information technology systems and functions up to date	1	94	1	98	0	4
Execute an aggressive long-range facilities maintenance and revitalization program	13	1,156	13	1,187	0	31
Total	40	3,050	40	3,139	0	89

BACKGROUND AND CONTEXT

The Cooper-Hewitt, National Design Museum (CHM) explores and investigates the impact of design on daily life—from 500 BC textile designs to 21st-century architecture. The Museum is interested in all aspects of design, including urban planning, architecture, industrial design, landscaped design, interior design, textiles, advertising, and graphic arts.

As the only museum in America devoted exclusively to historical and contemporary design, CHM pursues its mission through award-winning exhibitions, publications, and educational programs for design professionals, the public, and school children. To achieve the Institution's goal of Public Impact, the Museum will continue its tradition of offering high-caliber exhibitions, as well as expanding the number of objects and museum programs offered in venues outside the New York metropolitan area. In conjunction with these activities will be a continued emphasis on high-quality educational programs and exhibition-related scholarly research. To meet the goal of Management Excellence, CHM will devote resources to upgrade and improve the efficiency of some of its services to visitors.

MEANS AND STRATEGY

To achieve the goal of Public Impact, Cooper-Hewitt will concentrate its resources on maintaining an exhibition program that features a mixture of important designers, design concepts, and popular culture. This mixture is particularly popular with New York audiences and emphasizes the Museum's unique place in the international museum community. During FY 2004, CHM will stage one major design retrospective, *Christopher Dresser*, and one exhibition involving popular culture, *Television and the Home*. The *Dresser* exhibition will acknowledge the work of the world's first industrial designer in the year of his centenary and is expected to make a significant scholarly contribution to the design field. This exhibition is also expected to be of popular interest in New York City where design considerations for the site of the World Trade Center have heightened the dialogue regarding designed environments. The television exhibition will analyze the influence of domestic interiors shown on television on domestic design in the U.S.

As part of its national outreach effort, Cooper-Hewitt plans to expand its City of Neighborhoods program to five venues outside the New York City area in FY 2004. This innovative program brings architects, educators, and planners together to extend the classroom into the community and apply design education to a neighborhood concept, enabling teachers to take this model back to the classroom for development of similar programs for K-12 students. The program's goal is to use design to promote community awareness and to involve young people in positive community change. The Museum also will offer an expanded Summer Design Institute program on the West Coast as well as in New York City. This program is also geared to K-12 and design educators, and draws a steadily increasing national audience each year. Outreach will be further enhanced by a continued effort to lend major works to other venues within the United States.

Resources will continue to support exhibition-related scholarly research. The Museum anticipates that important new research will be published in conjunction with each major exhibition presented in FY 2004. Catalogues are anticipated for both the *Dresser* and the *Television and the Home* exhibitions, but are dependent on publication funding.

Cooper-Hewitt hopes to make its educational opportunities available to a broader audience in FY 2004 through greater use of technology. In particular, the Museum plans to devote resources for increasing the accessibility of CHM education programs through video and the Internet. This will include components of the City of Neighborhoods program and the Summer Design Institute program, which educators can then adapt to their classrooms.

To achieve the goal of Management Excellence, Cooper-Hewitt anticipates a significant number of financial reporting and budgeting improvements in FY 2004 as the new Institution-wide financial and human resource systems are implemented. It is anticipated that these improvements will result in improved administrative efficiencies within CHM. In addition, improved technological capabilities will allow the Museum to upgrade some internal systems, such as telephones and online ticketing for public education programs.

STRATEGIC GOALS AND FY 2004 ANNUAL PERFORMANCE GOALS

Public Impact

Offer compelling, first-class exhibitions (8 FTEs and \$510,000)

- Mount one major design retrospective
- Mount one exhibition involving popular culture

Expand a national outreach effort (2 FTEs and \$149,000)

- Lend 50 major works to other venues within the U.S.
- Expand City of Neighborhoods program outside the NYC area to include five new venues in FY 2004
- Expand Summer Design Institute program to the West Coast

Maintain the high caliber of scholarly research and communicate the results (6 FTE and \$572,000)

- Publish research catalogues for each of the two major exhibitions presented in FY 2004

Increase the access of Smithsonian audiences to high-quality education resources (5 FTEs and \$319,000)

- Add two new education program components to the Cooper-Hewitt website: City of Neighborhoods and Summer Design Institute

Management Excellence

Bring financial management systems and functions up to date (5 FTEs and \$304,000)

- Implement new goals and standards for financial reporting using the new PeopleSoft system
- Present year-end financial information to the Board and senior management within 6 weeks of fiscal year closure

Bring information technology systems and functions up to date (1 FTE and \$98,000)

- Upgrade telephone systems to meet Institution-wide objectives
- Implement online ticketing for public education programs

Execute an aggressive long-range facilities maintenance and revitalization program (13 FTEs and \$1,187,000)

- Improve public access by opening the 90th Street Entrance

FUNCTIONAL DETAIL OF FY 2004 REQUEST

The following table provides detail of the programs and functions to be conducted by the Cooper-Hewitt, National Design Museum in FY 2004:

COOPER-HEWITT, NATIONAL DESIGN MUSEUM

Detail of Base Resources By Function

	FY 2002		FY 2003		FY 2004	
	FTEs	\$ (000's)	FTEs	\$ (000's)	FTEs	\$ (000's)
Exhibitions						
Glass of the avant-garde	1	50	-	-	-	-
Russel Wright: Creating American Lifestyle	2	133	-	-	-	-
What is Design	-	50	-	-	-	-
SKIN: Surface, Substance and Design	2	142	-	-	-	-
New Hotels for Global Nomads	-	15	2	150	-	-
Collection Gallery	-	10	-	50	-	-
National Design Triennial	-	-	2	167	-	-
Collection Gallery	-	-	1	50	-	15
Cutlery	-	-	-	-	1	83
TBD 2nd Floor	-	-	-	-	1	84
TBD 2nd Floor	-	-	-	-	2	175
Collection Gallery - Stewart	-	-	-	-	1	60
Subtotal, Exhibitions	5	400	5	417	5	417
Education						
Adult Programs	2	124	2	130	2	130
School / Youth Programs	1	67	2	70	2	70
Public Impact	2	110	1	115	1	115
Subtotal, Education	5	301	5	315	5	315
Collections						
Curatorial	2	134	2	118	2	118
Collection Management	5	373	5	362	5	362
Conservation	2	166	2	174	2	174
Collection Information	1	67	1	70	1	70
Subtotal, Collections	10	740	10	724	10	724
Research						
Collections	1	29	1	31	1	31
Exhibitions	-	29	-	31	-	31
Subtotal, Research	1	58	1	62	1	62
Facilities	13	923	13	956	13	956
Information Technology	1	139	1	141	1	141
Finance/General Administration						
Finance	3	205	3	214	3	214
Human Resources	1	71	1	74	1	74
Public Affairs	1	14	1	56	1	56
Office Supplies	-	91	-	91	-	91
Subtotal, Finance/General Administration	5	381	5	435	5	435
Subtotal, Functional Categories	40	2,942	40	3,050	40	3,050
Necessary Pay	-	-	-	-	-	89
GRAND TOTAL	40	2,942	40	3,050	40	3,139

HIRSHHORN MUSEUM AND SCULPTURE GARDEN

	APPLICATION OF OPERATING RESOURCES							
	FEDERAL APPROPRIATIONS		GENERAL TRUST		DONOR/SPONSOR DESIGNATED		GOV'T GRANTS & CONTRACTS	
	FTE	\$000	FTE	\$000	FTE	\$000	FTE	\$000
FY 2002 ESTIMATE	65	4,575	1	1,255	0	3,721	0	0
FY 2003 ESTIMATE	65	4,724	1	529	0	2,253	0	0
FY 2004 ESTIMATE	65	4,862	1	839	0	2,455	0	0

STRATEGIC GOALS: PUBLIC IMPACT, MANAGEMENT EXCELLENCE, AND FINANCIAL STRENGTH

Federal Resource Summary by Performance Objective

Performance Objective	FY 2003		FY 2004		Change	
	FTE	\$000	FTE	\$000	FTE	\$000
Public Impact:						
Offer compelling, first-class exhibitions	19	1,559	19	1,590	0	31
Maintain the high caliber of scholarly research and communicate the results	10	723	10	737	0	14
Increase the access of Smithsonian audiences to high-quality education resources	7	503	7	523	0	20
Build, refine, care for, and manage the national collections	3	358	3	365	0	7
Have a world-class Web page	0	0	0	23	0	23
Management Excellence:						
Strengthen a stakeholder-focused performance orientation	6	619	6	631	0	12
Bring information technology systems and functions up to date	1	106	1	115	0	9
Enhance relations with the press, mass media, and federal, state, and local governments	2	147	2	155	0	8
Ensure optimal safety and protection of facilities, collections, visitors, staff, and volunteers	17	709	17	723	0	14
Total	65	4,724	65	4,862	0	138

BACKGROUND AND CONTEXT

The mission of the Hirshhorn Museum and Sculpture Garden (HMSG) is to collect, preserve, and exhibit the art and artists of our time; to develop educational materials and conduct programs to increase the public's understanding of, and involvement in, the development of modern and contemporary art; and to conduct and disseminate new research in the study of modern and contemporary art.

To achieve the Institution's goal of Public Impact, HMSG is focusing a substantial portion of its resources on producing a compelling exhibition program based on modern and contemporary art, as well as providing national outreach through its webpage, catalogues, and traveling exhibitions. Associated with these activities is a continued emphasis on the development of educational materials and exhibition-related scholarly research. To support the goal of Management Excellence, HMSG will use the implementation of Institution-wide management and financial systems to more effectively manage resources within the Museum.

Means and Strategy

To achieve the goal of Public Impact, HMSG is directing its resources to activities that will enhance public access to its collections. Activities will include exhibitions both at HMSG and on tour, loans to other institutions, publications based on scholarly research, educational resources based on the collections, and an increased Web presence. Significant exhibitions during FY 2004 will include a major installation of the Hirshhorn's permanent collection including many acquisitions from the last five years, and exhibitions of Scottish artist Douglas Gordon and large-scale paintings by German artist Anselm Kiefer. These exhibitions, along with the *Directions* series of solo exhibitions, will provide a wide range of experiences for repeat and first-time visitors alike.

To expand a national outreach effort, the Hirshhorn will open a retrospective of the work of Cuban-born artist Ana Mendieta at The Whitney Museum of American Art in New York City. This traveling exhibition will be shown at the Hirshhorn in FY 2005 and at one or more other venues. The Museum will also continue its active loan program to other institutions, allowing visitors in other cities and countries the opportunity to see portions of the Hirshhorn collection.

Resources will continue to be devoted to scholarly research for the Ana Mendieta exhibition, as well as a number of planned exhibitions in FY 2005 such as *Visual Music* and the *Collection in Context* series.

Development of catalogues and other publications will enhance the Museum's exhibitions and public programs, serving as permanent documentation of the scholarly research performed. During FY 2004, numerous lectures and presentations, including juried art shows, will target professional audiences.

HMSG will make its educational resources available to a larger number of schools and institutions of higher learning in FY 2004 through its new Education Center. The Center will provide flexible space to accommodate up to 50 participants in workshops, small lectures, and training sessions, including school groups who will have a special area to learn about the Museum's collections and create projects of their own. Staff will also continue to develop educational resources, including teaching materials and interactive activities that will be available on site and via the Web.

With regard to the HMSG collections, additions to and refinement of database-stored information and digitization of images will expand the amount of information available to the public via the website. New acquisitions, with an emphasis on works by contemporary artists, will be added to the collection with the support of trust funds restricted for this purpose.

To achieve the goal of Management Excellence, HMSG will continue to explore ways of streamlining management functions in FY 2004, including using the new Institution-wide financial and human resources system to manage financial resources in a more efficient manner. The anticipated completion of a space study by the end of FY 2003 will enable the Museum to develop a comprehensive long range plan to accommodate future public and office needs. The Museum will also continue to devote staff resources to support the Institution's program to replace and upgrade computer workstations on a three-year cycle. It is imperative that the Museum maintain its equipment, as staff are increasingly reliant on information technology tools. An internal reorganization in FY 2002 resulted in a closer link between the Hirshhorn's development, communications, marketing, and public relations functions. Resources will be devoted to exploration of new media markets to help increase the information available about modern and contemporary art.

STRATEGIC GOALS AND FY 2004 ANNUAL PERFORMANCE GOALS

Public Impact

Offer compelling, first-class exhibitions (19 FTEs and \$1,590,000)

- Increase number of visitors by 5% over the FY 2003 level
- Mount two major exhibitions including at least one originated by the Hirshhorn

Maintain the high caliber of scholarly research and communicate the results (10 FTEs and \$737,000)

- Increase by 5% over FY 2003 levels the number of references to HMSG research and programs appearing in popular journals, press, TV, radio, textbooks, and other venues
- Maintain the FY 2003 level of professional and public lectures and presentations, including juried art shows, by HMSG scholars

Increase the access of Smithsonian audiences to high-quality education resources (7 FTEs and \$523,000)

- Increase by 5% over FY 2003 levels the number of schools and institutions of higher education that include HMSG education resources in their curricula

Build, refine, care for, and manage the national collections (3 FTEs and \$365,000)

- Increase the number of collection objects available online by 10% over FY 2003 level

Have a world-class Web presence (0 FTEs and \$23,000)

- Increase the number of collections objects accessible by the public online by 5% over the FY 2003 level
- Increase the number of website visitor sessions by 10% and the duration of visits by 5% over FY 2003 levels

Management Excellence

Strengthen a stakeholder-focused performance orientation (6 FTEs and \$631,000)

- Implement controlled spending plans for 100% of all fund sources

Bring information technology systems and functions up to date (1 FTE and \$115,000)

- Complete all Institution-wide system upgrades within authorized time frame

Enhance relations with the press, mass media, and federal, state, and local governments (2 FTEs and \$155,000)

- Increase positive clippings by 10% over the FY 2003 level
- Maintain 100% same-day response rate to media requests for information

Ensure optimal safety and protection of facilities, collections, visitors, staff, and volunteers (17 FTEs and \$723,000)

- 20% of staff receives safety, fire, health, and/or environmental management training
- Annual Management Evaluation and Technical Review (METR) does not repeat findings from the previous year in the same location and the findings continue to be minor and minimal (e.g. under five)

FUNCTIONAL DETAIL OF FY 2004 REQUEST

The following table provides detail of the programs and functions to be conducted by the Hirshhorn Museum and Sculpture Garden in FY 2004:

HIRSHHORN MUSEUM AND SCULPTURE GARDEN

Detail of Base Resources By Function

	FY 2002		FY 2003		FY 2004	
	FTEs	\$ (000's)	FTEs	\$ (000's)	FTEs	\$ (000's)
Exhibitions						
Administration	-	28	-	20	-	20
Curatorial	4	431	4	503	4	503
Publications	1	43	1	50	1	50
Exhibits & Design	8	532	11	704	11	704
Registrar	3	236	3	282	3	282
Building Management	2	137	-	-	-	-
Information Technology	-	7	-	-	-	-
Subtotal, Exhibitions	18	1,414	19	1,559	19	1,559
Education						
Education	6	450	6	428	6	428
Conservation	-	-	-	3	-	3
Exhibits & Design	-	2	-	1	-	1
Public Affairs	2	143	2	147	2	147
Publications	1	68	1	71	1	71
Subtotal, Education	9	663	9	650	9	650
Collections						
Conservation	4	330	4	330	4	330
Curatorial	4	279	4	280	4	280
Photo Services	2	124	2	113	2	113
Registrar	2	235	2	276	2	276
Art Collection Information System/TMS	1	59	1	82	1	82
Subtotal, Collections	13	1,027	13	1,081	13	1,081
Facilities						
Building Management	17	705	16	631	16	631
Subtotal, Facilities	17	705	16	631	16	631
Security						
Safety	1	77	1	78	1	78
Subtotal, Security	1	77	1	78	1	78
Information Technology						
Photo Services	1	74	1	82	1	82
Subtotal, Information Technology	1	74	1	82	1	82
Finance/General Administration						
Finance	5	497	5	500	5	500
Director's Office	1	100	1	119	1	119
Curatorial	-	2	-	-	-	-
Exhibits & Design	-	2	-	2	-	2
Building Management	-	9	-	10	-	10
Security	-	1	-	-	-	-
Information Technology	-	4	-	12	-	12
Subtotal, Finance/General Administration	6	615	6	643	6	643
Subtotal, Functional Categories	65	4,575	65	4,724	65	4,724
Necessary Pay	-	-	-	-	-	138
GRAND TOTAL	65	4,575	65	4,724	65	4,862

NATIONAL MUSEUM OF AFRICAN ART

	APPLICATION OF OPERATING RESOURCES							
	FEDERAL APPROPRIATIONS		GENERAL TRUST		DONOR/SPONSOR DESIGNATED		GOV'T GRANTS & CONTRACTS	
	FTE	\$000	FTE	\$000	FTE	\$000	FTE	\$000
FY 2002 ESTIMATE	48	4,334	1	456	0	446	0	0
FY 2003 ESTIMATE	48	4,464	1	319	0	385	0	0
FY 2004 ESTIMATE	48	4,584	1	320	0	450	0	0

STRATEGIC GOALS: PUBLIC IMPACT AND MANAGEMENT EXCELLENCE

Federal Resource Summary by Performance Objective

Performance Objective	FY 2003		FY 2004		Change	
	FTE	\$000	FTE	\$000	FTE	\$000
Public Impact						
Offer compelling, first-class exhibitions	23	2,110	23	2,166	0	56
Expand a national outreach effort	3	222	3	228	0	6
Maintain the high calibre of scholarly research and communicate the results	5	367	5	377	0	10
Build, refine, care for, and manage the national collections	6	602	6	618	0	16
Have a world-class Web presence	2	167	2	172	0	5
Management Excellence						
Strengthen a stakeholder-focused performance orientation	5	587	5	604	0	17
Bring financial management systems and functions up to date	1	67	1	69	0	2
Bring information technology systems and functions up to date	1	144	1	147	0	3
Enhance relations with the press, mass media, and federal, state, and local governments	1	87	1	89	0	2
Ensure optimal safety and protection of facilities, collections, visitors, staff, and volunteers	1	111	1	114	0	3
Total	48	4,464	48	4,584	0	120

BACKGROUND AND CONTEXT

The mission of the National Museum of African Art (NMAfA) is to foster and sustain, through exhibitions, collections, research, and public programs, an interest in and understanding of the diverse cultures in Africa as embodied in aesthetic achievements in the visual arts. The Museum

accepts into its collections and exhibitions the arts of all African areas including the ancient and contemporary arts of the entire continent. Museum-sponsored research, publications, and educational programs reflect and are in consonance with the Museum's collection, research, and exhibition goals.

To achieve the goal of Public Impact, NMAfA is focusing a portion of its resources on three major exhibition projects. Associated with these three projects will be exhibition-related publications, public programming, and an increased Web presence. To meet the goal of Management Excellence, NMAfA will continue to dedicate resources to developing stronger media ties and ensuring that appropriate safety and protection measures are in place.

MEANS AND STRATEGY

To achieve the goal of Public Impact, NMAfA is concentrating on activities that will result in increased visitation to both the Mall Museum and its website. A significant focus in FY 2004 will be the development of three new exhibitions: *Inscribing Meaning: African Arts of Communication*, which highlights 100 objects from NMAfA's collections; *All That Glitters: The Splendor of African Jewelry*, which showcases the art of jewelry on the African continent from ancient to modern times; and *El Anatsui*, which is a retrospective exhibition of some 60 works of this artist. Each of these exhibitions will present compelling aspects of traditional and contemporary works from a unique perspective. Through exhibition-related public programming and the use of interactive components within the exhibitions, NMAfA will attempt to engage visitors of varied backgrounds, learning styles, and levels of knowledge about African art. *All That Glitters*, in particular, is anticipated to have broad appeal among a cross-section of Americans due to the universal theme of jewelry as ornamentation.

To expand a national outreach effort, each of these exhibitions will travel to other venues so that audiences outside the Washington metropolitan area may share the experience. Audience outreach will be further enhanced with publication of three exhibition-related catalogues.

Resources will continue to be devoted to scholarly research, the backbone that supports many of the Museum's activities. Development of exhibitions and catalogues, as well as studying and caring for collections, requires significant collaborative efforts among the NMAfA curatorial staff and with other institutions. In FY 2004, numerous lectures and papers derived from scholarly research will target professional audiences.

NMAfA continues to strengthen its collection through purchase, gift, and bequest. Current emphasis is on the acquisition of a greater variety of traditional and contemporary objects and more diverse geographic representation of the African aesthetic traditions. With continued documentation of the collection in The Museum System, NMAfA anticipates that 2,350 collection objects will be fully catalogued by the end of FY 2004. The collection is housed and cared for in a modern facility by highly trained conservation and collections management staff.

The Museum will devote significant resources to making its collection, including the photographic archives, accessible to the public at large through its website. During FY 2004, the Museum anticipates that an additional 2,500 records and images will be made available through the Web, thus allowing visitors from around the world to experience the Museum's exhibitions and collections while gaining a greater insight into the history and aesthetics of African art.

To meet goals under Management Excellence, NMAfA will ensure that its newly implemented strategic plan will govern all facets of the Museum's programs and activities. The administrative and technology staffs are actively engaged in the upgrade of the Institution's major management systems for finance, human resources, and information technology. In addition, the Museum will take proactive steps to enhance relations with the media. Planned activities include involving the media in major special events and exhibition openings, and co-hosting special programs with local government and other appropriate organizations. Implementation of the Museum's disaster preparedness plan will ensure that collections, visitors, staff, and volunteers are safe and protected.

STRATEGIC GOALS AND FY 2004 ANNUAL PERFORMANCE GOALS

Public Impact

Offer compelling, first-class exhibitions (23 FTEs and \$2,166,000)

- Generate and present three high-profile exhibitions with popular appeal broadening the range of audiences visiting the Museum
- Create at least one exhibition that explores new directions or interpretations of African art and makes an original contribution to the study of African art
- Develop and present engaging exhibition-related public programming that results in a 15% increase in program attendance over FY 2003
- Include at least two interactive components in each exhibition, with visitor survey showing that 65% of respondents agreed that interactive components enhanced their museum experience

Expand a national outreach effort (3 FTEs and \$228,000)

- Circulate three traveling exhibitions
- Work with at least four Smithsonian Affiliates to implement loans for exhibitions
- Publish three exhibition-related publications

Maintain the high caliber of scholarly research and communicate the results (5 FTEs and \$377,000)

- Produce at least one exhibition or program resulting from collaboration with American, European, or African museums and collections
- Produce at least one exhibition and related programming resulting from research and scholarly interpretation of Smithsonian collections
- Implement one collaborative program with other Smithsonian units
- Establish one collaboration/partnership with scholars from other institutions
- Present at least five lectures or papers that target national scholarly audiences
- Present two programs resulting from scholarly research that target academic and professional communities

Build, refine, care for, and manage the national collections (6 FTEs and \$618,000)

- 100% of objects acquired through purchase reflect priority areas of emphasis in the collection
- Catalogue 2,350 collection objects in The Museum System
- Complete the installation of the X-Radiography unit
- Treat eight objects for conservation that require literature research or in-house development of treatment and collections care procedures

Have a world-class Web presence (2 FTEs and \$172,000)

- Increase by 20% the number of visitors to NMAfA's website over FY 2003
- Add 500 collection records and images electronically to the Web
- Add 2,000 records from the photographic archives electronically to the Web
- Implement one collaborative program with other Smithsonian units

Management Excellence

Strengthen a stakeholder-focused performance orientation (5 FTEs and \$604,000)

- Implement controlled spending plans for 100% of fund sources
- 100% of staff performance plans and appraisals are in line with NMAfA's strategic plan

Bring financial management systems and functions up to date (1 FTE and \$69,000)

- Budgets of all funding sources are tracked monthly
- All financial reports required by Smithsonian central management are accurate and meet established deadlines

Bring information technology systems and functions up to date (1 FTE and \$147,000)

- Automated systems that interface with Institution-wide systems are upgraded within established time frames

Enhance relations with the press, mass media, and federal, state, and local governments (1 FTE and \$89,000)

- Include members of the press in invitations to major special events
- At least three media interviews are conducted for each exhibition
- Co-host at least three special events with local government organizations
- Increase the number of loans of collections pieces to government offices by two over FY 2003

Ensure optimal safety and protection of facilities, collections, visitors, staff, and volunteers (1 FTE and \$114,000)

- Implement NMAfA's disaster preparedness plan
- Achieve a goal of zero safety citations resulting from the annual Management Evaluation and Technical Review (METR)

FUNCTIONAL DETAIL OF FY 2004 REQUEST

The following table provides detail of the programs and functions to be conducted by the National Museum of African Art in FY 2004:

NATIONAL MUSEUM OF AFRICAN ART

Detail of Base Resources By Function

	FY 2002		FY 2003		FY 2004	
	FTEs	\$ (000's)	FTEs	\$ (000's)	FTEs	\$ (000's)
Exhibitions						
Permanent Exhibitions	-	29	-	30	-	30
Temporary Exhibitions - NMAfA-organized	2	194	2	171	2	171
Temporary Exhibitions - Loan	3	247	2	200	2	200
Exhibition Support	9	952	10	1,021	10	1,021
Information Technology	2	139	2	165	2	165
Subtotal, Exhibitions	16	1,561	16	1,587	16	1,587
Education						
Affiliated w/ Other SI Units	-	18	-	10	-	10
Internal to Unit	3	184	2	100	2	100
External Affairs	2	70	1	36	1	36
Education Support	5	628	8	719	8	719
Subtotal, Education	10	900	11	865	11	865
Collections						
Collections Acquisitions	-	129	-	129	-	129
Collections Management	2	73	-	18	-	18
Collections Support	10	825	12	903	12	903
Photographic (Collections) Archives	-	20	-	20	-	20
The Museum System	-	-	-	13	-	13
Other Information Technology	2	75	2	77	2	77
Subtotal, Collections	14	1,122	14	1,160	14	1,160
Facilities						
Facilities Support	2	149	1	111	1	111
Subtotal, Facilities	2	149	1	111	1	111
Information Technology	1	132	1	144	1	144
Finance/General Administration						
Finance	3	267	3	358	3	358
General Administration	2	203	2	239	2	239
Subtotal, Finance/General Administration	5	470	5	597	5	597
Subtotal, Functional Categories	48	4,334	48	4,464	48	4,464
Necessary Pay	-	-	-	-	-	120
GRAND TOTAL	48	4,334	48	4,464	48	4,584

NATIONAL MUSEUM OF NATURAL HISTORY

	APPLICATION OF OPERATING RESOURCES							
	FEDERAL APPROPRIATIONS		GENERAL TRUST		DONOR/SPONSOR DESIGNATED		GOV'T GRANTS & CONTRACTS	
	FTE	\$000	FTE	\$000	FTE	\$000	FTE	\$000
FY 2002 ESTIMATE	514	43,419	16	3,759	35	11,926	7	2,338
FY 2003 ESTIMATE	514	44,982	14	2,099	30	12,754	7	1,038
FY 2004 ESTIMATE	514	46,356	14	2,099	28	13,215	7	1,040

STRATEGIC GOALS: PUBLIC IMPACT; FOCUSED, FIRST-CLASS SCIENCE; MANAGEMENT EXCELLENCE

Federal Resource Summary by Performance Objective

Performance Objective	FY 2003		FY 2004		Change	
	FTE	\$000	FTE	\$000	FTE	\$000
Public Impact:						
Offer compelling, first-class exhibitions	50	4,804	50	4,950	0	146
Increase the access of Smithsonian audiences to high-quality education resources	58	4,700	58	4,844	0	144
Build, refine, care for, and manage the national collections	158	13,236	158	13,640	0	404
Focused, First-Class Science:						
Conduct focused scientific research programs recognized for their quality, relevance, and high performance	144	15,101	144	15,562	0	461
Management Excellence:						
Strengthen a stakeholder-focused performance orientation	19	2,450	19	2,525	0	75
Bring information technology systems and functions up to date	12	1,206	12	1,243	0	37
Execute an aggressive, long-range facilities maintenance and revitalization program	4	389	4	401	0	12
Ensure optimal safety and protection of facilities, collections, visitors, staff, and volunteers	69	3,096	69	3,191	0	95
Total	514	44,982	514	46,356	0	1,374

BACKGROUND AND CONTEXT

The mission of the National Museum of Natural History (NMNH) is to investigate, document, and understand the natural world and the role of humans in it. Building on its outstanding team of scientists, curators, fellows, and research associates and its extensive partnerships with universities and federal research agencies, the Museum is a preeminent international center for research on the natural world and the human activities that influence it. The Museum's scientists study natural and cultural diversity by collecting and identifying specimens, establishing relationships among them, and explaining the underlying processes that generate and sustain their diversity.

The Museum's stewardship of its collection of more than 124 million natural science specimens is at the core of its mission. This collection, the largest of its kind, forms an unparalleled information resource on the diversity of life on Earth, including plants, animals, fossils, minerals, and human artifacts. NMNH collections and their attendant information are a dynamic resource utilized by researchers, educators, and policymakers worldwide.

The results of NMNH's first-class research support its exhibitions and educational outreach. As one of the most visited museums in the world, NMNH provides diverse public audiences with exciting and informative presentations on every aspect of life on earth. Through affiliations and partnerships, the Museum takes its science and public programs beyond the National Mall to other museums and non-traditional exhibition venues, such as libraries, schools, and universities. With a growing network of interactive websites, the Museum is transforming itself into a true electronic classroom, potentially accessible to everyone.

MEANS AND STRATEGY

To achieve the goal of increasing Public Impact, federal funding will be used to convert outdated offerings into a stimulating program of integrated, multidisciplinary, and interactive exhibitions on the Mall and in other venues across the country. The first priority in 2004 is the continued renovation and maintenance of the Museum's permanent halls, including the opening of the Kenneth E. Behring Family Hall of Mammals, scheduled for October 2003, and the creation of its companion website. NMNH is committed to offering new temporary exhibitions each year. Those planned for 2004 include *Looking Both Ways*, an exhibition based on the Museum's Alaskan Nature collections, which opened in Alaska in FY 2004, and *Burgess Shale*. Federal funding also enables NMNH to make its exhibitions

available to other U.S. and international institutions. The excitement and effectiveness of NMNH exhibitions and presentations can be seen in its popularity as a family museum. In 2001, NMNH hosted over 9 million visits.

In FY 2004, the Museum's commitment to education will continue through support for ongoing programs, an extensive national/international network that includes traveling exhibitions, interactive electronic classrooms and field trips, and websites. These outreach efforts serve millions of visitors each year, nationally and internationally. In FY 2004, NMNH will develop and broadcast new electronic field trips to 1.5 million students across the nation in cooperation with local school districts and television studios, prepare new curriculum packages for educators and expand its Web presence by launching a revitalized website with improved graphics and navigational software.

The Museum's collections serve as the foundation of NMNH research. Federal funding is the linchpin for maintaining and preserving these priceless collections and their valuable information for future generations while also supporting their use for critical ongoing research. In FY 2004, building on work initiated several years ago, NMNH will complete deployment of the multi-media collections catalogue with millions of biological, anthropological, and geological records. This important milestone will ensure that this invaluable and unique asset is made available to researchers, policymakers, and the public efficiently and effectively.

To meet the goal of Focused, First-Class Science, in FY 2003 NMNH will undertake a research roadmap exercise to refine its areas of emphasis. The areas will be consistent with national research standards and recommendations from the Science Commission, which will present its findings regarding science priorities in FY 2003, and studies from the National Academy of Sciences and the National Academy of Public Administration. In FY 2004, goals for these areas will be put into place. Biodiversity and the dynamic of life, human dimensions of diversity and change, and evolution of plants are expected to be central in guiding new research directions. A stable, predictive, and accurate classification of life on Earth based on evolutionary relationships is central to the understanding, development, and management of biodiversity. This information will be put to the broadest possible use through NMNH's leadership role in developing an integrated framework of specimen-level, taxonomic-level, and phylogenetic-level data. Through its strengths in geology and paleontology, NMNH is also poised to take the lead in integrating evolutionary and ecological studies on a global scale. Tying all of these areas together are strengths in anthropology, which integrates biological, archaeological, ethnological, and linguistic approaches to research.

The goal of Management Excellence will be addressed in part by construction of a new facility to rehouse collections preserved in alcohol currently located on the Mall into a state-of-the-art research, conservation, and collection storage facility at the Museum Support Center. This facility will ensure that the alcohol collection will continue to be available for research in a facility that meets fire and safety codes. Additional focus in FY 2004 for the Natural History Building on the Mall will continue to be the renovation of major building systems, completion of the Behring Family Mammal Hall, and improving access to and security in the building.

STRATEGIC GOALS AND FY 2004 ANNUAL PERFORMANCE GOALS

Public Impact

Offer compelling, first-class exhibitions (50 FTEs and \$4,950,000)

- Open Behring Family Hall of Mammals in October 2003 making 25,000 square feet of newly renovated exhibition space available to the public
- Recapture and renovate 15,000 square feet of office space to accommodate additional temporary exhibits
- Open temporary exhibitions *Looking Both Ways* and *Burgess Shale*, fulfilling the commitment to change 15% of exhibition space annually

Increase the access of Smithsonian audiences to high-quality education resources (58 FTEs and \$4,844,000)

- Develop and broadcast eight new electronic field trips to 1.5 million students across the nation, in cooperation with Kansas City Public Television
- Prepare and distribute 50,000 copies of new curriculum package for each of the new exhibitions and electronic programs opening in FY 2004
- Launch revitalized website for NMNH and serve 5,000 educators quarterly via electronic newsletter
- Work with at least 25 affiliated museums to lend collections and bring Natural History expertise and programs to museums across the nation

Build, refine, care for, and manage the national collections (158 FTEs and \$13,640,000)

- Complete deployment of the multi-media collections catalog enabling access to 3.5 million records for researchers and the public via the Internet
- Implement revised Collections Management Policy for the entire Museum

Focused, First-Class Science

Conduct focused scientific research programs recognized for their quality, relevance, and high performance (144 FTEs and \$15,562,000)

- Implement results of research-mapping exercise
- Using a multi-year, multi-organization National Science Foundation award, conduct fieldwork in Africa and eastern Asia to examine the relationship of climate change and human evolution
- Monitor, assess, and report volcanic hazards through the Global Volcanism Program, providing data for research and for government agencies and industry groups
- Classify and publish results of research on meteorites recovered from FY 2003 expedition to Antarctica, as part of a cooperative program with the National Aeronautics and Space Administration and the National Science Foundation
- Identify and analyze 10,000 insects, plants, and animals posing potential danger as invasive species and use the knowledge gained for evolutionary research and for responding to requests from government agencies
- Apply molecular analyses of bird disease vectors and bird diversity in native forest ecosystems in Hawaii as part of multi-year research project
- Conduct third year of testing and modeling in a 5-year, interdisciplinary multi-institutional project on the consequences of greenhouse warming 55 million years ago
- Continue professional training activities focused on advancing the scientific education of undergraduates, and graduate/postdoctoral students
- At the Museum Support Center (MSC) laboratory facilities, improve molecular analysis through use of DNA amplification and sequencing equipment acquired in FY 2002 that currently serves over 50 researchers working on projects such as the study of DNA variability in avian viruses, including the West Nile Virus
- At the MSC laboratory facilities, enable the highest quality imaging and analyses of natural history collections to be made through acquisition of updated analytical equipment
- At the MSC laboratory facilities, develop light stable isotope facilities for environmental research, including migration and global change issues

Management Excellence

Strengthen a stakeholder-focused performance orientation (19 FTEs and \$2,525,000)

- Train 100% of staff responsible for financial, budget, and procurement transactions to implement the new financial system, the first phase of the Institution's Enterprise Resource Planning system (ERP)

Bring information technology systems and functions up to date (12 FTEs and \$1,243,000)

- Ensure that 100% of users of the ERP have compatible hardware and software to support financial and procurement transactions

Execute an aggressive, long-range facilities maintenance and revitalization program (4 FTEs and \$401,000)

- Provide scientific and technical support for the construction of a new facility to rehouse collections preserved in alcohol currently located on the Mall

Ensure optimal safety and protection of facilities, collections, visitors, staff, and volunteers (69 FTEs and \$3,191,000)

- Provide technical support in the construction of an accessible public entrance, consistent with the requirements of the American Disabilities Act, at the Natural History Building Mall entrance

FUNCTIONAL DETAIL OF FY 2004 REQUEST

The following table provides detail of the programs and functions to be carried out by the National Museum of Natural History in FY 2004:

Detail of Base Resources By Function

	FY 2002		FY 2003		FY 2004	
	FTEs	\$ (000's)	FTEs	\$ (000's)	FTEs	\$ (000's)
Exhibitions						
Exhibitions (Salaries and Benefits)	-	2,633	-	2,741	-	2,741
Permanent	22	128	22	128	22	128
Design & Development	14	54	14	54	14	54
Administration	5	73	4	73	4	73
Temporary	2	150	2	150	2	150
Research/Collection Departmental Support	1	241	1	250	1	250
African Voices	-	24	-	120	-	75
Behring Family Mammal Hall	-	500	-	562	-	562
GGM Support	-	21	-	40	-	40
Force of Change	-	15	-	-	-	-
Exhibit Upgrades	-	148	-	35	-	75
Exhibit Maintenance	-	130	-	35	-	75
Lamping	-	100	-	125	-	125
Mummies	-	23	-	70	-	70
Rotunda	-	11	-	50	-	-
Signage Upgrades	-	5	-	5	-	5
Case Upgrades	-	-	-	-	-	15
Hall 11	-	65	-	-	-	-
Subtotal, Exhibitions	44	4,321	43	4,438	43	4,438

NATIONAL MUSEUM OF NATURAL HISTORY
(Continued)

	FY 2002		FY 2003		FY 2004	
	FTEs	\$ (000's)	FTEs	\$ (000's)	FTEs	\$ (000's)
Education						
Research/Collections Outreach and Education	37	3,356	37	3,501	37	3,501
Education Office (Salaries and Benefits)	-	993	-	1,034	-	1,034
Regional	17	100	17	100	17	100
Outreach	4	65	4	65	4	65
Exhibition-related Outreach Support	2	200	2	200	2	200
Public Affairs	4	121	4	126	4	126
Subtotal, Education	64	4,835	64	5,026	64	5,026
Collections						
Systematic Biology	88	6,577	88	6,682	88	6,682
Anthropology	20	1,566	20	1,613	20	1,613
Paleobiology	16	1,455	16	1,500	16	1,500
Earth & Planetary Sciences	7	580	7	625	7	625
General support	7	612	7	726	7	726
Research and Collections Information System	4	375	4	375	4	375
Native American Repatriation Program	14	1,518	14	1,562	14	1,562
Subtotal, Collections	156	12,683	156	13,083	156	13,083
Research						
Systematic Biology	71	6,540	70	6,917	70	6,917
Anthropology	32	3,077	32	3,158	32	3,158
Paleobiology	15	1,865	15	1,955	15	1,955
Earth & Planetary Sciences	14	1,254	14	1,353	14	1,353
General Support	13	1,611	13	1,653	13	1,653
IESP - Neotropical Lowlands	-	65	-	65	-	65
Subtotal, Research	145	14,412	144	15,101	144	15,101
Facilities						
Facilities Management Office	65	2,864	65	2,905	65	2,905
Shipping Office	2	150	2	153	2	153
Construction Management	2	190	2	195	2	195
Lamping Services	2	79	2	79	2	79
Subtotal, Facilities	71	3,283	71	3,332	71	3,332
Security						
Museum Safety Office and Support	2	147	3	152	3	152
Subtotal, Security	2	147	3	152	3	152
Information Technology	10	997	12	1,206	12	1,206
Finance/General Administration						
Finance	5	465	6	476	6	476
Information Technology	2	167	-	-	-	-
Construction Management	2	189	2	194	2	194
Research/Collection Departmental Support	-	617	-	641	-	641
Public Programs Support	3	276	3	287	3	287
Subtotal, Finance/General Administration	22	2,741	21	2,644	21	2,644
Subtotal, Functional Categories	514	43,419	514	44,982	514	44,982
Necessary Pay	-	-	-	-	-	1,374
GRAND TOTAL	514	43,419	514	44,982	514	46,356

NATIONAL ZOOLOGICAL PARK

	APPLICATION OF OPERATING RESOURCES							
	FEDERAL APPROPRIATIONS		GENERAL TRUST		DONOR/SPONSOR DESIGNATED		GOV'T GRANTS & CONTRACTS	
	FTE	\$000	FTE	\$000	FTE	\$000	FTE	\$000
FY 2002 ESTIMATE	336	26,331	3	1,810	16	4,675	5	848
FY 2003 ESTIMATE	334	24,275	3	789	16	3,365	5	700
FY 2004 ESTIMATE	340	25,237	3	789	16	3,040	5	725

STRATEGIC GOALS: PUBLIC IMPACT; FOCUSED, FIRST-CLASS SCIENCE; AND MANAGEMENT EXCELLENCE

Federal Resource Summary by Performance Objective

Performance Objective	FY 2003		FY 2004		Change	
	FTE	\$000	FTE	\$000	FTE	\$000
Public Impact:						
Offer compelling, first-class exhibitions	165	11,992	169	12,623	4	631
Maintain the high caliber of scholarly research and communicate the results	12	872	12	898	0	26
Focused, First-Class Science:						
Conduct focused scientific research programs recognized for their quality, relevance, and performance	21	1,526	21	1,571	0	45
Management Excellence:						
Strengthen a stakeholder-focused performance orientation	32	2,326	32	2,394	0	68
Execute an aggressive, long-range facilities maintenance and revitalization program	63	4,579	65	4,846	2	267
Ensure optimal safety and protection of facilities, collections, visitors, staff, and volunteers	41	2,980	41	2,905	0	(75)
Total	334	24,275	340	25,237	6	962

BACKGROUND AND CONTEXT

The National Zoological Park (NZN) exhibits living animal and plant collections and conducts research in conservation biology and reproductive sciences to provide educational and recreational environments for the visiting public. The Zoo's mission is to celebrate, study, and protect the diversity of animals and their habitats. This mission directly reflects the Institution's goals of Public Impact and Focused, First-Class Science.

To achieve the goal of Public Impact, NZN is focusing a portion of its resources on the first phase of the *Asia Trail*—part of a long-term initiative to renovate and modernize the National Zoological Park—and the staffing of the *Kids' Farm* exhibit. In conjunction with these activities, NZN will continue to provide state-of-the-art care for all animals. To meet the goal of Focused, First-Class Science, NZN scientists will continue to provide technical expertise to scientifically manage living animal collections, mentor, instruct and train young scientists, and generate knowledge needed to protect and conserve wildlife in captivity and in the wild. To achieve the goal of Management Excellence, NZN will devote a large portion of its resources to support facilities and security.

MEANS AND STRATEGY

To achieve the goal of Public Impact, NZN will devote significant resources to its animal exhibits and the care of the animals in the Zoo. As NZN modernizes the oldest areas and develops new exhibits, many more people will come to discover what's new and leave inspired to care about the animals they met. A major portion of the NZN staff and the budget will be used to provide state-of-the-art medical care, nutrition, health, security, and welfare for all NZN animals.

NZN is also committed to renovating and modernizing the Zoo. The development of the first phase of the *Asia Trail* will provide homes for animals from the Asian subcontinent, most of which are endangered in their native homes. In addition, the opening of the new *Kids' Farm* and the renovation of other exhibits will enhance the museum experience for visitors. The *Kids' Farm* exhibit is intended to be a personalized child-oriented experience that will feature contact opportunities with farm animals. As the Zoo's first exhibit specifically targeted to children, it is expected to be immensely popular.

NZN will continue to incorporate and link science into existing and new exhibits, while increasing the visibility and scope of conservation efforts. The Amazonia Science Gallery is one focal point for these efforts,

where at least one of three science labs will be open for public interaction every day, and five new science displays are planned. In addition, by the end of 2004, the Zoo plans to have the first of 10 new NZP programs in place. These programs integrate exhibition of a species at the Zoo, active scientific research involving the species both at the Zoo and in the wild, and collaborative efforts to conserve the species. Current prime examples are the giant panda and golden lion tamarin programs. Both involve innovative and exciting public presentations at the Zoo, and allow the visitor to actually observe research in progress as well as learn about NZP research and conservation programs in China and Brazil. The Zoo eventually will be organized around approximately 15 such programs.

To achieve the goal of Focused, First-Class Science, NZP will devote resources to addressing significant scientific and conservation issues dealing with key species and critical habitats through studies of animals in the field and in captive environments. For example, biologists are discovering the reproductive patterns of many different endangered species such as the Asian elephant and are learning to provide reproductive assistance for endangered animals in captivity and in the wild. Zoo veterinarians are studying viral disease in animals, including a new focus on West Nile Virus. The goal is to provide better protection for Zoo animals, but the results might also be useful in controlling the spread of this disease in humans. Zoologists are learning how to reintroduce zoo-born animals to the wild to reinforce dwindling wild populations. The results of the Zoo's research will be distributed to a wide range of scholars, including university researchers. NZP invites research participation and collaboration by students and outside colleagues. Such training puts the Smithsonian Institution at the center of international scientific advancement.

To achieve the goal of Management Excellence, the Zoo will continue to provide management support for all programs. In addition, NZP will aggressively execute its long-range renewal plan and continue its modernization and improvement programs in the areas of administration, budget, and information technology. Infrastructure and facility support to the animal exhibits remain an around-the-clock operation. Police protection and security are critical and the Zoo plans to implement the recommendations of the recently completed security threat and vulnerability assessment.

STRATEGIC GOALS AND FY 2004 ANNUAL PERFORMANCE GOALS

Public Impact

Offer compelling, first-class exhibitions (169 FTEs and \$12,623,000)

- Ensure that 100% of animals receive vaccinations and anti-parasitic treatments as due and 75% of mammals receive annual exams
- Construct *Asia Trail, Phase I* and complete relocation of all animals displaced by the exhibit
- Begin design *Asia Trail, Phases II and III*, the new habitat for Asian elephants
- Open the *Kids' Farm* exhibit
- Design and develop plans for an Asian Heritage Garden to tie in with the *Asia Trail* project

Maintain the high caliber of scholarly research and communicate the results (12 FTEs and \$898,000)

- Produce at least five new science displays and have at least one science lab open for public interaction
- Include NZP scientists in the planning of all new exhibits, and highlight research results
- When animal deaths occur, use necropsy findings to establish preliminary cause of death within 72 hours and final cause within 4 weeks
- Publish new necropsy findings in peer-reviewed journals

Focused, First-Class Science

Conduct focused scientific research programs recognized for their quality, relevance, and high performance (21 FTEs and \$1,571,000)

- Teach at least five courses in conservation management at Front Royal or in other countries
- Distribute research results to a wide array of users, including universities and decision makers
- Develop and/or maintain an average of at least 2 partnerships or collaborations per scientist

Management Excellence

Strengthen a stakeholder-focused performance orientation (32 FTEs and \$2,394,000)

- Execute long-range renewal plan
- 80% of customer needs in administrative areas are met, as measured by responses to internal surveys
- 95% of users are trained on use of new financial system
- Increase media contacts to 15-25 per week

Execute an aggressive, long-range facilities maintenance and revitalization program (65 FTEs and \$4,846,000)

- Respond to animal life-support systems and animal containment failures within 20 minutes 95% of the time.
- Maintain utilities and heating, ventilating, and air conditioning systems in functioning condition at all times

Ensure optimal safety and protection of facilities, collections, visitors, staff, and volunteers (41 FTEs and \$2,905,000)

- Provide 100% of the increased security patrols recommended in the security threat and vulnerability assessment

FY 2004 REQUEST—EXPLANATION OF CHANGE

The FY 2004 budget estimate includes a net increase of \$225,000 and 6 FTEs, as follows:

- (-\$175,000) To reduce one-time funding for pop-up barriers to meet NZP security requirements.
- (+ \$400,000, + 6 FTEs) This increase is for the staffing of the new *Kids' Farm* exhibit, scheduled to open in 2003. Except for a partially funded curatorial position provided in FY 2002, funds are needed to have animals, animal care staff, and exhibit support staff on board. The request includes salaries and benefits for three animal keepers to provide day-to-day animal care and exhibit support; one biological science technician to maintain gardens, plantings, and walkways; and two operations and maintenance employees for daily cleaning, preventive maintenance, repairs, and HVAC operations. The request also covers the annualization of the salary and benefits of the curatorial position and \$10,000 for supplies.

If the FY 2004 requested increase is not allowed, NZP will be unable to fully operate the finished *Kids' Farm* exhibit, since staff support will not be available. Because the *Farm* exhibit is hands-on and requires interaction with the public, it requires a higher level of staff than most other exhibits.

In addition to this request, 1 FTE and \$122,000 is included and justified in the Facilities Operations, Security and Support line item to support the expanded facilities program.

FUNCTIONAL DETAIL OF FY 2004 REQUEST

The following table provides detail of the programs and functions to be conducted by the National Zoological Park in FY 2004:

NATIONAL ZOOLOGICAL PARK

Detail of Base Resources By Function

	FY 2002		FY 2003		FY 2004	
	FTEs	\$ (000's)	FTEs	\$ (000's)	FTEs	\$ (000's)
Exhibitions						
Pandas	3	181	3	189	3	189
Sloth Bears	1	60	1	62	1	62
Elephants	8	474	8	495	8	495
Kids Farm	1	19	1	61	4	279
Amazonia	6	378	6	394	6	394
Megavertebrates, Reptiles, Invertebrates	38	2,246	38	2,358	38	2,358
Small Mammals, Birds	21	1,241	21	1,311	21	1,311
Exhibit Interpretation	14	1,008	14	1,060	15	1,113
Information Technology	-	18	-	18	-	18
Subtotal, Exhibitions	92	5,625	92	5,948	96	6,219
Education						
Professional Training	3	211	3	224	3	224
Subtotal, Education	3	211	3	224	3	224
Collections						
Registrar	2	110	2	121	2	121
Animal Health Support	36	2,526	36	2,660	36	2,660
Animal Feeding	6	991	6	1,014	6	1,014
Information Technology	-	7	-	7	-	7
Subtotal, Collections	44	3,634	44	3,802	44	3,802
Research						
Conservation Biology	18	1,373	18	1,430	18	1,430
Reproductive Science	9	636	9	662	9	662
Information Technology	-	13	-	13	-	13
Subtotal, Research	27	2,022	27	2,105	27	2,105
Facilities						
Facilities	109	7,749	107	8,162	109	8,293
Information Technology	-	2	-	2	-	-
Subtotal, Facilities	109	7,751	107	8,164	109	8,293
Security						
NZP Police	38	5,238	38	2,105	38	1,930
Safety	2	119	2	124	2	124
Subtotal, Security	40	5,357	40	2,229	40	2,054
Information Technology	3	425	3	435	3	435
Finance/General Administration						
Finance	3	147	3	230	3	237
Human Resources	1	74	1	77	1	77
Central staff and administration	9	717	9	678	9	678
Administrative Management	1	74	1	77	1	77
Public Affairs	4	287	4	299	4	299
Information Technology	-	7	-	7	-	-
Subtotal, Finance/General Administration	18	1,306	18	1,368	18	1,368
Subtotal, Functional Categories	336	26,331	334	24,275	340	24,500
Necessary Pay	-	-	-	-	-	737
GRAND TOTAL	336	26,331	334	24,275	340	25,237

SMITHSONIAN ASTROPHYSICAL OBSERVATORY

	APPLICATION OF OPERATING RESOURCES							
	FEDERAL APPROPRIATIONS		GENERAL TRUST		DONOR/SPONSOR DESIGNATED		GOV'T GRANTS & CONTRACTS	
	FTE	\$000	FTE	\$000	FTE	\$000	FTE	\$000
FY 2002 ESTIMATE	123	20,546	95	14,837	15	4,503	287	71,100
FY 2003 ESTIMATE	123	21,121	95	13,059	15	4,431	287	71,889
FY 2004 ESTIMATE	124	22,258	95	12,959	15	4,431	287	71,889

STRATEGIC GOALS: PUBLIC IMPACT, FOCUSED, FIRST-CLASS SCIENCE, MANAGEMENT EXCELLENCE

Federal Resource Summary by Performance Objective

Performance Objective	FY 2003		FY 2004		Change	
	FTE	\$000	FTE	\$000	FTE	\$000
Public Impact:						
Increase the access of Smithsonian audiences to high-quality education resources	4	385	4	432	0	47
Focused, First-Class Science:						
Conduct focused scientific research programs recognized for their quality, relevance, and high performance	115	20,002	116	20,696	1	694
Management Excellence:						
Bring information technology systems and functions up to date	4	734	4	1,130	0	396
Total	123	21,121	124	22,258	1	1,137

BACKGROUND AND CONTEXT

The mission of the Smithsonian Astrophysical Observatory (SAO) is to conduct research to increase understanding of the origin and evolution of the universe and to communicate this information through publications, teaching, and public presentations. SAO is perhaps the largest and most diverse astrophysical institution in the world. It has pioneered the development of orbiting observatories and large ground-based telescopes, the application of computers to astrophysical problems, and the integration of laboratory measurements, theoretical astrophysics, and observations across the electromagnetic spectrum. Headquartered in Cambridge,

Massachusetts, SAO is a member of the Harvard-Smithsonian Center for Astrophysics, along with the Harvard College Observatory. Observational data are gathered by instruments aboard rockets, balloons, and spacecraft, as well as by ground-based optical, infrared, and gamma-ray telescopes at the Fred Lawrence Whipple Observatory in Arizona, by an optical telescope at the Oak Ridge Observatory in Massachusetts, by a submillimeter array nearing completion in Hawaii, by a small submillimeter telescope at the South Pole, and by a small millimeter-wave telescope in Massachusetts.

To achieve the goal of increased public impact, SAO will strengthen mechanisms to disseminate the results of its research to professional and lay audiences and continue to conduct outstanding national programs of science education. SAO will address the goal of Focused, First-Class Science by maintaining its leadership position in astrophysics through the high level of productivity of its permanent scientific staff, by increasing the number of research fellowships, and by promoting collaborations with visiting scientists and academic research institutions. Management Excellence will be achieved by streamlining administrative practices and improving infrastructure.

MEANS AND STRATEGY

To maintain the goal of Focused First Class Science, SAO is directing its resources primarily to making substantial progress in answering three fundamental questions (following each is a brief description of one or two examples of progress made in FY 2002):

- *How did large-scale structures including pre-galactic structures, galaxies, and clusters of galaxies form and evolve?*

SAO scientists found that the brightest x-ray sources in their survey of the Andromeda galaxy come not from within the spiral arms of the galaxy itself, as had been expected, but from the globular clusters of stars that surround the galaxy. In Andromeda, the brightest x-ray star is about ten thousand times more luminous than the Sun and is located in a globular cluster. Extreme x-ray sources, like this one, hold clues to the forces that helped to shape these clusters, and hence clues to the processes that shaped the Andromeda galaxy itself and perhaps our own Milky Way galaxy as well.

- *How do stars—including the Sun—and planets form, evolve, and behave? What are the implications for life in the universe in general and on Earth in particular?*

SAO scientists—using the Hubble Space Telescope—were leaders in the first-ever detection of the atmosphere of a planet orbiting another star. This is a major milestone in astronomy because it proves that at least some extrasolar planets have atmospheres and shows that it is possible to study their chemistry from Earth, and to search for the chemical markers of life. With colleagues from other institutions, SAO scientists also discovered a planet in a triple-star system, only the second known case of a planet in such a triplet.

SAO scientists and their team have been watching the Sun closely. The Sun undergoes 11-year cycles of activity, and when the Sun approaches its cycle maximum (last in 2000), active regions with intense magnetic fields increase in number. These regions can erupt, hurling energetic, charged particles towards the Earth as part of a solar wind. SAO scientists use the Solar and Heliospheric Observatory satellite and their on-board instrument, the Ultraviolet Coronagraph Spectrometer (UVCS) to make their observations. UVCS is the only instrument able to measure the speeds and temperatures of atomic particles from coronal holes in the extended solar corona. Scientists think that an understanding of these physical processes of the solar wind is essential to the development of a long-range space weather prediction capability.

- *How do compact objects—black holes and neutron stars—form, evolve, and interact with their surroundings?*

Using the Chandra X-ray Observatory, SAO scientists discovered evidence for a fantastic explosion and an outpouring of material from the vicinity of the black hole at the center of the galaxy NGC 4636 located about 50 million light years from Earth. From the present understanding of how these galactic black holes become so destructive, it does not seem likely that the Milky Way will undergo a similar disruption any time soon, but its center does show evidence for much smaller scale activity. SAO scientists also discovered an enormous x-ray jet—over a million light years in length—shooting out from the core of a distant quasar. The jet appears to have resulted from an explosion that occurred about 10 billion years ago near the quasar's central supermassive black hole. This discovery will help scientists better understand quasars and how they formed. It may also help clarify the nature and behavior of massive black holes.

SAO scientists observed a suspected neutron star located about 450 light-years away. Neutron stars, the ashes of certain supernovae explosions, contain about as much mass as one and one-half suns, but squeezed into a volume only about ten kilometers in radius. The extreme

conditions in neutron stars are unattainable in laboratories, and so these stars divulge properties of fundamental particles, like neutrons, whose behavior in such environments can only be studied from astronomical observations. The SAO-led team discovered that the "neutron star" they observed seemed to be at most eight kilometers in radius and maybe even only half that size. They speculated that since some models of quarks, now thought to be the basic building blocks of all matter, would allow them to condense into a quark star, this object was just such a star and represents a new kind of matter.

During FY 2003 and FY 2004, SAO scientists will continue to address these questions and make further progress towards answers. In addition, with the increase in funding requested for FY 2004, SAO will embark, with national and international partners, on the VERITAS (Very Energetic Radiation Imaging Telescope Array System) project to develop second-generation instrumentation. The goal of this project is to exploit SAO's pioneering development of the field of very-high-energy gamma-ray astronomy.

STRATEGIC GOALS AND FY 2004 ANNUAL PERFORMANCE GOALS

Public Impact

Increase the access of Smithsonian audiences to high-quality education resources (4 FTEs and \$432,000)

- Maintain SAO's leadership in precollege science education
- Continue teacher professional development in conjunction with Annenberg/CPB Channel to reach:
 - 1000 Channel licensees including PBS stations, cable access stations, schools, and universities
 - 80,000 schools
 - Website hits to Channel workshops page: average 48,000 per month

Focused, First-Class Science

Conduct focused scientific research programs recognized for their quality, relevance, and high performance (116 FTEs and \$20,696,000)

- Produce 300 publications in scholarly books and peer-reviewed journals
- Make 100 presentations at professional meetings
- Secure nearly three non-appropriated dollars for every federal dollar spent to conduct research

Management Excellence

*Bring information technology systems and functions up to date
(4 FTEs and \$1,130,000)*

- Enhance scientific computing capabilities

FY 2004 REQUEST – EXPLANATION OF CHANGE

The FY 2004 budget estimate includes an increase of \$652,000 and 1 FTE. Included in the request is \$100,000 for inflationary rent increases, justified under the Non-Discretionary Costs section of this budget. The request also includes the following:

- (+ \$172,000, + 1 FTE) This increase is to exploit SAO's pioneering development in the field of very-high-energy gamma-ray astronomy. The increase will cover the cost of salary, benefits, travel, supplies and materials, and equipment for one GS-15 astrophysicist. This additional staff member is critically needed as SAO embarks as the leader on the large, collaborative VERITAS project.
- (+ \$380,000) This request is to provide base funding to upgrade SAO's scientific computing capabilities. In FY 2004, funding will allow the purchase of a high-speed computer server (\$160,000) and data storage equipment (\$220,000).

Unless SAO can provide an expert staff member to work with the original researcher, SAO will most likely fall behind in the exciting new field of very-high-energy gamma ray astronomy, for which it was the world's pioneer. It is prudent in developing a major second-generation instrument not to have a single-point failure in the relevant SAO federal staff. Further, VERITAS is a consortium effort and SAO must contribute a reasonable share. The total cost of the project through FY 2007 is \$26.4 million, of which \$18.7 million will be provided through external support. If the funds for enhanced scientific computing capability are not provided, SAO's ability to manipulate and share large sets of data within the Institution and among scientific colleagues around the world will be diminished.

FUNCTIONAL DETAIL OF FY 2004 REQUEST

The attached table provides detail of the programs and functions to be conducted by the Smithsonian Astrophysical Observatory in FY 2004:

SMITHSONIAN ASTROPHYSICAL OBSERVATORY

Detail of Base Resources By Function

	FY 2002		FY 2003		FY 2004	
	FTEs	\$ (000's)	FTEs	\$ (000's)	FTEs	\$ (000's)
Education						
Library	1	259	1	262	1	262
Science Education	4	385	4	416	4	416
Other	-	120	-	120	-	120
Information Technology	-	2	-	2	-	2
Subtotal, Education	5	766	5	800	5	800
Research						
Atomic and Molecular Physics	7	914	7	1,027	7	1,027
High Energy Astrophysics	8	1,198	8	1,280	8	1,280
Optical and Infrared Astronomy	17	2,314	17	2,320	17	2,320
Planetary Sciences	4	536	4	584	4	584
Radio and Geoastronomy	12	1,795	12	1,897	12	1,897
Solar and Stellar Physics	9	1,287	9	1,375	9	1,375
Theoretical Astrophysics	3	418	3	446	3	446
MMT	1	1,048	1	1,054	1	1,054
Submillimeter Array (SMA)	32	5,518	32	5,939	32	5,939
VERITAS	-	-	-	-	1	172
Other	-	680	-	220	-	220
Information Technology	4	601	4	606	4	986
Subtotal, Research	97	16,309	97	16,748	98	17,300
Facilities						
F.L. Whipple Observatory	14	1,176	14	1,246	14	1,246
Oak Ridge Observatory	2	104	2	110	2	110
Rent & Communications	-	1,295	-	1,402	-	1,502
Information Technology	1	80	1	81	1	81
Subtotal, Facilities	17	2,655	17	2,839	17	2,939
Information Technology	1	395	1	398	1	398
Finance/General Administration						
Human Resources / Safety	1	60	1	66	1	66
Central Staff (Director's Office)	1	159	1	163	1	163
Contracts, Grants & Property Management	-	15	-	15	-	15
Subcontracts & Procurement	1	75	1	82	1	82
Other	-	112	-	10	-	10
Subtotal, Finance/General Administration	3	421	3	336	3	336
Subtotal, Functional Categories	123	20,546	123	21,121	124	21,773
Necessary Pay	-	-	-	-	-	485
GRAND TOTAL	123	20,546	123	21,121	124	22,258

SMITHSONIAN CENTER FOR MATERIALS RESEARCH AND EDUCATION

	APPLICATION OF OPERATING RESOURCES							
	FEDERAL APPROPRIATIONS		GENERAL TRUST		DONOR/SPONSOR DESIGNATED		GOV'T GRANTS & CONTRACTS	
	FTE	\$000	FTE	\$000	FTE	\$000	FTE	\$000
FY 2002 ESTIMATE	29	3,357	0	136	0	99	0	15
FY 2003 ESTIMATE	29	3,460	0	43	0	0	1	43
FY 2004 ESTIMATE	29	3,555	0	15	0	0	0	0

STRATEGIC GOALS: PUBLIC IMPACT AND FOCUSED, FIRST-CLASS SCIENCE

Federal Resource Summary by Performance Objective

Performance Objective	FY 2003		FY 2004		Change	
	FTE	\$000	FTE	\$000	FTE	\$000
Public Impact:						
Expand a national outreach effort	9	988	9	1,045	0	57
Maintain the high caliber of scholarly research and communicate the results	1	93	1	64	0	(29)
Build, refine, care for, and manage the national collections	5	671	5	687	0	16
Have a world-class Web presence	0	37	0	37	0	0
Focused, First-Class Science:						
Conduct focused scientific research programs recognized for their quality, relevance, and high performance	14	1,671	14	1,722	0	51
Total	29	3,460	29	3,555	0	95

BACKGROUND AND CONTEXT

The Smithsonian Center for Materials Research and Education (SCMRE) is a specialized center for research and training in the preservation and technical study of museum objects, collections, and related materials of cultural or scientific importance. It also serves as a resource for scientific and technical support to the various museums within the Smithsonian as well as to the museum profession at large. Its education and outreach programs serve a wide audience that includes the general public.

To achieve the goal of Public Impact, SCMRE will continue to provide educational opportunities as well as technical information to the nation's museum community. SCMRE's main focus will continue to be the study of materials and development of conservation strategies, in pursuit of Focused, First-Class science.

MEANS AND STRATEGY

To achieve the goal of Public Impact, SCMRE will support the professional museum community and enhance the nation's capability to preserve its cultural patrimony for future generations. SCMRE will aim its educational program at collections care providers with varying degrees of experience and expertise, and will offer training courses, workshops, internships, and fellowships, as well as distance learning. The laboratory's technical information office will continue to serve both the professional community and the general public, which are increasingly concerned with the preservation of family heirlooms and other artistic and historic objects. This office answers direct inquiries and distributes general guidelines in printed or electronic formats, typically handling over 1,000 information requests annually. SCMRE will offer public programs, including small exhibits, in collaboration with other institutions nationwide to highlight findings derived from SCMRE research efforts such as the Northern Spanish American Frontier program.

The laboratory will vigorously support the efforts of Smithsonian museums to care for the national collections by increasing analytical services and technical assistance for conservation and curatorial programs. Based on polls of museum conservation departments, special training courses and research projects will be initiated to address the most urgent needs identified. SCMRE's website will be maintained and continually updated to increase the impact of these offerings.

In pursuit of the goal of Focused, First-Class Science, SCMRE will continue to study the long-term properties of materials and composite objects to improve the understanding of how they deteriorate or are damaged by external factors and to formulate effective conservation strategies, techniques, and materials. Research on the effects of temperature and humidity on traditional artist materials will be completed and resources will be shifted towards the priority areas of the stability of modern synthetic materials and the preservation of natural history collections. Security issues in the face of possible terrorist actions will lead to research on the effects that agents used to decontaminate museum buildings after a biological or chemical weapons attack have on sensitive

collection materials, so that adequate precautionary measures can be devised. The first project in this area will be completed during FY2004. Research on the production and distribution of trade goods and supplies across the Northern Spanish American Frontier into what is now the USA will move its focus from the Southwest to the Mid-south and Southeastern regions. This work uses analytical facilities at the National Institute of Standards and Technology in addition to equipment on SCMRE's premises.

STRATEGIC GOALS AND FY 2004 ANNUAL PERFORMANCE GOALS

Public Impact

Expand a national outreach effort (9 FTEs and \$1,045,000)

- Provide technical information support through answers to public inquires (>400) and through conservation related materials distributed via the Web or in other ways (>500)
- Plan, organize, and carry out educational offerings, including 5 workshops and 3 internships/fellowships, on issues relevant to the museum conservation community

Maintain the high caliber of scholarly research and communicate the results (1 FTE and \$64,000)

- Complete more than 400 analyses of Spanish Colonial pottery pertaining to the founding of Texas missions and disseminate the results through participating historical organizations

Build, refine, care for, and manage the national collections (5 FTEs and \$687,000)

- Provide, on request, analytical services (>500) to Smithsonian units to assist in the care and curation of the collections

Have a world-class Web presence (0 FTEs and \$37,000)

- Provide 30 percent new information and revise 20 percent of existing information on SCMRE's website
- Provide information related to the conservation concerns of the general public and target more than 150 downloads per year

Focused, First-Class Science

Conduct focused scientific research programs recognized for their quality, relevance, and high performance (14 FTEs and \$1,722,000)

- Complete research involving the testing of two peroxide reagents used for the mitigation of chemical and biological warfare agents on cultural objects and assess the potential for damage
- Publish 1 English and 1 Spanish language e-book on the contextual analysis of archaeological materials to maintain SCMRE's prestigious international standing in this area

- Complete research on the effects of temperature and humidity on the behavior of museum objects and materials, and submit one monograph on this research to an appropriate publisher

FUNCTIONAL DETAIL OF FY 2004 REQUEST

The following table provides detail of the programs and functions to be conducted by the Smithsonian Center for Materials Research and Education in FY 2004:

SMITHSONIAN CENTER FOR MATERIALS RESEARCH AND EDUCATION

Detail of Base Resources By Function

	FY 2002		FY 2003		FY 2004	
	FTEs	\$ (000's)	FTEs	\$ (000's)	FTEs	\$ (000's)
Education						
Affiliated w/ Non-SI Organizations						
Santos: Substance & Soul	-	73	-	-	-	-
California Missions	1	36	1	48	-	-
Spanish American Material Culture (Texas)	-	16	-	44	1	60
Internal to Unit						
Intern/Fellow Program	1	144	1	179	1	211
Professional Training Program	4	383	4	399	4	399
Public Programs	1	69	1	64	1	64
Technical Information Program	1	113	1	114	1	114
Website Management & development	-	71	-	72	-	72
Subtotal, Education	8	905	8	920	8	920
Collections						
Analytical and Technical Support	4	590	4	563	4	563
Subtotal, Collections	4	590	4	563	4	563
Research						
Collection Based Research						
Northern Spanish Frontier Program	2	225	2	241	2	241
Chemical Characterization of Archaeological Materials	1	242	1	259	1	259
Ancient/Historical Technologies and Materials	2	307	2	328	2	328
Preservation Research						
Physical and Chemical Properties of Collections Materials	4	386	4	413	4	413
Preservation of Natural History Specimens	3	204	3	219	3	219
Subtotal, Research	12	1,364	12	1,460	12	1,460
Finance/General Administration						
Finance and Administration Management	3	221	3	229	3	229
Central Staff	2	277	2	288	2	288
Subtotal, Finance/General Administration	5	498	5	517	5	517
Subtotal, Functional Categories	29	3,357	29	3,460	29	3,460
Necessary Pay	-	-	-	-	-	95
GRAND TOTAL	29	3,357	29	3,460	29	3,555

SMITHSONIAN ENVIRONMENTAL RESEARCH CENTER

	APPLICATION OF OPERATING RESOURCES							
	FEDERAL APPROPRIATIONS		GENERAL TRUST		DONOR/SPONSOR DESIGNATED		GOV'T GRANTS & CONTRACTS	
	FTE	\$000	FTE	\$000	FTE	\$000	FTE	\$000
FY 2002 ESTIMATE	41	3,391	6	964	10	915	34	2,700
FY 2003 ESTIMATE	41	3,510	6	546	8	610	35	3,000
FY 2004 ESTIMATE	42	3,660	6	546	8	235	36	4,000

STRATEGIC GOALS: PUBLIC IMPACT; FOCUSED, FIRST-CLASS SCIENCE; AND MANAGEMENT EXCELLENCE

Federal Resource Summary by Performance Objective

Performance Objective	FY 2003		FY 2004		Change	
	FTE	\$000	FTE	\$000	FTE	\$000
Public Impact:						
Expand a national outreach effort	0	12	0	12	0	0
Increase the access of Smithsonian audiences to high-quality education resources	1	61	1	63	0	2
Focused, First-Class Science:						
Conduct focused scientific research programs recognized for their quality, relevance, and high performance	25	2,281	26	2,342	1	61
Management Excellence:						
Strengthen a stakeholder-focused performance orientation	5	265	5	271	0	6
Bring financial management systems and functions up to date	3	217	3	279	0	62
Complete the construction of new facilities	1	62	1	64	0	2
Execute an aggressive, long-range facilities maintenance and revitalization program	5	550	5	565	0	15
Ensure optimal safety and protection of facilities, collections, visitors, staff, and volunteers.	1	62	1	64	0	2
Total	41	3,510	42	3,660	1	150

BACKGROUND AND CONTEXT

The Smithsonian Environmental Research Center (SERC) is dedicated to meeting the global challenge for improved stewardship of the biosphere through long-term, large-scale analysis of human impact in the coastal zone. SERC research has clear relevance to societal needs and issues of environmental management and human impact because of its integrative, multi-disciplinary approach, further emphasized because 70 percent of the world's population resides in the coastal zone. SERC provides answers to environmental questions through data, analysis, publications, and expert consultation in support of conservation, environmental policy, and management of natural resources.

To achieve the Institution's goal of Public Impact, SERC's public education and outreach program interprets and presents SERC's scientific research to diverse public audiences, which include school children and science teachers, students and visiting scientists developing professional careers in the environmental sciences, and the general public. To achieve the goal of Focused, First-Class Science, SERC utilizes its unique site on the shore of Chesapeake Bay and other sites including the Smithsonian Marine Science Network to investigate the ecological interconnections of aquatic, terrestrial, and atmospheric components of complex landscapes, with comparative studies at regional, continental, and global scales. To accomplish Management Excellence, SERC will improve management of research and education programs, update management systems and functions, advance construction of its long-term Facilities Master Plan, execute modernized maintenance of facilities, and ensure safety and protection of staff, fellows, volunteers, and visitors.

MEANS AND STRATEGY

To achieve the goal of Public Impact, SERC will offer public education and outreach programs to approximately 10,000 school children per year at its Chesapeake Bay site. Most SERC education programs are teacher-led activities that develop science curricula and empower teachers in the environmental sciences. SERC is also actively developing and presenting an array of distance learning capabilities, including electronic field trips for students across the nation, webpages to support science curricula and provide scientific background information on environmental issues, and interactive video conferencing. SERC outreach also includes lecture series, workshops, and expert consultation for the public, teachers, and natural resource managers and legislators. To train the next generation of environmental scientists and managers, SERC conducts a nationally recognized professional training program for university interns, graduate

students, postdoctoral fellows, and visiting scientists, with a particular focus on developing careers of under-represented minorities.

To meet the goal of Focused, First-Class Science, SERC will use its invaluable 2,700-acre site on the Chesapeake Bay, where its scientists investigate the interconnections of aquatic, terrestrial, and atmospheric components of complex landscapes. SERC develops innovative approaches and instrumentation to measure environmental change in four ecological levels: global change, landscape ecology, ecology of coastal ecosystems, and population and community ecology, and has developed unique long-term and experimental datasets on environmental change. SERC is also a participant in the development of the Smithsonian's unique Marine Science Network of sites along the western Atlantic Ocean for comparative coastal studies, and in the use of Smithsonian long-term field stations to assess ecological patterns and processes. Over its 37-year history, SERC has built a reputation of world-class research, producing many articles that are rich in data and multi-disciplinary and integrative in analysis.

Building on existing strengths and unique programs, SERC seeks to enhance its highly successful ongoing research on the following topics: land-sea linkages of ecosystems, landscape ecology of coastal watersheds, estuarine ecology, invasive species (especially in coastal ecosystems), global change impacts on biotic and chemical interactions, biocomplexity of structure and processes in key ecosystems, and community and population ecology. Over the next five years, SERC research on coastal marine ecology will focus on four key, interrelated areas: the structure and dynamics of marine food webs, the integrity and biodiversity of crucial marine ecosystems, linkages of ecosystems at the land-sea interface, and ecological regulation of marine biodiversity. SERC seeks to expand its expertise in the ecology of microbial processes, which dominate biogeochemical interactions in the environment. To implement these goals SERC will link its research with national and international research networks and enhance the Marine Science Network. SERC is also developing scientific and technological capabilities in analytical chemistry, remote sensing, and instrumentation.

To address the goal of Management Excellence, SERC will link its strategic plans to the elements of the Institution's plan as they emerge from the Smithsonian's Science Commission. SERC is improving its management of research and education programs through operation of a system of committees in administration services, research execution, education programming, information technology, fellowship and internship programs, and scientific technical services. SERC will improve services and infrastructure, focusing on contracting, accounting and financial projections through training and use of new software systems, and increased

coordination and communication with the Institution's central administrative offices. SERC will ensure safety and protection of volunteers, staff, and visitors by sustaining its excellent program of supervised inspections and staff involvement.

STRATEGIC GOALS AND FY 2004 ANNUAL PERFORMANCE GOALS

Public Impact

Expand a national outreach effort (0 FTEs and \$12,000)

- Enhance SERC's webpage on its education and science programs
- Maintain participation of minorities and underrepresented communities in training programs, on-site visits and distance learning programs at current levels or better

Increase the access of Smithsonian audiences to high-quality education resources (1 FTE and \$63,000)

- Sustain current level of on-site visits by school children, teachers, professional scientists, natural resource managers, and the general public
- Continue teacher training workshops at the current level
- Develop distance learning programs to interpret SERC's environmental research for students, teachers, and the general public

Focused, First-Class Science

Conduct focused scientific research programs recognized for their quality, relevance, and high performance (26 FTEs and \$2,342,000)

- Maintain data acquisition for SERC's unique long-term data sets in seven areas (species composition and population dynamics, estuarine water quality, flow of nutrients, invasive species, atmospheric increase in CO₂, ultraviolet radiation, and biocomplexity of mangrove forest ecosystems)
- Enhance highly successful environmental research funded by competitive external grants and contracts on land-sea linkages, landscape ecology, invasive species, global change, biocomplexity, community and population ecology, coastal marine and estuarine ecology, and microbial ecology
- Link and coordinate SERC research with national and international research networks, as well as governmental agencies
- Develop and enhance technological approaches for analytical chemistry, remote sensing, and molecular biology
- Sustain high quality professional training for the next generation of scientists and natural resource managers, with emphasis on career development for under-represented minorities

Management Excellence

Strengthen a stakeholder-focused performance orientation (5 FTEs and \$271,000)

- Link SERC's strategic plans to elements of the Institution's plan as they emerge from the Smithsonian's Science Commission
- Improve SERC management of research and education programs with input from a system of unit committees
- Sustain and improve management and services for SERC's high level of external grants and contracts

Bring financial management systems and functions up to date (3 FTEs and \$279,000)

- Train 100% of staff responsible for financial, budget, and procurement transactions to implement the first phase of the Institution's Enterprise Resource Planning System
- Improve coordination with Offices of Sponsored Projects, Development, and Fellowships
- Improve personnel management through timely and improved staff recruitment and performance evaluations

Complete the construction of new facilities (1 FTE and \$64,000)

- Sustain implementation of SERC's long-term Facilities Master Plan, with focus on completing dormitory and visitor housing

Execute an aggressive, long-range facilities modernization program (5 FTEs and \$565,000)

- Coordinate SERC facilities maintenance and repairs with OFEO operations
- Improve and expand contracted maintenance services.

Ensure optimal safety and protection of facilities, as well as visitors, staff, and volunteers (1 FTE and \$64,000)

- Sustain SERC's excellent program of supervised safety inspections and staff involvement through effective informal training

FY 2004 REQUEST – EXPLANATION OF CHANGE

The FY 2004 budget estimate includes an increase of 1 FTE and \$56,000 to enhance SERC's scientific computing capability, as follows:

- (+ \$56,000, +1 FTE) This increase is required to hire one additional scientist to develop and implement the Smithsonian Environmental Research Center Research Data Collection Information System that will enable shared access of databases via the World Wide Web.

If the increase is not provided, SERC's ability to manipulate and share data from its extensive and large long term data sets will be diminished.

FUNCTIONAL DETAIL OF FY 2004 REQUEST

The following table provides detail of the programs and functions to be carried out by the Smithsonian Environmental Research Center in FY 2004:

SMITHSONIAN ENVIRONMENTAL RESEARCH CENTER

Detail of Base Resources By Function

	FY 2002		FY 2003		FY 2004	
	FTEs	\$ (000's)	FTEs	\$ (000's)	FTEs	\$ (000's)
Education						
Internal to Unit	1	60	1	73	1	73
Subtotal, Education	1	60	1	73	1	73
Research						
Eco Dynamics	13	1,058	13	1,099	13	1,099
Human Interactions	12	1,004	12	1,040	12	1,040
Science Services	-	140	-	129	-	130
Information Technology	-	12	-	13	-	12
Subtotal, Research	25	2,214	25	2,281	25	2,281
Facilities	7	650	7	673	7	673
Information Technology	-	1	-	1	-	1
Subtotal, Facilities	7	651	7	674	7	674
Information Technology	-	-	3	217	4	273
Finance/General Administration						
Finance	1	69	1	66	1	66
Secretary	1	32	1	51	1	51
Travel Assistant	1	56	1	55	1	55
Information Technology	3	222	-	-	-	-
Office Clerks	2	87	2	93	2	93
Subtotal, Finance/General Administration	8	466	5	265	5	265
Subtotal, Functional Categories	41	3,391	41	3,510	42	3,566
Necessary Pay	-	-	-	-	-	94
GRAND TOTAL	41	3,391	41	3,510	42	3,660

SMITHSONIAN TROPICAL RESEARCH INSTITUTE

	APPLICATION OF OPERATING RESOURCES							
	FEDERAL APPROPRIATIONS		GENERAL TRUST		DONOR/SPONSOR DESIGNATED		GOV'T GRANTS & CONTRACTS	
	FTE	\$000	FTE	\$000	FTE	\$000	FTE	\$000
FY 2002 ESTIMATE	242	10,691	11	1,191	27	3,314	12	1,600
FY 2003 ESTIMATE	242	11,029	11	827	24	2,150	12	1,000
FY 2004 ESTIMATE	243	11,604	11	827	24	2,150	12	1,000

STRATEGIC GOALS: PUBLIC IMPACT; FOCUSED, FIRST-CLASS SCIENCE; AND MANAGEMENT EXCELLENCE

Federal Resource Summary by Performance Objective

Performance Objective	FY 2003		FY 2004		Change	
	FTE	\$000	FTE	\$000	FTE	\$000
Public Impact:						
Maintain the high caliber of scholarly research and communicate the results	7	264	7	271	0	7
Focused, First-Class Science:						
Conduct focused scientific research programs recognized for their quality, relevance, and high performance	124	6,001	125	6,435	1	434
Management Excellence						
Strengthen a stakeholder-focused performance orientation	111	4,764	111	4,898	0	134
Total	242	11,029	243	11,604	1	575

BACKGROUND AND CONTEXT

The mission of the Smithsonian Tropical Research Institute (STRI) is to increase understanding of the past, present, and future of tropical biodiversity and its relevance to human welfare. Biologists have long recognized that the greatest concentration of biological diversity occurs in the Tropics, and STRI's research seeks to explain the origins of tropical diversity and how it is maintained, including an understanding of how humans have affected tropical biodiversity throughout time. STRI serves the

scientific community by maintaining first-class facilities for tropical studies, mostly in the Republic of Panama where it is the official custodian for the Barro Colorado Nature Monument, which has been continually studied for 80 years. The Institute also provides essential training and research experience for future tropical biologists.

To achieve the goal of Public Impact, STRI will strengthen mechanisms to disseminate the results of its research to lay and professional audiences and will provide content for programs that support science education. STRI will address the goal of Focused, First-Class Science by keeping its leadership position in tropical research through maintaining productivity of its permanent scientific staff, increasing the number of research fellowships, and promoting collaborations with visiting scientists and academic and scientific institutions. Management Excellence will be achieved by streamlining various administrative processes required to maintain a complex institution such as STRI, where employees and visitors work and often live in geographically dispersed and remote tropical locations.

MEANS AND STRATEGY

To achieve the goal of Public Impact by effectively communicating research findings and the relevance of its research programs, STRI will increase the number of publications and conferences given by its staff aimed at its lay and professional audiences including policy makers and the general public. In FY 2004, STRI research will provide the content base for a program that uses technological media to further understanding of the role tropical forests play in global systems. The program is aimed at middle school students and teachers and is supported by the Jason Foundation.

To meet its principal goal of maintaining leadership in tropical research, STRI provides basic support for its staff scientists to conduct projects that will increase knowledge about the tropics and their global implications. These projects frequently span several years, involve collaborators from around the world, and result in publications in peer-reviewed journals. In FY 2004, STRI will strengthen its current research program on microorganisms in tropical soils. These organisms play a crucial role in the survival and growth of forest plants and thereby affect the global carbon cycle. This research fills a critical gap in knowledge of tropical forests and their role in the carbon cycle that is of vital importance to life on Earth.

Most projects at STRI have a geographic component, from projects studying forest dynamics in 50-hectare plots to studies of coral reefs,

mangroves, and seagrasses on the Caribbean coast of Panama. STRI will complete construction of a research station on the Caribbean coast in FY 2003. In FY 2004, STRI will initiate the use of a Geographic Information System (GIS) to organize and visualize data from these and other projects conducted at specific locations.

Another strategy for supporting first-class tropical research at STRI consists of providing visiting scientists and students with the necessary infrastructure and support to base their programs, often supported by the National Science Foundation and other federal or private sources. STRI offers visiting researchers access to protected field sites, logistical support, and the only marine program with laboratory and field facilities in both the Atlantic and Pacific oceans. In FY 2004, STRI visiting scientists will track and study wildlife in the tropical forest on Barro Colorado Island using seven radiotelemetry towers installed throughout the 3,700-acre island.

STRI also participates in the training of the next generation of tropical researchers and aims to increase fellowship support to aspiring scientists, junior scientists and graduate students who have demonstrated potential for careers in its research fields.

To address the goal of Management Excellence, STRI has taken steps to incorporate new technologies to streamline its administrative processes and will continue ongoing efforts to attract and retain the best-qualified workforce to maintain the Institute's leadership position in tropical research. To provide first-class facilities for its scientific staff and visitors will require a continuation of programs to upgrade infrastructure, including the telecommunication network linking STRI sites. A priority in FY 2004 will be to implement STRI's safety and security plans for all facilities.

STRATEGIC GOALS AND FY 2004 ANNUAL PERFORMANCE GOALS

Public Impact

Maintain the high caliber of scholarly research and communicate the results (7 FTEs and \$271,000)

- Increase publications and conferences based on research to more than 52 per year

Focused, First-Class Science

Conduct focused scientific research programs recognized for their quality, relevance, and high performance (125 FTEs \$6,435,000)

- Maintain core at current level of 35 productive scientists, fellows, and visiting researchers who will publish their results in 75 peer-reviewed journals

- Increase number of applicants for fellowships by 25%
- Maintain number of visiting researchers at current level of 500 annually
- Begin soil microorganism studies
- Implement GIS to integrate data from at least 3 research projects

Management Excellence

Strengthen a stakeholder-focused performance orientation (111 FTEs and \$4,898,000)

- Implement new Security and Safety Plan at STRI facilities

FY 2004 REQUEST – EXPLANATION OF CHANGE

The FY 2004 budget estimate includes an increase for STRI of 1 FTE and \$265,000 in support of a Geographic Information System (GIS), as follows:

- (+ \$265,000, +1 FTE) These base resources are required to deploy, operate, and maintain a GIS for STRI, and to fund one system administrator. The requested funds in FY 2004 will support the purchase of hardware, software, and contractor services.

If the requested increase is not provided, STRI's ability to integrate and reuse scientific data, and make them available to a wider scientific community, will be diminished.

FUNCTIONAL DETAIL OF FY 2004 REQUEST

The following table provides detail of the programs and functions to be carried out by the Smithsonian Tropical Research Institute in FY 2004:

Smithsonian Tropical Research Institute

Detail of Base Resources By Function

	FY 2002		FY 2003		FY 2004	
	FTEs	\$ (000's)	FTEs	\$ (000's)	FTEs	\$ (000's)
Education						
Internal to Unit	6	231	6	237	6	237
Information Technology	1	25	1	27	1	27
Subtotal, Education	7	256	7	264	7	264
Research						
Paleobiology	1	235	1	242	1	242
Biology of Tropical Systems	115	4,795	115	4,968	116	5,231
Human Interaction and Natural Environment	1	143	1	147	1	147
Human Ecology and Cultural Processes	2	242	2	249	2	249
Information Technology	5	393	5	395	5	397
Subtotal, Research	124	5,808	124	6,001	125	6,266
Facilities						
Facilities Maintenance	46	1,817	46	1,872	46	1,870
Information Technology	-	57	-	58	-	60
Subtotal, Facilities	46	1,874	46	1,930	46	1,930
Security						
Security	24	768	24	792	24	791
Information Technology	1	60	1	61	1	62
Subtotal, Security	25	828	25	853	25	853
Information Technology	4	175	4	180	4	180
Finance/General Administration						
Finance	23	774	23	800	23	800
Human Resources	3	108	3	112	3	112
Public Affairs	1	79	1	81	1	81
Information Technology	1	153	1	153	1	153
Director's	5	507	5	523	5	523
Legal	1	82	1	84	1	84
External Affairs	2	47	2	48	2	48
Subtotal, Finance/General Administration	36	1,750	36	1,801	36	1,801
Subtotal, Functional Categories	242	10,691	242	11,029	243	11,294
Necessary Pay	-	-	-	-	-	310
GRAND TOTAL	242	10,691	242	11,029	243	11,604

OUTREACH

	APPLICATION OF OPERATING RESOURCES							
	FEDERAL APPROPRIATIONS		GENERAL TRUST		DONOR/SPONSOR DESIGNATED		GOV'T GRANTS & CONTRACTS	
	FTE	\$000	FTE	\$000	FTE	\$000	FTE	\$000
FY 2002 ESTIMATE	89	8,123	46	7,979	11	3,708	3	2,289
FY 2003 ESTIMATE	89	8,383	44	3,641	13	3,075	3	2,865
FY 2004 ESTIMATE	89	8,625	44	3,641	12	2,989	3	2,420

STRATEGIC GOALS: PUBLIC IMPACT; FOCUSED, FIRST-CLASS SCIENCE; AND MANAGEMENT EXCELLENCE

Federal Resource Summary by Performance Objective

Performance Objective	FY 2003		FY 2004		Change	
	FTE	\$000	FTE	\$000	FTE	\$000
Public Impact:						
Expand a national outreach effort	50	4,940	50	5,074	0	134
Maintain the high caliber of scholarly research and communicate the results	15	1,266	15	1,305	0	39
Increase the access of Smithsonian audiences to high-quality education resources	7	811	7	837	0	26
Have a world-class Web presence	3	289	3	298	0	9
Focused, First Class Science:						
Determine the areas of scientific research in which the Smithsonian excels and focus the Institution's resources	4	319	4	329	0	10
Management Excellence:						
Strengthen a stakeholder-focused performance orientation	8	574	8	592	0	18
Strengthen human capital resources	2	184	2	190	0	6
Total	89	8,383	89	8,625	0	242

BACKGROUND AND CONTEXT

Through a coordinated national outreach program, the Institution expands the presence of the Smithsonian Institution across the nation and exposes the entire country to the rich heritage of the American people. The Smithsonian's outreach activities support community-based cultural and

educational organizations around the country; ensure a vital, recurring, and high-impact Smithsonian presence in all 50 states through the provision of traveling exhibitions and a network of affiliations; increase connections between the Institution and targeted audiences (African American, Asian American, Latino, Native American, and new American); provide kindergarten through college-age museum education and outreach opportunities; enhance K-12 science education programs; facilitate the Smithsonian's scholarly interactions with students and scholars at universities, museums, and other research institutions; and publish and disseminate books related to the research and collections strengths of the Institution.

This line item includes the programs under the Office of National Programs that provide the critical mass of Smithsonian outreach activity: the Smithsonian Institution Traveling Exhibition Service (SITES), the Smithsonian Center for Education and Museum Studies (SCEMS), and Smithsonian Affiliations. The Smithsonian Associates (TSA), which receives no federal funding, is also part of this national outreach effort. This line item also includes the National Science Resources Center (NSRC), Office of Fellowships (OF), and Smithsonian Institution Press (SIP).

MEANS AND STRATEGY

To help achieve the goal of Public Impact, the units under this line item will direct resources to the following activities:

Smithsonian Traveling Exhibition Service - SITES is directing a portion of its resources to complete the production of alternative-format traveling exhibitions that will result in expanded visitor attendance, geographic distribution, and opportunities to serve diverse population groups. Central to these objectives are SITES' mobile museums, which reach far greater numbers of places and people than museums and other community institutions can accommodate. Two mobile museum exhibitions will launch multi-year national tours in FY 2004. One, *Smithsonian Across America: A Celebration of National Pride*, will include 40 artifacts representing historical events, landmark discoveries, and cultural attributes that reflect the nation's strength and vitality. SITES' other mobile museum project, *American Legacies*, will focus on the ordinary objects of everyday life that reaffirm the Smithsonian's role as keeper of the nation's shared cultural heritage: sports pennants, campaign buttons, historic lunch boxes, antique toys, television and movie props, and multi-lingual store-front and street signs, among other artifacts.

The Smithsonian's commitment to public impact and underserved audiences also is strengthened by SITES' *Museum on Main Street (MoMS)* program, which circulates exhibitions to rural communities across the country. In FY 2004, an exhibition about American Indian code talkers will join five *MoMS* shows already on the road, increasing from 31 to 43 the number of states included in the program and adding 24 small towns to the 380 that have hosted a *Museum on Main Street* exhibition so far.

The new, but more conventional exhibitions in the SITES program for FY 2004 also support the Smithsonian's Public Impact goal and the Institution's objective to respond more fully to America's diverse population groups. *Sevruquin and the Persian Image*, *Mohawk Ironworkers Build*, a bilingual (English-Spanish) ecology exhibition entitled *The Magic Web*, and *African Americans in the Military* will begin their national tours in FY 2004. Four other exhibitions will begin touring in FY 2004, including *United We Stand* and *From Turbines to Tupperware* from the National Museum of American History, *Historic Aviation Posters* from the National Air and Space Museum, and *In Search of Giant Squids* from the National Museum of Natural History. Once launched, these exhibitions will join 40 others already on the road.

Smithsonian Affiliations - To achieve the Institution's goal of Public Impact, Smithsonian Affiliations will continue to utilize its staffing resources to reach Americans where they live. Working under the umbrella of the Office of National Programs and with museums and units throughout the Institution, Affiliations will facilitate and increase partner relationships with museums across the country, enabling the negotiation of Smithsonian objects to be shared and encouraging the sharing of memorable stories and educational opportunities connected with our nation's scientific, artistic, and cultural heritage.

Smithsonian Center for Education and Museum Studies – To achieve the Institution's goal of Public Impact, SCEMS will continue to forge partnerships with national and regional associations in order to identify the current needs and interests of educators and museum professionals and to help design Smithsonian programs and resources accordingly.

In 2004, SCEMS will complete a three-year program with Montgomery County Public Schools to train a teaching team from every elementary school in the county. The focus will be on using museum resources to teach American history. SCEMS will increase the use of Smithsonian programs, services, and resources by disseminating them broadly via the Internet and print publications. The SCEMS periodical publication *Smithsonian in Your Classroom* will be sent to every elementary

and middle school library in the country. SCEMS will build larger audiences for its websites by improving their usability, increasing cross traffic, and implementing strategic outreach to potential website visitors.

To achieve the goal of Management Excellence, SCEMS will improve the quality of Smithsonian websites and publications by collaborating with education units to develop standards/guidelines. SCEMS will conduct the annual survey of education at the Smithsonian, using the data to provide ongoing analysis of education programs, offer training to Smithsonian staff in strategic planning for education, and develop and implement a system for evaluating the relevance and effectiveness of the programs. SCEMS will also promote learning and discussion within the Smithsonian community through forums, Institution-wide steering committees, informal exchanges, internship programs, and collaborative projects.

Smithsonian Institution Press - To achieve the goal of Public Impact, SIP will ensure that publications are well written, of exceptional scholarly quality, and accessible to general readers. To meet the goal of Focused, First-Class Science, SIP will publish research findings on studies in which the Institution has made world-class research contributions.

Office of Fellowships – To achieve the goal of Public Impact, OF will actively promote research fellowship opportunities at the Smithsonian through various media, publications, and on-site visits. To ensure continued Management Excellence, OF will continue to manage all phases of stipend appointments in the Institution.

National Science Resources Center – To achieve the goal of Public Impact, NSRC will enhance science education programs in school districts serving 15 percent of the nation’s student population by providing access to NSRC’s K-8 science curriculum units.

STRATEGIC GOALS AND FY 2004 ANNUAL PERFORMANCE GOALS

Public Impact

Expand a national outreach effort (50 FTEs and \$5,074,000)

- Complete and launch multi-year national tours of two mobile museum exhibitions, increasing by 150 the number of locations to which SITES shows can travel and by 500,000 the number of people who visit the exhibitions
- Complete and launch multi-year tour of new *Museum on Main Street* exhibition for rural communities, increasing by 24 small towns and 12 states the number of locations that participate in the *MoMS* program

- Complete and launch multi-year national tours of four new exhibitions that address culturally diverse audiences
- Complete and launch multi-year national tours of two American history exhibitions, one aviation history exhibition, and one exhibition highlighting the Smithsonian's scientific research
- Continue to extend the Affiliations program into all 50 states (16 remaining)
- Build ten new partnerships with targeted cultural and educational organizations
- Maintain level of student population served by school districts using K-8 science curriculum units at 15% or better

Maintain the high caliber of scholarly research and communicate the results (15 FTEs and \$1,305,000)

- Conduct an internal and external peer review of all manuscripts before publication by SIP to ensure quality of scholarly content
- Conduct extensive copy-editing on all such manuscripts to ensure that they are well written and accessible to general readers
- Place advertisements in scientific journals and other newsletters announcing research opportunities at the Institution
- Publish and distribute the publication *Smithsonian Opportunities for Research and Study* and SI Fellowship Program posters to universities, colleges, and other research and academic institutions
- Conduct at least two trips to colleges and universities to interact with students and faculty regarding research activities at the Smithsonian

Increase the access of Smithsonian audiences to high-quality education resources (7 FTEs and \$837,000)

- Provide 20,000 educators and museum professionals from all 50 states with access to Smithsonian education resources through professional development workshops and online training
- Provide Smithsonian education resources to 80,000 schools on a regular basis

Have a world-class Web presence (3 FTEs and \$298,000)

- Increase number of SCEMS website visitor sessions to 3 million

Focused, First-Class Science

Determine the areas of scientific research in which the Smithsonian excels and focus the Institution's resources (4 FTEs and \$329,000)

- Make available on the Web abstracts of all publications in SIP's series of scholarly research monographs (*Smithsonian Contributions and Studies Series Program*) and make available a select number of full-text publications

Management Excellence

Strengthen a stakeholder-focused performance orientation (8 FTEs and \$592,000)

- Develop education website standards benchmarked against national or industry best practices
- Complete 2003 Smithsonian-wide education survey as part of 5-year Strategic Plan and FY 2003 Performance Plan
- Continue to review all fellowship stipend appointments to ensure that they are awarded according to Smithsonian and federal regulations

Strengthen human capital resources (2 FTEs and \$190,000)

- Provide training on strategic planning to 25 Smithsonian education units
- Provide six professional development opportunities for Smithsonian staff to meet unit-training and human-capital development goals

COMMUNICATIONS

	APPLICATION OF OPERATING RESOURCES							
	FEDERAL APPROPRIATIONS		GENERAL TRUST		DONOR/SPONSOR DESIGNATED		GOV'T GRANTS & CONTRACTS	
	FTE	\$000	FTE	\$000	FTE	\$000	FTE	\$000
FY 2002 ESTIMATE	16	1,617	21	2,788	0	243	0	25
FY 2003 ESTIMATE	15	1,356	21	3,174	0	89	0	0
FY 2004 ESTIMATE	15	1,391	21	3,167	0	72	0	0

STRATEGIC GOALS: PUBLIC IMPACT; FOCUSED, FIRST-CLASS SCIENCE; AND MANAGEMENT EXCELLENCE

Federal Resource Summary by Performance Objective

Performance Objective	FY 2003		FY 2004		Change	
	FTE	\$000	FTE	\$000	FTE	\$000
Public Impact:						
Expand a national outreach effort	4	415	4	428	0	13
Have the highest quality, state-of-the-art visitors' services	5	435	5	445	0	10
Focused, First-Class Science:						
Strengthen capacity and establish preeminence in science research centers of excellence	1	44	1	46	0	2
Management Excellence:						
Enhance relations with the press, mass media, and federal, state, and local governments.	5	462	5	472	0	10
Total	15	1,356	15	1,391	0	35

BACKGROUND AND CONTEXT

The Office of Communications comprises two departments: the Office of Public Affairs (OPA) and the Visitor Information and Associates' Reception Center (VIARC).

The Office of Public Affairs coordinates and oversees public relations for the Smithsonian in conjunction with museums, research centers, and offices to help insure a consistent and accurate message. OPA develops programs to advance the Institution's objectives and acquaints the public

with research, exhibitions, public programs, and other activities of the Smithsonian by working with the news media and by issuing informational materials.

The Visitor Information and Associates' Reception Center seeks both to broaden the public's knowledge, appreciation, and enjoyment of the Smithsonian and to facilitate and promote participation in its programs and activities. VIARC advances the goals of Focused First-Class Science through the provision of behind-the-scenes volunteers who assist staff in performing their research.

MEANS AND STRATEGY

To help achieve the goal of Public Impact, the Office of Communications will increase relationships with minority groups through targeted radio and print advertising and publication of brochures for visitors and researchers. Ethnic media will be used to reach these targeted groups—Latinos, African Americans, Asian Pacific Americans, and Native Americans—with story ideas related to their communities and about the Smithsonian in general. VIARC also advances this goal by disseminating information on public programs, exhibitions, events, and collections. This is accomplished by maintaining content responsibility for four segments of the Smithsonian website (Visitor Information, Events, Exhibitions, and Encyclopedia Smithsonian); 7-day year-round operation of the Smithsonian Information Center; recruitment, training, scheduling, and supervision of volunteer information specialists at museum information desks; operation of public inquiry mail and telephone information services; and outreach to local, national, and international tour and travel industry.

VIARC advances the goal of Focused, First-Class Science through the provision of behind-the-scenes volunteers who assist staff in performing their research. Behind-the-Scene Volunteer program staff place volunteers throughout the Institution by matching skills, knowledge, interests, and availability with project requirements. Volunteer assignments range from clerical tasks to highly complex research, conservation, and technical work.

To meet the goal of Management Excellence, the Office of Communications responds to all media inquiries in a timely (same-day) manner with accurate, concise information and initiates story ideas to the media about Smithsonian exhibitions, research, and programs.

STRATEGIC GOALS AND FY 2004 ANNUAL PERFORMANCE GOALS

Public Impact

Expand a national outreach effort (4 FTEs and \$428,000)

- Increase contact with new Americans and ethnic groups through six local radio stations, print advertising and brochures
- Contact local ethnic media to reach targeted groups with story ideas related to their communities and about the Smithsonian

Have the highest quality, state-of-the-art visitors' services (5 FTE's and \$445,000)

- Continue to provide accurate and timely information on events, activities, and exhibitions through 14 information desks and the Telephone Information desk
- Update visitor information at least once daily
- Recruit up to 90 new volunteers in FY 2004
- Keep the VIARC sections of the Smithsonian website updated and accurate

Focused, First-Class Science

Strengthen capacity and establish preeminence in science research centers of excellence. (1 FTE and \$46,000)

- Recruit approximately 550 Behind-the-Scene Volunteers in FY 2004 to assist Smithsonian units in performing research

Management Excellence

Enhance relations with the press, mass media, and federal, state, and local governments. (5 FTEs and \$472,000)

- Respond to approximately 500 media inquiries per day in a timely manner (usually the same day) with accurate, concise information

INSTITUTION-WIDE PROGRAMS

	APPLICATION OF OPERATING RESOURCES							
	FEDERAL APPROPRIATIONS		GENERAL TRUST		DONOR/SPONSOR DESIGNATED		GOV'T GRANTS & CONTRACTS	
	FTE	\$000	FTE	\$000	FTE	\$000	FTE	\$000
FY 2002 ESTIMATE	0	5,506	0	0	0	0	0	0
FY 2003 ESTIMATE	0	6,006	0	0	0	0	0	0
FY 2004 ESTIMATE	0	6,256	0	0	0	0	0	0

STRATEGIC GOALS: PUBLIC IMPACT; FOCUSED, FIRST-CLASS SCIENCE; AND MANAGEMENT EXCELLENCE

Federal Resource Summary by Performance Objective

Performance Objective	FY 2003		FY 2004		Change	
	FTE	\$000	FTE	\$000	FTE	\$000
Public Impact:						
Expand a national outreach effort	0	996	0	1,246	0	250
Focused, First-Class Science:						
Conduct focused scientific research programs recognized for their quality, relevance, and high performance	0	1,706	0	1,706	0	0
Management Excellence:						
Bring information technology systems and functions up to date	0	3,304	0	3,304	0	0
Total	0	6,006	0	6,256	0	250

BACKGROUND AND CONTEXT

In 1993, Congress approved and permitted the Smithsonian to reallocate funds to create two Institution-wide funding programs: one to support the units' needs for state-of-the-art research equipment, and the other to address information technology needs across the Institution systematically. In FY 1995, the Institution first received funds to support the development of a third Institution-wide program, this one for Latino initiatives, including research, collections acquisitions, exhibitions, and educational programming.

Institution-wide programs consist of the following pools: Latino Initiatives pool, Research Equipment pool, and Information Resources Management (IRM) pool.

MEANS AND STRATEGY

To achieve the goal of Public Impact, the Latino Initiatives pool provides seed money to support collections, research, exhibitions, and educational programs highlighting U.S. Latino contributions to science, history, art, music, and culture. The funded programs will enhance public understanding of Latino contributions, reflect the diversity of the American people, and reach new or previously underserved audiences. The Institution has \$996,000 in its current base for these initiatives. These funds are dispersed annually to Smithsonian units on a competitive basis, with an emphasis on projects with the potential to attract matching and, ultimately, sustaining funds from nonappropriated sources.

The goal of Focused, First-Class Science will be addressed by providing funds from the Research Equipment pool to purchase state-of-the-art equipment to perform cutting-edge scientific research or for equipment required to carry out historical research and conservation projects. The Research Equipment pool continues to be essential for the science units and research departments of the museums to replace outdated research equipment with new technology or to replace standard equipment that is broken or has outlived its usefulness. The current base funding for the research equipment pool is \$1,706,000. The federal base is often leveraged with external support, multiplying the funds available.

In FY 2004, the goal of Management Excellence will be addressed by primarily focusing Information Resources Management (IRM) pool resources on upgrades and enhancements to the Smithsonian's information technology infrastructure, enhancements to the applications and data content of Collections Information Systems in the museums, and making the content available to the public via the Web.

The base amount for the IRM pool is \$3,304,000. In FY 2004, the Institution proposes to use \$1,846,000 of this amount to support the Management Information Technology Infrastructure initiative, which is justified under the Administration line item. Annual performance goals related to this portion of the IRM pool funds are also included there.

STRATEGIC GOALS AND FY 2004 ANNUAL PERFORMANCE GOALS

Public Impact

Expand a national outreach effort (\$1,246,000)

- Conduct a formal evaluation process for each program funded from the Latino pool in FY 2004
- Establish baseline data to determine if under-served audiences are being reached in FY 2004 by Latino-pool funded initiative

Focused, First-Class Science

Conduct focused research programs recognized for their quality, relevance, and high performance (\$1,706,000)

- Increase technological capability through securing cutting edge instrumentation to meet the highest priority needs across the Institution
- Upgrade and centralize molecular biology equipment that serves over 50 researchers in Smithsonian science centers in the Washington DC area
- Increase the capacity to digitize and make available a wide range of archival documents including photographs and increase access to these documents to researchers around the world via the Web

Management Excellence

Bring information technology systems and functions up to date (\$3,304,000)

- Enhance Smithsonian Collection Information Systems and make the data content available to the public through the Web

FY 2004 REQUEST – EXPLANATION OF CHANGE

The FY 2004 budget estimate includes an increase of \$250,000 for the Latino Initiatives pool as follows:

- (+ 250,000) - This increase will allow the Smithsonian to continue and increase support for research, collections, public and educational programs, and exhibitions that will generate and advance knowledge and understanding of the contributions of Latinas and Latinos to U.S. history, culture, arts, music, and science at a national level. A new awareness is evident at the Smithsonian of the need to ensure diversity and equity by the inclusion of Latino perspectives, and of the opportunities inherent in such diversity. Latinos are the nation's fastest-growing minority and, consequently, the Smithsonian's potentially largest new constituency. Latino scholars, writers, scientists, and artists are making extraordinary contributions to our common fund of knowledge and culture. By expanding the funding base, the Latino

Initiatives pool will be able to fund projects that are usually under-funded and also fund additional worthy projects that reach a national audience. *Corridos Sin Fronteras* produced by SITES, and *El Rio* produced by Center for Folklife and Cultural Heritage, are good examples of projects funded by the Latino Initiatives pool that educate Latinos and non-Latinos about the diversity of Latino culture. Expanding the funding base will also allow the production of more virtual and traveling exhibits, public programs and offer more opportunities for participants in fellowship programs throughout the United States.

In response to the FY 2002 Call for Proposals, 32 proposals were submitted for consideration with support ranging from \$5,000 to \$150,000. Of the proposals submitted, only 20 were funded; the amount of funding ranged from \$5,000 to \$80,000 covering initiatives in the sciences and humanities.

If the FY 2004 request is not allowed, there will be a negative impact on the Institution's ability to fund worthy proposals at sufficient levels to accomplish our goals of enhancing Latino programs. This in turn will impede the Institution's ability to expand its national outreach to underserved audiences.

OFFICE OF EXHIBITS CENTRAL

	APPLICATION OF OPERATING RESOURCES							
	FEDERAL APPROPRIATIONS		GENERAL TRUST		DONOR/SPONSOR DESIGNATED		GOV'T GRANTS & CONTRACTS	
	FTE	\$000	FTE	\$000	FTE	\$000	FTE	\$000
FY 2002 ESTIMATE	35	2,494	2	148	0	0	0	0
FY 2003 ESTIMATE	35	2,588	2	148	0	0	0	1
FY 2004 ESTIMATE	35	2,673	1	118	0	20	0	0

STRATEGIC GOALS: PUBLIC IMPACT AND MANAGEMENT EXCELLENCE

Federal Resource Summary by Performance Objective

Performance Objective	FY 2003		FY 2004		Change	
	FTE	\$0	FTE	\$0	FTE	\$0
Public Impact:						
Offer compelling, first-class exhibitions	31	2,341	31	2,416	0	75
Management Excellence:						
Strengthen a stakeholder-focused performance orientation	4	247	4	257	0	10
Total	35	2,588	35	2,673	0	85

BACKGROUND AND CONTEXT

The mission of the Office of Exhibits Central (OEC) is to provide comprehensive exhibition services to the Smithsonian Institution and the larger museum community so they can provide compelling, high quality, cost-effective exhibitions that connect the American people to their history and cultural and scientific heritages.

To achieve the goal of Public Impact, OEC will expand its project management capability to ensure a more coordinated, full-service, and cost-effective approach to exhibit production. OEC will increase the amount of unique work done in house, outsource more production-oriented work, and broaden its collaborations with other Smithsonian units. To achieve the goal of Management Excellence, OEC will ensure that its cost reimbursement

process is fair, reasonable, and sound and will measure progress through feedback from customers.

MEANS AND STRATEGY

As the Smithsonian's most comprehensive exhibition producer, OEC is dedicated to providing its Smithsonian clients with first-class exhibition design, editing, production, and installation services, often at significantly lower cost than commercial alternatives. Each year OEC designs and produces over 100 projects, large and small, for almost every office and museum in the Smithsonian. The Smithsonian Institution Traveling Exhibition Service (SITES) continues to be OEC's largest client.

The majority of OEC resources will be focused on accomplishing the goal of Public Impact by

- Improving the quality of exhibition design, production, and installation services
- Increasing and maintaining staff knowledge and expertise in state-of-the-art technology, techniques, and advances in the exhibit field, and upgrading equipment to support emerging trends
- Improving our exhibit process

To accomplish these objectives OEC will outsource more of the routine, repetitive non-exhibit work to private contractors, thus freeing up OEC staff with specialized experience to concentrate on exhibit projects that require unique skills. OEC will also build on well-established, collaborative relationships with other Smithsonian design and production units, and will expand existing relationships and develop new ones with the many private exhibition design and production companies available today. These efforts will be carried out through our new Project Management Office. Additional results will be a more informed and expert staff through increased funding for training, increased digital output from our graphics services by allocating resources to modernize our Graphic production equipment, and an improved object preparation and storage facility.

OEC has two objectives that support the Institutional goal of Management Excellence:

- Providing leadership, technical advice, and guidance to staff and the museum community
- Improving administrative management functions in human resources, budget execution and fiscal data management, and procurement

STRATEGIC GOALS AND FY 2004 ANNUAL PERFORMANCE GOALS

Public Impact

Offer compelling, first-class exhibitions (31 FTEs and \$2,416,000)

- Expand OEC consultation and exhibit planning services by 10% over FY 2001 levels
- Increase percentage of in-house work devoted to comprehensive, expert exhibit services by 10% over FY 2001 levels
- Expand services through insourcing with Smithsonian units and outsourcing with private industry by 10% over FY 2001 levels
- Expand exhibition installation service by 25% over FY 2001 levels
- Increase staff hours devoted to learning new ideas and concepts and professional development by 10% over FY 2002 levels
- Expand and improve project management capability and resources by 10% over FY 2002 levels
- Develop and implement customer survey of programmatic services to rate satisfaction with quality and timeliness of services by the end of FY 2004

Management Excellence

Strengthen a stakeholder-focused performance orientation (4 FTEs and \$257,000)

- Highlight the strategic plan, annual performance plan, mission, and vision of OEC and the Smithsonian at monthly staff meetings and weekly unit meetings
- Actively support the diversity goals of the Institution, including aiming to increase Latino initiatives, such as internships, by 10% over FY 2001 levels
- Develop and implement a customer survey for administrative area by the end of FY 2004
- Develop and implement staff and project resource tracking system by FY 2004

FUNCTIONAL DETAIL OF FY 2004 REQUEST

The following table provides detail of the programs and functions to be conducted by the Office of Exhibits Central in FY 2004:

OFFICE OF EXHIBIT CENTRAL

Detail of Federal Base Resources By Function

	FY 2002		FY 2003		FY 2004	
	FTEs	\$ (000's)	FTEs	\$ (000's)	FTEs	\$ (000's)
Exhibitions						
Exhibit Production	31	2,242	31	2,321	31	2,321
Information Technology	-	30	-	20	-	20
Subtotal, Exhibitions	31	2,272	31	2,341	31	2,341
Finance/General Administration						
Finance	2	56	2	97	2	97
Human Resources	2	111	2	130	2	130
Information Technology	-	55	-	20	-	20
Subtotal, Finance/General	4	222	4	247	4	247
Subtotal, Functional Categories	35	2,494	35	2,588	35	2,588
Necessary Pay	-	-	-	-	-	85
GRAND TOTAL	35	2,494	35	2,588	35	2,673

MAJOR SCIENTIFIC INSTRUMENTATION

	APPLICATION OF OPERATING RESOURCES							
	FEDERAL APPROPRIATIONS		GENERAL TRUST		DONOR/SPONSOR DESIGNATED		GOV'T GRANTS & CONTRACTS	
	FTE	\$000	FTE	\$000	FTE	\$000	FTE	\$000
FY 2002 ESTIMATE	0	6,229	0	0	0	0	0	0
FY 2003 ESTIMATE	0	5,000	0	0	0	0	0	0
FY 2004 ESTIMATE	0	6,000	0	0	0	0	0	0

STRATEGIC GOAL: FOCUSED, FIRST-CLASS SCIENCE

Federal Resource Summary by Performance Objective

Performance Objective	FY2003		FY2004		Change	
	FTE	\$000	FTE	\$000	FTE	\$000
Focused, First-Class Science:						
Conduct focused scientific research programs recognized for their quality, relevance, and high performance	0	5,000	0	6,000	0	1,000
Total	0	5,000	0	6,000	0	1,000

BACKGROUND AND CONTEXT

The mission of the Smithsonian Astrophysical Observatory (SAO) is to conduct research to increase understanding of the origin and evolution of the universe and to communicate this information through publications, teaching, and public presentations.

To maintain the Institution's goal of Focused, First-Class Science, SAO uses its multi-year funding from the Major Scientific Instrumentation line item to develop large-scale instrumentation projects that enable Smithsonian scientists to remain at the forefront of their fields. Currently funded through this line item are two SAO projects: the development of an array of submillimeter telescopes (SMA) and its instrumentation on Mauna Kea, Hawaii, and instrumentation for the converted Multiple Mirror Telescope (MMT) at SAO's Fred L. Whipple Observatory on Mt. Hopkins, Arizona. The FY 2004 increase will exploit SAO's pioneering development of the field of very-high-energy gamma-ray astronomy. Because of the

magnitude of the costs and the time required to fabricate major new instruments and to reconfigure existing ones, the Institution requests funding for these projects to be available until expended.

MEANS AND STRATEGY

FY 2004 base resources will be used to continue work on three sets of receivers for the SMA. These receivers are necessary to allow observations at a key frequency at which the SMA will operate and to allow polarization measurements, both of which provide critical information on properties of the low temperature universe. The SMA currently combines the light from five—out of its final total of eight—submillimeter telescopes, simulating the resolving power of a much larger telescope. One of the first results obtained in FY 2002 was an intricate image of the distribution of carbon monoxide gas throughout the spiral galaxy known as the Whirlpool. While optical images trace the stars in the galaxies, the SMA image highlights the molecular clouds where the next generation of stars is being born.

SAO will also use FY 2004 base resources to continue the development and construction of two key instruments for the converted MMT: Binospec and FLAMINGOS. Binospec is a wide-field optical spectrograph that will allow scientists to study how galaxies have evolved over 75% of the lifetime of the universe. FLAMINGOS is a powerful infrared camera and spectrograph that will allow scientists to observe star-forming regions in our own galaxy and distant galaxies.

The increase requested in FY 2004 will allow SAO to embark on the Very Energetic Radiation Imaging Telescope Array System (VERITAS). In the face of the skepticism of the world astronomical community, SAO astronomers persevered for twenty years and finally succeeded in detecting gamma-rays at energies far higher than anyone had suspected occurred in nature at levels detectable from Earth. VERITAS was ranked by the National Research Council as a priority project in the competitively ranked projects in astronomy and astrophysics for the nation for the first decade of the 21st Century.

STRATEGIC GOALS AND FY 2004 ANNUAL PERFORMANCE GOALS

Focused, First-Class Science

Conduct focused scientific research programs recognized for their quality, relevance, and high performance (0 FTEs and \$6,000,000)

- Produce 5 publications in scholarly books and journals based on the full SMA of 8 antennas

- Complete the preliminary mechanical, optical, and electronic design of MMT's Binospec and, after review, begin the detailed design phase
- Complete the optical design of MMT's FLAMINGOS and the sophisticated electronics required to operate FLAMINGOS's infrared array
- Install second telescope of the VERITAS array and begin integration

FY 2004 REQUEST – EXPLANATION OF CHANGE

The FY 2004 budget estimate includes an increase of \$1,000,000 for the VERITAS project, as follows:

- (+ \$1,000,000) This increase is requested to install and integrate the second of seven ten-meter-diameter imaging telescopes. These telescopes will be capable of pinpointing and studying extraterrestrial sources of gamma rays with unprecedented angular resolution and accuracy. SAO has formed an international consortium of ten institutions to construct and operate VERITAS adjacent to SAO's Fred L. Whipple Observatory south of Tucson, Arizona. SAO has also leveraged its anticipated financial investment for the construction of VERITAS over threefold. Specifically, the Department of Energy, the National Science Foundation, and the British and Irish equivalents of the latter will provide slightly over two-thirds of the approximately \$26 million required for construction. These other agencies will also provide the vast majority of the maintenance and operation costs of VERITAS.

The requested funds will be used to purchase the second VERITAS telescope. With two VERITAS telescopes, the stereoscopic imaging principle of VERITAS can be demonstrated and its strength verified. The costs of this telescope are now firmly based on SAO's experience with the construction of the Prototype telescope that will be completed with DOE/NSF funds. Funds for the camera for the second telescope will also come from DOE/NSF funds. The request includes the following:

- \$450,000 – Fabrication of Positioner
- \$200,000 – Fabrication of the Optical Support Structure
- \$350,000 – Fabrication of 350 Mirror Facets for Telescope

If the FY 2004 requested funding is not provided, SAO may lose its worldwide leadership role in this field, and may also miss a once-in-a-lifetime opportunity to complement the space-based NASA initiative, GLAST (Gamma Ray Large Area Space Telescope). GLAST is a next generation high-energy gamma-ray observatory designed for making observations of celestial gamma ray sources. VERITAS is sensitive to far

higher energy gamma rays than GLAST; the overlap in sensitivities at the low-energy end for VERITAS and the high-energy end for GLAST would yield a unique opportunity to calibrate both instruments, provided both VERITAS and GLAST are in operation simultaneously.

Functional Detail of FY 2004 Request

The attached table provides detail of the programs and functions for Major Scientific Instrumentation in FY 2004:

MAJOR SCIENTIFIC INSTRUMENTATION

Detail of Base Resources By Function

	FY 2002		FY 2003		FY 2004	
	FTEs	\$ (000's)	FTEs	\$ (000's)	FTEs	\$ (000's)
Research						
Submillimeter Telescope Array	-	3,229		2,500	-	2,500
Multiple Mirror Telescope	-	3,000		2,500	-	2,500
VERTAS	-	-	-	-	-	1,000
Subtotal, Research	-	6,229	-	5,000	-	6,000
Subtotal, Functional Categories	-	6,229	-	5,000	-	6,000
Necessary Pay	-	-	-	-	-	-
GRAND TOTAL	-	6,229	-	5,000	-	6,000

MUSEUM SUPPORT CENTER

	APPLICATION OF OPERATING RESOURCES							
	FEDERAL APPROPRIATIONS		GENERAL TRUST		DONOR/SPONSOR DESIGNATED		GOV'T GRANTS & CONTRACTS	
	FTE	\$000	FTE	\$000	FTE	\$000	FTE	\$000
FY 2002 ESTIMATE	45	3,074	0	0	0	0	0	0
FY 2003 ESTIMATE	45	2,469	0	0	0	0	0	0
FY 2004 ESTIMATE	45	2,536	0	0	0	0	0	0

STRATEGIC GOAL: PUBLIC IMPACT

Federal Resource Summary by Performance Objective

Performance Objective	FY 2003		FY 2004		Change	
	FTE	\$000	FTE	\$000	FTE	\$000
Public Impact:						
Build, refine, care for, and manage the national collections	45	2,469	45	2,536	0	67
Total	45	2,469	45	2,536	0	67

BACKGROUND AND CONTEXT

The Museum Support Center (MSC) is the principal off-site conservation and collections storage facility for the National Museum of Natural History's irreplaceable national collections and those of the National Museum of American History. Located in Suitland, Maryland, this state-of-the-art facility houses more than 31 million objects. MSC accommodates collections storage for three general types of media: collections storage in cabinets, open shelving for biological specimens in alcohol, and high bay storage for very large objects, such as totem poles, boats, meteorites, and large mounted mammals.

The facility also houses laboratories for molecular systematics, conservation, and other specialized research. The MSC staff provides administrative, shipping and receiving services; oversees safety and security operations; and maintains strict environmental and cleaning services required for the proper storage of museum collections. The staff

also provides computer support services for administrative, research, and collections management data needs. MSC Move staff technicians inspect objects for pests and conservation problems, clean them, and stabilize them prior to their re-storage at MSC.

MEANS AND STRATEGY

To support the goal of Public Impact, funding will be used to provide more reliable environmental conditions by upgrading environmental control systems; upgrade facilities to meet laboratory requirements for conservation needs; complete the relocation into permanent storage of large mounted mammals and birds currently in leased space; and prepare collections stored in alcohol and other fluids for relocation from the Natural History Building to the MSC.

Included in the Smithsonian's FY 2004 Facilities Capital request is \$22 million to construct MSC's Pod 5 to safely store the Museum's valuable biological collections currently stored in alcohol in the Natural History Building.

STRATEGIC GOALS AND FY 2004 ANNUAL PERFORMANCE GOALS

Public Impact

Build, refine, care for, and manage the national collections (45 FTEs and \$2,536,000)

- Complete the relocation of large mounted mammals and birds now stored in leased space into permanent storage by January 2004
- Prepare the vertebrate, invertebrate, and botanical collections stored in alcohol and fluids for relocation from the Natural History Building to the Museum Support Center
- Complete the installation of oversized artifacts and specimens into permanent storage at the Museum Support Center, including cleaning, pest inspection, stabilization, and construction of storage containers and supports
- Ensure the safety of staff and collections by addressing all recommendations from annual management evaluation and technical reviews, such as fire safety
- Upgrade environmental control systems to provide more reliable environmental conditions
- Install an environmental chamber in the SCMRE laboratory to meet conservation needs

FUNCTIONAL DETAIL OF FY 2004 REQUEST

The following table provides detail of the programs and functions to be conducted by the Museum Support Center in FY 2004:

MUSEUM SUPPORT CENTER

Detail of Base Resources By Function

	FY 2002		FY 2003		FY 2004	
	FTEs	\$ (000's)	FTEs	\$ (000's)	FTEs	\$ (000's)
Collections						
Science Support	-	60	-	60	-	60
Move	20	985	18	1,017	18	1,017
Equipment	-	678	-	-	-	-
Subtotal, Collections	20	1,723	18	1,077	18	1,077
Facilities	19	817	21	848	21	887
Information Technology	1	54	1	55	1	58
Subtotal, Facilities	20	871	22	903	22	945
Information Technology	2	154	2	160	2	166
Finance/General Administration						
Finance	2	283	2	284	2	234
Human Resources	1	43	1	45	1	47
Archives	-	-	-	-	-	-
Subtotal, Finance/General Administration	3	326	3	329	3	281
Subtotal, Functional Categories	45	3,074	45	2,469	45	2,469
Necessary Pay	-	-	-	-	-	67
GRAND TOTAL	45	3,074	45	2,469	45	2,536

SMITHSONIAN INSTITUTION ARCHIVES

	APPLICATION OF OPERATING RESOURCES							
	FEDERAL APPROPRIATIONS		GENERAL TRUST		DONOR/SPONSOR DESIGNATED		GOV'T GRANTS & CONTRACTS	
	FTE	\$000	FTE	\$000	FTE	\$000	FTE	\$000
FY 2002 ESTIMATE	24	1,611	2	264	2	103	0	0
FY 2003 ESTIMATE	24	1,674	2	188	3	210	0	0
FY 2004 ESTIMATE	24	1,731	2	188	3	230	0	0

STRATEGIC GOALS: PUBLIC IMPACT AND MANAGEMENT EXCELLENCE

Federal Resource Summary by Performance Objective

Performance Objective	FY 2003		FY 2004		Change	
	FTE	\$000	FTE	\$000	FTE	\$000
Public Impact:						
Maintain the high caliber of scholarly research and communicate the results	8	556	8	573	0	17
Build, refine, care for, and manage the national collections	13	842	13	870	0	28
Have a world-class Web presence	1	48	1	50	0	2
Management Excellence:						
Bring information technology systems and functions up to date	2	228	2	238	0	10
Total	24	1,674	24	1,731	0	57

BACKGROUND AND CONTEXT

The Smithsonian Institution Archives (SIA) is the institutional memory of a unique American cultural resource and a steward of the national collections.

To achieve the goal of Public Impact, SIA will ensure institutional accountability; enhance public appreciation of a great national treasure; and serve the Smithsonian community, scholars, and the general public by: appraising, acquiring, and preserving the records of the Institution and related documentary materials; establishing policies and providing guidance for management of the national collections; offering a range of reference,

research, and records services; and creating products that promote understanding of the Smithsonian and its history.

MEANS AND STRATEGY

To achieve the goal of Public Impact, SIA will intensify efforts to provide online access to research information; to collaborate fully with units (such as The Smithsonian Associates [TSA], the Smithsonian Center for Education and Museum Services [SCEMS], and the Affiliations Program) that serve broad external audiences; and to set standards and provide support for the Smithsonian collections management community.

SIA will also assure full operation of a preservation laboratory to support the conservation needs of the Smithsonian archival community. Resources will also be dedicated to presentations and publications that focus on the Institution's history as well as accelerated efforts to capture and preserve electronic records (such as websites and email) that are key sources of Institutional information today, and Smithsonian history tomorrow. SIA's website will be redesigned for easier navigation and public access.

To address the goal of Management Excellence, SIA will have operational a world-class electronic records program for the Smithsonian in FY 2004.

STRATEGIC GOALS AND FY 2004 ANNUAL PERFORMANCE GOALS

Public Impact

Maintain the high caliber of scholarly research and communicate the results (8 FTEs and \$573,000)

- Deliver to the Science History Publishers Association Volume 10 (of 11 total) of the *Papers of Joseph Henry*
- Conduct a minimum of 15 public presentations on Smithsonian history
- Support SCEMS by assisting in the creation of at least 1 curriculum package for the K-12 community
- Support Affiliations and TSA by giving at least 2 workshops and 10 lectures
- Increase the Smithsonian Legal History database, initiated in Smithsonian Institution Research and Information System (SIRIS) in 2003, by 12% or 100 records
- Bring online the Legal Documents website, containing 1000 pages, that links to the SIRIS database

Build, refine, care for, and manage the national collections (13 FTEs and \$870,000)

- Review files maintained by the Office of the Treasurer, the Anthropology Department of the National Museum of Natural History, and the Hirshhorn Museum and Sculpture Garden, and create detailed instructions for their disposition
- Digitize 1,000 pages of documents, photographs, and finding aids
- Assist a minimum of 5 units with revisions of their Collections Management Policy
- Establish appraisal and acquisition procedures for all Smithsonian websites
- Move the Collections Management System to new generation of technology
- Establish preservation laboratory for all archival programs of the Smithsonian
- Create cold storage facility for all archival programs of the Smithsonian

Have a world-class Web presence (1 FTE and \$50,000)

- Redesign SIA website to increase visitation by 100,000 over FY 2003 target of 600,000
- Add substantive information to or create 300 new records in SIRIS
- Increase virtual exhibitions and programs by 25%

Management Excellence

Bring information technology systems and functions up to date (2 FTEs and \$238,000)

- Develop standards for description and retention of electronic records having long-term value (including email, collections information systems, word-processed documents, and digital images)
- With the Office of the Chief Information Officer, develop an Institutional standard for electronic records management systems

FUNCTIONAL DETAIL OF FY 2004 REQUEST

The following table provides detail of the programs and functions to be conducted by the Smithsonian Institution Archives in FY 2004:

SMITHSONIAN INSTITUTION ARCHIVES

Detail of Federal Base Resources by Function

	FY 2002		FY 2003		FY 2004	
	FTEs	\$ (000's)	FTEs	\$ (000's)	FTEs	\$ (000's)
Exhibitions						
On-Line Exhibits	-	24	-	-	-	-
Subtotal, Exhibitions	-	24	-	-	-	-
Education						
Internal to Unit	3	156	3	185	3	185
Subtotal, Education	3	156	3	185	3	185
Collections						
Archives Division	5	399	5	407	5	407
Institutional History Division	2	99	2	94	2	94
Technical Services Division	3	125	3	148	3	148
National Collections Program	2	154	2	155	2	155
Preservation	2	98	2	102	2	102
Subtotal, Collections	14	875	14	906	14	906
Research						
Joseph Henry Papers	3	278	3	283	3	283
Subtotal, Research	3	278	3	283	3	283
Finance/General Administration						
Finance	-	66	-	73	-	73
Human Resources	-	36	-	38	-	38
Archives	-	95	-	103	-	103
Information Technology	-	81	-	86	-	86
Subtotal, Finance/General Administration	4	278	4	300	4	300
Subtotal, Functional Categories	24	1,611	24	1,674	24	1,674
Necessary Pay	-	-	-	-	-	57
GRAND TOTAL	24	1,611	24	1,674	24	1,731

SMITHSONIAN INSTITUTION LIBRARIES

	APPLICATION OF OPERATING RESOURCES							
	FEDERAL APPROPRIATIONS		GENERAL TRUST		DONOR/SPONSOR DESIGNATED		GOV'T GRANTS & CONTRACTS	
	FTE	\$000	FTE	\$000	FTE	\$000	FTE	\$000
FY 2002 ESTIMATE	107	8,278	12	1,362	0	445	0	3
FY 2003 ESTIMATE	111	8,488	12	986	0	905	0	0
FY 2004 ESTIMATE	111	8,987	12	962	0	841	0	0

STRATEGIC GOALS: PUBLIC IMPACT; FOCUSED, FIRST-CLASS SCIENCE; AND MANAGEMENT EXCELLENCE

Federal Resource Summary by Performance Objective

Performance Objective	FY 2003		FY 2004		Change	
	FTE	\$000	FTE	\$000	FTE	\$000
Public Impact:						
Offer compelling, first-class exhibitions	1	63	1	64	0	1
Expand a national outreach effort	1	32	1	33	0	1
Maintain the high caliber of scholarly research and communicate the results	20	1,613	20	1,658	0	45
Build, refine, care for, and manage the national collections	65	4,833	65	5,231	0	398
Have a world-class Web presence	1	103	1	105	0	2
Focused First-Class Science:						
Conduct focused scientific research programs recognized for their quality, relevance, and high performance	12	1,005	12	1,032	0	27
Management Excellence:						
Strengthen a stakeholder-focused performance orientation	8	625	8	643	0	18
Bring financial management systems and functions up to date	2	141	2	146	0	5
Bring information technology systems and functions up to date	1	57	1	58	0	1
Promote and maintain a diverse workforce and culture of equal opportunity	0	16	0	17	0	1
Total	111	8,488	111	8,987	0	499

BACKGROUND AND CONTEXT

The Smithsonian Institution Libraries (SIL) was established to support the research, curatorial, and exhibition activities of the Smithsonian Institution by providing and organizing research materials and pertinent information sources. To that end, SIL acquires, structures, and delivers scholarly, scientific, and educational resources and information in all forms, including electronic, and responds to inquiries from government agencies, universities, researchers, and the public worldwide. SIL exhibits and interprets its collections and sponsors educational activities for a broad audience through public programs and publications.

To achieve the goal of Public Impact, SIL will provide high quality, timely information services directly to the Smithsonian community and the public from libraries located in museums and research centers and through the Internet. To address the goal of Focused, First-Class Science, SIL will continue to enhance information in science in FY 2004. SIL will also pursue initiatives in information technology and finance and administration to meet the goal of Management Excellence.

MEANS AND STRATEGY

To achieve the goal of Public Impact, SIL staff will build and refine collections with special emphasis on service to the National Air and Space Museum (NASM) Udvar-Hazy Center and the National Museum of the American Indian (NMAI) Mall Museum. SIL will continue to maintain exchanges of books and journals with more than 4,000 institutions worldwide and to borrow and lend books augmenting its collection. SIL will continue a vigilant program of collection maintenance through binding, general repair, microfilming, and photocopying.

With the requested increase of \$255,000, SIL will be able to continue to purchase titles in both sciences and humanities and will have a secure base for electronic resources in direct support of the goals of Public Impact and Focused, First-Class Science.

In FY 2004, SIL will share national treasures with the public through its ongoing program of well-regarded book exhibitions, lectures, and symposia. In June 2004, SIL will open an exhibition celebrating the first occurrence of the *Transit of Venus* in over a century. In the 19th century, this scientific event fostered the development of international science programs. SIL will hold a variety of educational events to coincide with the exhibition. Planning has begun for a traveling exhibition that will make a small segment of SIL's trade literature collection better known. Both the

Baird and Dibner Resident Scholar programs will aid SIL in building collaborations with scholarly programs both in the Institution and elsewhere. In FY 2004, SIL will digitize important collections such as scientific instruments trade literature, and add online exhibitions and other information resources to its public website, the *Galaxy of Knowledge*.

To address the goal of Focused, First-Class Science, SIL has already shifted spending within collections management in an attempt to sustain its outstanding collections in support of scientific research. SIL will continue to support science by providing state-of-the-art reference services, administering the Scientific Translations publications program, acquiring new electronic resources, organizing Web resources in the sciences, and training researchers to use electronic resources efficiently and effectively. Two new online tools, the electronic *Biologia Centrali-Americana* and the electronic *United States Exploring Expedition*, will give scientists the documentation they have sought for their research and will bring to light underutilized resources for scientific research.

In FY 2004, staff will actively seek to achieve the goal of Management Excellence by increasing diversity of the library workforce, implementing new modules of the online system, expanding capacity for digital production, and developing new benchmarks to measure SIL unit costs and productivity.

STRATEGIC GOALS AND FY 2004 ANNUAL PERFORMANCE GOALS

Public Impact

Offer compelling, first class exhibitions (1 FTE and \$64,000)

- Complete upgrade of the SIL Gallery to encourage more walk-in visitors
- Design, install, and open *Transit of Venus* exhibition

Expand a national outreach effort (1 FTE and \$33,000)

- Plan/implement one traveling exhibition to reach new audiences
- Increase participation in the Smithsonian Affiliations program to reach audiences in three new areas

Maintain the high caliber of Smithsonian scholarly research (20 FTEs and \$1,658,000)

- Establish library services for the Udvar-Hazy Center and the NMAI Mall Museum
- Survey SI users to measure user satisfaction using a standardized library service assessment questionnaire
- Hold and publish annual Dibner public lecture to present research based on SIL collections to the public

Build, refine, care for, and manage the national collections (65 FTEs and \$5,231,000)

- Increase access to SIL collection by adding holdings information for journal backfiles to the online catalog, Smithsonian Institution Research and Information System (SIRIS), for 25% of branch libraries, and by continuing to add records to SIRIS for all newly acquired materials
- Complete installation of HVAC and compact shelving at 1111 N. Capitol to protect the collection for the next 20 years

Have a world-class Web presence (1 FTE and \$105,000)

- Increase usage of SIL website to an average of 1.5 million hits per month
- Design and implement Web user evaluation tool
- Complete digital project on scientific instruments trade catalogs

Focused, First-Class Science

Conduct focused scientific research programs recognized for their quality, relevance, and high performance (12 FTEs and \$1,032,000)

- Produce electronic *Biologia Centrali-Americana*
- Complete electronic *US Exploring Expedition*
- Increase access to electronic science resources by organizing and providing 10% more links to the Internet

Management Excellence

Strengthen a stakeholder-focused performance orientation (8 FTEs and \$643,000)

- Develop Phase I of consistent set of statistics, benchmarks, and other data to measure SIL's unit costs and productivity on an annual basis
- Increase capacity for digital production by employing small, disadvantaged, woman-owned businesses for digitizing contracts

Bring financial management systems and functions up to date (2 FTEs and \$146,000)

- Adjust SIL internal procedures and controls to incorporate Smithsonian purchase card and Enterprise Resource Planning systems

Bring information technology systems and functions up to date (1 FTE and \$58,000)

- Complete Horizon system implementation by putting Serials Control module into service
- Carry out market survey to identify for purchase a new integrated library system for SIL and Freer/Sackler Library

Promote and maintain a diverse workforce and culture of equal opportunity (\$17,000)

- Improve diversity of staff by participating in job fairs and increasing publicity and advertising for vacancies to actively seek qualified African American and Hispanic applicants

FY 2004 REQUEST – EXPLANATION OF CHANGE

The FY 2004 budget estimate includes an increase of \$255,000 to build and maintain collections that support program and research priorities of the Smithsonian, as follows:

- (+ \$255,000) This increase is to purchase electronic resources and help cover annual inflation of books and journals. Of this total increase, \$200,000 is to purchase electronic journals and databases. To counter the cumulative effects (\$450,000) of 15 years of extraordinary inflation on science books and journals, the remaining \$55,000 will be used to fund the FY 2004 estimated annual inflation need.

If the FY 2004 request is not allowed, the Libraries' capacity to support Institutional research and program priorities will continue to be reduced. The inability to purchase books, journals, and electronic resources directly affects employees who will not find the information they require to produce high quality exhibitions and research. In addition, SIL will need to shift resources from outreach and educational initiatives in order to achieve the objective of building, refining, caring for, and managing collections.

FUNCTIONAL DETAIL OF FY 2004 REQUEST

The following table provides detail of the programs and functions to be conducted by SI Libraries in FY 2004:

SMITHSONIAN INSTITUTION LIBRARIES

Detail of Base Resources By Function

	FY 2002		FY 2003		FY 2004	
	FTEs	\$ (000's)	FTEs	\$ (000's)	FTEs	\$ (000's)
Exhibitions						
Odyssey	-	70	1	72	-	-
Transit of Venus	-	-	-	-	1	72
Subtotal, Exhibitions	-	70	1	72	1	72
Collections						
Collection Care Information	90	7,039	93	7,154	93	7,409
SI Research Information System	3	241	3	250	3	250
Other Information Technology	-	-	-	-	-	-
Subtotal, Collections	93	7,280	96	7,404	96	7,659
Information Technology						
Information Technology	5	307	5	319	5	319
Infostructures		144		144		144
Subtotal, Information Technology	5	451	5	463	5	463
Finance/General Administration						
Admin Staff & Central Management	9	477	9	549	9	549
Subtotal, Finance/General Administration	9	477	9	549	9	549
Subtotal, Functional Categories	107	8,278	111	8,488	111	8,743
Necessary Pay	-	-	-	-	-	244
GRAND TOTAL	107	8,278	111	8,488	111	8,987

ADMINISTRATION

	APPLICATION OF OPERATING RESOURCES							
	FEDERAL APPROPRIATIONS		GENERAL TRUST		DONOR/SPONSOR DESIGNATED		GOV'T GRANTS & CONTRACTS	
	FTE	\$000	FTE	\$000	FTE	\$000	FTE	\$000
FY 2002 ESTIMATE	313	49,039	208	36,872	0	773	0	0
FY 2003 ESTIMATE	338	60,976	208	33,796	0	1,265	0	0
FY 2004 ESTIMATE	341	64,890	208	33,813	0	1,199	0	0

STRATEGIC GOALS: PUBLIC IMPACT; FOCUSED, FIRST-CLASS SCIENCE; MANAGEMENT EXCELLENCE; AND FINANCIAL STRENGTH

Federal Resource Summary by Performance Objective

Performance Objective	FY 2003		FY 2004		Change	
	FTE	\$000	FTE	\$000	FTE	\$000
Public Impact:						
Offer compelling, first-class exhibitions	1	70	1	72	0	2
Expand a national outreach effort	4	304	5	377	1	73
Build, refine, care for, and manage national collections	2	231	2	237	0	6
Have the highest quality state-of-the-art visitors' services	0	27	0	29	0	2
Focused, First-Class Science:						
Conduct focused scientific research programs recognized for their quality, relevance, and high performance	6	847	6	869	0	22
Strengthen capacity and establish preeminence in science research centers of excellence	2	298	2	305	0	7
Management Excellence:						
Strengthen a stakeholder-focused performance orientation	121	12,652	123	13,111	2	459
Bring financial systems and functions up to date	9	738	9	766	0	28
Bring information technology systems and functions up to date	117	36,471	117	39,361	0	2,890
Strengthen human capital resources	58	7,674	58	8,040	0	366
Promote and maintain a diverse workforce and culture of equal opportunity	10	928	10	962	0	34
Enhance relations with the press, mass media, and federal, state, and local governments	6	483	6	499	0	16
Financial Strength:					0	0
Secure the financial resources needed for Institutional operations	2	253	2	262	0	9
Total	338	60,976	341	64,890	3	3,914

BACKGROUND AND CONTEXT

The Smithsonian Institution Administration program provides vision, leadership, policy, and oversight associated with managing and operating the museums and research centers. Administration includes executive leadership provided by the Office of the Secretary, the Under Secretaries for American Museums and National Programs and Science, and the Director of the International Art Museums Division; as well as the central administration activities of human resources, financial management, information management, contract management, and legal services.

MEANS AND STRATEGY

The Institution will employ appropriate management strategies to enhance the “increase and diffusion of knowledge” and achieve the Institution’s goals. The following strategies are cross-cutting and are key to performing the Smithsonian’s mission of connecting Americans to their history and heritage, and promoting innovation, research, and discovery in science:

- Provide high-quality leadership and oversight for all policies, programs, and activities of the Institution’s museums and research centers by attracting, recruiting, and retaining leaders possessing superior talent and by forging partnerships with stakeholders.
- Manage human resources, foster diversity, and align human capital with the Institution’s goals and performance objectives. Ensure that the right people are in the right jobs by implementing the recommendations of the Smithsonian’s comprehensive workforce analysis study.
- Employ state-of-the-art, secure information systems to modernize financial, human resources, collections, and facilities management processes by continuing to implement modules of a commercial Enterprise Resources Planning (ERP) system, instituting a 3-year replacement cycle for desktop workstations, consolidating application servers, and deploying next generation e-mail systems.
- Maintain and upgrade the Institution’s communications infrastructure to provide reliable, cost-efficient, technology-effective voice and data communications systems, thereby enabling accomplishment of the Smithsonian missions.
- Meet federal requirements for timely and accurate financial information and improve the Institution’s ability to integrate financial and performance management systems as part of the ERP effort.
- Facilitate accomplishment of the Institution’s mission in the most economic, efficient, and effective way by supporting audit, evaluation, investigative, contracting, and other advisory services.

STRATEGIC GOALS AND FY 2004 ANNUAL PERFORMANCE GOALS

Public Impact

Offer compelling, first-class exhibitions (1 FTE and \$72,000)

- Increase collaboration and cooperation within the Institution and with external organizations to improve exhibition planning activities in the Arts and Industries building

Expand a national outreach effort (5 FTEs and \$377,000)

- Establish a forum for ongoing dialogue with Smithsonian museums to maximize programmatic impact on a national basis

Build, refine, care for, and manage the national collections (2 FTEs and \$237,000)

- Increase by 25 percent the number of objects transferred during WWII made accessible for review of their provenance via the Holocaust website
- Complete the major collections study to improve collections management across the institution

Have the highest quality, state-of-the art visitors' services (\$29,000)

- Initiate the study of visitor and exhibit reviews

Focused, First-Class Science

Conduct focused scientific research programs recognized for their quality, relevance, and high performance (6 FTEs and \$869,000)

- Begin implementation of the Science Commission recommendations after adoption by Regents, OMB, and Congress

Strengthen capacity and establish preeminence in scientific research centers of excellence (2 FTEs and \$305,000)

- Expand the Marine Science Network by supporting cross-disciplinary marine research

Management Excellence

Strengthen a stakeholder-focused performance orientation (123 FTEs and \$13,111,000)

- Improve the quality of the Smithsonian experience for audiences by identifying, for possible adoption, ten best museum and/or research practices
- Incorporate results-based assessments into the Institution's strategic and financial decision-making processes
- Strengthen management services in support of the Institution's mission while addressing the challenges of the President's Management Agenda
- Develop or refine mission statements and comprehensive five-year strategic plans for the American Museums and National Programs

- Implement three collaborative International Arts Museum Division projects involving collections, exhibitions, or education programs

Bring financial systems and functions up to date (9 FTEs and \$766,000)

- Support the deployment of the Enterprise Resource Planning financial modules by identifying requirements and documenting reengineered business practices

Bring information technology systems and functions up to date (117 FTEs and \$39,361,000)

- Deploy the Enterprise Resource Planning system human resources, time and labor, and payroll interface modules
- Replace 33 percent of the Institution's desktop workstations
- Consolidate 25 percent of the Institution's applications servers
- Evaluate next generation email and directory systems
- Develop and implement a redesigned firewall and Virtual Private Network (VPN) gateway and implement an intrusion detection system
- Replace telephone systems at the Arthur M. Sackler Gallery/Freer Gallery of Art, Quadrangle, African Art Museum, Hirshhorn Museum, and Renwick Gallery

Strengthen human capital resources (58 FTEs and \$8,040,000)

- Improve the timeliness and quality of human resource staffing services through effective recruiting practices and internal staffing processes
- Implement an effective Human Resources Management (HRM) accountability system
- Continue implementing recommendations from the workforce analysis report

Promote and maintain a diverse workforce and culture of equal opportunity (10 FTEs and \$962,000)

- Continue reshaping the Smithsonian workforce so that its diversity mirrors the applicable civilian labor force
- Meet procurement goals negotiated with the Small Business Administration regarding the use of small, minority, and women-owned businesses

Enhance relations with the press, mass media, and federal, state, and local governments (6 FTEs and \$499,000)

- Increase contacts initiated by the Office of Government Relations by 10 percent

Financial Strength

Secure the financial resources needed for Institutional operations (2 FTEs and \$262,000)

- Annually present and justify federal budget submissions to the OMB and the Congress

FY 2004 REQUEST – EXPLANATION OF CHANGE

The FY 2004 Administration budget estimate includes a net increase of \$3,914,000 and 3 FTEs. Increases associated with communications (\$867,000), necessary pay (\$1,057,000), and workers' compensation (\$144,000) are justified in the Non-Discretionary Costs section of this budget. The remaining increase of \$1,846,000 and 3 FTEs is required to provide additional support for Latino initiatives, to improve information technology system security, to deploy Enterprise Resource Planning (ERP) system modules, to implement a 3-year replacement cycle for desktop workstations, to develop and maintain a Holocaust website, and to respond to increased contracting workload. These increases are offset by a reduction associated with one-time FY 2003 costs associated with purchase and implementation of initial ERP modules, as discussed in the Non-recurring Costs section of this budget. All adjustments are described below:

- (-\$645,000) This amount represents the decrease of one-time funds associated with the development and deployment of the ERP general ledger, accounts payable and purchasing modules.
- (+ \$61,000, + 1 FTE) This request includes 1 additional FTE to support expanded museum programming for Latino initiatives such as Latin music and historical traditions, Latino arts and culture, and Latino research and educational resources. The Institution's Center for Latino Initiatives provides outreach and programming to the Latino community.
- (+ \$1,085,000) This increase is required to protect the Institution's information technology security infrastructure. The funds will be used to develop and implement a redesigned firewall and Virtual Private Network (VPN) gateway, and to implement an intrusion detection system. This will allow the Smithsonian to distribute digital information to the public, researchers, and other customers or partners while minimizing the risk of cyber attacks.
- (+ \$1,070,000) This increase is required in FY 2004 to begin a three-year replacement cycle for all of the Institution's desktop workstations
- (+ \$200,000) These resources are required to comply with the Association of Art Museum Directors and American Association of Museums guidelines to address issues concerning restitution of property

misappropriated by the Nazis or their collaborators during WWII. The \$200,000 is required to develop a Web application to publicize the provenance of any Institutional collection objects transferred in Europe during the Nazi era. The application will run on Smithsonian Enterprise-level software and hardware platforms.

- (+ \$75,000, 2 FTEs) These resources are required to hire two additional contracting/purchasing specialists to implement the President's competitive sourcing, performance-based contracting, and e-commerce Management Agenda requirements and to respond to increased workload associated with the Institution's purchase card program.

Without these additional funds, the Institution will be unable to provide expanded and targeted Latino programming to the growing Hispanic community. Additionally, the Smithsonian will be unable to replace a significant number of obsolete desktop workstations resulting in worsened interoperability problems; the Institution's data networks will be vulnerable to attack, its applications systems and databases will be jeopardized, deployment of the Enterprise Resource Planning modules, information systems will continue to be non-compliant with Federal information resources and Government Information Security Reform Act policies, and the Smithsonian will not be able to satisfy requirements defined by the Presidential Advisory Commission on Holocaust Assets in the United States. Finally, without these requested resources, risks for fraud and abuse in the purchase card program will increase and implementation of outsourcing programs, performance-based contracting and e-commerce will be delayed.

In addition to these program increases, an increase of \$245,000 and 2 FTEs for contracting specialists to support the Institution's expanded facilities program is included and justified under the Facilities Operations line item.

FACILITIES MAINTENANCE

	APPLICATION OF OPERATING RESOURCES							
	FEDERAL APPROPRIATIONS		GENERAL TRUST		DONOR/SPONSOR DESIGNATED		GOV'T GRANTS & CONTRACTS	
	FTE	\$000	FTE	\$000	FTE	\$000	FTE	\$000
FY 2002 ESTIMATE ¹	196	11,876	0	1,938	0	16	0	0
FY 2003 ESTIMATE ¹	220	16,023	0	1,933	0	16	0	0
FY 2004 ESTIMATE	276	36,221	0	1,933	0	16	0	0

¹ For comparative purposes, the FY 2002 and FY 2003 estimates have been adjusted to reflect the restructuring of the Office of Facilities Engineering and Operations.

STRATEGIC GOAL: MANAGEMENT EXCELLENCE

Federal Resource Summary by Performance Objective

Performance Objective	FY 2003		FY 2004		Change	
	FTE	\$000	FTE	\$000	FTE	\$000
Management Excellence:						
Execute an aggressive, long-range facilities maintenance and revitalization program.	209	14,320	265	33,663	56	19,343
Ensure optimal safety and protection of facilities, collections, visitors, staff, and volunteers.	11	1,703	11	2,558	0	855
Total	220	16,023	276	36,221	56	20,198

BACKGROUND AND CONTEXT

Facilities Maintenance focuses on facility preservation activities and encompasses the upkeep of property and equipment, or the work necessary to realize the originally anticipated useful life of a fixed asset. To realize the intended design life and full economic value of Smithsonian facilities and the revitalization investment, the Smithsonian must double its day-to-day facility preservation activities. Concurrently, the Smithsonian must shift its maintenance approach to a modern, cost-effective program that is centered on reliability and risk management and reinforced through qualitative standards and cost-effective application of technology.

MEANS AND STRATEGY

To support the Institution's goal of Management Excellence, the Office of Facilities Engineering and Operations will initiate an aggressive long-range Smithsonian facilities maintenance and revitalization program, using a Reliability Centered Maintenance (RCM) approach. RCM is a maintenance philosophy that incorporates the logical and cost-effective mix of predictive, proactive, preventive and reactive maintenance practices. The elements of the program include the following:

- **Predictive maintenance** – Vibration analysis, airborne ultrasonic analysis, thermo graphic scanning, motor circuit analysis and radiography are a few of the latest technologies that will be implemented to detect impending failure and address causes before failure occurs.
- **Proactive approach** – This aspect of RCM gets in front of the operating problems by engineering out the problem beforehand. Root Cause Failure analysis is essential to identify and solve long-standing reliability issues. Engineering adjustments driven into the design of equipment for installation in Smithsonian facilities is a critical area that must have focus for lowest life cycle costs over time.
- **Preventive maintenance** – Maintenance work in this category is cyclic or time driven. Examples of this work include machinery lubrication, equipment tolerance adjustments, electrical switchgear contact cleaning and adjustment, valve inspections, painting, and roof sealing.
- **Reactive maintenance** – Maintenance work is responsive and includes routine repair and replacement of broken parts; spot repairs to roofs, roads and building exteriors/interiors; repairs to water main breaks and replacement of broken parts on building systems.
- **Maintenance work force** – Improving the skills of the Smithsonian maintenance work force is essential to modernizing our maintenance approach. Extensive training and technology familiarization is required. However, because in-house maintenance forces are not adequate to fully care for all maintenance requirements, maintenance work that is infrequently needed, that requires expensive tools, or requires specialized equipment will most often be done by a contractor who does this work on a regular basis.

STRATEGIC GOALS AND FY 2004 ANNUAL PERFORMANCE GOALS

Management Excellence

Execute an aggressive, long-range facilities maintenance and revitalization program (265 FTEs and \$33,663,000)

- 90 percent of FY 2004 maintenance program plan action items implemented on schedule
- Conclude the integration of facilities management staff in FY 2004
- Establish baseline standards for response times and improved performance

Ensure optimal safety and protection of facilities, collections, visitors, staff, and volunteers (11 FTEs and \$2,558,000)

- Secure funding and maintain full operational level of security systems in each museum
- Construct perimeter barriers at Mall facilities; perimeter closed circuit television (CCTV) at the NMAI Mall Museum, Udvar-Hazy Center, and the Patent Office Building; electronic access control at Mall facilities; and temporary structures for electronic screening at NMNH with resources requested in the FY 2004 Facilities Capital account.

FY 2004 REQUEST—EXPLANATION OF CHANGE

The FY 2004 budget estimate includes an increase of \$19,616,000 and 56 FTEs as follows:

- (+ \$11,430,000, +33 FTEs) These funds and staffing, which were included in the Repair, Restoration and Alteration of Facilities account in prior years, are for minor repair and maintenance activities.
- (+ \$7,000,000, +19 FTEs) The requested funds, coupled with an additional \$8 million to be requested in FY 2005, will allow the Smithsonian to attain funding levels recommended by NAPA for maintenance of the Institution's facilities, ensuring optimal (lowest) life cycle costs for the current plant.
- (+ \$356,000, +4 FTEs) Included in this line item but justified under the National Museum of the American Indian are resources to support the maintenance and operation of utility systems in the Museum.
- (+ \$830,000) By FY 2004, warranties on equipment and construction purchases made in FY 2002 with Anti-terrorism Supplemental funds will expire. The requested funds will allow the Smithsonian to continue maintenance of magnetometers and x-ray equipment, concrete planters and plantings, pop-up barriers, and permanent vehicle barriers.

If the FY 2004 request is not allowed, the Smithsonian will not be able to develop and implement a structured maintenance program, as recommended by NAPA. Funding levels will be insufficient to improve reliability of mechanical equipment, reduce maintenance and energy costs, and ensure safer facilities for visitors and staff. Collections will be at risk as failures to steam traps will continue, resulting in increases to humidity levels. Lack of automated preventive testing and inspection processes will worsen inefficient maintenance practices and force higher lifetime costs. Annual maintenance required for special equipment will not be performed. Maintenance of mechanical spaces will either not occur or be performed inadequately. Risks of mold and microbe proliferation, indoor air quality problems and sick building syndrome, and loss of energy will increase. The Institution will have to commit an increasing amount of revitalization funds for repair of existing equipment and emergency measures for sudden failures, reducing the funds available for long-term repair and renovation of facilities. The fewer long-term systems replacements accomplished, the more short-term repairs will be required to failing equipment. The entire revitalization investment will be degraded prematurely, demanding early replacement of new components and systems.

In addition, the Smithsonian will be unable to properly maintain magnetometers and x-ray equipment. Failure rates for equipment will increase, putting visitors at risk and forcing the closure of museum entrances.

FUNCTIONAL DETAIL OF FY 2004 REQUEST

The following table provides detail of the programs and functions to be conducted by Facilities Maintenance in FY 2004:

FACILITIES MAINTENANCE

Detail of Federal Base Resources By Function

	FY 2002		FY 2003		FY 2004	
	FTEs	\$ (000's)	FTEs	\$ (000's)	FTEs	\$ (000's)
Facilities						
General Operations	196	11,876	220	16,023	276	35,639
Subtotal, Facilities	196	11,876	220	16,023	276	35,639
Subtotal, Functional Categories	196	11,876	220	16,023	276	35,639
Necessary Pay	-	-	-	-	-	582
GRAND TOTAL	196	11,876	220	16,023	276	36,221

FACILITIES OPERATIONS, SECURITY AND SUPPORT

	APPLICATION OF OPERATING RESOURCES							
	FEDERAL APPROPRIATIONS		GENERAL TRUST		DONOR/SPONSOR DESIGNATED		GOV'T GRANTS & CONTRACTS	
	FTE	\$000	FTE	\$000	FTE	\$000	FTE	\$000
FY 2002 ESTIMATE ¹	1,323	113,269	5	3,284	4	509	0	1,500
FY 2003 ESTIMATE ¹	1,293	126,616	5	3,207	4	374	0	2,500
FY 2004 ESTIMATE	1,403	124,290	5	3,192	4	1,515	0	679

¹ For comparative purposes, the FY 2002 and FY 2003 estimates have been adjusted to reflect the restructuring of the Office of Facilities Engineering and Operations.

STRATEGIC GOALS: PUBLIC IMPACT AND MANAGEMENT EXCELLENCE

Federal Resource Summary by Performance Objective

Performance Objective	FY 2003		FY 2004		Change	
	FTE	\$000	FTE	\$000	FTE	\$000
Public Impact:						
Offer compelling, first-class exhibitions	8	673	8	678	0	5
Management Excellence:						
Execute an aggressive, long-range facilities maintenance and revitalization program	273	65,476	285	70,033	12	4,557
Ensure optimal safety and protection of facilities, collections, visitors, staff, and volunteers	1,012	60,467	1,110	53,579	98	(6,888)
Total	1,293	126,616	1,403	124,290	110	(2,326)

BACKGROUND AND CONTEXT

The mission of the Facilities Operations, Security and Support program is to operate and maintain the Smithsonian's physical plant, ensuring world-class facility management services; provide optimal security for the Smithsonian's collections and facilities; and provide a secure environment for staff and visitors.

Facilities Operations, Security and Support is the integration of all operational activities not directly related to maintaining the physical plant of the Smithsonian. Resources within this line item support facilities operations, including activities such as custodial work, snow removal, pest

control, refuse collection and disposal, grounds care and landscaping, environmental operations and record keeping, fire protection, security services, and central utility plant operations. Also included are facilities planning, architectural/engineering design plans and specification services, except for the National Zoological Park, as well as related support services such as mail, transportation, and the payment of utilities and central rent. The uniform management and provision of these services assures cost savings and consistency throughout the Smithsonian, and contributes to achieving Management Excellence.

MEANS AND STRATEGY

FY 2004 resources will enhance the ability of the Office of Facilities Engineering and Operations (OFEO) to better fulfill the challenges of its stewardship responsibilities by focusing efforts and resources on facilities operations and security. To achieve the Institution's goal of Public Impact, resources are used to develop exhibits and other public programs related to horticulture, architectural history, and historic preservation.

To achieve the goal of Management Excellence, resources are focused on meeting the ongoing operational requirements of Smithsonian facilities to ensure that they continue meeting programmatic requirements. Additional staff support will enhance the Institution's ability to execute the capital program, which will allow the Smithsonian to revitalize its facilities over the next decade. OFEO will continue to devote resources to implement and upgrade security measures at Smithsonian facilities. The requested resources will address the heightened security measures precipitated by the September 11, 2001 terrorist attacks and identified in the May 2002 Composite Risk Assessment report by the Office of Protection Services. One major effort underway to improve service to the Institution is the establishment of management zones in facilities, which will ensure rapid response to facility needs, and the streamlining of administrative activities to provide optimum efficiency and effectiveness. The zone concept will offer staff a sense of ownership of a given facility and with staff on site, the response times will be greatly reduced.

STRATEGIC GOALS AND FY 2004 ANNUAL PERFORMANCE GOALS

Public Impact

Offer compelling, first-class exhibitions (8 FTEs and \$678,000)

- Present the biennial Orchid Show in concert with the U. S. Botanic Garden, the National Museum of Natural History, and the National Zoological Park

- Present the exhibition *Adolf Kluss: From Germany to America, Shaping a Capital City Worthy of a Republic* in conjunction with the City Museum of Washington, Goethe Institute, Heilbronn Archives, Sumner School Museum and Archives, and the National Building Museum
- Present four academic lectures and tours relating to the history of the oldest Smithsonian facilities

Management Excellence

Execute an aggressive, long-range facilities maintenance and revitalization program (285 FTEs and \$70,033,000)

- Conclude the integration of all Smithsonian facilities management activities under OFEO
- Establish baseline standards for response times and improved service performance and meet or exceed those standards during FY 2004

Ensure optimal safety and protection of facilities, collections, visitors, staff, and volunteers. (1,110 FTEs and \$53,579,000)

- Hire 5 administrative support staff to ensure that background investigations are conducted on all Smithsonian contract employees and to develop policies, procedures, anti-terrorism training and staff security awareness training programs by September 2004
- Increase gallery patrols, visitor bag searches, and vehicle inspections
- Investigate bomb threats, suspicious packages, and increase property searches
- Provide safety, fire, health, and environmental management training to 20% of Smithsonian staff
- Reduce by 6 percent the base year (FY 1997) total case rate of 6.18 injuries/ illnesses per 100 employees

FY 2004 REQUEST – EXPLANATION OF CHANGE

The FY 2004 budget estimate includes a net decrease of -\$7,199,000 and an increase of 110 FTEs as follows:

- (+ \$1,662,000, + 14 FTEs) This increase is requested to provide necessary staff support to the expanded facilities program, including
 - \$522,000 and 4 FTEs to support four program/financial analysts to ensure that the management of resources in OFEO is fully staffed and overseen consistent with the complexity of the program and the new budget structure.

- \$122,000 and 1 FTE to support a planner to ensure that facilities master plans are updated and prepared consistent with Institutional growth plans.
- \$92,000 and 1 FTE for oversight of engineering, design, and construction contract administration activities.
- \$211,000 and 2 FTEs for staff to perform computer-aided design and computer-aided facilities management to support the design and construction processes.
- \$225,000 and 2 FTEs for one fire protection engineer and one safety specialist to enhance the oversight of environmental management requirements at the Smithsonian as well as ensure compliance with all applicable regulations and policies.
- \$367,000 and 3 FTEs to support the Institution's capital program. The resources are requested as part of this line item, but will support an electrical engineer assigned to the National Zoological Park (\$122,000 and 1 FTE) and two contract specialists (\$245,000 and 2 FTEs) assigned to the Office of Contracting.
- \$123,000 and 1 FTE included here but justified under the National Museum of the American Indian, to support the horticultural requirements necessary to open and begin operation of the Mall Museum.
- (-\$8,861,000, + 96 FTEs) This net decrease includes an increase of \$3,513,000 and 96 FTEs and a decrease of \$12,374,000. The increase is requested in order to meet the Institution's needs for additional security staff, including guards and support staff. These resources will allow the Institution to respond to recently completed assessments of security needs, and be better positioned to respond in the case of security threats. The request includes
 - -\$550,000 to reduce base funding as replacement of the outdated security system nears completion.
 - -\$10,825,000 to reduce one-time funding for security improvements.
 - -\$999,000 base funding for renewal and upgrade of security systems. Funds for this purpose are requested in the Facilities Capital account.
 - \$1,675,000 and 61 FTEs to ensure that NMAH and NASM are fully staffed for the efficient operation of magnetometers and x-ray equipment as well as to perform increased gallery patrols, bag searches, and vehicle inspections at the smaller Mall museums.
 - \$88,000 and 2 FTEs for two canine teams (2 bomb dogs and 2 handlers) to perform routine vehicle inspections, investigate bomb threats and suspicious packages, inspect oversized

packages/deliveries that cannot be x-rayed, and perform searches and inspections of Smithsonian property on a 24-hour basis.

- \$73,000 and 1 FTE to hire one security specialist who will adjudicate background checks as required by the Office of Personnel Management (OPM) for Smithsonian contract employees. This will ensure that background checks are conducted on each contract employee and that contract employees deemed not suitable are not allowed to work in Smithsonian facilities.
- \$45,000 for OPM to conduct background investigations for contract employees. These investigations will include criminal history and employment checks for the past five years and be identical to those investigations conducted for most Smithsonian employees.
- \$73,000 and 1 FTE to hire a training specialist to develop security training programs and lesson plans for formal security staff training. Additionally, this position will provide initial and ongoing training for officers in the operation of magnetometers and x-ray equipment and develop a security awareness program for all Smithsonian staff.
- \$49,000 and 1 FTE for a security assistant to support managers in the processing of new hires by facilitating the scheduling of interviews, arranging interview panels and processing applications. This position will also assist with the development of continuing training programs for security officers.
- \$44,000 and 1 FTE is required for a supply/materials specialist who will ensure that officers are properly uniformed and provided with the necessary equipment to perform critical duties (e.g. firearms, ammunition, mace, etc.) as well as assist with ordering supplies.
- \$87,000 and 1 FTE is required for a management analyst who will ensure that all security policies and procedures are researched, written, coordinated for approval, and implemented across the Smithsonian. This position will also assist senior management with the creation and review of reports and briefing papers relating to Smithsonian security initiatives.
- \$1,379,000 and 28 FTEs are included here but justified under the National Museum of the American Indian line item. These resources will support the security requirements necessary to operate the NMAI Mall Museum when it opens in late FY 2004.

If the FY 2004 request is not allowed, the Institution places itself at considerable risk by delaying many recommended security improvements as well as operational recommendations outlined in the February 2002 Facilities Management Integration Task Force Findings and Recommendations. The Smithsonian will not be able to follow through with recommended measures to reduce the impact of security threats or terrorist

activity. Without additional staff for capital program execution, delays in correcting the substantial backlog of revitalization requirements would result in more system failures and increased future costs.

FUNCTIONAL DETAIL OF FY 2004 REQUEST

The following table provides detail of the programs and functions to be conducted under Facilities Operations, Security and Support in FY 2004:

FACILITIES OPERATIONS, SECURITY AND SUPPORT

Detail of Base Resources By Function

	FY 2002		FY 2003		FY 2004	
	FTEs	\$ (000's)	FTEs	\$ (000's)	FTEs	\$ (000's)
Collections						
Architectural History and Historic Preservation	5	409	5	411	5	411
Horticulture Collections Management Branch	3	262	3	262	3	262
Subtotal, Collections	8	671	8	673	8	673
Facilities						
General Operations	287	21,575	268	19,755	280	21,192
Administration	5	630	5	630	5	630
Central Utilities and Postage	-	24,900	-	34,538	-	36,668
Central Rent	-	9,748	-	10,553	-	10,923
Subtotal, Facilities	292	56,853	273	65,476	285	69,413
Security/Safety						
Security Operations	959	50,402	972	56,843	1,068	47,982
Safety and Environmental Management	41	3,554	40	3,624	42	3,849
General Administration	15	687	-	-	-	-
Subtotal, Security/Safety	1,015	54,643	1,012	60,467	1,110	51,831
Subtotal, Functional Categories	1,315	112,167	1,293	126,616	1,403	121,917
Necessary Pay	-	-	-	-	-	2,373
GRAND TOTAL	1,315	112,167	1,293	126,616	1,403	124,290

FACILITIES CAPITAL

	TOTAL
FY 2002 APPROPRIATION ¹	\$97,900,000
FY 2003 ESTIMATE ²	\$82,869,000
FY 2004 ESTIMATE	\$139,000,000

¹ The FY 2002 estimate combines the former RR&A and Construction accounts.

² For illustration only, the FY 2003 estimate has been adjusted to include resources originally requested in RR&A (less \$11.4M for Maintenance to be transferred to the S&E account in FY 2004), plus \$12M from Construction and \$1M from OPS S&E for Security Modernization upgrades.

STRATEGIC GOAL: MANAGEMENT EXCELLENCE

Federal Resource Summary by Performance Objective

Performance Objective	FY 2003		FY 2004		Change	
	FTE	\$(000)s	FTE	\$(000)s	FTE	\$(000)s
Management Excellence:						
Complete the construction of new facilities	5	12,000	10	22,000	5	10,000
Execute an aggressive, long-range facilities maintenance and revitalization program	27	69,870	32	106,900	5	37,030
Ensure optimal safety and protection of facilities, collections, visitors, staff, and volunteers	0	999	0	10,100	0	9,101
Total	32	82,869	42	139,000	10	56,131

BACKGROUND AND CONTEXT

The Facilities Capital program supports the Institution's exhibition, research, conservation, collections storage, and education programs by providing safe and appropriate space. In order to accomplish its mission, the Office of Facilities Engineering and Operations must ensure that deterioration in aging Smithsonian facilities is arrested, that necessary revitalization goes forward, and that required expansion and/or construction of new facilities conforms with modern building, life safety, and environmental codes, with minimal disruption to Smithsonian programs, staff, and visitors.

The professional engineering study *Smithsonian Institution Museums and Facilities: Critical Assessment and Improvement Objectives* outlines the urgent requirement to invest \$1.5 billion in revitalization of Smithsonian facilities over the next decade. The National Academy of Public

Administration (NAPA) study of July 2001 confirmed the magnitude of the problem. Without an aggressive and sustained program of revitalization, the Institution cannot continue to provide for the safety of its visitors and staff and honor its commitment to stewardship of the artifacts and facilities with which it has been entrusted. Through this approach, the Smithsonian can move beyond today's never-ending crises of breakdown maintenance and declining facilities performance to embrace a more comprehensive and long-term stewardship of its facilities.

MEANS AND STRATEGY

The FY 2004 request for the capital program represents a significant investment in the goal of Management Excellence. With funding in the capital program, the Institution will focus on improving the safety and security of visitors, staff, volunteers, and collections and make incremental progress toward returning Smithsonian facilities to full functionality within the decade.

Since the Commission on the Future of the Smithsonian Institution made its recommendations in 1995, \$260 million in repair and restoration funds has been appropriated for revitalization of facilities. Although the investment was significant and unquestionably needed, its impact was lessened due to the size and scale of the Institution's nearly eight million square feet of facilities located in six states, the District of Columbia, and Panama. Today, the Smithsonian's facilities need extensive reinvestment if the Institution is to continue to fulfill its missions as preserver of the nation's cultural heritage and a pioneer in the sciences. This investment will arrest the decline in facilities performance and backstop necessarily higher costs of ownership from

- **Block obsolescence.** More than half of the Smithsonian's buildings and systems are between 25 and 40 years old, effectively obsolete, and no longer economically maintained or repaired.
- **Age of buildings.** The buildings range in age from new to over 160 years old, and many are subject to the higher costs and constraints associated with historic preservation.
- **High traffic.** The Smithsonian receives over 30 million visits per year.
- **Architectural variety.** Addressing the repairs of these buildings requires expertise in everything from stone masonry to stained glass and from slate roofs to subterranean vaults.
- **Functional diversity.** Virtually every kind of artistic, cultural, and scientific activity conceivable takes place in the laboratories, classrooms, galleries, studios, and gathering places.

- **Track record of understated need.** Until recently, the scope of the repair and restoration needs of the Institution has not been fully quantified or completely communicated; the result is an extensive backlog of repairs.
- **Doing more with less.** Since the buyouts of 1994 and 1996, the maintenance and facilities areas of the Institution have lost 51 staff at a time when systems are increasingly in need of repair.

As the "principal repository of our nation's collective memory and the nation's largest public cultural space,"¹ the Smithsonian must ensure that the country's most valued artifacts are maintained in perpetuity through preservation, research, and educational programs. However, the combined problems listed above and the compelling urgency for a solution results in an enormous budgetary problem for the relatively small Smithsonian Institution. Nonetheless, the challenge remains for the Institution "to face the problem and transform the physical environment of the Smithsonian during the coming decade."² That duty demands that the Institution define its facility stewardship requirements and secure the means for honoring this commitment to its museums, research units, and the National Zoo.

The *Critical Assessment* study, dated September 28, 2001, records the full breadth of the commitment that must be made to preserve the Smithsonian and position it for the 21st century. It is a compilation of scores of architect-engineer consultant investigations and hundreds of internal condition assessments. The total repair and restoration requirements known at this time fall into three major areas:

Revitalization. To address the causes of advanced deterioration and resulting decline in the Institution and avoid crippling failures in building systems that can result in lost data and damage to collections, the Smithsonian must spend more than \$1.4 billion (uninflated) by 2010 for restoration, renovation, and modernization of its facilities.

Routine Maintenance and Repair. To realize the intended design life and full economic value of its facilities and the above revitalization investment, the Smithsonian must double its day-to-day facility preservation activities to \$45 million annually. Concurrently, the method of maintenance will evolve into a modern, cost-effective program centered on

¹ *E Pluribus Unum: This Divine Paradox*, Report of the Commission on the Future of the Smithsonian Institution, May 1995, p. iv.

² Lawrence M. Small, "America's Icons Deserve a Good Home," *The Washington Post*, June 26, 2000, p. A19.

reliability and risk management reinforced through qualitative standards and cost-effective application of technology.

Construction. Fulfilling the Smithsonian's mission will require new facilities off the Mall, mainly to meet collections needs at the Institution's Suitland, Maryland, site.

The Facilities Capital request includes funding for Revitalization and Construction, and the Planning and Design needed to support these efforts. Resources are requested in the Salaries and Expenses section of this budget to improve facilities maintenance. Together, these resources, over the next decade, will arrest the downward spiral of deterioration and result in much improved quality of facilities to support Smithsonian programs.

STRATEGIC GOALS AND FY 2004 ANNUAL PERFORMANCE GOALS

Management Excellence

Complete construction of new facilities (10 FTEs and \$22,000,000)

- Initiate construction and complete 25% of Pod 5 at the Museum Support Center
- Complete the construction of the Udvar-Hazy Center
- Complete the construction of the National Museum of the American Indian Mall Museum

Execute an aggressive, long-range facilities maintenance and revitalization program (32 FTEs and \$106,900,000)

- Complete 40% of the revitalization of the Patent Office Building
- Initiate construction of Asia II project at the National Zoological Park
- Initiate core space revitalization at the National Museum of American History-Behring Center
- Complete 35% of the total revitalization of the National Museum of Natural History

Ensure optimal safety and protection of facilities, collections, visitors, staff, and volunteers (\$10,100,000)

- Complete design and initiate installation of 40% of the permanent anti-terrorism modifications to Smithsonian facilities

FY 2004 REQUEST

The Institution requests \$139 million and 42 FTEs for the capital program in FY 2004, an increase of \$56.1million and 10 FTEs over the

FY 2003 estimate. The major components include the following. Additional details of specific projects are presented below.

- **Revitalization (5 FTEs and \$104,035,000)** These resources will continue major revitalization projects at the Patent Office Building (\$48,000,000), the Asia Trail Phase II project at the National Zoological Park to provide new housing for the elephants (\$9,000,000), and the National Museum of Natural History (\$11,000,000); begin revitalization of the public areas of the National Museum of American History-Behring Center (\$5,500,000); continue anti-terrorism modifications at Smithsonian museums (\$10,100,000); and make other capital repairs throughout its facilities (\$20,435,000). The request represents an increase of \$41.4 million and 5 FTEs over the FY 2003 funding level. The five new positions will allow the permanent hire of contract specialists to write planning, design, and construction contracts, and manage the procurement process to acquire the necessary services to execute the revitalization program.
- **Construction (5 FTEs and \$22,000,000)** This amount will allow the Institution to begin construction of Pod 5 at the Museum Support Center. The new storage space will provide safe and secure housing for important systematic biology specimens preserved in alcohol. Removal of these collections from the National Museum of Natural History will correct a potentially dangerous condition in the Mall building. Ameliorating this problem is the Smithsonian's highest priority safety and security project. The request includes an increase of \$10 million and 5 FTEs over the FY 2003 estimate. The FTEs will permit the Institution to hire architects/engineers to work on site to ensure that the construction contractor meets contract requirements for cost, schedule, quality, and safety. They will manage A-E and procurement support and design reviews, resolve conflicts, evaluate change orders and contractor invoices, and make decisions affecting the progress of the project. The owner functions must be performed by professionally trained Smithsonian employees in order to diminish the risk of owner-caused delays and related cost increases, and to ensure that the completed building meets the requirements of the future occupants.
- **Facilities Planning and Design (\$12,965,000)** This level of funding will provide the capacity to conduct master-planning studies and to complete design of many projects in the FY 2005 capital program to at least the 35% stage, providing firm baselines and allowing timely award of construction contracts upon receipt of future year funding. The Institution will begin design of the National Museum of American History public space revitalization project (\$4,000,000) and complete design of a number of smaller projects (\$8,965,000). The request is a \$4.7 million

increase over FY 2003, and will allow the Institution to maintain momentum in modernizing its facilities over the next decade.

Without these resources, the Institution will fall far behind in meeting several key components of its goal to achieve management excellence. Further delay in revitalizing the Smithsonian's physical infrastructure and providing appropriate storage for alcohol-preserved specimens will exacerbate an already dire situation that places the Institution at risk of defaulting on its stewardship responsibilities for the artifacts and facilities with which it has been entrusted.

FACILITIES CAPITAL DETAIL AND OUTYEAR REQUIREMENTS

The chart that follows summarizes the Institution's request for the highest priority projects for FY 2004, and the related future program requirements through FY 2008. The highest priority projects typically include

- Work needed to correct hazardous conditions that pose a serious threat to public or employee safety or health, or are required to meet mandated life safety or health codes
- Repair or replacement of building shell or utility components or systems experiencing active failures, such as roof or facade leaks or HVAC or electrical equipment breakdowns that pose an immediate risk of damage to the collections or major disruption of program activities
- Fire and life safety, accessibility, and security modifications that are required to meet life safety or health codes within an established timeframe
- Repair or replacement of building shell or utility components or systems that are in imminent danger of failure, such as minor roof leaks or electrical equipment that require more frequent than normal maintenance, or HVAC systems whose components are failing at an increasing rate
- Predicted renewal requirements, based on normal life span and observable condition of building shells and systems

In applying the priorities and scheduling, the staff considers other factors that influence how and when projects might be accomplished, including the potential for disruption of the visiting public and the extent to which work of differing priorities should be undertaken at the same time in a particular building in order to take advantage of better pricing. The availability of space in which to relocate staff and collections that would be at risk while the work is performed also affects the timing of projects.

The project summaries that follow the chart describe the currently planned components of FY 2004 requests and are organized in two formats. Large projects—those exceeding \$5 million—are presented in greater detail including narratives on project description, justification, and impact of delay. Smaller projects—in the range of \$500,000 to \$5 million—are presented with a succinct project description only. Projects under \$500,000 are consolidated under a Minor Projects heading.

The Smithsonian will use the funds requested in FY 2004 to perform work formerly requested in the Repair, Restoration and Alteration of Facilities account as well as the Construction account. In addition, projects to modernize the security system and implement permanent anti-terrorism modifications, formerly included in the Salaries and Expenses portion of the Institution's budget, are now included here. Consolidation of these activities into a single account will allow the Institution more flexibility in executing a coherent capital program to support the Smithsonian's mission.

The Institution contracts for most capital program projects unless it is more cost-effective to use existing employees or to hire temporary staff to accomplish the work. The FY 2003 request proposes bill language to authorize the use of capital program project funds for payment of salaries of construction management staff. As part of that request, 30 FTEs will be shifted from the Salaries & Expenses account to this account for the necessary staff, including 6 for the National Zoo, 19 for revitalization projects, and 5 for construction projects. The Facilities Capital account funds additional expenses required to accomplish the proposed projects, such as security requirements or relocation of staff and collections that might be placed at risk during construction.

SMITHSONIAN INSTITUTION

FACILITIES CAPITAL
FY 2004 - FY 2008

CATEGORY \$Millions	Received	Received	Received	Request before	OMB	Future Requirements				
	Prior	FY 2001	FY 2002	Request before Congress FY 2003 ¹	Request FY 2004	FY 2005	FY 2006	FY 2007	FY 2008	Outyears
REVITALIZATION										
<i>Major Projects</i>										
Arts & Industries Building	3.2	4.0	6.0			8.0	40.0	60.0	47.0	
Cooper-Hewitt Museum						0.7	0.8			8.5
Freer Gallery							3.0		7.0	
Hirshhorn Museum									20.0	
Museum Support Center										20.0
National Air and Space Museum							45.0		10.0	
National Museum of American History	1.4 ¹				5.5	10.0	22.0			7.5
National Museum of Natural History	65.7	10.7	12.0	10.0	11.0	37.6	38.0	33.0	30.0	24.0
National Zoological Park	4.1	4.2	4.9	7.0	9.0	32.0	30.0	40.0	54.7	64.0
Patent Office Building	16.6	17.0	15.0	25.0	48.0	44.4				
Quadrangle								56.0		
Renwick Gallery							20.0			3.0
Silver Hill Facility									21.0	
Smithsonian Castle	0.5	0.5						20.0	55.0	
Anti-terrorism Modifications				1.0	10.1	30.4	1.0	1.0	1.0	1.0
<i>Other Revitalization Projects</i>		21.1	30.0	19.6	20.4	43.4	37.2	30.6	33.3	71.2
SUBTOTAL	91.5	57.5	67.9	62.6	104.0	206.5	237.0	240.6	279.0	199.2
CONSTRUCTION										
NMAI Mall Museum	103.3		30.0	10.0						
NMNH, Museum Support Center Pod 5				2.0	22.0	6.0				
SAO, Hilo Base Building		4.5								
NZP, American Agriculture Exhibit		5.0								
VERITAS						4.5				
SUBTOTAL	103.3	9.5	30.0	12.0	22.0	10.5	0.0	0.0	0.0	ONGOING
FACILITIES PLANNING & DESIGN										
		0.0	0.0	8.3	13.0	35.7	34.3	21.5	17.7	ONGOING
TOTAL		67.0	97.9	82.9	139.0	252.7	271.3	262.1	296.7	ONGOING

¹ Final increment of the HVAC replacement project completed in the late 1990s.

² The FY 2003 estimate has been adjusted for comparison purposes with the budget and outyear estimates under the restructured Facilities Capital account. Revitalization includes resources requested in RR&A less \$11.4M for maintenance and minor repair projects to be requested in the S&E account in FY 2004, plus \$1M previously requested in S&E for security modernization upgrades. The FY 2003 request, as it appears before Congress, seeks \$81.3M for Repair, Restoration and Alteration of Facilities, \$10M in Construction for the National Museum of the American Indian, Mall Museum and \$2M in Construction for Museum Support Center Pod 5 design.

SUMMARY TABLES AND PROJECT SHEETS

REVITALIZATION

Major Projects

This category provides funds for the cyclical replacement of major building systems and equipment and major renovation projects required for the preservation of the buildings. It primarily addresses the major replacement requirements for HVAC, electrical, and other utility systems at the older buildings where systems are nearing the end of their service lives. Work also encompasses modifications to ensure compliance with life safety and ADA codes, restore historic features, and modernize the buildings to support current program requirements.

<u>Facility</u>	<u>Project</u>	<u>\$(000)s</u>
Patent Office Building	Restore Patent Office Building	48,000
National Zoological Park	Asia Trail, Phase II: New Elephant Yards and Holding Space	9,000
National Museum of American History-Behring Center	Revitalize NMAH-BC Public Space	5,500
National Museum of Natural History	Ongoing Revitalization	11,000
Multiple Locations	Anti-Terrorism Modifications	10,100
TOTAL		83,600

PROJECT TITLE: Restore Patent Office Building
INSTALLATION: Patent Office Building
LOCATION: Washington DC

FY 2004 COST ESTIMATE (Thousands of Dollars): 48,000

PRIOR YEAR FUNDING:

Construction	47,943	
Facility Planning and Design	22,177	
Relocation Expenses	<u>3,529</u>	
	73,649	73,649

FUTURE YEAR FUNDING

(FY 2005):

Fit out all floors and move back into building	<u>44,400</u>
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Total 166,049

BUILDING BACKGROUND:

Originally designed to exhibit models of inventions patented in the United States, this stone neoclassical structure is a National Historic Landmark designed by architects Robert Mills and Thomas U. Walter. Begun in 1836 to house the U.S. Patent Office and completed in 1867, the building was converted to museum use in 1964.

Located within this 332,000-square-foot building are the Smithsonian American Art Museum and the National Portrait Gallery. The Smithsonian American Art Museum is dedicated to the arts and artists of the United States from colonial times to the present and houses paintings, sculpture, graphic art, photography, and folk art. The National Portrait gallery exhibits portraits of major figures in American history and culture. Average annual visitation for both museums is 430,000.

PROJECT JUSTIFICATION:

The building's mechanical and electrical systems are more than 30 years old and break down frequently. The inefficient two-pipe heating, ventilation, and air conditioning system cannot meet the current heating and cooling loads in the building. Air circulation is insufficient, humidity control is limited, and condensation is a major problem. The cooling tower leaks and the chiller plant contains chlorofluorocarbons (CFCs), which must be phased out to meet environmental laws.

The electrical distribution system is overloaded, inadequate, and unsafe. Clearances around transformers do not meet current code

requirements. Switchgear, panel boards, and distribution networks are deteriorated and obsolete. Replacement parts are no longer available.

Other utility systems that are seriously deteriorated include fire protection, plumbing, steam distribution, and communications systems. Some of the fire alarm system wiring is original to the building and contributes to system malfunctions. The building's elevators break down frequently, thereby reducing public access. The building's façade has been damaged by acid rain and air pollution, the window frames are deteriorated and failing, and several interior surfaces have been severely damaged by leaks and condensation. The building's main entrances and most restrooms are not accessible to persons with disabilities and do not meet current codes and standards. Asbestos, present throughout the building, must be abated before repairs can be accomplished.

PROJECT DESCRIPTION:

Create an accessible main entrance and improve accessibility throughout the building. Replace mechanical and electrical equipment, including boilers, pipes, air handling units, chillers, pumps, electrical transformers and substations, and fire pumps with new energy-efficient equipment. Install a new air distribution and control system, supply and return air grilles, and temperature and humidity controls by zone. Replace the cooling tower and change the location and mounting configuration to eliminate leaks. Repair exterior masonry, replace windows, restore elevators, and improve functionality of the building by providing accessible restrooms adjacent to each lobby and in event spaces. Remove or abate hazardous materials such as asbestos and CFCs. Convert administrative space to public space. Relocate some mechanical and electrical equipment to new space beneath the courtyard so that the adjacent space can be used for public programming, including a 346-seat auditorium. Restore interior finishes after installation of new systems and other construction.

The Institution also plans to construct a glass enclosure over the building's courtyard and install a food servery and restaurant and other visitor amenities. This work will occur concurrently, but will be funded from private sources.

In FY 2003, the Institution will request contractor proposals for base bid for courtyard excavation, basement and 4th-floor mechanical equipment, system rough-in of all floors, and elevator installation. The full cost of the contract and associated supervision and contingencies is \$117.4 million. However, this work does not allow for segmentation or phasing, as all systems must be installed to return the building to full operability. Since the funds available in FY 2003 and requested in FY 2004 will not be sufficient

to complete identifiable segments of the work, the Institution plans to use a continuing contract mechanism in order to complete the project on schedule. This mechanism is used by the Department of Defense and the Department of Energy for similar large projects for which full funding is not available at the inception of the contract, but is expected in increments in the following years. In a continuing contract, the total contract is awarded at one time, with a commitment to the current year's funding. The contract contains language limiting the extent of Government liability contingent on future funding. Without this authority, full, up-front funding would be required for the entire \$117 million remaining cost. This amount would consume a disproportionate share of the annual capital appropriation, and would cripple other projects. With a continuing contract, the Institution can complete construction 36 months from the time of contract award, to meet the current schedule.

PROGRESS TO DATE:

Facility assessment and planning phases have been completed and the roof and gutters have been replaced. Design for the renewal is 95 percent complete. The gross demolition package in support of the physical plant renewal of the Patent Office Building was awarded for \$7.3 million and is approximately 88 percent complete, with a substantial completion date of September 2002. An \$8.6 million contract was awarded for the exterior stone and window renovation portion of the project, currently 19 percent complete. Additionally, a contract for the packing, crating, relocation, and storage of SAAM and NPG collections material was awarded in June 2002, for \$4 million. This work is approximately 15 percent complete.

IMPACT OF DELAY:

The building is closed to the public, including school groups, educators, and scholars, for renovation and will remain so until sufficient funding is received to complete the entire renovation. This diminishes access to the museums' collections and reduces the Smithsonian's visibility and consequently its ability to attract donors. Also, the separation of staff from their collections causes inefficiency and inconvenience in collections management and research.

PROJECT TITLE: Asia Trail, Phases II & III: New Elephant Yards and Holding Space
INSTALLATION: National Zoological Park
LOCATION: Washington DC

FY 2004 COST ESTIMATE (Thousands of Dollars):

Asia Trail, Phase II	9,000
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PRIOR YEAR FUNDING:

Facility Planning and Design	2,500
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FUTURE YEAR FUNDING

(FY 2005 – FY 2006):

Asia Trail, Phase II: Elephant Yards	13,000	
Asia Train, Phase III: Elephant House	<u>49,000</u>	
	62,000	62,000
	Total	73,500

BUILDING/SITE BACKGROUND:

The National Zoological Park in Washington DC, a National Historic District, was designed in the 1890s by the firm of renowned landscape architect Frederick Law Olmsted and architect Williams Ralph Emerson. The Byzantine-style Reptile House and Renaissance-style Elephant House exemplify the tradition of architect-designed buildings at the Zoo. Visitors to the Zoo in Washington can find more than 4,000 animals of nearly 480 species on exhibit in naturalistic settings. The Zoo’s purpose is to promote the conservation of life on Earth through inspiration, recreation, informal and formal education, research, and animal health programs that use its unique collection of living animals and plants. The Zoo’s elephants are a very popular attraction, especially since the birth of the male Asian elephant Kandula in November 2001. The Elephant House is a stone structure in the heart of the Zoo’s 167-acre site, and was designed to house and exhibit African mammals. The Zoo’s long-range plan includes constructing new elephant yards and interior holding space adjacent to the building, then converting the Elephant House into more appropriate space for the remaining large mammals—giraffes, rhinos and hippos.

PROJECT JUSTIFICATION:

Asia Trail, Phase II, new elephant yards, is the first half of the Asia Trail, Phase II and III project – new elephant yards and elephant house. By providing the yards in this part, the elephants will have access to larger and more complex yards that will support a small herd in the social environment they require. With the birth of the male elephant this year, NZP is moving

towards its goal of housing and exhibiting elephants as recommended by current zoological standards. With the introduction of a male elephant into the collection, the housing requirements have changed dramatically. More space, stronger housing, and the ability to separate the keeper and the elephant at all times are now required. The current building and yards do not meet any of these requirements. Additionally, the building's mechanical and electrical systems are more than 50 years old and break down frequently. It is not possible to maintain acceptable water quality due the limitations of the pools and plumbing systems. The roof and skylights leak, causing deterioration and unsafe conditions for the public, staff, and the animals.

PROJECT DESCRIPTION:

Asia Trail Phase II, new elephant yards, will re-grade and landscape a number of existing yards and connect them to the existing elephant building. A pool in the elephant yard along with areas to run, climb, and engage in behaviors one would observe in their natural habitat will be created. Accessible areas for the public to observe the elephants and keeper demonstrations will also be included. Phase III will construct new holding space for the elephants. The total estimated cost for Asia Trail, Phases II & III is \$73.5 million, of which \$2.5 million has been funded to date. The Institution is requesting \$9 million in FY 2004 for Asia Trail Phase II, to design and begin construction of the elephant yards.

PROGRESS TO DATE:

Program requirements have been developed in-house, and design of the new yards will begin with funding expected in FY 2003.

IMPACT OF DELAY:

A delay would undermine the Zoo's ability to improve the quality of life for the Asian elephants, and place the elephant program at risk. Deferral of this phase will ultimately ripple into detrimental delays in subsequent phases of this project and future related projects intended to bring the housing of large mammals into compliance with American Zoological Association standards.

PROJECT TITLE: Revitalize NMAH, Behring Center Public Space
INSTALLATION: National Museum of American History, Behring Center
LOCATION: Washington DC

FY 2004 COST ESTIMATE (Thousands of Dollars):

Replace fire detection system	2,500	
Upgrade and improve rest rooms	<u>3,000</u>	
	5,500 *	5,500

* Does not include \$4 million included in FY 2004 request for Facilities Planning & Design to begin design of public space revitalization project

PRIOR YEAR FUNDING: 0

FUTURE YEAR FUNDING
(FY 2005- 2011):

Complete design	1,000	
Upgrade chiller plant	7,500	
Renew public space	<u>32,000</u>	
	40,500	<u>40,500</u>

Total 46,000

BUILDING BACKGROUND:

The National Museum of American History, Behring Center is a modern classical building designed by Walker O. Cain of McKim, Mead, and White, and built in 1964 as the Museum of History and Technology. The 752,000-square-foot building houses exhibitions that explore America's technological, scientific, cultural, and political history. The collections include the Star-Spangled Banner that inspired Francis Scott Key, and exhibitions on the American presidency and the First Ladies' gowns. The annual visitation is typically 6 million.

PROJECT JUSTIFICATION:

The fire detection and alarm system is outdated and requires excessive maintenance. The public rest rooms are outdated, do not meet code in fixture quantity, and are not fully accessible. Public circulation areas, amenities, lobbies, seating, telephones and secure coat check facilities are worn and in disrepair. The elevators are not fully accessible and are not all on emergency power. Paths of emergency egress are blocked by offices, exhibits, and the day-care center, creating life safety hazards for the public and staff. Fire separation doors are a life safety hazard and require excessive maintenance. Areas of rescue assistance are needed for persons with disabilities. The fifth-floor roof terrace, used for many public events, is not fully accessible. The exterior window walls are deteriorated. Site landscaping, hardscape, and special features, such as the Constitution Avenue fountain and west reflecting pool, are in disrepair, are

safety hazards, and need renewal. The chilled water system, including chillers, pumps, and cooling towers, has required significant repairs and needs total replacement. The chillers contain CFC refrigerants that must be phased out to comply with environmental laws. Steam condensate piping and pressure reducing valve stations are in poor condition, and transformer vaults are not air conditioned, threatening power failures due to heat.

PROJECT DESCRIPTION:

Provide a new, addressable fire detection and alarm system with expansion capacity. Provide larger, accessible rest rooms that meet code requirements for accessibility and fixture count and the actual needs of visitors and special events. Restore public circulation and orientation areas. Replace elevators and escalators so they are safe, accessible, and in coordination with planned security improvements and the public space renewal. Provide capability for each elevator to operate on emergency power, access ramps to the roof terrace, and an accessible public elevator to the basement. Restore public paths of egress to emergency stairs and provide areas of rescue assistance. Re-engineer the life safety strategy to eliminate deficient fire separation doors. Refurbish the exterior window walls. Repair and refurbish site landscaping, paving, and original fountains. Replace the three chillers and cooling towers with modern units and replace associated pumps and piping. Replace the steam piping in the basement, including the pressure-reducing valve stations, and add air conditioning to the transformer vaults.

All of the major repair work must be performed in conjunction with the public space renewal plan. Implementation of core elements such as restrooms and the fire detection system is critical in FY 2004, as they are predecessors of donor-funded activities. The Behring-funded *Price of Freedom* exhibition is scheduled to open in November 2004, and the Star-Spangled Banner reinstallation and *For Which It Stands* exhibition are scheduled to open in November 2005. Both of these initiatives will be impacted without the timely construction of core visitor area amenities and support systems planned for FY 2004.

In FY 2004, the Institution will design most of the components of the public space revitalization project (with \$4 million included in the Facilities Planning and Design section of the Facilities Capital request) and request contractor proposals to replace the fire detection and alarm system and renovate the restrooms. After reviewing the proposals, the Institution will award the project for construction. Design will be ongoing for phased projects to be funded in future years.

PROGRESS TO DATE:

Concept planning is in progress, funded by the gift of Kenneth Behring. Once a concept has been finalized, collaborative planning and design can move forward on both the facility (federal) and program (trust) aspects of the project.

IMPACT OF DELAY:

Equipment and systems at the end of their useful life will continue to fail at increasing rates, be more expensive to fix later, and demand excessive amounts of maintenance staff time. Because the existing fire detection/alarm system is not addressable—that is, does not relay the exact location of fire—labor for testing and maintenance is higher than the newer generation of systems in use elsewhere in the Institution. Public restrooms are not fully accessible, and are inadequate for peak visitation and special events. Elevators will remain inaccessible and some areas of the Museum will remain unavailable to persons with disabilities. Deficiencies in circulation and life safety create poor conditions for the public and staff. Areas of public orientation and amenities will remain in confusing and shabby condition. Existing fire separation doors require frequent testing and maintenance and parts are difficult to find. Deteriorated window walls will continue to present a poor image to our visitors and the empty fountain is a safety hazard and an eyesore. Periodic chilled water failures have caused the building humidity to spike and leaks from the steam condensate lines require maintenance and threaten collections. Delaying the planning of the facility revitalization would reduce the synergy of working with the Museum staff on a joint programmatic, facility-driven renewal of the exhibits and other public spaces. In addition to failures of various systems, such as elevators and escalators, and weak public safety and egress provisions, a delay would cause the loss of collaborative edge of joining public safety and design as the Museum proceeds with planning several new major exhibitions.

PROJECT TITLE: Ongoing Revitalization
INSTALLATION: National Museum of Natural History
LOCATION: Washington DC

FY 2004 COST ESTIMATE (Thousands of Dollars):

Complete renovation of first floor		
halls	3,000	
Mall accessible entrance	<u>8,000</u>	
	11,000	11,000

PRIOR YEAR FUNDING:

Construction	86,089	
Facility Planning and Design	10,968	
Move	350	
Interim Repair	<u>1,000</u>	
	98,407	98,407

FUTURE YEAR FUNDING

(FY 2005–FY 2011)

Ongoing HVAC replacement and code Improvements		<u>168,350</u>
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Total 277,757

BUILDING BACKGROUND:

The Natural History Building opened to the public in 1910. The East and West Wings were added in the early 1960s. Two infill buildings were constructed in the original building’s East and West courtyards in the late 1990s. The gross interior square footage of the building is 1.3 million square feet. The building includes 300,000 square feet of public museum space, and collections, laboratory, office, and building services space constitute the remaining 1 million square feet. The Museum typically hosts 9 million visitors annually, making it one of the most visited museums in the world.

PROJECT JUSTIFICATION:

The building’s mechanical and electrical systems installed in the early 1960s are almost 40 years old and are in need of major renovation. Breakdowns of the mechanical system are frequent, repair parts are often difficult to procure, and the system does not provide the environmental quality necessary for the display and curation of Museum collections.

The Museum’s main public entrance from the National Mall, used by 80 percent of the Museum’s visitors, is not accessible to persons with disabilities. Presently, the only accessible entrance to the museum is at

Constitution Avenue, a three-block journey for those arriving at the Mall entrance.

PROJECT DESCRIPTION:

This project continues the ongoing Major Capital Revitalization of the Natural History Building. The Institution will create an accessible entrance to the Museum from the Mall that is sensitive to the architecture of the existing building, while providing a direct route for persons with disabilities to the focal point of the Museum, its Rotunda.

The project also continues the renovation of the building's mechanical and electrical systems and associated work. The particular focus of the current project is the renovation of the 6th Floor of the building's West Wing. A new air conditioning and heating distribution system is to be installed; the electrical system upgraded, including a new lighting system; and space modifications made to provide a more flexible and serviceable working environment.

PROGRESS TO DATE:

A concept design has been completed for the proposed accessible entrance to the Museum from the Mall. The next steps would be reviews of this design concept by the Commission of Fine Arts and the National Capital Planning Commission. The design will also be coordinated with security measures to be implemented at the Mall entrance as part of the anti-terrorism initiative.

A schematic design is nearing completion for the revitalization of the 6th Floor of the building's West Wing.

IMPACT OF DELAY:

If funding were delayed, building systems would continue to deteriorate and fail. The environmental conditions required for the Museum's collections and the visiting public could not be maintained. In addition, members of the visiting public with disabilities would continue to be denied an accessible entrance to the Museum from the National Mall.

PROJECT TITLE: Anti-Terrorism Modifications
INSTALLATION: Multiple Locations
LOCATION: Washington DC

FY 2004 REQUEST (Thousands of Dollars):

Perimeter Barrier Construction at Mall Facilities	7,400	
Perimeter CCTV at NMAI Mall Museum, Udvar-Hazy Center and POB	300	
Electronic Access Control at Mall Facilities	700	
Temporary Structures for Electronic Screening at NMNH	<u>1,700</u>	
	10,100	10,100

PRIOR YEAR FUNDING:

Design	2,100	
Construction of perimeter barriers, pop-up barriers and guard booths at Mall facilities	9,425	
Anti-shatter film (window hardening)	<u>1,400</u>	
	12,925	12,925

FUTURE YEAR FUNDING:

Construction of perimeter and pop-up barriers and guard booths at off-Mall facilities	14,155	
Anti-shatter film (window hardening)	13,100	
Chemical, biological and radiological preventive measures	1,800	
Perimeter CCTV at Victor Building, Renwick Gallery and Cooper-Hewitt	<u>300</u>	
	29,355	<u>29,355</u>

Total 52,380

BACKGROUND:

The Smithsonian is responsible for the security and safety of an extensive and complex physical plant that includes 16 buildings that house museums and galleries in Washington DC and New York City; a National Zoological Park in Washington and animal conservation center in Front Royal, Virginia, and restoration and storage buildings and centers for research and education in a number of locations throughout the country and in the Republic of Panama. Smithsonian facilities receive over 30 million visits per year, support important research activities, and provide space for

the care and long-term preservation of living collections and artifacts representing our national historical and cultural heritage and the record of the natural world around us. Since the terrorist attacks on New York and Washington on September 11, 2001, the Institution has developed a comprehensive plan for reducing the risk of a terrorist attack occurring at a Smithsonian museum, and minimizing the damage to people, collections and buildings should such an event take place. With the help of outside experts, staff performed risk assessments, reviewed security and disaster preparedness plans, and conducted blast assessments throughout the public buildings. A range of vulnerabilities was identified, including the need to install physical barriers separating the buildings from the street, increase perimeter surveillance, protect glass window walls and doors from shattering, conduct electronic screening in the most heavily visited museums, and improve electronic access to nonpublic areas inside the buildings.

The Institution installed temporary physical barriers around most major museum buildings with funding received in the FY 2002 Anti-Terrorism Supplemental, and increased security officer presence outside its buildings. Funding requested in FY 2003 will provide initial funding for permanent capital improvements that involve more complex design, construction, and installation issues and require appropriate approvals from the Commission of Fine Arts and the National Capital Planning Commission.

PROJECT JUSTIFICATION:

Risk assessments conducted at the Smithsonian since September 11, 2001, have recommended new security measures for all Smithsonian museums and facilities. The popular recognition of the Smithsonian name, the American icons contained in its facilities, and the high level of public access and visitation distinguish the Smithsonian facilities from other government office buildings. If the requested funding is not provided for the outlined initiatives, the likelihood of possible terrorist attacks, and the impact of such attacks, is increased.

PROJECT DESCRIPTION:

The project includes the following components:

- **Electronic Access Control** - The installation of Electronic Access Control (card readers) at all public/staff separation points throughout Smithsonian facilities would restrict the public's ability to gain access to sensitive and critical areas. In FY 2004, the Smithsonian requests funding in the amount of \$700,000 to implement this measure at the National Museum of American History, the National Air and Space

Museum, the Hirshhorn Museum and Sculpture Garden, and the Renwick Gallery of Art.

- **National Museum of Natural History Temporary Screening Structures** - As the entrances of the National Museum of Natural History cannot currently support the installation of electronic screening equipment, it is necessary to renovate the entrances of NMNH to accommodate the equipment. This will be accomplished as part of the project to create an accessible entrance to the Museum from the Mall. Until that project can be completed, it will be necessary to install temporary structures near the Natural History entrances to protect visitors, staff, and electronic screening equipment from the elements until an appropriate renovation can be accomplished. In FY 2004, the Institution requests \$1,700,000 for the construction of temporary structures at Natural History to accommodate electronic screening of visitors.
- **Perimeter Camera Systems** - Perimeter camera systems provide surveillance of building exteriors. Full-time recording by these cameras will provide invaluable investigative information. The Institution received \$660,000 in the FY 2002 Anti-terrorism Supplemental appropriation for Mall facilities. An additional \$300,000 in FY 2004 will fund this measure at the new NMAI Mall Museum, NASM Udvar-Hazy Center, and Patent Office Building.
- **Permanent Physical Barriers, Pop-up Barriers and Guard Booths** - Barriers provide reasonable standoff distance from Smithsonian facilities to ensure that vehicles/trucks carrying explosive devices cannot drive up to or immediately adjacent to building exteriors. The Smithsonian anticipates receiving \$9,425,000 in FY 2003 to fund this measure at some Mall facilities. An additional \$7,400,000 in FY 2004 will complete the Mall facilities construction.

PROGRESS TO DATE:

To date the Institution has completed risk assessments of all major Smithsonian facilities; completed blast assessments of NMNH, NMAH, NASM, and HMSG; installed temporary barriers around NMNH and NMAH; implemented electronic screening of all visitors at NASM; and initiated the design of permanent barrier systems, pop-up barriers, guard booths, perimeter CCTV, and Emergency Voice (or P/A) systems.

IMPACT OF DELAY:

If the requested funding is not provided for the outlined initiatives there is an increased likelihood of a possible terrorist attack. The popular recognition of the Smithsonian name, the American icons contained in its facilities, and the high level of public access and visitation distinguish the Smithsonian facilities from other government office buildings and make it

an attractive target to terrorists. Additionally, the lack of any obvious anti-terrorist measures increases the Institution's vulnerability.

Other Revitalization Projects

Projects in this category correct extensive and serious facilities deficiencies to materially extend the service life of systems. Unlike the major revitalization projects, however, these projects are smaller in scale, and usually involve capital repair or replacement of individual systems or components. The capital repair projects formerly included in Code Compliance and Security, and Infrastructure Repair are now included here. Descriptions of the major projects follow the summary below.

<u>Facility</u>	<u>Major Projects</u>	<u>\$(000)s</u>
Environmental Research Ctr	Consolidate & Improve Alcohol Storage	600
Environmental Research Ctr	Improve Entrance Road	500
Hirshhorn Museum	Upgrade Security	550
Quadrangle	Replace Fire Alarm System	1,500
Silver Hill Facility	Upgrade Fire Alarm System	500
Multiple Locations	Mall-Wide Signage	1,000
Multiple Locations	Abate and Monitor Asbestos and Lead	1,200
Multiple Locations	Improve Escalator/Elevator Safety	500
Multiple Locations	Personnel, Reprographics and Library	4,000
Multiple Locations	Provide Guard Services to Support Projects	600
Multiple Locations	Program Oriented Alterations & Modifications	2,000
Multiple Locations	Miscellaneous projects under \$500,000	7,485
TOTAL		20,435

PROJECT TITLE: Consolidate/Improve Alcohol Storage
INSTALLATION: Smithsonian Environmental Research Center
LOCATION: Edgewater, MD

FY 2004 COST ESTIMATE (Thousands of Dollars): 600

PRIOR YEAR FUNDING: 0

FUTURE YEAR FUNDING: 0

PROJECT DESCRIPTION:

As an integral and necessary component of the research at the Smithsonian Environmental Research Center (SERC), biological specimens are preserved in alcohol for later study. SERC currently stores these specimens in various locations, mostly in individual laboratories, under conditions that do not meet the *National Fire Protection Association Fire Prevention (NFPA) Code* for storage of flammable and combustible materials. There is a significant but limited safety risk associated with very small quantities of specimens stored in alcohol. In FY 2004, the Institution plans to construct a small building to consolidate all alcohol storage in a single code compliant location.

PROJECT JUSTIFICATION:

This project is required to comply with the NFPA code to eliminate the flammable and combustible hazard currently existing at numerous laboratory and storage locations at SERC. When complete, all specimens stored in alcohol will be housed in one building, designed and constructed to comply with the national fire and life safety codes.

IMPACT OF DELAY:

Delaying funding will continue the safety hazard associated with improper storage of collections in unsafe locations throughout SERC.

PROJECT TITLE: Improve Entrance Road
INSTALLATION: Smithsonian Environmental Research Center
LOCATION: Edgewater, MD

FY 2004 COST ESTIMATE (Thousands of Dollars): 500

PRIOR YEAR FUNDING: 0

FUTURE YEAR FUNDING: 0

PROJECT DESCRIPTION:

This is the first phase of a multi-year funded project totaling \$2 million. This project will improve the existing one-lane Contees Wharf Road to provide safer access to the Smithsonian Environmental Research Center (SERC). This road is the primary entrance access to SERC and is used daily by staff, commercial delivery vehicles, visitors, and school buses bringing children to SERC for educational programs and environmental studies. The scope is to realign portions of the road to improve the line of sight, selectively widen the road to allow passing zones, introduce storm water management controls, and improve the turning radius at the main entrance allowing direct access to the Rhode River education sites for school buses. The first phase will be to eliminate safety hazards and improve turning radius at the main entrance to SERC.

PROJECT JUSTIFICATION:

The narrow, single-lane, winding road obscures the line of sight and allows no room for vehicle passing. This safety hazard has been the cause of numerous accidents and near-accidents over the years, some involving school bus tours.

IMPACT OF DELAY:

Delaying funding will continue the risk of a major vehicular accident involving school children, staff, visitors, or delivery vehicles.

PROJECT TITLE: Upgrade Security
INSTALLATION: Hirshhorn Museum
LOCATION: Washington DC

FY 2004 REQUEST (Thousands of Dollars): 550

PRIOR YEAR FUNDING: 0

FUTURE YEAR FUNDING: 0

PROJECT DESCRIPTION:

Replace existing cabling and security alarms and add additional alarms, access control (card readers) and closed-circuit television (CCTV) cameras to meet current Smithsonian standards.

PROJECT JUSTIFICATION:

In 1993, the Smithsonian’s Inspector General declared The Smithsonian Institution’s Proprietary Security System (SIPSS) “unsatisfactory” in meeting Smithsonian needs and recommended its

replacement. In addition, the Institution determined that its electronic security systems (alarm, CCTV, and access control) did not meet the minimum standards of the security industry.

Staff developed a Smithsonian Security Modernization Program (SSMP) to address these needs. The SSMP was split in two phases:

- Design and replace SIPSS before failure.
- Develop appropriate standards of electronic security, comparable to other museums or federal facilities, and design and upgrade the systems.

This project is Phase II of the 1999 modernization project that replaced SIPSS within HMSG. In addition, the project will correct deficiencies highlighted in a recent risk assessment that identified HMSG as a high risk for terrorist attack.

IMPACT OF DELAY:

HMSG has wiring and alarm devices that are over 20 years old. Maintenance efforts are constant and the system is losing reliability due to nuisance alarms created by faulty wiring. There is no electronic access control to provide public/staff separation and there is virtually no CCTV coverage of the facility. Delay of the project would make HMSG more susceptible to collection and office theft and terrorist attacks.

PROJECT TITLE: Replace Fire Alarm System
INSTALLATION: Quadrangle
LOCATION: Washington DC

FY 2004 REQUEST (Thousands of Dollars): 1,500

PRIOR YEAR FUNDING:
Planning and Design 225

FUTURE YEAR FUNDING: 0

Total, 1,725

PROJECT DESCRIPTION:

This project involves renovation and upgrade of the major fire protection systems for the Smithsonian Quadrangle including the Arthur M. Sackler Gallery, The National Museum of African Art (NMAfA), and The S. Dillon Ripley Center. This project will install a new MXL (Addressable) fire

alarm system to upgrade the system to correct deficiencies in the existing system. Additional audio and visual devices will be added to fully comply with the criteria plus creation of areas for rescue assistance at the lower level. Manual pull stations will be adjusted to the proper ADA height criteria. This project also includes fire protection for all elevator rooms and shafts in order to comply with life safety code requirements. Installation of sprinkler and/or gaseous fire suppression protection in Sackler and NMAfA refrigerated collection rooms and upgrades to fire protection for the Smithsonian Associates main computer room are also included. The project will add fire protection to the elevator shafts and pits and upgrade the recall system. The elevator cabs will be upgraded to full ADA compliance.

PROJECT JUSTIFICATION:

This project is to correct fire safety deficiencies identified in the building Management Evaluation and Technical Review (METR) report, as well as the Quadrangle Fire Protection Master Plan.

IMPACT OF DELAY:

A delay in correcting these deficiencies will continue to jeopardize the safety of visitors and staff.

PROJECT TITLE: Upgrade Fire Alarm System
INSTALLATION: Silver Hill (Garber) Facility
LOCATION: Suitland, Maryland

FY 2004 COST ESTIMATE (Thousand of Dollars): 500

PRIOR YEAR FUNDING: 0

FUTURE YEAR FUNDING: 0

PROJECT DESCRIPTION:

The Silver Hill Facility consists of more than thirty individual buildings for the storage of museum collections, restoration shops, and exhibitions shops. This project will provide a new state-of-the-art, completely addressable system throughout the complex so that alarms will be sounded and the control desk will know immediately where the alarmed device is located. These devices will be networked together via fiber-optic medium.

PROJECT JUSTIFICATION:

This project is required to provide a reliable fire alarm system for the entire complex. The current system is antiquated, cannot accept additional terminal units, often fails during storms, requires constant maintenance and

repairs and does not readily identify where the alarm has been initiated. When completed, the new system will provide a fully addressable panel and spare points for the addition of new monitoring points.

IMPACT OF DELAY:

Delaying the funding of this project increases the risk of damage and injury from fire with the passage of time. The system failures, which now render the system inoperable between repairs, will become even more frequent as the components become worn beyond repair and replacement parts are more difficult to obtain.

PROJECT TITLE: Mall-Wide Signage
INSTALLATION: Exterior of Smithsonian Mall Buildings
LOCATION: Washington, DC

<u>FY 2004 COST ESTIMATE (Thousands of Dollars):</u>	1,000
Prototypes of three sign types and implementation of Phase I signage	

<u>PRIOR YEAR FUNDING (FY 2001 & 2002):</u>	
Concept and design	175

<u>FUTURE YEAR FUNDING (FY 2005):</u>	
Phase II implementation	<u>1,000</u>

Total, 2,175

PROJECT DESCRIPTION:

This is the first phase of the two-phased fabrication and installation of Mall-wide signs to replace and upgrade existing signage to provide information on Smithsonian museums, assist visitor way-finding, and announce program offerings in a consistent manner throughout the Mall. The Mall-wide signage project will improve recognition of all Smithsonian Mall facilities and the programs they offer by replacing the ad hoc clutter of existing signs with elegant kiosks uniformly bearing the Smithsonian identity. Phase I includes the prototypes of all three sign types and the program signs for all Mall museums. Phase II includes Smithsonian information signs and building identification signs. Both phases have been designed together as a Mall-wide signage master plan.

PROJECT JUSTIFICATION:

The current hodgepodge of signs on the Mall does not provide our visitors with comprehensive information about the Smithsonian. The varied and inconsistent styles and format of the existing signs assault our visitors

with visual incongruity, presenting a fractured, amateurish image of the Smithsonian. The Mall-wide signage project will replace the existing signs with an attractive, coordinated information system. The signs will assist our visitors in planning their visits by introducing them to all the Smithsonian museums, programs, and amenities, including food service and retail, in a visually accessible way.

IMPACT OF DELAY:

Deferral of the Mall-wide signage project will leave a variety of uncoordinated and visually disparate Smithsonian signage on the Mall. Comprehensive information about all the Smithsonian museums and programs will not be available for our visitors, potentially affecting the overall experience of visitors to the Smithsonian and the nation's Capital.

PROJECT TITLE: Abate and Monitor Asbestos and Lead
INSTALLATION: Multiple Locations
LOCATION: SI-wide

<u>FY 2004 COST ESTIMATE (Thousands of Dollars):</u>	1,200
<u>PRIOR YEAR FUNDING (FY 2003):</u>	1,200
<u>FUTURE YEAR FUNDING (FY 2005)</u>	<u>1,400</u>
	Total, 3,800

PROJECT DESCRIPTION:

The Smithsonian's facilities were constructed in an age when asbestos was a popular insulating material, and paint contained lead. A number of years ago, the Institution completed a comprehensive program to remove or encapsulate exposed asbestos that posed an immediate health risk to staff and visitors, but much remains in place. Each time repairs or restoration is performed in areas where asbestos was encapsulated, or simply exists in ductwork or behind walls, the fibers are disturbed and again become a health threat. Similarly, lead paint is still in place throughout the Institution, but it is easily disturbed during repairs to painted surfaces. Each year funds are set aside to be used to fund abatement of asbestos and lead in conjunction with other projects, and to ensure that appropriate monitoring activities take place during the work.

PROJECT JUSTIFICATION:

The Institution is committed to ensuring a safe and healthful environment for all visitors and staff. Hazardous substances such as asbestos and lead must be removed or abated to minimize the risk.

IMPACT OF DELAY:

A delay in funding this activity would place staff and visitors at greater risk of exposure to asbestos and lead in Smithsonian facilities.

PROJECT TITLE: Improve Escalator/Elevator Safety

INSTALLATION: Multiple Locations

LOCATION: SI-wide

FY 2004 COST ESTIMATE (Thousands of Dollars): 500

PRIOR YEAR FUNDING (FY 2002): 230

FUTURE YEAR FUNDING (FY 2006): 345

Total, 1,075

PROJECT DESCRIPTION:

This project is an ongoing effort to keep vertical transportation systems in Smithsonian buildings as up-to-date and safe as possible for visitors and staff. In the past years this program has included the installation of emergency brakes on hydraulic elevators. Brakes are a code requirement on traction elevators but not on hydraulic ones. When the brakes became available for hydraulic equipment the Smithsonian installed them on all but one elevator. The brake is not yet available on the market for the last one. Another use was the installation of brushes along the sides of escalators. This reduced the incidents of foot injuries when tennis shoes, mostly children's, were caught under the edge of the escalator. We have also updated controls to improve equipment efficiency and operations.

PROJECT JUSTIFICATION:

With the high volume of use this equipment receives each year, accidents do happen and some injuries do occur. The goal of this program is to keep these incidents to an absolute minimum, with the ultimate goal of achieving accident-free operations. To achieve this result requires continually improving the safety features and operation of equipment.

IMPACT OF DELAY:

Delay in funding this project could result in increased injuries to visitors and staff.

PROJECT TITLE: Personnel, Reprographics and Library
INSTALLATION: Multiple Locations
LOCATION: SI-wide

<u>FY 2004 COST ESTIMATE (Thousands of Dollars):</u>	4,000
<u>PRIOR YEAR FUNDING (FY 2003):</u>	3,500
<u>FUTURE YEAR FUNDING (FY 2005):</u>	<u>5,000</u>
	Total, 12,500

PROJECT DESCRIPTION:

This request includes staff costs for permanent construction management staff required to supervise and administer construction contracts as well as term and temporary staff required to perform specialized work associated with revitalization projects. A total of 27 FTEs will be funded from this request. The permanent staff of 22 construction management engineers will cost approximately \$2.6 million in FY 2004. Additional construction management staff are budgeted for the Patent Office Building renovation project, the National Museum of American Indian Mall Museum project, and the Pod 5 project, and are included in the descriptions of those projects. The engineers directly supervise construction contractors on site performing revitalization work in Smithsonian buildings to be sure that quality work is performed safely. In addition, they resolve issues that arise during construction, negotiate change orders, approve payments, and perform other administrative functions as Contracting Officer's Technical Representatives. The total cost of this permanent corps of construction managers amounts to approximately 3-4 percent of the revitalization work expected to be in progress each year, and this arrangement will allow the Institution to charge these costs directly to the project/program in a way comparable to the practices of other agencies such as NASA and the Army Corps of Engineers. This request also funds five contract specialists providing support to all aspects of the procurement process for acquiring the necessary contract services to execute the capital program. These contract specialist positions are currently filled with term appointments, which makes it difficult to retain staff that have become fully versed in the Institution's capital program. The Smithsonian therefore requests an additional 5 FTEs to allow conversion of these positions to permanent. These five positions will cost approximately \$600,000 in FY 2004. In addition to covering necessary staff costs, this request also includes resources necessary to maintain a library of reference materials and professional association memberships, and provide reprographic services and other support requirements used in planning and implementing the capital program.

PROJECT JUSTIFICATION:

The Institution must have an appropriate level of construction management staff to perform essential owner functions to supervise construction activities, in order to ensure that quality work is completed safely, on time, and within budget. A professional trained staff will diminish the risk of owner-caused delays and related costs increases, and ensure that the work is appropriately coordinated with building occupants. Contracting support is essential to ensure the timely award of planning, design, and construction contracts to execute the capital program.

IMPACT OF DELAY:

A delay would leave the Institution without the staff and support required to execute the capital program, causing delays in awarding contracts and increasing the risk of poor workmanship, cost increases, schedule delays and occupant disruption during construction.

PROJECT TITLE: Provide Guard Services to Support Projects
INSTALLATION: Multiple Locations
LOCATION: SI-wide

<u>FY 2004 COST ESTIMATE (Thousands of Dollars):</u>	600
<u>PRIOR YEAR FUNDING (FY 2003):</u>	350
<u>FUTURE YEAR FUNDING (FY 2005):</u>	<u>700</u>
	Total, 1,650

PROJECT DESCRIPTION:

Smithsonian security forces are assigned to maintain security at Smithsonian facilities whenever contractor staff is on site to perform work on revitalization projects. The cost of guard services, usually performed on overtime, is funded from this request for a variety of revitalization projects at multiple Smithsonian locations. It does not represent the total cost of security services for the revitalization program because for the larger, discrete projects, such as the major revitalization of POB and NMNH, security services are charged directly to that project.

PROJECT JUSTIFICATION:

The Institution is committed to maintaining an appropriate level of security in its facilities at all times. When revitalization work is performed, especially in non-public areas of the buildings or at times outside normal operating hours, extra security is required to protect collections and other

property from damage or theft. The Smithsonian's security force is trained to provide this additional security coverage at a reasonable cost.

IMPACT OF DELAY:

Without this funding, consistent security coverage cannot be guaranteed during construction activities, exposing Smithsonian collections and property to increased risk of damage or theft.

PROJECT TITLE: Program Oriented Alterations and Modifications
INSTALLATION: Multiple Locations
LOCATION: SI-wide

<u>FY 2004 COST ESTIMATE (Thousands of Dollars):</u>	2,000
<u>PRIOR YEAR FUNDING (FY 2003):</u>	3,000
<u>FUTURE YEAR FUNDING (FY 2005):</u>	<u>6,000</u>

Total, 11,000

PROJECT DESCRIPTION:

This request includes funds to make changes, improvements or minor additions to existing space to meet programmatic needs. The resources provide for design and construction of specific building modifications and minor additions, and for equipping of changed space. Individual projects will cost no more than \$1 million and will have little or no impact on facility operating costs. Examples of work planned for FY 2003 include

- Installation of compact shelving in Smithsonian libraries
- Renovation of the tunnel between the Hirshhorn Museum and its Sculpture Garden to create a much needed education room
- Completion of the renovation of the Pavilion at the George Gustav Heye Center of the National Museum of the American Indian
- Relocation of the Archives/Lemelson Center at the National Museum of American History to make way for new exhibitions
- Relocation of the Laboratories of Analytical Biology (LAB) and mineral sciences vault at the National Museum of Natural History
- Modifications to staff offices at the National Zoological Park
- Renovation of the locker room used by the security force at the Quadrangle
- Expansion of the IOTA telescope building and the dormitory facilities at the Fred L. Whipple Observatory in Arizona
- Design of a dormitory expansion at the Environmental Research Center in Edgewater, MD

- Interior reconfiguration of the Smithsonian Castle to accommodate changing staff requirements
- Construction of new utility and sewage systems at the Gamboa site of the Tropical Research Institute

Work planned for FY 2004 includes

- Installation of additional compact shelving and other modifications at Smithsonian libraries
- Relocation of the film archives and completion of renovations for the LAB at the Museum of Natural History
- Renovation of exhibit space at the National Zoological Park
- Construction of a dormitory expansion at the Environmental Research Center in Edgewater, MD

PROJECT JUSTIFICATION:

The Institution must make minor modifications to its facilities in order to maintain the vitality and operating effectiveness of its programmatic activities.

IMPACT OF DELAY:

Without the requested funding, much needed modifications and minor expansions will be delayed, resulting in decreased operating efficiencies in a number of Smithsonian programs.

CONSTRUCTION

Projects in this category represent an investment in the continuing vitality of all Smithsonian programs. The creation of the Air and Space Museum's new Steven F. Udvar-Hazy Center at Dulles Airport and the National Museum of the American Indian on the Mall testify to the vigorous spirit of public outreach that will bring more visitors in touch with their national collections. Furthermore, advances in science demand new locations for research and plant expansion to sustain increasingly complex research requirements. The Institution is also committed to providing appropriate, safe, and secure storage and care facilities for its extensive and valuable collections.

<u>Location</u>	<u>Project</u>	<u>\$(000)s</u>
Museum Support Center	Construct Pod 5	22,000
TOTAL		22,000

PROJECT TITLE: Construct Pod 5
INSTALLATION: Museum Support Center
LOCATION: Suitland, MD

FY 2004 COST ESTIMATE (Thousands of Dollars):

Site work and construction 22,000

PRIOR YEAR FUNDING:

Facility Planning and Design 2,000

FUTURE YEAR FUNDING (FY 2005):

Furnish and install storage equipment 6,000

Total, 30,000

BUILDING BACKGROUND:

Built in 1983 as designed by architectural firms Keyes, Condon, Florance and Metcalf and Toby, the modern, precast concrete center is a state-of-the-art research, conservation, and collection storage facility providing optimum environments for the storage, preservation and study of Smithsonian collections. The 524,000-square-foot facility houses no public exhibits. Rather, it has four large collections storage bays, referred to as pods, and an office-laboratory complex. The building is not open to the public, except for scholars and researchers.

The third bay, Pod 3, was originally intended for the storage of natural history specimens preserved in alcohol. The Natural History Museum engaged in a lengthy design process to complete the installation of a steel collections storage structure in Pod 3. In the face of prudent fire safety practices and the needs of the collections, it became impractical to upgrade Pod 3 to meet these standards. The design estimated that it would cost over \$13 million to upgrade Pod 3, and it still would not meet these needs. The need remains for a code-compliant alcohol collections storage facility off the National Mall that will permanently house the Museum's alcohol collections, including those still in the NMNH building on the Mall. The proposed Pod 5 will provide a safe code-compliant environment for these collections, while freeing up valuable space at the NMNH Mall building and making Pod 3 available for other Institutional uses.

PROJECT JUSTIFICATION:

The design and construction of Pod 5 is the Smithsonian's highest priority safety and security project. The Smithsonian has the world's largest collection of animal and botanical specimens preserved in alcohol. This irreplaceable collection is at risk of total loss because it is stored in space at the NMNH building on the Mall that does not meet numerous fire code

standards. In addition, the events of September 11 have put a higher level of emphasis and increased necessity on proceeding with this project.

Current storage conditions violate the National Fire Codes in the following ways:

1. Maximum allowable size for an inside alcohol storage room is 500 square feet. Alcohol is stored in a 14,600-square-foot room, a 15,300-square-foot room, an 11,800-square-foot room, and three smaller rooms totaling 6,500 square feet.
2. Wall, floors, and ceilings must be rated for 2-hour fire resistance. Only two of the smaller rooms meet this requirement.
3. Maximum allowable alcohol to be stored in one room is 1,800 gallons. All rooms exceed this limit.
4. Alcohol storage rooms must have sprinkler systems in compliance with Extra Hazard Group II. Only two of the smaller rooms have this extra sprinkler capacity.
5. Alcohol rooms must have liquid-tight floors and spill-proof containment or drainage to prevent burning liquid from leaking through floors, walls, or under doors to non-protected spaces. Only one of the small rooms meets these requirements.
6. All wiring within alcohol storage rooms must be explosion-proof to prevent sparks from lights or switches from igniting alcohol vapors if a spill or leak occurs. Only two of the smaller rooms meet these requirements.
7. Alcohol storage rooms must be continuously exhausted to the outside and alarmed if mechanical ventilation fails. Only two of the smaller rooms meet these requirements.

Renovating the existing space in the Mall Museum to become code-compliant can only be achieved through extraordinarily disruptive and costly means. The resultant space would only house a fraction of the collections now located on the Mall due to the 500 square foot maximum for each storage room.

The safest solution is the construction of a fifth pod at the Museum Support Center in Suitland, where security inside the perimeter fencing provides the lowest risk. The fifth pod would effectively isolate the alcohol collections from vulnerable, less volatile collections in nearby existing pods.

PROJECT DESCRIPTION:

The preliminary scope of the project is to construct a 120,000-gross-square-foot addition to the Museum Support Center to house the alcohol collections now in Pod 3 and the Natural History Museum on the Mall. The

new pod will contain three levels for storage. The height of the pod will be determined based upon the requirement to provide appropriate space above and around the containers to provide adequate ventilation. The design of Pod 5 will accommodate existing shelving systems utilized by the Museum, as well as new shelving and compactor systems that are suitable for use with this kind of collection. Purchasing new equipment and relocating existing shelving are included in the project. A utility and access "street" will connect the pod to the rest of the existing building. Laboratory/research space of approximately 42,000 gross square feet, and a new loading dock, will provide support to activities related to the alcohol collections. The new pod is in accordance with the approved master plan for the Suitland campus. The estimated \$28-million cost to construct and equip the building will be further refined and a baseline (scope, schedule, and budget) established once the building has been designed to the 35% stage.

The resources requested for FY 2004 include 5 FTEs for construction management staff to supervise the construction contract.

PROGRESS TO DATE:

The staff has completed the scope of work for design of Pod 5, and is negotiating with an architectural firm on a term contract with the Institution to finalize the scope and establish the design fee. The estimated cost of the A/E fee is \$2,000,000. This amount is included in the FY 2003 request. It is anticipated that all preliminary work will be completed so that the award for the design can be made as soon as funding becomes available. The preliminary milestone schedule is to award the design contract in October 2002, complete the design by January 2004, award the construction contract by June 2004, and complete construction by January 2006.

IMPACT OF DELAY:

In order to improve safety for staff, visitors, and the collections themselves, it is essential to provide code-compliant, secure storage for the collections preserved in alcohol as soon as possible. The National Museum of Natural History and its staff, visiting public, and collections remain at risk with the alcohol collections inadequately protected within the building on the Mall.

FACILITIES PLANNING AND DESIGN

Feasibility studies, needs assessment, and design for capital projects are required before work can take place. Resources in this category include all costs for contract facility master planning, preliminary and final design for all revitalization and construction projects, special studies, and a small amount for facility engineering capital leveraging and research activities, similar to Department of Defense and NASA. The funding will allow development of project baselines, including costs, scope, and schedule, prior to receiving funding to perform the work.

In order to plan and design ahead of capital program execution, funding of about 10% of the following year's program is required each year. The funding requested for FY 2004 will provide necessary planning and design to at least the 35% stage for projects included in the planned FY 2005 program. This will allow establishment of firm baselines and enable timely award of construction contracts upon receipt of future-year funding. Funding at this level will allow the Institution to maintain momentum in modernizing its facilities over the next decade.

The specific components of the request for FY 2004 include the following:

<u>Location</u>	<u>Project</u>	<u>\$(000)s</u>
National Museum of American History, Behring Center	Design Public Space Revitalization	4,000
Multiple Locations	Miscellaneous Facilities Planning and Design	8,965
TOTAL		12,965

If resources are not provided, the Institution will be unable to proceed with vital planning and design activities to ensure the successful execution of the long-range capital program. The result will be a significant delay in meeting the Institution's goals to return Smithsonian facilities to full functionality over the next decade.

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SMITHSONIAN INSTITUTION LIBRARIES



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