



Smithsonian

Submitted to the Committees on Appropriations
Congress of the United States

Smithsonian Institution
Fiscal Year 2003
Budget Request to Congress

February 2002

Smithsonian Institution
Fiscal Year 2003 Budget Request to Congress
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Smithsonian Institution FY 2003 Federal Budget Request

OVERVIEW

The Smithsonian Institution is the guardian of our nation's greatest artistic, historic, and scientific treasures. It was founded in 1846 as "an Establishment for the increase and diffusion of knowledge." Since that time, the Smithsonian has stayed true to that original mission, and in so doing has grown greatly in size, scope, and national and global impact.

The Institution strives to continue to serve the public in an exemplary manner with both engaging, modern exhibitions backed by authoritative scholarship, and important basic scientific research and exploration. These tasks are taken very seriously at the Institution, even more so given the challenges the nation faces after the tragic events of September 11, 2001.

At the Smithsonian, the tragedy of September 11th has led to a severe drop in visitors with a resulting loss in revenues. At the same time revenues are declining, there has been a heightened awareness of the Institution's security vulnerabilities and requirements. 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 leadership team has a strategic plan in place to address all these issues.

The Smithsonian is a unique entity, an independent trust instrumentality that is dependent on the federal government for approximately two-thirds of its funding. Ever mindful of and grateful for this support, the Smithsonian is committed to improving its communications with the Administration and Congress, and to providing each with the information necessary to justify their continued support.

Part of that communication includes a frank assessment of where the Institution currently stands. In addition to the challenges of the post-September 11th atmosphere, the Smithsonian has other problems to solve. The National Academy of Public Administration's (NAPA) report, *A Study of the Smithsonian Institution's Repair, Restoration and Alteration of Facilities Program*, confirms what the Institution had also concluded—there is a significant amount of expensive work to do to modernize the Smithsonian's aging buildings and infrastructure. Specifically, the NAPA report concurs that the Smithsonian needs to spend more than \$1 billion over the next decade to fully repair, renovate, and improve its facilities. In fact, NAPA

reported that the Smithsonian's previous estimate of \$1.2 billion for such work could be low, and the actual cost could be closer to \$1.4 billion (uninflated). NAPA also concurs that the Institution needs to replace its outdated, inadequate financial and human resources systems.

The Institution views the NAPA report as a valuable blueprint for the future, and has used it to help structure the FY 2003 budget request and define some of the Smithsonian's priorities.

Given such realities, Smithsonian priorities include:

- Capital renewal projects including the Patent Office Building, the National Zoological Park, and the National Museum of Natural History.
- Security improvements, building on the work that has begun in FY 2002 with emergency supplemental funding.
- Continued information technology initiatives, including the Enterprises Resource Planning project and the infrastructure modernization effort.
- Staff support for the expanded repair, restoration and alteration of facilities program in line with the NAPA report.
- Financial resources to fulfill the commitment to construct, 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.

Each of these items is an integral part of a comprehensive effort to ensure the Smithsonian's success as a steward of the nation's collections and the facilities that house them.

As the Smithsonian looks to the future and considers how best to revitalize and modernize this great Institution and bring it into the 21st century, it is clear that success actually leads to increasing resource requirements. As the Institution renovates older buildings, as it opens new, exciting exhibits such as *The American Presidency* or *Explore the Universe*, as it opens new buildings such as the Udvar-Hazy Center at Dulles or the National Museum of the American Indian on the National Mall, the anticipation is for more visitors—more than the 40 million who annually visit the Smithsonian now (including visits to Smithsonian traveling exhibits

and affiliate organizations). The greater its success, the greater the effect on buildings, budgets, and staff. How this Institution supports anticipated growth while preserving its infrastructure in the face of inflation and increasing use will be a critical issue in the future. Above all, the high quality of programs and service the American people have come to expect and value must be maintained.

**SMITHSONIAN INSTITUTION
FY 2003 BUDGET REQUEST SUMMARY**

<i>Account</i>	<i>FY 2002¹ Appropriation</i>	<i>FY 2003 Request</i>
Salaries and Expenses	\$399,253,000	² \$454,362,000
Repair, Restoration and Alterations	67,900,000	81,300,000
Construction	<u>30,000,000</u>	<u>12,000,000</u>
Subtotal	497,153,000	547,662,000
Offset CSRS/FEHB Full Funding	-----	-19,702,000
Total Accounts	\$497,153,000	\$527,960,000

¹Excludes \$21,707,000 contained in FY 2002 Emergency Supplemental, P.L. 107-117.

²Includes \$19,702,000 identified as the full cost of accruing CSRS/FEHB benefits; and rescission of \$14,100,000 in prior year funds.

For FY 2003, the Smithsonian's request for all operating and capital accounts totals \$528 million, an increase of \$30.8 million above the FY 2002 appropriation.

The Institution's FY 2003 request includes \$454.4 million for Salaries and Expenses (including \$19.7 million for the full costs of CSRS/FEHB benefits and a rescission of \$14.1 million in prior year unobligated balances), \$81.3 million for Repair, Restoration, and Alteration of Facilities, and \$12 million for Construction. A detailed summary of the request is provided in the table at the end of this section.

SALARIES AND EXPENSES - The Salaries and Expenses (S&E) request includes \$31.5 million in mandatory increases to sustain daily operations of the Institution. These increases are beyond the Institution's control and include additional costs associated with necessary pay, salaries for additional security staff, utilities, rent and communications. In addition, the Smithsonian has identified priority program requirements for FY 2003 as follows (specific details are included under each line item):

Enterprise Resource Planning System (\$5,800,000) – to support the incremental replacement of antiquated financial and human resources management systems with a commercial Enterprise Resource Planning (ERP) software product. FY 2003 funding will be used to operate and maintain the general ledger, accounts payable, and purchasing modules, and to begin development and integration of six additional financial management modules and three human resources management modules.

Managed Information Technology Infrastructure (\$3,400,000) – to incrementally establish a robust, standards-based information technology (IT) infrastructure. FY 2003 funding will be used to establish a network operating center, extend Help Desk services, implement directory service audit software, continue network server consolidation, and begin application server consolidation.

Information Resources Management Pool (\$500,000) – to support unit information technology product and service needs to enhance collections, archives, library, exhibits, and research information and make this information accessible through the Web to Smithsonian staff and outside scholars for research purposes, to Smithsonian staff to help manage collections and exhibits, and to the public for educational or recreational purposes.

Staff Support for Repair, Restoration and Alteration of Facilities (\$3,000,000) – to manage the Institution's greatly expanded workload of RR&A projects. Given the recommendations of the National Academy of Public Administration (NAPA) for revitalizing the Institution's aging physical plant, major renovation and modernization is required in all of the Smithsonian's major museums.

Security System Modernization, Maintenance and Renewal (\$1,100,000) – to complete replacement of the outdated Smithsonian Institution Proprietary Security System and provide for maintenance and upgrading of the new system.

Security Improvements (\$11,000,000) – to provide additional one-time funding for security improvements, including permanent physical barriers, pop-up barriers and hardening of officer booths, and strengthening of museum doors and windows.

National Museum of the American Indian, Mall Museum (\$5,190,000) – to continue production of inaugural exhibitions, plan educational programs, and provide essential administrative functions for the National Museum of American Indian Mall Museum, as well as facility support services.

National Air and Space Museum, Udvar-Hazy Center (\$3,310,000) – to move and install artifacts from the Paul E. Garber facility, plan educational and public programs, and provide support services for the National Air and Space Museum's Udvar-Hazy Center at Dulles.

The Institution's FY 2003 request requires \$12,795,000 in reductions. A portion of these reductions will be achieved by instituting a hiring freeze for all of FY 2003. In order to keep museums open and provide required levels of facilities maintenance, security and care of collections, particularly the living collections at the National Zoo, certain essential positions will need to be exempted from the freeze. As a result, a hiring freeze alone will not be sufficient to meet the required level of reductions. Additional actions will be necessary. Certain activities underway in FY 2002 are expected to result in reductions during FY 2003. These could include the Institution's workforce analysis, which will be completed late in 2002; and additional outsourcing reviews that will be undertaken during FY 2002. In addition, the Science Commission formed last year by the Board of Regents is expected to report late in 2002 and the Institution will review its recommendations. Authority to offer buy-outs to staff may also be needed. Some combination of these or other actions will be required in order to achieve the required level of reductions in FY 2003.

The S&E account also includes \$19,702,000 for accruing the full costs of the Civil Service Retirement System and Federal Employee Health Benefits in FY 2003. In addition, the FY 2003 S&E account incorporates a rescission of \$14,100,000 in prior year unobligated funds. These items are discussed further in the S&E section of this request.

CAPITAL PROGRAM - The request for the Repair, Restoration and Alteration of Facilities (RR&A) program (\$81.3 million) will help correct the deteriorating condition of some of the oldest buildings at the Smithsonian and maintain the current condition of other Institutional facilities through systematic renewal and repair. For FY 2003, this request includes renovations for the Patent Office Building (\$25 million), National Zoological Park (\$16.7 million), and the National Museum of Natural History (\$10 million), and as well as repair, restoration, and alteration of other facilities.

The Smithsonian's Construction request (\$12 million) includes additional funding to complete the National Museum of American Indian Mall Museum and equipping the building, as well as funding for the design of a new storage facility known as Pod 5 at the Museum Support Center in Suitland, MD.

Specific details of each requirement are provided in the RR&A and Construction sections of this request.

SMITHSONIAN INSTITUTION FY 2003 BUDGET REQUEST BY APPROPRIATION ACCOUNT

SALARIES AND EXPENSES	FTE's	
FY 2002 Congressional Appropriation	4,288	\$399,253,000
FY 2003 Changes		
<i>Non-recurring Costs</i>		
Full-Year Savings from FY 2002 Reductions	-1	-608,000
Major Scientific Instrumentation:		
Submillimeter Telescope Array		-729,000
Multiple Mirror Telescope		-500,000
Museum Support Center - Equipment		-678,000
<i>Mandatory Increases and Restoration of Funds</i>		
Salary and Related Costs		11,902,000
Salary Costs of Additional Security Staff	235	8,800,000
Utilities, Postage, and Communications		10,010,000
Rent		805,000
<i>Program Changes</i>		
Information Technology:		
--Enterprise Resource Planning	12	5,800,000
--Managed Information Technology Infrastructure	2	3,400,000
--Information Resources Management Pool		500,000
Staff Support for Repair, Restoration and Alteration of Facilities	25	3,000,000
Security System Modernization		1,100,000
Security Improvements		11,000,000
National Museum of the American Indian, Mall		
Museum/CRC	33	4,965,000
Support to Mall Museum – Office of Physical Plant	3	225,000
National Air and Space Museum Udvar-Hazy Center	11	3,310,000
<i>Transfer of Construction Management FTEs to RR&A</i>	-25	
<i>Full Funding of CSRS and FEHB Costs</i>		19,702,000
<i>Offsetting Reduction for Redirection</i>		-12,795,000
Subtotal, FY 2003 Salaries and Expenses Request		468,462,000
<i>Rescission of Prior Years' Appropriations</i>		-14,100,000
FY 2003 Salaries and Expenses Request	4,583	\$454,362,000
REPAIR, RESTORATION & ALTERATION OF FACILITIES		
Major Capital Renewal:		
--Patent Office Building	5	25,000,000
--National Museum of Natural History		10,000,000
--National Zoological Park	6	11,300,000
Routine Maintenance and Repair	33	2,100,000
All Other RR&A	16	32,900,000
FY 2003 Repair, Restoration and Alteration of Facilities	60	\$81,300,000
CONSTRUCTION		
National Museum of the American Indian Mall Museum	5	10,000,000
Museum Support Center, Pod 5 Design		2,000,000
FY 2003 Construction Request	5	\$12,000,000
FY 2003 REQUEST, ALL ACCOUNTS	4,648	\$547,662,000
Offset of CSRS/FEHB Full Funding		\$-19,702,000
FY 2003 NET REQUEST, ALL ACCOUNTS	4,648	\$527,960,000

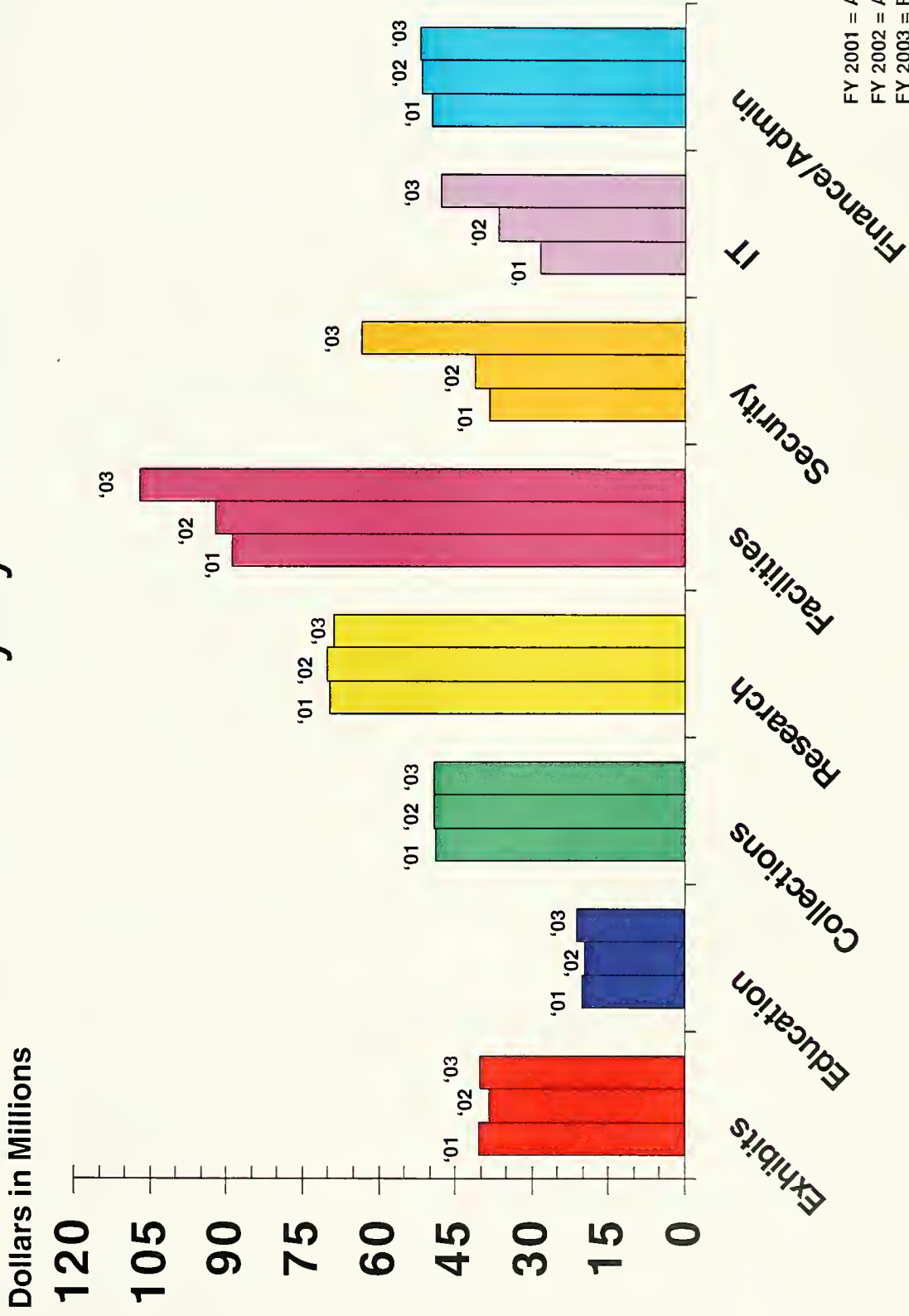
INTRODUCTION TO BUDGET SUMMARY BY FUNCTION

Within the past year, the Smithsonian has been taking a fresh look at how to measure institutional outcomes and link resources to performance. Prior to developing plans, performance measures, and benchmarks that will be used to measure progress toward attaining the Institution's goals of public impact, excellence in scientific research, management excellence, and financial strength, the Institution has begun to array its budget information by function. Included are four programmatic functions: exhibitions, education, collections, and research; and four administrative functions: facilities, security, information technology (IT), and finance/administration.

The data, which are based on actual results for FY 2001, the appropriation for FY 2002 and the budget request for FY 2003 (not including the necessary pay amount or required offsetting reductions), show that the largest category of expenditures is the facilities category. In the programmatic area, the largest category of expenditures is research, followed by collections and then exhibitions. While education is consistently budgeted at about half or less than half of the funds spent on collections and exhibitions, other activities such as exhibits, research results, and Web programming all support the Smithsonian's educational objectives.

The distribution of the Institution's budget is the beginning of a discussion concerning the designation of priorities and the resulting distribution of funds among functions. The recent report of the National Academy of Public Administration, which makes a strong case for renewed public investment in the repair, restoration, and alteration of the Institution's facilities, is one source for informing the discussion about priorities. Additional sources of information that will contribute to decisions on priorities and related budget decisions include the recommendations to be generated by the commission that is studying scientific research at the Smithsonian, and the analyses of detailed data the Institution is currently collecting on exhibitions, collections, and education across all units.

Smithsonian Federal Budget Summary by Function

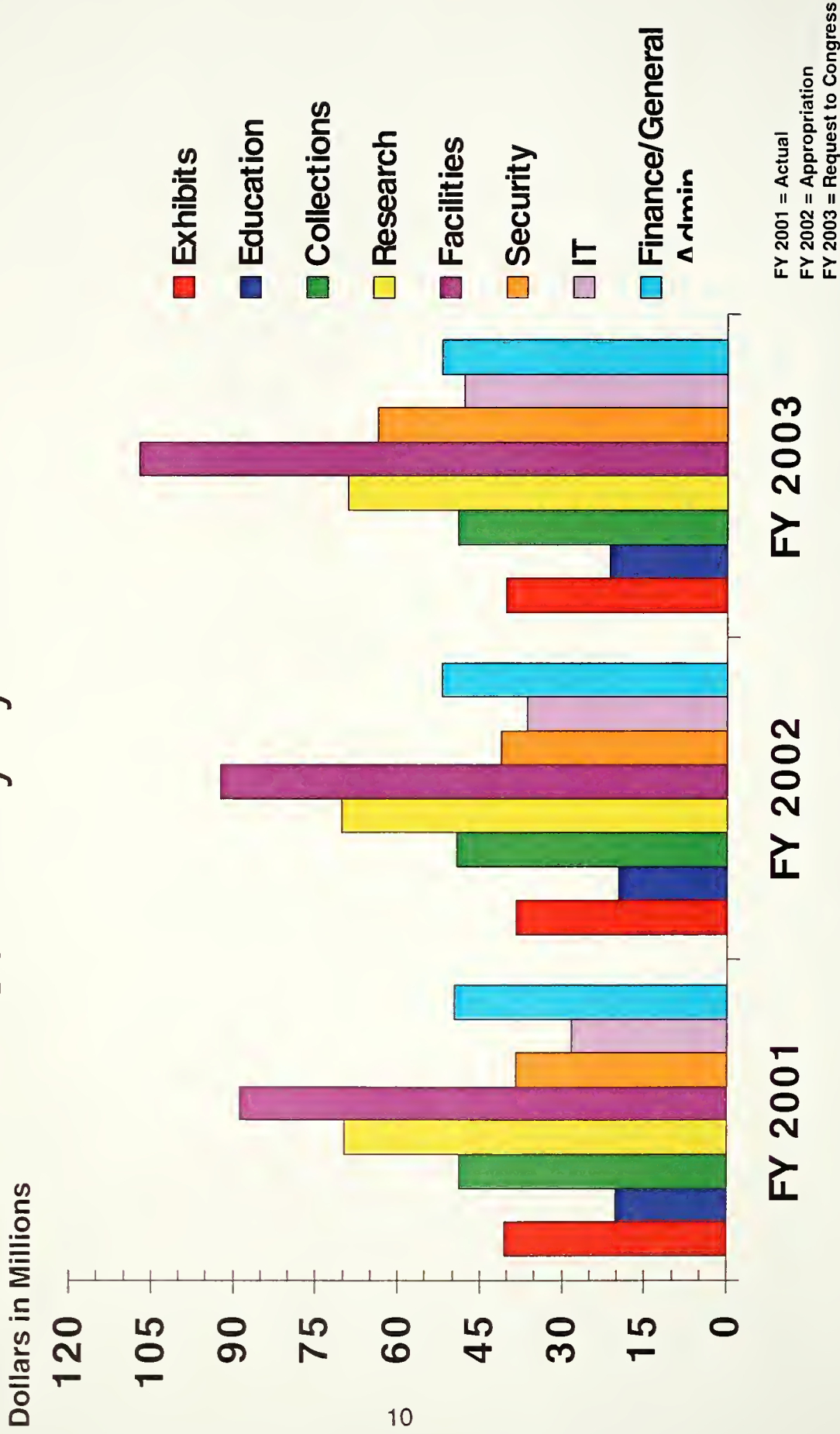


FY 2002 does not include emergency supplemental funding of \$21.7M.

FY 2003 excludes necessary pay of \$11.7M, offsetting reductions of \$12.8M, CSRS/FEHB full funding of \$19.7M, and rescission of prior years' unobligated funds of \$14.1M.

FY 2001 = Actual
 FY 2002 = Appropriation
 FY 2003 = Request to Congress

Smithsonian Federal Budget Summary by Function



FY 2002 does not include emergency supplemental funding of \$21.7M.
FY 2003 excludes necessary pay of \$11.7M, offsetting reductions of \$12.8M, CSRS/FEHB full funding of \$19.7M, and rescission of prior years' unobligated funds of \$14.1M.

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

Function	FY 2001 Actual	FY 2002 Appropriation	FY 2003 Request
Exhibits	\$ 40,358	\$ 38,535	\$ 40,225
Education	20,189	19,699	21,326
Collections	48,762	49,206	49,138
Research	69,703	70,224	68,826
Administration			
Facilities	88,657	92,124	106,899
Security	38,366	41,198	63,473
Information			
Technology	28,310	36,488	47,941
Finance/General			
Administration	<u>49,685</u>	<u>51,779</u>	<u>51,986</u>
Total, Smithsonian	\$384,030	\$399,253 ¹	\$449,814 ²

¹FY 2002 Appropriation does not include FY 2002 emergency supplemental (P.L. 107-117)

²FY 2003 Request excludes Necessary Pay of \$11,741,000, offsetting reductions of \$12,795,000, full funding of CSRS/FEHB costs of \$19,702,000 and rescission of prior years' unobligated funds of \$14,100,000 for a total of \$454,362,000.

	Information Support				Necessary Pay	FY 2003 Request	
	IT ^(c)		Finance/General Admn. ^(d)			FTEs	Amount
	FTEs	Amount	FTEs	Amount			
SI Activities							
FY 2001 Actual							
FY 2002 Appropriation							
FY 2003 Request ⁽²⁾	177	47,941	585	51,986	11,741	4,766	454,362
MUSEUMS AND RESEARCH INSTITUTES							
<i>American Museums</i>							
Anacostia Museum/Center for African American History and Culture	0	14	6	536	49	23	1,981
**Adjustment to Base to Reflect FY 2003 Plan	0	0	0	16			
Archives of American Art	1	39	5	597	64	22	1,802
Center for Folklife and Cultural Heritage	1	96	2	193	61	18	1,911
Cooper-Hewitt, National Design Museum	1	125	4	411	108	40	3,050
National Air and Space Museum	4	1,021	19	1,671	558	231	20,402
**Preparations of Collections for Move to Udvar-Hazy Center	2	488	0	0			
**FY 2002 Reductions for Redirection	0	0	0	0			
National Museum of American History	10	978	18	2,413	804	277	21,604
National Museum of the American Indian	20	1,746	82	6,005	752	329	33,616
**NMAI Mall Museum	3	1,257	6	355			
National Portrait Gallery	3	245	12	684	190	77	5,550
**Adjustment to Base to Reflect FY 2003 Plan	0	5	0	10			
Smithsonian American Art Museum	11	927	12	894	304	112	8,327
<i>International Art Museums</i>							
Arthur M. Sackler Gallery/Freer Gallery of Art	3	346	5	567	207	71	6,168
Hirshhorn Museum & Sculpture Garden	0	0	11	902	149	65	4,724
National Museum of African Art	1	140	7	786	130	48	4,464
<i>Science Museums and Research Institutes</i>							
National Museum of Natural History	11	1,835	22	1,650	1,563	514	44,982
National Zoological Park	3	500	23	2,024	799	334	24,275
**Repair, Restoration and Alteration: Support	0	0	0	0			
**Security Improvements	0	0	0	0			
Smithsonian Astrophysical Observatory	1	499	5	449	575	123	21,121
Smithsonian Center for Materials Research and Education	0	85	4	433	103	29	3,460
**Adjustment to Base to Reflect FY 2003 Plan	0	0	0	0			
Smithsonian Environmental Research Center	3	177	5	261	119	41	3,510
Smithsonian Tropical Research Institute	4	218	41	2,345	338	242	11,029
TOTAL MUSEUMS AND RESEARCH INSTITUTES	82	10,741	289	23,202	6,873	2,596	221,976

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

	FY 2001 Actual		FY 2002 Appropriation ⁽¹⁾		FY 2002 Appropriation w/ FY 2003 Increases and Decreases																Necessary Pay	FY 2003 Request	
					Functions								Mission Support										
					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	4,256	384,030	4,462	399,253	409	40,225	284	21,326	624	49,138	619	68,826	1,008	106,899	1,076	63,473	177	47,941	585	51,986	11,741	4,766	454,362
SI Activities																							
FY 2001 Actual	4,256	384,030																					
FY 2002 Appropriation			4,462	399,253																			
FY 2003 Request⁽²⁾					409	40,225	284	21,326	624	49,138	619	68,826	1,008	106,899	1,076	63,473	177	47,941	585	51,986	11,741	4,766	454,362
MUSEUMS AND RESEARCH INSTITUTES																							
American Museums																							
Anacostia Museum/Center for African American History and Culture	16	1,901	18	1,932	1	131	4	464	2	176	4	461	1	150	0	0	0	14	6	536	49	23	1,981
**Adjustment to Base to Reflect FY 2003 Plan					0	157	0	(27)	0	1	0	(149)	0	2	0	0	0	0	0	16			
Archives of American Art	22	1,717	22	1,738	1	102	6	365	9	635	0	0	0	0	0	0	1	39	5	597	64	22	1,802
Center for Folklife and Cultural Heritage	18	1,836	18	1,850	5	878	6	406	3	138	1	129	0	0	0	10	1	96	2	193	61	18	1,911
Cooper-Hewitt, National Design Museum	41	2,958	40	2,942	6	400	4	248	10	800	1	60	14	898	0	0	1	125	4	411	108	40	3,050
National Air and Space Museum	207	16,179	220	16,599	32	3,042	5	839	55	3,854	34	3,400	71	2,772	0	0	4	1,021	19	1,671	558	231	20,402
**Preparations of Collections for Move to Udvar-Hazy Center					2	209	1	78	0	520	0	0	1	640	5	1,375	2	488	0	0			
**FY 2002 Reductions for Redirection					0	0	0	0	0	0	0	0	0	(65)	0	0	0	0	0	0			
National Museum of American History	284	23,075	277	20,800	51	3,930	43	2,816	93	7,281	18	2,012	44	1,370	0	0	10	978	18	2,413	804	277	21,604
National Museum of the American Indian	253	23,381	296	27,899	20	6,244	61	4,143	76	7,074	0	0	37	2,687	0	0	20	1,746	82	6,005	752	329	33,616
**NMAI Mall Museum					5	1,341	13	1,567	1	81	0	0	5	364	0	0	3	1,257	6	355			
National Portrait Gallery	74	5,551	77	5,360	16	1,302	6	308	23	1,849	3	219	14	753	0	0	3	245	12	684	190	77	5,550
**Adjustment to Base to Reflect FY 2003 Plan					0	14	0	(40)	0	8	0	3	0	0	0	0	0	5	0	10			
Smithsonian American Art Museum	119	8,473	112	8,023	21	1,527	19	1,405	30	2,102	4	415	15	753	0	0	11	927	12	894	304	112	8,327
International Art Museums																							
Arthur M. Sackler Gallery/Freer Gallery of Art	68	6,141	71	5,961	18	1,587	10	740	15	1,324	9	871	11	526	0	0	3	346	5	567	207	71	6,168
Hirshhorn Museum & Sculpture Garden	66	4,690	65	4,575	8	649	9	643	11	827	9	660	16	820	1	74	0	0	11	902	149	65	4,724
National Museum of African Art	44	4,347	48	4,334	14	1,543	12	719	12	1,038	0	0	2	108	0	0	1	140	7	786	130	48	4,464
Science Museums and Research Institutes																							
National Museum of Natural History	505	43,350	514	43,419	45	3,896	22	1,125	95	7,116	241	24,902	78	2,895	0	0	11	1,835	22	1,650	1,563	514	44,982
National Zoological Park	304	21,058	311	21,902	84	5,365	5	497	39	3,581	21	1,767	113	6,893	23	1,275	3	500	23	2,024	799	334	24,275
**Repair, Restoration and Alteration: Support					0	0	0	0	0	0	0	0	3	318	0	0	0	0	0	0			
**Security Improvements					0	0	0	0	0	0	0	0	0	0	25	1,256	0	0	0	0			
Smithsonian Astrophysical Observatory	119	20,389	123	20,546	0	0	3	484	0	0	97	16,240	17	2,874	0	0	1	499	5	449	575	123	21,121
Smithsonian Center for Materials Research and Education	28	3,226	29	3,357	1	107	7	668	3	310	14	1,754	0	0	0	0	0	85	4	433	103	29	3,460
**Adjustment to Base to Reflect FY 2003 Plan					0	(31)	0	21	0	10	0	0	0	0	0	0	0	0	0	0			
Smithsonian Environmental Research Center	41	3,332	41	3,391	0	0	1	58	0	0	24	2,215	8	680	0	0	3	177	5	261	119	41	3,510
Smithsonian Tropical Research Institute	242	10,957	242	10,691	0	0	7	265	0	0	118	5,374	47	1,861	25	628	4	218	41	2,345	338	242	11,029
TOTAL MUSEUMS AND RESEARCH INSTITUTES	2,451	202,561	2,524	205,319	330	32,393	244	17,792	477	38,725	598	60,333	497	27,299	79	4,618	82	10,741	289	23,202	6,873	2,596	221,976

SI Activities	Information Support				Necessary Pay	FY 2003 Request	
	IT ^(e)		Finance/General Admn. ^(d)			FTEs	Amount
	FTEs	Amount	FTEs	Amount			
PROGRAM SUPPORT AND OUTREACH							
Outreach	2	98	22	1,412	260	89	8,383
**Adjustment to Base to Reflect FY 2003 Plan, Smithsonian Press	0	0	0	(61)			
Communications	0	1	10	1,162	38	15	1,356
**FY 2002 Reductions for Redirection, Smithsonian Productions	0	0	(1)	(299)			
Institution-wide Programs	0	2,804	0	0	0	0	6,006
**FY 2003 Information Technology Increase, Information Resources	0	500	0	0			
Office of Exhibits Central	0	0	4	238	94	35	2,588
Major Scientific Instrumentation	0	0	0	0	0	0	5,000
**Submillimeter Telescope Array	0	0	0	0			
**Multiple Mirror Telescope	0	0	0	0			
Museum Support Center	2	165	0	0	73	45	2,469
**Museum Support Center Equipment	0	0	0	0			
Smithsonian Institution Archives	1	85	2	187	63	24	1,674
**Adjustments to Base to Reflect FY2003 Plan	0	3	0	10			
Smithsonian Institution Libraries	0	0	8	412	263	111	8,488
**FY 2002 Reductions for Redirections	0	0	0	0			
TOTAL PROGRAM SUPPORT AND OUTREACH	5	3,656	45	3,061	791	319	35,964

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

SI Activities	FY 2002 Appropriation w/ FY 2003 Increases and Decreases																				FY 2003 Request		
	FY 2001 Actual		FY 2002 Appropriation ⁽¹⁾		Functions																	Necessary Pay	
					Exhibitions		Education		Collections		Research		Mission Support				Finance/Generat Adm.						
FTEs	Amount	FTEs	Amount	FTEs	Amount	FTEs	Amount	FTEs	Amount	FTEs	Amount	FTEs	Amount	FTEs	Amount	FTEs	Amount	FTEs	Amount	FTEs	Amount		
PROGRAM SUPPORT AND OUTREACH																							
Outreach	86	7,380	89	8,123	35	3,760	20	1,977	0	0	10	876	0	0	0	0	2	98	22	1,412	260	89	8,383
**Adjustment to Base to Reflect FY 2003 Plan, Smithsonian Press					0	0	0	21	0	0	0	40	0	0	0	0	0	0	0	(61)			
Communications	17	1,537	16	1,617	0	5	6	449	0	0	0	0	0	0	0	0	0	1	10	1,162	38	15	1,356
**FY 2002 Reductions for Redirection, Smithsonian Productions					0	0	0	0	0	0	0	0	0	0	0	0	0	0	(1)	(299)			
Institution-wide Programs	0	5,835	0	5,506	0	996	0	0	0	0	0	1,706	0	0	0	0	0	2,804	0	0	0	0	6,006
**FY 2003 Information Technology Increase, Information Resources					0	0	0	0	0	0	0	0	0	0	0	0	0	500	0	0			
Office of Exhibits Central	33	2,383	35	2,494	31	2,256	0	0	0	0	0	0	0	0	0	0	0	0	4	238	94	35	2,588
Major Scientific Instrumentation	0	7,032	0	6,229	0	0	0	0	0	0	0	6,229	0	0	0	0	0	0	0	0	0	0	5,000
**Submillimeter Telescope Array					0	0	0	0	0	0	0	(729)	0	0	0	0	0	0	0	0			
**Multiple Mirror Telescope					0	0	0	0	0	0	0	(500)	0	0	0	0	0	0	0	0			
Museum Support Center	42	3,575	45	3,074	0	0	0	0	24	1,679	0	0	19	1,230	0	0	2	165	0	0	73	45	2,469
**Museum Support Center Equipment					0	0	0	0	0	(678)	0	0	0	0	0	0	0	0	0	0			
Smithsonian Institution Archives	22	1,539	24	1,611	0	0	3	163	15	903	3	273	0	0	0	0	1	85	2	187	63	24	1,674
**Adjustments to Base to Reflect FY2003 Plan					0	0	0	7	0	43	0	(63)	0	0	0	0	0	3	0	10			
Smithsonian Institution Libraries	100	8,129	107	8,278	0	20	0	0	99	7,846	0	0	0	0	0	0	0	0	8	412	263	111	8,488
**FY 2002 Reductions for Redirections					0	0	0	0	0	(53)	0	0	0	0	0	0	0	0	0	0			
TOTAL PROGRAM SUPPORT AND OUTREACH	300	37,410	316	36,932	66	7,037	29	2,617	138	9,740	13	7,832	19	1,230	0	0	5	3,656	45	3,061	791	319	35,964

SI Activities	Information Support				Necessary Pay	FY 2003 Request	
	IT ^(c)		Finance/General Admn. ^(d)			FTEs	Amount
	FTEs	Amount	FTEs	Amount			
ADMINISTRATION	66	13,516	214	23,195	1,180	374	53,976
**Repair, Restoration and Alteration: Support, Office of Contracting	0	0	1	118			
**FY 2002 Reductions for Redirection, Office of International Relations	0	0	0	(103)			
**Enterprise Resource Planning (ERP), Office of Information Technology	12	5,800	0	0			
**Managed IT Infrastructure, Office of Information Technology	2	3,400	0	0			
**FY 2003 Workers' Compensation Increase	0	0	0	161			
TOTAL ADMINISTRATION	80	22,716	215	23,371	1,180	374	53,976
FACILITIES SERVICES							
Office of Protection Services	3	237	27	1,659	1,647	985	58,674
**Security Modernization	0	0	0	0			
**Security Improvements	0	0	0	0			
Office of Physical Plant	7	10,591	9	693	1,250	492	90,965
**NMAI Mall Museum Support, Office of Physical Plant	0	0	0	0			
**FY 2003 Utilities/Postage Increase	0	0	0	0			
**FY 2003 Rent Increase	0	0	0	0			
**Repair, Restoration and Alteration: Support	0	0	0	0			
**FY 2002 Reductions for Redirection, Office of Physical Plant	0	0	0	0			
TOTAL FACILITIES SERVICES	10	10,828	36	2,352	2,897	1,477	149,639
Subtotal Smithsonian Institution	177	47,941	585	51,986	11,741	4,766	461,555
Offsetting Reduction						0	(12,795)
Full Funding of CSRS/FEHB Costs						0	19,702
TOTAL SMITHSONIAN INSTITUTION						4,766	468,462
Rescission of Prior Years' Unobligated Funds						0	(14,100)
TOTAL SMITHSONIAN INSTITUTION (including rescission)						4,766	454,362

Definitions:

- (a) Facilities Services - Housekeeping, physical plant and grounds supporting facility maintenance and construction who do not
- (b) Security - Protection and safeguarding of staff, visitors, collections
- (c) Information Technology - Information technology infrastructure, data management (defining metadata and capturing and exchanging used by Smithsonian staff and the public), and enhancing computer-based application software; training. In addition to the \$48 million included here for IT, there are also Education (\$1M), Collections (\$9M), Research (\$1M) and
- (d) Finance/General Admn. - Includes Finance, Human Resources and administrative activities. For purposes of this table, the necessary pay have been included under this functional category.

Footnotes:

- (1) The FY 2002 Appropriation does not include the FY 2002
- (2) Does not display offsetting reduction of \$12,795,000, full funds of \$14,100,000.
- (3) Non-add entries to reflect FY 2001 and FY 2002 equivalent

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

	FY 2002 Appropriation w/ FY 2003 Increases and Decreases																					FY 2003 Request					
	FY 2001 Actual		FY 2002 Appropriation ⁽¹⁾		Functions																Necessary Pay						
					Exhibitions				Education				Collections				Research							Mission Support			
					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	FTEs	Amount						
SI Activities																											
ADMINISTRATION	331	34,916	359	43,420	13	795	11	917	0	0	8	661	5	612	42	3,724	66	13,516	214	23,195	1,180	374	53,976				
**Repair, Restoration and Alteration: Support, Office of Contracting					0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	118							
**FY 2002 Reductions for Redirection, Office of International Relations					0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	(103)							
**Enterprise Resource Planning (ERP), Office of Information Technology					0	0	0	0	0	0	0	0	0	0	0	0	12	5,800	0	0							
**Managed IT Infrastructure, Office of Information Technology					0	0	0	0	0	0	0	0	0	0	0	0	2	3,400	0	0							
**FY 2003 Workers' Compensation Increase					0	0	0	0	0	0	0	0	0	0	0	0	0	0	161								
TOTAL ADMINISTRATION	331	34,916	359	43,420	13	795	11	917	0	0	8	661	5	612	42	3,724	80	22,716	215	23,371	1,180	374	53,976				
FACILITIES SERVICES																											
Office of Protection Services	719	35,510	775	37,383	0	0	0	0	0	0	0	0	0	0	745	35,487	3	237	27	1,659	1,647	985	58,674				
**Security Modernization					0	0	0	0	0	0	0	0	0	0	0	1,100	0	0	0	0							
**Security Improvements					0	0	0	0	0	0	0	0	0	0	210	18,544	0	0	0	0							
Office of Physical Plant	455	73,633	488	76,199	0	0	0	0	9	673	0	0	463	64,242	0	0	7	10,591	9	693	1,250	492	90,965				
**NMAI Mall Museum Support, Office of Physical Plant					0	0	0	0	0	0	0	0	3	225	0	0	0	0	0	0							
**FY 2003 Utilities/Postage Increase					0	0	0	0	0	0	0	0	0	10,010	0	0	0	0	0	0							
**FY 2003 Rent Increase					0	0	0	0	0	0	0	0	0	805	0	0	0	0	0	0							
**Repair, Restoration and Alteration: Support					0	0	0	0	0	0	0	0	21	2,564	0	0	0	0	0	0							
**FY 2002 Reductions for Redirection, Office of Physical Plant					0	0	0	0	0	0	0	0	0	(88)	0	0	0	0	0	0							
TOTAL FACILITIES SERVICES	1,174	109,143	1,263	113,582	0	0	0	0	9	673	0	0	487	77,758	955	55,131	10	10,828	36	2,352	2,897	1,477	149,639				
Subtotal Smithsonian Institution	4,256	384,030	4,462	399,253	409	40,225	284	21,326	624	49,138	619	68,826	1,008	106,899	1,076	63,473	177	47,941	585	51,986	11,741	4,766	461,555				
Offsetting Reduction	0	0	0	0																		0	(12,795)				
Full Funding of CSRS/FEHB Costs	0	(18,683) ⁽²⁾	0	(19,187) ⁽³⁾																		0	19,702				
TOTAL SMITHSONIAN INSTITUTION	4,256	384,030	4,462	399,253																		4,766	468,462				
Rescission of Prior Years' Unobligated Funds	0	0	0	0																		0	(14,100)				
TOTAL SMITHSONIAN INSTITUTION (including rescission)	4,256	384,030	4,462	399,253																		4,766	454,362				

Definitions:

- (a) Facilities Services - Housekeeping, physical plant and grounds maintenance, environmental management, health and safety, engineers and architects supporting facility maintenance and construction who do not report to the Office of Physical Plant
- (b) Security - Protection and safeguarding of staff, visitors, collections and buildings
- (c) Information Technology - Information technology infrastructure (operating, maintaining and evolving 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 public), and computer-based applications (designing, acquiring or developing, maintaining, and enhancing computer-based application software; training staff; advising on hardware and software specifications and capabilities)
In addition to the \$48 million included here for IT, there are additional amounts included under other functional categories including Education (\$1M), Collections (\$9M), Research (\$1M) and General Administration (\$2M), that total to \$61 million.
- (d) Finance/General Admn. - Includes Finance, Human Resources, Archives, Public Affairs, Administrative Management, Central Staff and other general administrative activities. For purposes of this table, the National Museum of the American Indian's development costs (19 FTEs and \$1,492,000) have been included under this functional category.

Footnotes:

- (1) The FY 2002 Appropriation does not include the FY 2002 emergency supplemental (P.L. 107-117).
- (2) Does not display offsetting reduction of \$12,795,000, full funding of CSRS/FEHB costs of \$19,702,000 and rescission of prior years' unobligated funds of \$14,100,000.
- (3) Non-add entries to reflect FY 2001 and FY 2002 equivalent amounts for CSRS/FEHB full funding.



SMITHSONIAN INSTITUTION SALARIES AND EXPENSES

Summary of FY 2003 Change

FY 2002 Appropriation:	
FY 2002 Appropriation, P.L. 107-63	\$399,253,000
FY 2003 Change:	
<i>Non-Recurring Costs—</i>	
Full-Year Savings from FY 2002 Reductions	(608,000)
Major Scientific Instrumentation:	
Submillimeter Telescope Array (SAO)	(729,000)
Multiple Mirror Telescope Conversion (SAO)	(500,000)
Museum Support Center – Equipment	(678,000)
Total Non-Recurring Costs	(\$2,515,000)
<i>Mandatory Increases—</i>	
Salary and Related Costs	\$11,902,000
Salary Costs for Additional Security Staff	8,800,000
Utilities, Postage, and Communications	10,010,000
Rent	<u>805,000</u>
Total Mandatory Costs	\$31,517,000
<i>Program Changes</i>	
Information Technology:	
Enterprise Resource Planning	5,800,000
Managed Information Technology Infrastructure	3,400,000
Information Resources Management Pool	500,000
Staff Support for Repair, Restoration and Alteration of Facilities	3,000,000
Security System Modernization	1,100,000
Security Improvements	11,000,000
National Museum of the American Indian:	
Mall Museum/Cultural Resources Center	4,965,000
Support to Mall Museum – Office of Physical Plant	225,000
National Air and Space Museum Udvar-Hazy Center	<u>3,310,000</u>
Total Program Increases	\$33,300,000
<i>Offsetting Reduction</i>	(12,795,000)
<i>Full Funding for CSRS and FEHB Costs</i>	19,702,000
Subtotal	<u>\$468,462,000</u>
<i>Rescission of Prior Years' Appropriations</i>	(14,100,000)
FY 2003 Request	<u>\$454,362,000</u>

SMITHSONIAN INSTITUTION
Salaries and Expenses
Summary of the 2001 Appropriation and the 2002 and 2003 Estimates
(in thousands of dollars)

Page #		FY 2001 ACTUAL		FY 2002 BASE (a)		FY 2003 ESTIMATE		ANALYSIS OF CHANGE		
		FTEs	\$000	FTEs	\$000	FTEs	\$000	FTEs	Costs	Program
	FTE = Full-Time Equivalent									
	MUSEUMS AND RESEARCH INSTITUTES									
	<i>American Museums</i>									
29	Anacostia Museum/Center for African American History and Culture	16	1,901	18	1,932	23	1,981	5	49	0
31	Archives of American Art	22	1,717	22	1,738	22	1,802	0	64	0
33	Center for Folklife and Cultural Heritage	18	1,836	18	1,850	18	1,911	0	61	0
36	Cooper-Hewitt, National Design Museum	41	2,958	40	2,942	40	3,050	0	108	0
38	National Air and Space Museum	207	16,179	220	16,599	231	20,402	11	558	3,245
43	National Museum of American History	284	23,075	277	20,800	277	21,604	0	804	0
47	National Museum of the American Indian	253	23,381	296	27,899	329	33,616	33	752	4,965
55	National Portrait Gallery	74	5,551	77	5,360	77	5,550	0	190	0
58	Smithsonian American Art Museum	119	8,473	112	8,023	112	8,327	0	304	0
	<i>International Art Museums</i>									
61	Arthur M. Sackler Gallery/Freer Gallery of Art	68	6,141	71	5,961	71	6,168	0	207	0
64	Hirshhorn Museum & Sculpture Garden	66	4,690	65	4,575	65	4,724	0	149	0
67	National Museum of African Art	44	4,347	48	4,334	48	4,464	0	130	0
	<i>Science Museums and Research Institutes</i>									
70	National Museum of Natural History	505	43,350	514	43,419	514	44,982	0	1,563	0
74	National Zoological Park	304	21,058	311	21,902	334	24,275	23	799	1,574
79	Smithsonian Astrophysical Observatory	119	20,389	123	20,546	123	21,121	0	575	0
82	Smithsonian Center for Materials Research and Education	28	3,226	29	3,357	29	3,460	0	103	0
84	Smithsonian Environmental Research Center	41	3,332	41	3,391	41	3,510	0	119	0
87	Smithsonian Tropical Research Institute	242	10,957	242	10,691	242	11,029	0	338	0
	TOTAL MUSEUMS AND RESEARCH INSTITUTES	2,451	202,561	2,524	205,319	2,596	221,976	72	6,873	9,784
	PROGRAM SUPPORT AND OUTREACH									
90	Outreach	86	7,380	89	8,123	89	8,383	0	260	0
94	Communications	17	1,537	16	1,617	15	1,356	(1)	38	(299)
96	Institution-wide Programs	0	5,835	0	5,506	0	6,006	0	0	500
99	Office of Exhibits Central	33	2,383	35	2,494	35	2,588	0	94	0
101	Major Scientific Instrumentation	0	7,032	0	6,229	0	5,000	0	0	(1,229)
103	Museum Support Center	42	3,575	45	3,074	45	2,469	0	73	(678)
105	Smithsonian Institution Archives	22	1,539	24	1,611	24	1,674	0	63	0
107	Smithsonian Institution Libraries	100	8,129	107	8,278	111	8,488	4	263	(53)
	TOTAL PROGRAM SUPPORT AND OUTREACH	300	37,410	316	36,932	319	35,964	3	791	(1,759)

SMITHSONIAN INSTITUTION

Salaries and Expenses

Summary of the 2001 Appropriation and the 2002 and 2003 Estimates
(in thousands of dollars)

	FY 2001 ACTUAL		FY 2002 BASE (a)		FY 2003 ESTIMATE		ANALYSIS OF CHANGE		
	FTEs	\$000	FTEs	\$000	FTEs	\$000	FTEs	Costs	Program
FTE = Full-Time Equivalent									
109 ADMINISTRATION	331	34,916	359	43,420	374	53,976	15	1,341	9,215
FACILITIES SERVICES									
118 Office of Protection Services	719	35,510	775	37,383	985	58,674	210	1,647	19,644
122 Office of Physical Plant	455	73,633	488	76,199	492	90,965	4	12,065	2,701
TOTAL FACILITIES SERVICES	1,174	109,143	1,263	113,582	1,477	149,639	214	13,712	22,345
FULL FUNDING OF CSRS AND FEHB COSTS	0	(18,683) (b)	0	(19,187) (b)	0	19,702	0	19,702	0
OFFSETTING REDUCTION (c)	0	0	0	0	0	(12,795)	0	0	0
SUBTOTAL	4,256	384,030	4,462	399,253	4,766	468,462	304	42,419	39,585
RESCISSION OF PRIOR YEARS' UNOBLIGATED FUNDS	0	0	0	0	0	(14,100)	0	0	0
GRAND TOTAL	4,256	384,030	4,462	399,253	4,766	454,362	304	42,419	39,585
FTEs END-OF-YEAR (d)			4,288		4,583				

Notes:

- (a) FY 2002 base includes adjustments to FTE levels. Distribution reflects reorganizations and permanent reprogrammings. (See "Adjustments to FY 2002 Funding" in the Appendix.)
- (b) FY 2002 does not include 235 FTEs and \$21,707,000 emergency supplemental funds (P.L. 107-117).
- (c) Non-add entries to reflect FY 2001 and FY 2002 equivalent amounts for CSRS/FEHB full funding. Unidentified reductions to S&E one year funds.
- (d) FY 2002 and FY 2003 end-of-year FTEs reflect OMB ceilings.

SALARIES AND EXPENSES

FY 2001 Appropriation ¹	\$386,902,000
FY 2002 Appropriation ²	\$399,253,000
FY 2003 Estimate ³	\$454,362,000

¹FY 2001 Salaries and Expenses includes the \$853,000 rescission, PL 106-554.

²FY 2002 Salaries and Expenses does not include the \$21,707,000 supplemental, PL 107-117.

³Includes \$19,702,000 identified as the full cost of accruing CSRS/FEHB benefits; and rescission of \$14,100,000 in prior year Salaries & Expenses funds.

This section provides specific details about the Institution's Salaries and Expenses budget request for FY 2003. Within the total increases requested, approximately 49 percent is attributable to mandatory costs for sustaining base operations and the remainder is for priority program requirements for critical ongoing projects within the Institution. These increases are offset by non-recurring costs of \$2,515,000 and offsetting reductions of \$12,795,000.

NON-RECURRING COSTS - Fiscal year 2003 non-recurring costs of \$2,515,000 include the following:

Full-Year Savings from FY 2002 reductions (1 FTE and \$608,000) - reflects the additional FY 2003 decreases related to the FY 2002 cost reduction proposals approved by Congress. These include:

- Consolidation of functions of the Office of International Relations with the Office of the Under Secretary for Science (\$103,000).
- Elimination of Smithsonian Productions (1 FTE and \$299,000).
- Reduction of mail service in the Office of Physical Plant (\$88,000).
- Closure of two branch libraries under the Smithsonian Institution Libraries (\$53,000).
- Realignment of the administrative structure at the National Air and Space Museum (\$65,000).

Major Scientific Instrumentation

- **Smithsonian Astrophysical Observatory Submillimeter Telescope Array (\$729,000)** - to reduce base funding as the construction of the Submillimeter Telescope Array in Hawaii nears completion.

- **Smithsonian Astrophysical Observatory Multiple Mirror Telescope Conversion (\$500,000)** - to reduce base funding as the conversion of the Multiple Mirror Telescope in Arizona nears completion.

Museum Support Center (\$678,000) – eliminates base funding for equipment at the Museum Support Center.

MANDATORY INCREASES FOR SUSTAINING BASE OPERATIONS – This request includes funds for mandatory costs as discussed below.

Salary and Related Costs (\$11,902,000) - The Institution requests an increase of \$11,902,000 for higher projected salary and benefits costs in FY 2003 for staff. A line item display of the increased pay costs, including FY 2002 pay annualization and the proposed FY 2003 pay raise, is also provided. The components of the requested increase are as follows:

Salary and Related Cost Increases:

Annualization of FY 2002 Pay Raises	5,665,000
Proposed FY 2003 Pay Raises	6,076,000
Workers' Compensation	<u>161,000</u>
Total, Salary and Related Cost Increases	\$11,902,000

- **Annualization of FY 2002 Pay Raises (\$5,665,000)** – to annualize funding of the January 2002 pay raise for one-quarter of a year. In addition, this request will support the portion of the January 2002 pay raise that was not provided in the FY 2002 appropriation, that included funding for a 3.6 percent pay raise for three-quarters of the year. The actual approved pay raise for FY 2002 is 4.77 percent.
- **Proposed FY 2003 Pay Raises (\$6,076,000)** - to fund the anticipated 2.6 percent January 2003 pay raise for three-quarters of a year.
- **Workers' Compensation (\$161,000)** - 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 of \$2,656,000 incurred in FY 2000, as provided by the Department of Labor. With an amount of \$2,495,000 in its FY 2002 base for workers' compensation, the Institution requests an increase of \$161,000 in FY 2003.

Salary Costs of Additional Security Staff (235 FTEs and \$8,800,000) – to provide funds to continue the necessary salaries and benefits costs of the 235 additional security staff hired with FY 2002 emergency supplemental funds (P.L. 107-117). The requested amount includes \$7,719,000 for 210 FTEs under the Office of Protection Services and \$1,081,000 for 25 FTEs under the National Zoological Park.

FY 2003 Increased Pay Costs

(Dollars in Thousands)

LINE ITEM	FY 2002 Pay Raise	FY 2003 Pay Raise	Total Pay
Anacostia Museum and Center for African American History and Culture	26	23	49
Archives of American Art	29	36	64
Center for Folklife and Cultural Heritage	29	33	64
Cooper-Hewitt, National Design Museum	65	53	108
National Air and Space Museum	282	276	558
National Museum of American History	385	419	804
National Museum of the American Indian	366	385	752
National Portrait Gallery	36	94	130
Smithsonian American Art Museum	143	161	304
Arthur M. Sackler Gallery/Freer Gallery of Art	161	106	267
Hirshhorn Museum and Sculpture Garden	75	74	149
National Museum of African Art	65	65	130
National Museum of Natural History	753	819	1,572
National Zoological Park	385	414	799
Smithsonian Astrophysical Observatory	289	289	578
Smithsonian Center for Materials Research and Education	52	51	103
Smithsonian Environmental Research Center	52	67	119
Smithsonian Tropical Research Institute	167	171	338
Outreach	131	129	260
Communications	19	19	38
Institution-wide Programs			
Office of Exhibits Central	48	46	94
Major Scientific Instrumentation	0	0	0
Museum Support Center	36	37	73
Smithsonian Institution Archives	32	31	63
Smithsonian Institution Libraries	131	132	263
Administration	551	623	1,174
Office of Protection Services	744	903	1,647
Office of Physical Plant	627	623	1,250
TOTAL INCREASED PAY COSTS	5,665	6,076	11,741

Utilities, Postage, and Communications (\$10,010,000) - The Institution requests a net increase of \$10,010,000 for utilities, postage, and communications in FY 2003 to cover additional costs attributable to increased consumption, projected rate and inflationary increases, and project needs. The following table displays costs for FY 2001 through FY 2003. Detailed explanations of each line item follow the table.

**Federal Utilities, Postage and Communications Costs
FY 2001–FY 2003**

(Dollars in Thousands)	FY 2001 Actual	FY 2002 Appropriated	FY 2003 Estimate	Change
Electricity	10,076	11,420	19,537	8,117
Steam	3,843	3,955	4,900	945
Gas	2,183	1,993	2,842	849
D.C. Gov't Water/Sewer	4,093	4,570	4,164	(406)
Other Water and Fuel	452	434	644	210
Postage	2,009	2,528	2,451	(77)
Communications/Networks	9,711	9,792	10,164	372
Total	32,367	34,692	44,702	10,010

- **Electricity (\$8,117,000)** - 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 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 \$35 million project is being implemented through an Energy Saving Agreement under a GSA Area Wide Contract. GSA has contracted for the installation with one of the larger utility companies in the Washington area. This project will enable the Smithsonian to remove old equipment and improve the aesthetics of the National Mall by removing cooling towers from the roofs of these museums, enable better control of the interior environment, and provide energy savings. The net cost of this project is being funded from the utility account over fifteen years, with the first increment of \$5,600,000 included in this FY 2003 request.

The cost to operate new facilities as initial start-up occurs is also included. These facilities include the National Air & Space Museum's (NASM) Steven F. Udvar-Hazy Center at Dulles (\$1,339,000); the National Museum of the American Indian (NMAI) on the Mall (\$200,000); and the Smithsonian Hilo base building in Hawaii (\$40,000). The FY 2003

estimate also includes a 2 percent inflation factor (\$210,000), adjustments to cover the impact of deregulation of electricity in New York facilities and the privatization of service in Panama (\$575,000), and expected costs of new mechanical equipment at the National Museum of Natural History (\$174,000), offset by anticipated additional reimbursements (\$-21,000).

- **Steam (\$945,000)** - The Smithsonian uses steam for heating and humidification and to produce hot water in facilities on the Mall and in New York City. The request includes a \$937,000 GSA surcharge for escalating fuel prices and a 2 percent inflation factor (\$85,000) above the base due to additional steam costs for museums in Washington DC and in New York City, offset by anticipated reimbursements (\$-77,000).
- **Natural Gas (\$849,000)** - Natural gas prices have risen 50 percent over the last two years due to demand, and are expected to remain high over the next two years. The major buildings that use natural gas include the Museum Support Center and the NMAI Cultural Resources Center located in Suitland, Maryland; the National Zoological Park; and the Smithsonian Institution Service Center located in Washington DC. The FY 2003 estimate includes an increase of \$222,000 to cover these costs. The new Udvar-Hazy Center will use natural gas to generate heat for the museum, and an estimate of \$587,000 is included for this purpose. The request also includes an inflation factor of 2 percent (\$41,000), offset by anticipated reimbursements (\$-1,000).
- **DC Government Water/Sewer (-\$406,000)** - The FY 2003 net estimate for water and sewer costs is based on cost projections provided by the District of Columbia Water and Sewer Authority in June 2001.
- **Other Water and Fuel (\$210,000)** - Water consumption at satellite facilities in Maryland and Virginia should remain constant. The FY 2003 estimate includes an increase of \$150,000 for water and fuel costs for the new Udvar-Hazy Center. The request also includes a 2 percent inflation factor (\$9,000) above the base and an adjustment to cover the overall price increase that has resulted from high demand and low inventory (\$51,000).
- **Postage (-\$77,000)** - The FY 2003 estimate for postage reflects a projected net decrease of \$77,000. The Institution's postage costs have decreased dramatically over the last couple of years due to a reduction in volume, as a result of an increase in the use of email and fax as a means of communication. The estimate also reflects initial funding of increased costs for the new NMAI Mall Museum (\$55,000) and for the new Udvar-Hazy Center (\$59,000). In addition, the estimate includes \$300,000 to replace aging postal equipment on schedule. The request includes a

2-percent inflation factor (\$37,000). A portion of the estimated savings will be retained to fund these necessary increases.

- **Communications/Networks (\$372,000)** - The FY 2003 estimate for communications includes an inflation factor of 2 percent (\$193,000) and increases to support project needs, including the costs of operating the Hilo, Hawaii telescopes (\$172,000); and communications costs at the NMAI Mall Museum (\$50,000), Udvar-Hazy Center (\$35,000), Smithsonian Astrophysical Observatory base camp in Hawaii (\$17,000), and Smithsonian Environmental Research Center laboratory (\$5,000). These increases are offset by anticipated reimbursements of \$100,000.

Rental Space (\$805,000) - The Institution requests \$805,000 for necessary rental increases, as described below.

- **Inflationary Increases** - \$613,000 is required to pay annual increases agreed to as part of lease terms in current contracts. These annual increases are based on the consumer price index for the geographic area.
- **Archives of American Art** - \$192,000 is required to fund the renewal of leased space in New York that is occupied by the Archives of American Art (AAA). AAA has occupied this space since 1987. The property was sold in 2001, and the lease rate was increased over the amount currently being paid by the Institution. The new rate reflects the actual fair market value for the building and its location within New York City. The fair market value was verified by the Institution through a comparison of lease rates for other tenants in the same building, as well as comparable lease spaces in the vicinity. The Institution does not have exclusive rights to the property and the owner could have negotiated with another prospective tenant if the Institution did not negotiate a new lease. The new lease is for 10 years effective June 16, 2001.

The following table reflects projected costs for federal central rental space for FY 2001 through FY 2003.

**Federal Central Rental Costs
FY 2001–FY 2003**

(Dollars in Thousands)	FY 2001 Actual	FY 2002 Appropriated	FY 2003 Estimate	Change
Office Space	4,464	4,373	5,085	712
Warehouse Space/Other ¹	3,014	3,105	3,198	93
NMAA/NPG Relocation	2,270	2,270	2,270	0
Total	9,748	9,748	10,553	805

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

SUMMARY OF PROGRAM CHANGES – The Institution requires funding for the following programs in FY 2003. Details are provided in the line item narratives for each respective program.

Enterprise Resource Planning System (12 FTEs and \$5,800,000) – The increase requested for FY 2003 continues the Institution’s effort to replace antiquated financial and human resource management systems incrementally through FY 2005 with a commercial Enterprise Resource Planning (ERP) software product. The funds and additional staff will enable the Institution to operate and maintain the general ledger, accounts payable, and purchasing modules, and to begin development of nine additional software modules, including budget, grants, assets, accounts receivable, procurement, human resources, projects, time and labor and payroll interface.

Managed Information Technology Infrastructure (2 FTEs and \$3,400,000) – This increase will continue the Institution’s effort to incrementally establish a robust, standards-based information technology (IT) infrastructure. The requested funds and additional staff will enable the Institution to establish a network operating center, extend Help Desk services, implement directory service audit software, continue network server consolidation, and begin application server consolidation.

Information Resources Management Pool (\$500,000) – The increase requested for FY 2003 will support unit information technology product and service needs to enhance collections, archives, library, exhibits, and research information and make this information accessible through the Web to Smithsonian staff and outside scholars for research purposes, to Smithsonian staff to help manage collections and exhibits, and to the public for educational or recreational purposes. The funds will be distributed to units on a priority basis with emphasis on projects that support multiple Smithsonian units.

Staff Support for Repair, Restoration and Alteration of Facilities (25 FTEs and \$3,000,000) – The Smithsonian requests a total of \$3,000,000 and 25 FTEs to manage the Institution’s greatly expanded workload of RR&A and construction projects. The recent report of the National Academy of Public Administration on the Institution’s facilities revitalization needs included recommendations for increased staffing to properly manage this expanded effort, and this increase responds to those recommendations. Funds are included for the Office of Physical Plant (21 FTEs and \$2,564,000), the National Zoological Park (3 FTEs and \$318,000), and the Office of Contracting (1 FTE and \$118,000).

Security System Modernization (\$1,100,000) – The increase requested for FY 2003 will be used to complete the security modernization efforts underway for the past several years and to provide the funds needed for an ongoing base to be used to maintain and upgrade the new systems as needed.

Security Improvements (\$11,000,000) – In FY 2002, the Institution received \$21,707,000 in emergency supplemental funds to address additional security requirements identified after the attacks of September 11, 2001. A request of \$8,800,000 is included under mandatory costs, to pay the salaries and benefits of newly hired security officers. The increase of \$11,000,000 requested in FY 2003 will provide for additional security improvements for the National Zoo and Office of Protection Services, including the installation of permanent physical barriers around the museums, the strengthening of museum doors and windows, and the placement of additional pop-up barriers and hardening of officer booths at the entrances to museums and the Zoo.

National Museum of the American Indian, Mall Museum (36 FTEs and \$5,190,000) – The requested increase includes 33 FTEs and \$4,965,000 for the National Museum of the American Indian, to continue preparing for the opening of the NMAI Mall Museum by preparing exhibits, planning programs, and providing essential administrative and facilities support. The request also includes 3 FTEs and \$225,000 for the Office of Physical Plant to support the initial operation of the mechanical systems in the Mall Museum.

National Air and Space Museum Udvar-Hazy Center (11 FTEs and \$3,310,000) – The increase requested for FY 2003 continues the efforts underway to prepare the Museum’s air and space craft for transfer to and display at the Udvar-Hazy Center, and to develop exhibit and education programs for the Center’s opening. The increase will also provide administrative support for the new facility, including building cleaning and

maintenance, guard services, horticulture, utilities, and information technology.

OFFSETTING REDUCTION -- The Institution's FY 2003 request for Salaries & Expenses requires \$12,795,000 in reductions. A portion of these reductions will be achieved by instituting a hiring freeze for all of FY 2003. In order to keep museums open and provide required levels of facilities maintenance, security and care of collections, particularly the living collections at the National Zoo, certain essential positions will need to be exempted from the freeze. As a result, a hiring freeze alone will not be sufficient to meet the required level of reductions. Additional actions will be necessary. Certain activities underway in FY 2002 are expected to result in reductions during FY 2003. These include the Institution's workforce analysis, which will be completed late in 2002; and additional outsourcing reviews that will be undertaken during FY 2002. In addition, the Science Commission formed by the Board of Regents is expected to report late in FY 2002, and the Institution will review its recommendations. The Institution may also need authority to offer buy-outs to staff. Some combination of these or other actions will be required in order to achieve the required level of reductions in FY 2003.

FULL FUNDING OF CSRS AND FEHB COSTS – The FY 2003 request includes \$19,702,000, which represents the full cost of accruing Civil Service Retirement System (CSRS) and Federal Employee Health Benefits (FEHB). The amounts are \$5,643,000 for CSRS and \$14,059,000 for FEHB. However, these amounts have not been spread at the individual unit level in the sections that follow.

RESCISSION – The Institution is proposing bill language to rescind \$14,100,000 in previously appropriated Salaries & Expenses funds that were originally provided to modify the storage facility known as Pod 3 at the Museum Support Center, and to provide this amount to fund high priority activities in FY 2003. These funds are available because of a fundamental change in the concept of how specimens stored in alcohol should be housed.

NO-YEAR FUNDING - The following table provides the details of the FY 2003 request for No-Year funding.

**SMITHSONIAN INSTITUTION
FY 2003 S&E NO-YEAR FUNDING REQUEST TO CONGRESS
(Dollars in Thousands)**

Program	FY 2002 Enacted	FY 2003 Request
Major Scientific Instrumentation	6,229	5,000
Collections Acquisition	664	664
National Museum of Natural History	1,042	1,042
National Museum of the American Indian	27,899	33,616
Repatriation Program, NMNH	1,518	1,562
Security Improvements	21,707	11,000
Total, S&E No-Year Funding	59,059	52,884

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 2001 ACTUAL	16	1,901	4	500	0	32	0	74
FY 2002 ESTIMATE	18	1,932	3	569	0	68	0	104
FY2003 ESTIMATE	23	1,981	3	465	0	500	0	100

ABSTRACT - The Anacostia Museum and Center for African American History and Culture focuses on enhancing the educational and cultural quality of civic life through increasing public knowledge and awareness of the historical and social experiences and creative expressions of people of African heritage living in the Americas. The Museum presents a program of changing exhibitions in its facility in southeast Washington and, at times, in the Arts and Industries Building. The Museum sponsors scholarly programs and is committed to providing an array of learning opportunities for families and students in the metropolitan Washington area. The Museum develops projects that serve as models, and assists in the planning and development of African American-focused exhibitions and programs nationally.

For FY 2003, the estimate includes an increase of \$49,000 for necessary pay for existing staff funded under this line item.

PROGRAM - Federal funding supports the exhibition, education, collections, research, and administrative functions. Renovation of the Museum's building, completed in FY 2002, has enhanced the staff's ability to care for works of art, artifacts, and archival and photographic material. Also, the gallery and meeting facilities have been changed to improve the visitor experience. The renovation enhances the Museum's role as the nation's leading advocate for collecting and preserving materials that reflect African American contributions to our society. To enhance this focus, Museum staff will be realigned into three major programmatic units in FY 2002: Social History and Collections Management, Cultural History, and Community Engagement. Using all exhibitions as the baseline for educational activities, the Museum will develop innovative intergenerational learning opportunities focusing on family and community history. The Museum estimates using an additional 5 FTEs in FY 2003 to fully staff these programs.

Exhibitions – Approximately 15 percent of federal S&E funding is used to support exhibitions. The Museum will mount three exhibitions in FY 2003. *Elder Grace* will feature the works of prizewinning photographer, Chester Higgins. *The Color Yellow: The Art of Beauford Delaney* will provide a look at one of the nation's most unique artists. *Captive Passage: The Transatlantic Slave Trade* will give visitors a one-of-a-kind opportunity to explore the financial and human issues associated with slavery.

Education – Approximately 23 percent of federal S&E funding is dedicated to education. Building on its history of leadership in developing unique learning opportunities, the Museum will expand its concept of museum education by establishing the Museum Academy in FY 2003. Components of the academy will include: 1) the Summer Academy, an 8-week program for elementary school students developed in conjunction with four congregations in southeast Washington, 2) The After School Academy, a program for middle and junior high school students, and 3) Precious Memories: The Workshops, an adult-level series of programs designed to help citizens document family and community history and care for historical documents and art work. The Museum will obtain grants and other gifts to support this innovative approach to education.

Collections and Research – Approximately 25 percent of federal S&E funding is used for collections management and research activities. The staff realignment will allow for increased activity in developing collections and exhibitions, conducting original research for publication, and creating unique learning tools such as calendars and guides to the collections. Staff members will seek grants and other external support to further their research and acquire additional museum collections. Major research and exhibition projects in development include *The Spirit Is In It: African American Style and Fashion; With These Hands: African American Cooking Traditions; and Jubilee: African American Family and Community Celebrations*.

Administration – Approximately 37 percent of federal S&E funding is dedicated to administrative activities. This function includes facility management, procurement activities, human resources, and information technology, all in support of Museum programs.

NONAPPROPRIATED RESOURCES - General trust funds provide support for salaries and benefits of administrative personnel, development activities, and acquisition of collections. An aggressive public relations and fundraising campaign in FY 2003 is planned to significantly increase donor or sponsor designated funds to support costs related to specific exhibitions, programs, or publications.

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 2001 ACTUAL	22	1,717	0	208	10	4,592	0	0
FY 2002 ESTIMATE	22	1,738	0	212	14	798	0	0
FY2003 ESTIMATE	22	1,802	0	210	13	752	0	0

ABSTRACT - The Archives of American Art (AAA) is the world's largest repository of primary source documentation on the history of visual arts and culture in America. For nearly 50 years, the Archives has collected, preserved, and made available to the public for study such diverse materials as letters and diaries of artists and craft persons; manuscripts of critics and scholars; records of museums, galleries, and schools; photographs; works of art on paper; and recorded oral and video interviews. AAA's resources include more than 14.6 million documents available at AAA's Washington DC headquarters, on microfilm worldwide through interlibrary loan, or at AAA's reference centers in Washington; New York; and San Marino, CA; and affiliated facilities in Boston and San Francisco. Through its website and automated catalog, AAA provides online exhibits, oral histories, finding aids and guides, selected digital images, and visitor services.

For FY 2003, the estimate includes an increase of \$64,000 for necessary pay for existing staff funded under this line item.

PROGRAM - Federal S&E funding supports AAA's programs in the areas of exhibitions, education, collections, and administration. The Archives reaches a diverse constituency in every state and around the world through exhibitions (both in-person and online), collection loans, nationwide reference facilities, a worldwide online inquiry and interlibrary loan service, publications, and through training for interns and fellows and other educational programs.

Education and Collections - The majority, or 56 percent, of S&E funding supports these two functions. The Archives has kept pace with an increasing demand for Internet access to information about the Archives' collections. Printed and electronic guides and finding aids, the bibliographic database of Smithsonian Institution Research and Information System

(SIRIS), the Research Libraries Information Network (RLIN), and an experienced reference staff offer efficient services to users worldwide. Collections acquisitions and archival processing and preservation are the foundation for AAA's educational programs. The Archives will collect widely in a variety of art media, including the papers of crafts persons, and arts organizations and across diverse cultural boundaries (African American, Asian American, and Latino).

Exhibitions – Approximately 7 percent of S&E funding in FY 2003 is required to plan exhibitions and display documents from the Archives' collections. In FY 2003, the Archives will continue to produce exhibitions of high quality; among the exhibitions being planned for FY 2002/2003 are *American Traditions: A Taste for Folk Art*; *Marcel Breuer: A Centennial Celebration*; *Fiber Art: Following the Thread*; and *A Tribute to Andre Emmerich*. The Archives will complement its walk-in exhibits with online counterparts that can reach Internet users worldwide. AAA will also continue to collaborate in Institution-wide outreach initiatives, including participation in the 2002 Katzenberger summer intern program.

Administration - About 37 percent of S&E funding in FY 2003 is required to support administrative initiatives. An increasing number of Archives' users are Web-based, and the budget estimate includes funding to maintain and improve accessibility to AAA's collections. The Archives will employ state-of-the-art technology to serve users in every state and many foreign countries, either through an online inquiry service or by providing documents through digital imaging. AAA contributes its Encoded Archival Description finding aids to shared research databases of similarly encoded finding aids, such as the Research Libraries Group's Archival Resources website. The Archives' plans for digitization also will increase access to its collection of more than 3,000 oral history interviews and transcripts. In FY 2003, AAA will enhance its SIRIS inventory and tracking capabilities through the barcoding of each box in the collection.

NONAPPROPRIATED RESOURCES - Trust funds provide partial support for AAA's operations. In FY 2001, grants from the Getty Grant Program were used to process and publish finding aids for several major collections. The Archives received in FY 2001 the second installment of an extraordinary \$12 million grant from The Brown Foundation, Inc., to secure its permanent home in Washington DC. Also in FY 2001, the Archives received the second installment of a \$538,000 grant from the William and Mildred Lasdon Foundation establishing the Nanette L. Laitman Documentation Project for Craft in America, a comprehensive collecting project focused on major American crafts artists.

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 2001 ACTUAL	18	1,836	15	1,059	4	2,300	3	337
FY 2002 ESTIMATE	18	1,850	13	1,312	15	4,240	3	365
FY 2003 ESTIMATE	18	1,911	13	1,182	2	550	0	49

ABSTRACT - The Center for Folklife and Cultural Heritage (CFCH) conducts research and public programs that promote the understanding and continuity of traditional grass roots cultural diversity in the United States and abroad. The Center maintains the Ralph Rinzler Folklife Archives and Collections. It produces the annual Smithsonian Folklife Festival; Smithsonian Folkways Recordings; documentary films, videos, and print publications; training programs and educational materials; and museum and traveling exhibitions. The Center cooperates with federal and state agencies to advance the Nation's interest in cultural matters.

For FY 2003, the estimate includes an increase of \$61,000 for necessary pay for existing staff funded under this line item.

PROGRAM – The Center's activities fall into four major categories: exhibitions, collections, education, and administration. Research activities are performed as part of the other functions. These functions are described in more detail below.

Exhibitions - Approximately 47 percent of federal S&E funding is allocated for exhibitions. There are two primary components of this function: the Smithsonian Folklife Festival and traveling exhibitions.

The Smithsonian Folklife Festival, held outdoors on the National Mall for two weeks every summer since 1967, educates a broad public about American and world cultural heritage, and encourages tradition bearers to preserve cultures by giving national recognition to their artistry, knowledge, and wisdom. Over one million people visit the Festival each year, and millions more are reached by media coverage. For FY 2002, work continues on the single-program Festival on the Silk Road, organized in conjunction with Yo-Yo Ma and the Silk Road Project in New York City. It will feature

artists from 20 countries. Plans are now being made for the 2003 Festival with final agreements pending for programs on Mali and Appalachia.

The Center cooperates with the Smithsonian Institution Traveling Exhibition Service and others to produce modest traveling exhibitions developed from research and Festival programs. Center exhibits on Woody Guthrie, African American Gospel Music, quilting, and the Maroon cultures of the Southern United States and the Caribbean will continue traveling in 2002. A major exhibit on the Rio Grande/Rio Bravo River Basin is planned for FY 2002/2003.

Collections - Approximately 8 percent of federal S&E funding is allocated for collections. The Rinzler Archives & Collections contains audiotapes, records, videotapes, photographic images, film, and paper files documenting cultural traditions from all parts of the United States and most regions of the world. In 2001, digitization of a significant portion of the collection was carried out through a \$750,000 Save America's Treasures grant. This project will continue through FY 2002/2003.

Education - Approximately 22 percent of federal S&E funding is allocated for education. This function includes four primary programs: publications and documentary films, Smithsonian Folkways Recordings, training programs and educational materials, and public service.

The Smithsonian Folklife Studies series consists of scholarly monographs and documentary films that are generally released to colleges and universities. Videos are also distributed to schools and aired on public television. A documentary about the Tibetan American community filmed at the 2001 Festival will be distributed to Tibetan communities in FY 2002.

Folklife also uses its recordings as part of its educational programs. Folkways include the recordings of such American icons as Woody Guthrie, Leadbelly, Bill Monroe, Sonny Terry, and thousands of others. Annually, Folkways produces 18-25 documentary recordings of American and worldwide music, performance, and verbal arts for retail and educational markets. In 2001, the 5-CD set *The Best of Broadside* received two Grammy nominations. Volumes set for release in 2002 include a Latino sampler and a volume on Pete Seeger.

The Center develops curriculum materials and offers teacher training for understanding American cultural traditions. Teacher and student guides, recordings, and videotapes have been developed in partnership with state education departments and organizations in Hawaii, Iowa, Wisconsin, New Hampshire, and others. The teacher-training program will be developed

further in 2002 and will complement an extensive educational program including magazine and book projects centered on the Silk Road program.

The Center collaborates with economic development, tourism, culture, and education departments of states to develop Festival programs and remount them back home. For example, the Festival of Michigan Folklife, based upon a 1988 program on the National Mall, continues on an annual basis in East Lansing. The Center advises local, state, regional, national, and international organizations as diverse as the Birthplace of Country Music, the National Park Service, and the World Bank on policies and strategies for preserving cultural heritage.

Research - CFCH research projects are an integral part of all our programs, but approximately 7 percent of federal S&E funding is specifically allocated to research. Current research projects are carried out in preparation for Center Festival programs and exhibitions, recordings, and media products. Center scholars are researching American regional music, American craftspeople, the building arts, maritime culture, urban Latino culture, and African American, Asian American, and Native American traditions.

Administration - Approximately 16 percent of federal S&E funding is allocated for administration. This function includes Center management, procurement activities, human resources, and information technology, all in support of Center programs. The Center maintains a home page as part of the Smithsonian's presence on the Internet. Folkways make audio clips and data on its collection available to the public, and the Festival produces programs on selected topics for the Web.

NONAPPROPRIATED RESOURCES - General trust funds provide support for salaries and benefits of personnel, fundraising, and general program support. Donor/sponsor designated funds provide support for costs related to specific Festival programs and educational projects. Income from sales of Smithsonian Folkways Recordings pays staff salaries, direct, and indirect costs for its operation.

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 2001 ACTUAL	41	2,958	31	3,099	6	2,236	0	12
FY 2002 ESTIMATE	40	2,942	29	2,772	10	3,468	0	0
FY 2003 ESTIMATE	40	3,050	26	2,536	10	3,275	0	0

ABSTRACT - Cooper-Hewitt, National Design Museum explores the creation and consequences of the designed environment. Design is the process of shaping matter to a purpose. The National Design Museum investigates the products of design and their roles as forces for communication and change. The Museum is interested in all aspects of design, including urban planning, architecture, industrial design, landscaped design, interior design, textiles, advertising, and graphic arts. Today, the scale and pace of change require a new understanding—one that recognizes that individuals, societies, and the natural environment are linked through design.

For FY 2003, the estimate includes an increase of \$108,000 for necessary pay for existing staff funded under this line item.

PROGRAM - Cooper-Hewitt, National Design Museum is the only museum in America devoted exclusively to historical and contemporary design. The Museum pursues its mission through award-winning exhibitions, publications, and educational programs for design professionals, the public, and schoolchildren. The Museum continues to fulfill its mission to collect, preserve, and make accessible to the general public its unique collections of over 250,000 objects in the departments of drawings and prints, textiles, wall coverings, and applied arts and industrial design.

Exhibitions - Approximately 14 percent of total S&E funding is allocated to exhibitions. Funding for exhibitions has remained steady for the past three fiscal years. In FY 2003, the Museum will continue to present innovative, state-of-the-art exhibitions that reflect the richness of the collections and the best in contemporary and historical design. With the launch of a new exhibition initiative in FY 2002, museum space will be transformed to feature selections from the permanent collection. The

inaugural exhibition, *The Collections Gallery*, will feature outstanding objects from the Museum's collections.

Education - More than 8 percent of total S&E funding is allocated to education. In FY 2003, a highlight of the Museum's school programs will be an expanded Design Directions program, now in its fifth year, for high school audiences. This program includes one-day and multi-session after-school design studios, college/university design visits, portfolio workshops, and internships. The Museum also offers an expanded Summer Design Institute for K-12 and design educators that draws a steadily increasing national audience each year.

Collections and Research - Almost 30 percent of total S&E funding is dedicated to collections and research. In FY 2001, 615 objects were added to the permanent collections. A total of 70 objects were loaned to a variety of institutions for exhibition, conservation, and study; and 351 objects were borrowed from other museums and private lenders. The Design Resource Center houses approximately 80,000 objects in the departments of textiles, wall coverings, and applied arts and industrial design. The newly completed Drue Heinz Study Center for Drawings and Prints and Henry Luce Study Room for American Art make available to the public an additional 160,000 objects. The curatorial departments are set up as a unique resource for designers, scholars, and the general public. The Museum's library contains more than 60,000 volumes, including 5,000 rare books, and has over 2,000 visitors per year.

Administration - Approximately 48 percent of S&E funding is used to support administration, with most going to facilities management. Located in New York City and unable to benefit from many of the Smithsonian's central services (such as horticulture, painters, and electricians), the Museum must rely on its facilities staff to perform many of these services. With the completion of the renovation project in 1998, the Museum has enjoyed increased attendance by offering the public more visitor services such as the café, museum shop, and garden; this, in turn, has placed increased demand on the facilities staff to maintain these public spaces. The Museum also continues to address the needs of administrative support requirements in such areas as information technology, human resources, procurement, contracting, and finance.

NONAPPROPRIATED RESOURCES – General trust funds are generated from membership, museum shop sales, admissions, special events, and unrestricted donations. These revenues support exhibitions, publications, and general operating expenses. Donor/sponsor designated funds provide support for specific programs and projects.

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 2001 ACTUAL	207	16,179	43	4,770	28	8,592	2	1,480
FY 2002 ESTIMATE	220	16,599	36	3,529	47	6,204	1	181
FY 2003 ESTIMATE	231	20,402	36	4,354	46	6,167	1	54

ABSTRACT - 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. In addition to its Mall location, NASM maintains the Paul E. Garber Preservation, Restoration and Storage Facility in Suitland, Maryland. In October 2000, ground was officially broken on the 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. The NASM Mall location is celebrating its 25th anniversary from July 1, 2001 through June 30, 2002. During this year, NASM will be offering special exhibitions and programs to the public.

For FY 2003, the estimate includes a net increase of 11 FTEs and \$3,803,000. This increase includes 11 FTEs and \$3,310,000 for programmatic increases, a decrease of \$65,000 related to the FY 2002 cost reductions as discussed under the Non-recurring costs section of this justification, and \$558,000 for necessary pay for existing staff funded under this line item.

PROGRAM - Federal S&E funding supports NASM's programs in five functional areas: collections, exhibitions, education, research, and administration, which includes facilities, security, and information technology.

Collections – The FY 2003 budget estimate includes about 22 percent of total federal S&E funding for collections activities. The

collections and research activities in FY 2003 will focus on preparing for the centennial of powered flight in FY 2003; issuing new publications on historical and scientific topics; executing new grants and awards for preservation and scientific work; and preparing the collections for transfer to the Udvar-Hazy Center.

In FY 2003, NASM will celebrate the centennial of powered flight through new books on the history of aviation, exhibitions, and a large-format film celebrating a century of powered flight. Recently published works include *At the Controls*, which contains incredible pictures of cockpit interiors, including the *Spirit of St. Louis*, an *SR-71 Blackbird* and the space shuttle *Enterprise*; a new book on *Exploring the Universe*; and twelve other publications. In FY 2001, NASM received a major grant of \$1,350,000 to preserve the Apollo space suits and the Saturn V rocket. These are part of the National Park Service's Save America's Treasures program.

Collections management activities have also concentrated on preparing the collection for display at the Udvar-Hazy Center. Curatorial staff are currently researching the artifacts and preparing the labels for objects to be included in the display cases. 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. In addition, smaller artifacts will be installed in cases and stands. These include up to 50 historic aircraft engines that document technological advances in aircraft engineering, pressure and flight suits, propellers, tool kits, journals, and a host of other historic aircraft-related artifacts.

Exhibitions - The FY 2003 budget estimate includes about 16 percent of S&E funding for exhibitions. In September 2001, NASM opened a new exhibition, *Explore the Universe*, focusing on how the current understanding of the cosmos was developed. Major artifacts include the original Herschel telescope on loan from the United Kingdom, and the Hubble space telescope backup mirror. As part of celebrating the 100th anniversary of powered flight, NASM will present an exhibition on the Wright Brothers. Other exhibitions currently planned are an updated Air Transportation gallery, supported in part by Department of Transportation Intermodal Surface Transportation funds (FY 2004); *Planets*, incorporating the newest scientific information (FY 2005); and *Dream to Fly*, focusing on the African American aviation experience (FY 2006).

At the Udvar-Hazy Center, concurrent with the artifact installation, 45-by-45-foot triangular exhibit stations will be installed to provide educational and informational displays about historical periods and related artifacts. Each exhibit station will also include related artifact cases, seating and, in the future, interactive information stations that can provide visitors with customized, in-depth information.

Education – The FY 2003 budget estimate includes nearly 5 percent for educational programs. In FY 2001, NASM in conjunction with Ball State University held a *How Things Fly* electronic field trip for more than nine million students. NASM is examining opportunities to provide similar programs. Current education projects include new curriculum packages for *Explore the Universe*, *Explore the Planets*, and *Reflections of Earth*.

In FY 2002, NASM will premiere its latest large-format film, *Straight Up—Adventures in Vertical Flight*. This film will focus on the history and use of helicopters. In FY 2003, NASM, in conjunction with the National Geographic Society, will release a film on a century of powered flight. This will be the first of ten planned film collaborations between the Smithsonian Institution and the National Geographic Society.

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 include lectures and seminars related to the centennial of the Wright Brother's historic flight, hands-on family science programs, and artifact-related historical lectures. Many of these may be broadcast on the Web to classrooms around the nation. To ensure that the educational programs meet regional and national expectations, an Udvar-Hazy Educational Advisory Board is being created and will focus on a master education plan. NASM expects to use this board to refine current plans and to identify a long-range strategy to integrate the Udvar-Hazy Center's unique role into national science education programs.

Research – Approximately 17 percent of FY 2003 S&E funds support research. The Aeronautics Division is responsible for the historical research and collecting activities of the Museum related to all aspects of flight in the atmosphere, and preserves, documents, and interprets the history of aeronautical technology. The Space History Division is a focal point for the space-related historical research, collections and exhibits work of the Museum. Curators and historians write, lecture, collect artifacts, and prepare exhibitions on rocketry, computers and avionics, human space flight, satellites and commercial spacecraft, military space, ground- and space-based astronomy, and foreign space programs.

The Center for Earth and Planetary Studies (CEPS) is the scientific research unit that performs original research and outreach on remote sensing of environmental change, planetary science, and terrestrial geophysics. The Center conducts an active research program in planetary and terrestrial geology and geophysics using remote sensing data from Earth-orbiting satellites and space missions. The scope of research activities includes work on Mercury, Venus, the Moon, Mars, and the Galilean satellites, and corresponding field studies in terrestrial analog regions.

Administration – The FY 2003 budget estimate includes about 40 percent of S&E funding for facilities management, security, information technology, and finance/general administration. In FY 2001, NASM managed the Smithsonian Institution’s telecommunication assessment program, the first program done to identify systematically the current telecommunications system and plan for a transition to a new system. In addition, in FY 2002, NASM will be the beta test site for the Institution’s new financial system, scheduled for initial implementation in FY 2003.

In gearing up to operate the Udvar-Hazy Center, NASM is developing the infrastructure needed to support a facility 3½ times the size of the existing Mall location. To meet these needs, NASM and the Smithsonian Institution will competitively bid and outsource the infrastructure support operations. The Udvar-Hazy Center will be 30 miles from the central Smithsonian Institution’s existing Office of Facilities, Engineering and Operations support services, and as a result will require on-site facilities support. NASM believes that a contracted workforce with specific performance requirements and an on-call staff for major maintenance will reduce operating costs. Outsourcing options include building cleaning and maintenance, guard services, horticulture, utilities, and information technology. Information technology systems at the Udvar-Hazy Center will be remotely monitored by the Mall Museum, with a contracted support workforce providing the required on-site systems maintenance.

EXPLANATION OF PROGRAM CHANGE - The FY 2003 budget estimate includes an increase of \$3,310,000 and 11 FTEs to continue to prepare for and begin moving collections to the Steven F. Udvar-Hazy Center. In the second quarter of FY 2003, NASM will take possession of the north end of the Aviation Hangar and will begin transferring aircraft and other artifacts to the Center. The program increases are described below.

Collections – The budget estimate includes an FY 2003 increase of \$520,000 for collections. Of this amount, \$470,000 is required for contractual services to move and install artifacts and \$50,000 is required for supporting equipment.

Exhibitions – The budget estimate includes an FY 2003 increase of \$209,000 and 2 FTEs for exhibitions activities. These additional resources are required to install exhibit stations, display cases, and audio/visual and interactive exhibit elements in the Udvar-Hazy Center. Work will also be conducted on the light stations to properly illuminate the facility. Of this total increase, \$102,000 is required in salaries and benefits for two exhibit specialists and \$107,000 is for contractor support.

Education – The budget estimate includes an FY 2003 increase of \$78,000 and 1 FTE in salaries and benefits for an education specialist to develop a regional and national education program using NASM resources, and structured to multiple grade levels on topics of aviation and space sciences, history, and current events.

Administration – The budget estimate includes an FY 2003 increase of \$2,503,000 and 8 FTEs for building cleaning and maintenance, guard services, horticulture, utilities, and information technology. The request comprises increases for salaries and benefits for 5 protective service supervisory FTEs (\$312,000) and contracted security services (\$1,063,000). The federal supervisors will oversee all contracted security services at the Udvar-Hazy Center. The request also includes salaries and benefits and one FTE for a building manager (\$64,000) and funding for contracted building support services (\$576,000). The building manager will supervise the outsourced contractor support to ensure the appropriate level of cleaning and maintenance services. To address information technology requirements, the FY 2003 increase provides for salary and benefits for two computer specialist FTEs to oversee contracted systems maintenance work efforts (\$163,000) and for outsourcing technology support (\$325,000).

NONAPPROPRIATED RESOURCES - General trust funds provide support for research, education, exhibitions, and fund raising, including the salaries and benefits. Donor/sponsor designated funds provide support for costs related to specific programs and projects. The Udvar-Hazy Center capital campaign is raising the funds to build the museum extension, and has raised \$128 million towards the project's goal, including \$65 million from the principal sponsor, Steven F. Udvar-Hazy. The Commonwealth of Virginia is supporting the Center with site preparation and road infrastructure valued at \$34 million, with an additional \$9.6 million in financial support from state and local governments. Government grants and contracts provide support and research for other scientific activities.

NATIONAL MUSEUM OF AMERICAN 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 2001 ACTUAL	284	23,075	20	2,268	61	17,524	40	2,943
FY 2002 ESTIMATE	277	20,800	17	2,935	78	28,199	46	5,328
FY 2003 ESTIMATE	277	21,604	21	3,398	88	48,098	39	2,785

ABSTRACT - The National Museum of American History/Behring Center (NMAH), 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 staff as they develop public programs, open new and update existing exhibitions, conduct research, and enrich the collections.

This line item also includes the National Postal Museum (NPM), which is dedicated to the preservation, study, and presentation of postal history and philately. NPM uses research, exhibits, education, and public programs to make this rich history available to a wide and diverse audience.

For FY 2003, the estimate includes an increase of \$804,000 for necessary pay for existing staff funded under this line item.

PROGRAM - Federal S&E funding supports NMAH's programs in five functional areas: research, collections, exhibitions, education, and administration, which includes facilities and security.

Research - The FY 2003 estimate includes 9 percent of S&E funding for research activities. During FY 2001, NMAH scholars completed a large number of publications in various media—print, electronic, and recordings. Notable publications included: *The American Presidency: A Glorious Burden* by Lonnie G. Bunch III, Spencer R. Crew, Mark G. Hirsch, and Harry R. Rubenstein, which accompanied our major exhibit on that topic; *Legacies: Collecting America's History at the Smithsonian* by Steven Lubar and Kathleen M. Kendrick; and *Paint by Number: The How to Craze that Swept the Nation* by William L. Bird. The Smithsonian Jazz Masterworks Orchestra produced its second set of *Essential Jazz Editions* in partnership with the

Library of Congress and Jazz at Lincoln Center. Charles McGovern wrote and co-produced a 13-hour radio series with Smithsonian Productions and syndicated through Public Radio International on Memphis, *Cradle of Rock and Soul*.

Collections - The FY 2003 estimate includes about 35 percent for collections to document America's achievements in science, technology, politics, business, work, and entertainment and to capture changing visions of national identity. Recent additions to NMAH collections include: Laura Bush's Inauguration Ball gown and accessories; a gown belonging to the Tejano singer Rosita Fernandez (San Antonio's "First Lady of Song"); the vibraphone of internationally renowned jazz star Lionel Hampton; one of the first electronic voting machines and punch cards in the U.S.; and a potholder with an embroidered inscription, "Any holder but A Slaveholder," made to promote the abolitionists' cause of the 1830s-1860s.

Exhibitions - The FY 2003 estimate includes about 19 percent for exhibitions. In FY 2001, two major permanent exhibitions, three temporary exhibitions, and one showcase opened. *The American Presidency: A Glorious Burden* exhibition explores the Presidency and its relationship to the American people. In this 9,000-square-foot exhibition, visitors encounter hundreds of objects, video, audio, and several interactive devices that explore the roles of the Presidency over the past 200 years. This exhibition, one of the largest and most comprehensive examinations of the office of the nation's Chief Executive, is accompanied by education programs and a website. In collaboration with the Smithsonian Institution Traveling Exhibition Service (SITES), the NMAH created a traveling version of this popular exhibition to begin a national tour in FY 2002. In FY 2003, upcoming exhibitions include *West Point in the Making of America: Engineering, Exploration and War, 1802-1918*, scheduled to open in October 2002. Marking the bicentennial of the United States Military Academy, this exhibit will examine the academy's role in training those who helped shape America's national development, civil as well as military. *Through My Father's Eyes* is a documentary photo exhibition consisting of 50 silver gelatin prints by Ricardo Ocreto Alvarado (1914-1976), a Filipino-American photographer, highlighting the Filipino-American community in California in the late 1940s and early 1950s. Developed in collaboration with SITES and the Smithsonian's Asian-Pacific American Studies Program, this exhibition will travel to other museums beginning in the spring of 2003.

Education - The FY 2003 estimate includes about 14 percent for educational programs. Beginning in FY 2001, educational outreach efforts were expanded through new publications, on-site programs, electronic field trips, and interactive Web activities. All of these offerings continue to

reflect both the diversity of the Museum's collections and its audiences. *Museum Highlights/Resenas del Museo*, a bilingual highlights guide in the form of a postcard collection, provided adult and family visitors with suggestions for exploring some of the public's most treasured objects. Distance-learning programs featuring curriculum-relevant topics and activities were distributed via satellite through partnerships with the Fairfax County Public Schools Network and Mass Interaction to more than 6 million students around the nation. School field trips featured the exhibition *Within These Walls*, the history and science behind the preservation of the Star-Spangled Banner, and the history of women inventors through the Lemelson Center's *She's Got It!* program.

Administration - The FY 2003 estimate includes about 23 percent for facilities, information technology, and finance/general administration activities. Nearly 30 percent of these funds are required to operate and maintain NMAH facilities. To update the electronic archival databases with object records and images, the Museum continued to convert collections information in legacy automated systems to the current electronic central collections information system, Multi MIMSY, and increased the system total from 252,124 to 431,984 object records. Collection images increased from 9,366 to 24,326.

National Postal Museum

PROGRAM - Federal S&E funding supports the National Postal Museum (NPM) programs in four functional areas: exhibitions, collections, research, and administration, which includes information technology.

Exhibitions - The FY 2003 estimate includes about 22 percent for exhibitions. In FY 2003, the Museum will allocate non-salary funding to exhibition equipment repair. One of the Museum's most popular exhibitions, *What's In the Mail for You?*, contains highly customized power supply units that have operated flawlessly for the past five years. Recently, the power units have experienced intermittent power outages that affect the exhibit's monitors and card readers and cause system failures and other malfunctions. Another major component of this exhibition, the three-dimensional internally illuminated motion platform, also requires extensive repairs. The various technical components of this exhibition require extensive maintenance services to keep it in working condition for visitors.

Collections - The FY 2003 estimate includes about 40 percent to support major projects in the Museum's collections department. The most significant is the new automated collections information system (CIS) project that involves converting approximately 150,000 records from

various legacy systems to the new CIS. At the start of FY 2002, more than 80,000 legacy records had been converted, and an additional 70,000 records are scheduled for conversion by FY 2003. In addition, a centralized Postal Image Archive will be created to inventory and record the Museum's various photographic holdings using the new CIS. In FY 2003, the Museum's primary focus will be to enhance the converted data in preparation for making it available online to the public.

Research - The FY 2003 estimate includes about 15 percent for research. In FY 2002, the Museum will hire a philatelist to coordinate research projects and exhibitions and improve service to the philatelic community. In FY 2002 and FY 2003, the philatelist will oversee the continued development of the U.S. Master Collection Project, which includes the acquisition, exhibition, and online public access of a comprehensive and definitive collection of United States stamps.

Administration - The FY 2003 estimate includes about 23 percent for information technology and finance/general administration activities. In FY 2002 and FY 2003, non-salary funding will be used to improve and support the technological needs of the Museum, thereby increasing network engineering and operations requirements. Top FY 2003 priorities are website enhancements and maintaining the central collection information system.

NONAPPROPRIATED RESOURCES - National Museum of American History trust funds provide substantial support for core museum functions such as research, conservation, publications, exhibitions, fundraising, and acquisitions. The \$80,000,000 gift from Mr. Kenneth Behring in FY 2001 has allowed NMAH to begin a complete renovation of its public spaces, starting with a master space plan study coupled with the recommendations of a blue ribbon commission. Also, Mr. Behring's gift has enabled the Museum to begin work on a 20,000-square-foot military history exhibition tentatively titled *The Price of Freedom*. In FY 2001, the Museum received a \$26,000,000 gift from the Catherine B. Reynolds Foundation to create and maintain a new exhibition on American achievement. In FY 2002, a \$10,000,000 gift from General Motors Corporation has been pledged in support of the exhibition *America On The Move*.

The United States Postal Service provides the National Postal Museum an annual grant, which supports nearly 75 percent of the operational costs of the Museum. This includes salary and benefit costs for 37 trust-funded FTEs, utility expenses, facility maintenance services, security, educational programs, research, conservation, and exhibitions.

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 2001 ACTUAL	253	23,389	5	1,334	4	3,726	0	41
FY 2002 ESTIMATE	296	27,899	6	1,358	4	920	0	4
FY 2003 ESTIMATE	329	33,616	6	1,294	8	663	0	0

ABSTRACT - The National Museum of the American Indian (NMAI), established in 1989 by Public Law 101-185, recognizes and affirms to Native American communities and the non-Native American public the historical and contemporary cultures and cultural achievements of the Native peoples of the Western hemisphere. This is achieved by consulting with Native peoples when developing collections and nationwide public programming, research, and exhibitions. 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.

NMAI operates administrative offices in Washington DC; an exhibition center in New York City at the George Gustav Heye Center (GGHC) in the Alexander Hamilton U.S. Custom House; the Cultural Resources Center (CRC) at Suitland, Maryland; and the Research Branch located in the Bronx, New York. The Research Branch temporarily houses most of the Museum's collections, and the CRC houses reference, collections, and program support for NMAI. Construction of the museum building on the Mall is approximately 15% complete, with a planned opening in 2004.

For FY 2003, the estimate includes an increase of \$5,717,000. This includes an increase of 33 FTEs and \$4,965,000 to support the Mall Museum opening and \$752,000 for necessary pay for existing staff funded under this line item. Also justified here but included in the Office of Physical Plant (OPP) line item is an increase of \$225,000 to support operation of the utility systems in the Mall Museum.

PROGRAM – NMAI's collection of 800,000 artifacts is one of the world's largest assemblages of Western Hemisphere indigenous cultures artifacts.

Federal S&E funding supports NMAI programs in four functional areas as exhibitions, education, collections, and administration.

Exhibitions – Approximately 23 percent of S&E funding supports exhibitions. Of this amount, about 90 percent is required to prepare exhibitions for the Mall Museum, with the remaining 10 percent used to support GGHC exhibitions, loaned exhibitions, and NMAI installations.

During fiscal years 2002–2004, NMAI will continue developing, designing, and producing inaugural exhibitions for the Mall Museum, including the planned three permanent exhibitions. The permanent exhibitions are: *Our Universes*, *Our Peoples*, and *Our Lives*. Curatorial staff have been working directly with representatives of 29 tribes throughout North and South America to select objects for display and conservation, design exhibitions, and write text for exhibitions and materials. The direct participation of Native representatives has enhanced the accuracy and usefulness of the Museum's exhibition and education mission.

In addition to the three permanent exhibitions, curatorial staff continue to research and develop other public exhibition components for the Mall Museum. Work began in FY 2000 on the inaugural changing gallery exhibition of contemporary Native American art, as well as on developing a building-wide 2,500-object study collection display that will allow objects to be rotated over time to increase the public's access to NMAI holdings. Work is also progressing on the several smaller exhibitions for the central rotunda's Potomac area and other key public spaces in the museum. Staff will continue to help select exhibition objects for Smithsonian affiliate museums and will develop four new GGHC exhibitions opening in 2003 and 2004. These exhibitions are *12 Contemporary Native Artists*, *The Legends of our Time*, *The Diker Collection*, and *The Northwest Coast*.

Education – Approximately 17 percent of the NMAI FY 2003 budget supports educational activities, public programs, publications, and community services. Key components of the Museum's education function are the Resource Centers at the GGHC and the CRC, planning for the opening of the Mall Museum, development of publications projects, and community services.

The GGHC Resource Center reaches thousands of visitors through its website, which averages 16,000 hits daily. In FY 2001, 920 on-site educational programs were provided to about 49,000 school students. Also, the biennial Native American Film & Video Festival in FY 2001 at GGHC showcased more than 70 new productions in independent film and

video, radio, television, and interactive media. The CRC hosts an average of 200 visitors per month, provides services to these visitors, and produces multimedia information systems to make NMAI's collections more accessible to the public.

In FY 2003, planning and development for the Mall Museum educational programs and services will increase. Because NMAI expects large numbers of school groups, the Museum will prepare a variety of curriculum materials to be made available before the opening of the Mall Museum. Additionally, work will continue on developing a 20-minute film for the 400-seat Mall Museum Theater. A creative workshop and unique collaboration with Native filmmakers yielded the story theme, *Coming Home*, and the narrative approach to the film. Finally, development of the Potomac Center will continue. The Potomac Center, the 17,000 square foot heart of the Mall Museum, will host interactive demonstrations and presentations. Content development and design is completed for the Potomac Center's first theme, *Native Boat Building Traditions*.

The Welcome Center at the Mall Museum construction site will continue to provide an on-site location where the public, potential donors, members of Congress, and the press can receive general information about NMAI and specific information about the construction of the Mall Museum. The Welcome Center houses a small exhibition highlighting information about NMAI's vision and accomplishments, as well as information about GGHC, CRC, and the Mall Museum.

In FY 2003, NMAI expects completion and publication of the following titles: *A Different Way of Seeing: American Indian Photographs of Frank G. Speck, 1909-1935*; *The Sound of Horses Running*, a book about the horse in Native American culture; *Meet Naiche* and *Meet Mindy*, the first two titles in a new series for young adults, *My World: Young Native Americans Today*; *The Edge of Enchantment: Sacred Places of Oaxaca* to complement the exhibition at the Heye Center; and *Small Spirits*, a book about Native American dolls. Work will continue on Mall-related projects, including two major opening publications, *The Native Universe* and the book about the Mall Museum building, which are slated for publication in 2003.

In FY 2001, 50 radio segments for international broadcast via satellite and the Web were produced; eight Native artist fellows were appointed to present public programs at GGHC and feature profiles on the NMAI website; 30 college students received training through NMAI's internship program; and copies of NMAI's publication, *American Indian*, were distributed to more than 500 tribal schools, colleges, museums, cultural centers, and Head Start programs in the United States. During the

next two fiscal years, NMAI will technologically link many of these communities more directly to NMAI's resources and locations and provide training in radio and technology.

Collections – Approximately 22 percent of total S&E funding supports collections work. Almost half of this amount is required to complete the move of collection objects from the Research Branch in New York to the CRC. The completion of the move is expected in late FY 2004. In addition to the move project, changing exhibitions GGHC required the move of over 400 objects from GGHC to CRC. New acquisitions in FY 2002 totaled nearly 1,000 objects, including a significant collection of Inuit art. In FY 2003, new acquisitions will focus on purchasing contemporary art for inclusion in the inaugural Mall Museum exhibitions.

Administration. Approximately 38 percent of total S&E funding is required to support facilities management, security, information technology, and finance/general administration, in addition to work in support of the Mall Museum presently under construction. Because of the Congressional mandate to serve Native American constituents, NMAI has numerous responsibilities in the areas of personnel, procurement, and travel to include Native Americans in all aspects of programmatic development and implementation. Facilities management poses a special challenge since NMAI is located at four sites, each with its own facilities requirements. Additionally, this function includes development/fundraising activities as authorized by Public Law 101-185 to support construction and opening of the Mall Museum. Recent significant gifts to help pay for exhibition and opening activities have come from the Mohegan Tribe of Connecticut and the U.S. Mint Commemorative Coin program. Recent accomplishments included raising funds through naming opportunities in the Mall Museum and the Honor Wall. A public relations firm has been retained to develop a comprehensive communications plan regarding the activities leading up to and including the opening of the Mall Museum.

In FY 2002, NMAI is receiving \$96,000 from the emergency supplemental for cleanup of the George Gustav Heye Center in New York.

EXPLANATION OF PROGRAM INCREASE – The FY 2003 budget includes an increase of \$4,965,000 and 33 positions associated with the Mall Museum opening and related Cultural Resources Center operations. As in previous years, the Institution requests that resources for this line item remain available until expended. In addition, an increase of \$225,000 and 3 FTEs to support operation of the utility systems in the Mall Museum is justified here but included in the OPP line item.

Of the total requested increase, \$4,072,000 and 24 FTEs are required to ready the building for occupancy and public visitation (including program support, communications cabling, and other equipment). An additional \$893,000 and 9 FTEs are required for support activities and programmatic efforts directly related to implementing Mall functions, including essential outreach to Native communities, information resource management, and maintaining and enhancing public offerings at the George Gustav Heye Center in New York City.

Exhibitions - The FY 2003 budget includes an increase of \$1,341,000 and 5 FTEs to fabricate and install exhibits and to develop media projects related to exhibitions. The increase is required to establish the exhibitions operation in the new building and to permit timely contracting within the exhibition development schedule. The request includes \$341,000 for salaries and benefits for five positions (one Media Producer, one Production Shop Supervisor, one Writer/Editor, and two Exhibit Specialists), and \$1,000,000 for other services.

Education - The FY 2003 budget includes an increase of \$1,567,000 and 13 FTES to begin educational activities for the Mall Museum as follows:

- **Publications and Public Programs** (1 FTE and \$315,000). These start-up funds are required to develop and produce printed materials for the Mall Museum (\$65,000) and for the Potomac Center (\$90,000). A slower production schedule would preclude the availability of these programmatic materials by the opening date of the Museum. The increase will also fund a position needed to provide editorial assistance for educational, developmental, and exhibit material, and will also support the increased printing needs of the Museum for brochures, rack cards, and exhibition-related publications. The request includes \$81,000 for salaries and benefits, \$94,000 for printing, and \$140,000 for other services.
- **Education** (7 FTEs and \$586,000). This increase will provide staff and funds to begin program operations for the Potomac Center and provide educational programs highlighting the vitality of Native American culture. These seven positions include two program managers, two education program specialists, an administrative assistant, and two cultural interpreters. The request includes \$386,000 for salaries and benefits, \$5,000 for travel, \$60,000 for printing, and \$135,000 for other services.

- **Resource Center** (3 FTEs and \$392,000). This increase is needed to develop the Mall Museum's resource center, which will provide visitors with information about current exhibits as well as general reference material on native culture. In addition, this increase will provide resources to gather and develop material for the Mall exhibition Web pages and to prepare other related information for distribution on the NMAI website. The three positions include a program manager, program developer, and an administrative assistant. The request includes \$258,000 for salaries and benefits, and \$134,000 for other services.
- **Public Programming and Interface** (\$135,000). This increase will enable the Mall Museum to contract for planning and implementing elements of public interface including a system of ticketing for control and accountability, educational curricula, and program planning and implementation for facets of the overall museum experience such as the theater, Potomac Center, and exhibitions. This request includes \$2,000 for communications, \$10,000 for printing, and \$123,000 for other services.
- **Community Services** (2 FTEs and \$139,000). These positions will enable NMAI to expand outreach opportunities for Native constituencies as educational programs are launched at the Mall Museum. This request includes \$124,000 for salaries and benefits, and \$15,000 for other services.

Collections - The Smithsonian requests \$81,000 in salaries and benefits and 1 FTE to support the addition of a paper conservation specialist to enhance the holdings of the paper archives and increase access for researchers.

Administration - The Smithsonian requests an additional \$1,976,000 and 14 FTEs to support administrative requirements. The increase includes the following program changes:

- **Communications Cabling** (\$800,000). Construction of the Mall Museum is scheduled for completion by May 2004. The planning and installation of communications cabling must be incorporated into the construction schedule in FY 2003.
- **Facility Management at Mall Museum** (3 FTEs and \$283,000). Facility staff must be added during FY 2003 to prepare for the opening of the Mall Museum and the increase in services required. The facility manager should be in place no later than fall 2002 to be available for constant consultation during the installation of the mechanical systems. Other

staff include the safety coordinator and a secretary, who will be needed for facility support as beneficial occupancy is obtained in 2003 by exhibits staff. The request includes \$198,000 for salaries and benefits, and \$85,000 for supplies.

- **Facility Management at CRC** (2 FTEs and \$81,000). Due to increased staff and visitor traffic, the demand for maintenance has increased at CRC. This request includes \$81,000 in salaries and benefits for two custodial workers to provide facility support.
- **Information Resource Management and Technology** (3 FTEs and \$457,000). The information management component of NMAI is essential to the operation of the Museum's outreach programs. Emphasis will be placed on connecting educational content developed for Mall exhibitions to wider audiences. Distribution of information on the Web will also allow access to the Museum's archives and collections records. This request also includes funds for content management and portal software. Positions include a computer specialist, a programmer, and a standards and vocabulary specialist. This request includes \$217,000 for salaries and benefits, \$40,000 for equipment, and \$200,000 for other services.
- **Development** (2 FTEs and \$114,000). This increase of \$114,000 in salaries and benefits will fund a special events coordinator and an administrative assistant to boost development efforts and help to raise the final construction funds for the Mall Museum.
- **Administration** (2 FTEs and \$127,000). As the Museum readies for opening, administrative support requirements for budget, contracting, procurement, and personnel activities will significantly increase. This request includes \$127,000 in salaries and benefits for a budget analyst and a personnel technician.
- **Public Affairs** (2 FTEs and \$114,000). As construction proceeds, the increased interest in the Mall Museum will generate an increased demand for public information releases and for constructive contacts with representatives of the Native constituency and public officials. This request includes \$114,000 in salaries and benefits for a public affairs specialist and a public affairs assistant.

Support Services. In addition to the NMAI line item request, the FY 2003 budget estimate includes 3 FTEs and \$225,000 for services provided by the Office of Physical Plant (OPP) to support operation of the utility systems in the Mall Museum by July 2003. This request includes

\$180,000 for salaries and benefits and \$45,000 for other objects for three HVAC mechanics. Funding for these support services is included under the OPP line item.

NONAPPROPRIATED RESOURCES – General trust funds provide support for salaries and benefits of personnel, a portion of the National Campaign costs, and specialized program activities. Donor/sponsored designated funds provide support for costs related to specific programs and projects, including educational programs, pro-bono advertising, production of fundraising proposals, member- and donor-related special events, exhibition openings, and outreach in cities across the United States.

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 2001 ACTUAL	74	5,551	2	412	3	25,198	0	0
FY 2002 ESTIMATE	77	5,360	1	528	9	4,000	0	0
FY 2003 ESTIMATE	77	5,550	1	300	8	4,300	0	0

ABSTRACT - The National Portrait Gallery (NPG) is dedicated to the exhibition and study of portraits of people who have made significant contributions to American history and culture and to the study of artists who created such portraiture. The Museum staff collect, document, and preserve portraits in all media as both historical and artistic artifacts.

For FY 2003, the estimate includes an increase of \$190,000 for necessary pay for existing staff funded under this line item.

PROGRAM - The National Portrait Gallery explores the heritage and accomplishments of the American people by collecting, documenting, preserving, studying, and exhibiting portraits in all media. The Patent Office Building (POB), which houses the NPG, has been closed to the public since January 2000 for a major renovation, but the staff continues to organize exhibitions and loans. Approximately 1,000 portraits from the collection have traveled to museums and institutions in the United States, Europe, and Japan, and numerous biographical performances, lectures, and concerts have been held throughout the Washington DC area. Federal S&E funding supports NPG programs in five functional areas: exhibitions, education, collections, research, and administration.

Exhibitions - Approximately 25 percent of federal S&E funding supports exhibitions. Since the NPG closure, four major exhibitions have been organized to tour the country. Two are already on tour—*A Brush With History* and *Portraits of the Presidents*—and two will open this coming year—*Eye Contact: Modern American Portrait Drawings from the National Portrait Gallery* and *Women of Our Time: Photographs from the National Portrait Gallery*. The major tour of the George Washington portrait by Gilbert Stuart will open in 2002 at the Museum of Fine Arts in Houston,

Texas. *Portrait of the Art World: A Century of ARTnews Photographs* will open at the New-York Historical Society in New York City in late 2002.

Education – About 5 percent of FY 2003 S&E funds support education. The Washington Times syndicated eight installments of the *Portraits of Character* series to newspapers across the country, and creation of 12 additional installments for schools is also planned. Video, print, and electronic programs were developed for the *Portraits of the Presidents* and *Brush with History* traveling shows, and more are being planned for the *George Washington: A National Treasure* tour. The *Washington* tour will also include workshops, living history performances and activities, publications, activity guides, a speaker's bureau, family days, and Web editions of a classroom newspaper. The *NPG Around Town* initiative in Washington DC has established community partnerships with 14 area organizations, businesses, and schools and a broad range of programs for school and community audiences based on history and biography. NPG plans to extend its outreach program within the DC area, and to Maryland and Virginia schools and community organizations. Author lectures and book signings are projected to continue with 12 to 15 programs per year, and planned increases in *Cultures in Motion* programs are projected to increase from six to eight.

Collections – Approximately 34 percent of federal S&E funding in FY 2003 will support collections. The primary effort has been to inventory, pack, and move the entire collection from the closed Patent Office Building. The graphics collection has been moved to a permanent space, but the painting, sculpture, and associated decorative collections are being moved to private storage spaces until permanent storage is located. In 2001, NPG acquired 137 objects with federal funds, donations, and as gifts including Gilbert Stuart's Lansdowne portrait of George Washington, paintings of John Ewing by Charles Willson Peale, Revolutionary War general Daniel Morgan by an unidentified artist, a self portrait by artist Louise Nevelson, civil rights activist James Farmer by Alice Neel, noted violinist Maud Powell by Nicholas R. Brewer, a bronze sculpture of Yogi Berra by Rhoda Sherbell, and an Indian peace medal representing Andrew Johnson. In FY 2002, 142 items have already been acquired.

Research - Approximately 4 percent of federal S&E in FY 2003 goes to research. Research for 2002 publications includes books to accompany the *Eye Contact* and *Women of Our Time* exhibitions. The Charles Willson Peale Family Papers submitted *The Autobiography of Charles Willson Peale* manuscript for the paperback edition to Yale University Press, and began research for volume 6 of *The Selected Papers* that will comprise letters and documents from the children of James and Charles Willson Peale. The NPG

award-winning website continues to bring information, collections, programs, educational materials, and virtual exhibitions to researchers and the public. Major new offerings include *Civil War@Smithsonian*, *George Washington: A National Treasure*, and collaborative presentations on Latino portraits and portraits of U.S. Presidents from public collections across the country. The website's searchable collections' database, plus 70,000 research records, will be replaced by a new database that includes digital images for all NPG objects.

Administration – In FY 2003, about 31 percent of federal S&E funding is allocated for administrative activities. The NPG will continue to create a strategic plan to guide the Portrait Gallery through its reopening in the POB. The NPG will oversee two awards programs now in the planning process. Paul Peck's donation created an awards program to recognize individuals for service to a President or for their portrayal of the President or American Presidency. The Paul Peck Presidential Awards will be issued once a year to two individuals, and will consist of a monetary prize and a specially minted commemorative medal. NPG is also involved in planning for the Catherine B. Reynolds Foundation gift to the National Museum of American History (NMAH), and will administer a program of achievement awards in conjunction with NMAH's *Spirit of America* exhibition. The Portrait Gallery will develop criteria for nominations and annually name up to three winners for the Smithsonian Achievement Awards.

Information technology is a critical tool that supports all aspects of the museum's functions. The collections information system—The Museum System—was upgraded in 2001 and now supports all areas of collections management, including planning exhibitions and educational programs. More than 13,000 digital images have been created and work continues on enhancing the collections data and images, including essential copyright research, narratives describing the significance of the objects, new photography, and high-resolution digitization of images. A new public access interface between the Web and the database is being developed.

NONAPPROPRIATED RESOURCES - General trust funds provide support to help defray costs of publications, public lectures, symposia, special events for exhibition openings, loan exhibition development, fundraising, management, and research. Donor/sponsor designated funds provide support for costs related to specific programs and projects including support of the NPG Director's Circle.

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 2001 ACTUAL	119	8,473	8	1,856	5	2,777	0	0
FY 2002 ESTIMATE	112	8,023	7	1,861	5	4,800	0	0
FY 2003 ESTIMATE	112	8,327	7	1,758	8	4,365	0	0

ABSTRACT – 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 uses its rich collections and staff expertise to link Americans to their heritage by showing how these works tell the story of their country. The Museum’s outreach and Web-based 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 Renwick Gallery and the Patent Office Building (POB). The latter building is closed for major renovation, and the construction is scheduled for completion in late 2005. Outreach takes the form of circulating exhibitions, educational materials, publications, automated research resources, and a vast and growing offering of online and educational services that reflect the diversity of the country’s citizenry and art.

For FY 2003, the estimate includes an increase of \$304,000 for necessary pay for existing staff funded under this line item.

PROGRAM – SAAM stimulates an understanding of American visual expression in its broadest contexts through interpretive exhibitions; publications; online, print, and media outreach; and public programs. As a national institution, SAAM explores and serves the heritage of diverse communities in the United States. Federal S&E funding supports SAAM programs in five functional areas: exhibitions, education, collections, research, and administration.

Exhibitions – In FY 2003, approximately 19 percent of total S&E funding is required to support exhibitions. While the Patent Office Building is renovated, exhibitions programs and rotations of permanent collections at the Renwick Gallery will be emphasized. Thanks in part to the press

opening for the *Sam Maloof Furniture* exhibition in early September, the Renwick Gallery has maintained its attendance figures despite the downturn in overall museum visitorship. In addition to quarterly rotations of the permanent collection, in FY 2002 SAAM will open a major exhibition of *Wood Turning*, the second in a series of biannual *Renwick Invitational* exhibitions, and a landmark exhibition on *George Catlin*. The Catlin exhibition will include objects from a number of Smithsonian collections, including SAAM's nearly complete surviving set of the artist's first Indian Gallery painted in the 1830s. Funded through private sources, this exhibition will incorporate innovative exhibition strategies, including a pocket personal computer interpretive tool and a visitor-surround video room. The Museum's eight *Treasures to Go* exhibitions, with more than 500 of the Museum's best paintings and sculptures, will continue to tour the country through 2002. Following on the overwhelming success of *Treasures to Go*, SAAM is booking venues for four new traveling exhibitions in 2003, focusing on highlights from the permanent collection. The shows feature works by African American artists, craft artists, photographers, and artists whose works are on paper.

Education – In FY 2003, about 17 percent of total S&E funds will support educational activities. The Museum offers a variety of multicultural public programs and educational projects to attract a broad range of visitors, primarily at its Renwick Gallery while the POB is closed. Internet applications, distribution of interpretive materials, and visits by Museum staff to local institutions enhance the Museum's continued distance-learning efforts. In conjunction with the *George Catlin* exhibition, SAAM is developing, through private sources of funding, an educational website for grades 6-12, an educational film for broadcast nationally, a book with essays by prominent scholars, and an ambitious schedule of public programs. The Museum's website (AmericanArt.si.edu), provides extensive information about SAAM's collections, programs, and exhibitions, and continues to increase in popularity as new features and initiatives are introduced. *Ask Joan of Art*, the Museum's popular public online reference service, extended its reach in FY 2001 and 2002 through new partnerships with the Library of Congress' Collaborative Digital Reference Service, the U.S. Department of Education's Virtual Reference Desk Project and AskERIC, and the 24/7 Reference Project of the Metropolitan Cooperative Library System, San Francisco. A traveling exhibition, *Preserving Memory: Americans and Their Public Sculpture*, organized by *Save Outdoor Sculpture!*, will travel to libraries, schools, city halls, courthouses, historical societies, and other community venues beginning in fall 2002. Books for the next round of four new traveling shows are underway.

Collections – In FY 2003, about 26 percent of S&E funds will support collections management. The Museum’s collections of approximately 39,000 objects encompass painting, sculpture, graphic art, photography, and folk art, as well as contemporary crafts at the Renwick Gallery. Traveling exhibitions, government loans, the Smithsonian’s Affiliations Program, and long-term loans to museums throughout the country focus greater attention on SAAM while the POB is closed. In August 2001, packing of the POB paintings, sculpture, and decorative arts began. By March 2002, this collection will have been relocated to a temporary storage facility. In FY 2003, Museum staff will continue to prepare 6,000 artworks for public viewing in the POB when it reopens. This involves collections review, and in many cases conservation cleaning or treatment, and reframing or remounting. During this time period, computer databases will also be expanded and improved for greater public access. Two of the Museum’s most significant recent acquisitions are Edward and Nancy Reddin Kienholz’s *Sollie*, a room-scale tableau that has been recognized internationally as a hallmark of contemporary narrative sculpture, and Alfred Jensen’s *Honor Pythagoras*, a monumental painting by one of the country’s leading abstract artists.

Research – About 5 percent of the FY 2003 S&E budget supports research. Twelve scholars-in-residence enjoy research privileges through fellowships awarded for the 2001–2002 year. The strength of this program continues to depend on funding from private donors. In FY 2001, the public made over 127,000 searches to the Art Inventories through the Smithsonian Institution Research and Information System (SIRIS), an increase over the previous year.

Administration – About 33 percent of the FY 2003 S&E budget supports facilities management, information technology, and finance/general administration. The Information Technology Office provides support to all hardware and software systems in the Museum and all media programs for both the public and classrooms across the country.

NONAPPROPRIATED RESOURCES – General trust funds provide support for salaries and benefits of personnel, fundraising, and other related costs. Donor/sponsor designated funds provide support for specific programs and projects. Exhibitions and education programs receive support from individuals, foundations, and corporations. A significant gift from the Principal Financial Group continues to support the *Treasures to Go* national tour.

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 2001 ACTUAL	68	6,141	0	231	44	6,932	0	2
FY 2002 ESTIMATE	71	5,961	0	329	54	8,114	0	0
FY 2003 ESTIMATE	71	6,168	0	296	54	8,775	0	0

ABSTRACT - The Freer Gallery of Art, founded in 1906 and opened to the public in 1923, was the first art museum of the Smithsonian Institution. The museum was founded with Charles Lang Freer's gift to the United States of his extensive collection of Asian art. The gift also included an endowment and a specialized collection of American art, focusing on the works of four American artists, including James McNeill Whistler. The Arthur M. Sackler Gallery was founded in 1982 to complement the Freer Gallery, and opened to the public in 1987 to house a major gift of Asian art from Dr. Arthur M. Sackler and to develop an active program of loan exhibitions.

For FY 2003, the estimate includes an increase of \$207,000 for necessary pay for existing staff funded under this line item.

PROGRAM - Together, the museums serve as the national museum of Asian art and seek to enhance the public's understanding of these non-Western cultures. The latter mission has assumed particular importance since September 11, 2001. The museums form an important international center dedicated to the collection, preservation, study, and exhibition of both historical and contemporary Asian artistic traditions. The active educational program is designed to increase public knowledge of Asian art and culture. In addition, public programs designed to attract a diverse audience, offered free of charge, help diffuse knowledge of the art and culture of Asia to a larger segment of the population.

Approximately 90 percent of the galleries' federal appropriation will be required to cover federal personnel costs. Almost all non-personnel programmatic expenses and over half of the FTEs within the two museums are funded through nonappropriated resources.

It is expected that a new director for the museums will be appointed prior to the end of FY 2002, and adjustments to future programmatic activity are possible.

Exhibitions - The museums expect to devote about 27 percent of federal funds to exhibition programs and to related publications. Important exhibitions to be mounted in FY 2003 include *The Sensuous and the Sacred: Chola Bronzes from South India*; *Isamu Noguchi and Modern Japanese Ceramics*; *By Whistler's Design: Small Masterpieces from an 1884 Exhibition*; and several other rotations of light-sensitive art from our permanent collections. Each of these major exhibitions highlights a different aspect of the collections, and each will be supported by educational programming, marketing and promotion, and cultural and artistic programming that augments the exhibitions and expands outreach to new and diverse audiences. The museums use nonappropriated funding sources to cover more than half the expenses associated with exhibitions and publications, devoting virtually all of the federal allocation for exhibitions to personnel costs for staff members involved in the design, editorial, and production functions.

Education - The galleries' education efforts continue to expand, particularly in the areas of classroom instruction (through use of custom-designed CD-ROMS and teacher class instruction packets) and community outreach. In response to the September 11 tragedy, the teacher packets prepared for FY 2002 were devoted to classroom instruction about Islamic art. Additional sessions have been added to *ImaginAsia*, a program for ages 6 and up with accompanied by an adult, in response to public demand. Gallery talks about Islamic art were also provided by the curatorial staff, and were well received and well attended.

Marketing efforts have been enhanced through a new campaign entitled *Zen in the City*, which encourages potential visitors to think of the Freer and Sackler galleries as a place to relax, enjoy art, and as the ad suggests, "get away from it all." While tourism has declined region-wide in the wake of the September 11 tragedy, visitors to the Freer and Sackler have indicated that they were aware of the ad campaign, and many came as a result.

Of the federal appropriation, 12 percent will be devoted to ongoing education and outreach efforts. An additional amount of over \$1 million is provided from nonallocated sources to support this important work.

Collections - Of the federal funding, approximately 22 percent is devoted to the management, documentation, and conservation of the

museums' collections. This amount represents 60 percent of the budget for the collections-related departments; the balance is funded by nonappropriated sources. Acquisition funding is obtained exclusively from nonappropriated sources. The museums house one of the finest Asian art conservation studios in the world, as evidenced by a donor endowment provided for the purpose of training young Asian art conservators in the facility.

Research - The museums' curators continue to produce important new research through publications, symposia, and lectures. Their efforts will be supported by 14 percent of FY 2003 federal funding and supplemented by approximately \$700,000 from nonappropriated sources.

Administration – Approximately 25 percent of the federal allocation is budgeted to support facilities, information technology, and administration. These functions, essential to the programmatic success of the museums, are not easily funded by external sources. A portion of the endowment income, however, has been earmarked for improvement to our website for both FY 2002 and FY 2003.

NONAPPROPRIATED RESOURCES - General trust funds are generated from memberships, Museum shop sales, special events, unrestricted and restricted gifts and grants, and endowment income. As discussed above, the Freer Gallery of Art and the Arthur M. Sackler Gallery are highly dependent upon nonappropriated sources to fund the programs and support necessary to provide the quality of exhibitions, programs, and publications expected by visitors and scholars. The non-federal sources fund over 40 percent of our personnel costs and close to 90 percent of all other costs.

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 2001 ACTUAL	66	4,690	1	629	1	4,826	0	0
FY 2002 ESTIMATE	65	4,575	1	1,059	1	3,002	0	0
FY 2003 ESTIMATE	65	4,724	1	1,079	3	5,221	0	0

ABSTRACT - The Hirshhorn Museum and Sculpture Garden (HMSG) is the nation's museum dedicated to developing a greater public understanding and appreciation of art through the collection, preservation, study, exhibition, and interpretation of modern and contemporary works of fine art. The Hirshhorn produces exhibitions for local, national, and international audiences, and additional education and public programs draw about 800,000 visitors per year to the Museum. Hirshhorn-produced exhibitions shown in other venues and an active collection loan program also reach additional viewers in the U.S. and abroad.

For FY 2003, the estimate includes an increase of \$149,000 for necessary pay for existing staff funded under this line item.

PROGRAM – The FY 2002 programmatic priorities for the Hirshhorn continue to be exhibitions, education, collections, and research. Centralized administrative support, including human resources, budget and finance, contracting, building management, public affairs, safety, and photo services, all support the Museum's programmatic priorities. Programmatic plans for FY 2003 will be determined after the arrival of the new Hirshhorn director in early 2002.

Exhibitions - Approximately 14 percent of total S&E funding is allocated to exhibitions, not including curatorial staff time to research, prepare, and install exhibitions, which is included under research. Additional costs such as borrowing, shipping, insuring, and installing exhibitions are usually funded with nonappropriated funds.

In FY 2002, the Hirshhorn plans to open seven temporary exhibitions, in addition to permanent collection installation changes in galleries, on the plaza, and in the Sculpture Garden. The three major

exhibitions are a retrospective of Spanish artist *Juan Muñoz*, the sculpture of *H.C. Westermann*, and *Open City: Street Photographs Since 1950*. Three artists in the *Directions* series will also be featured: Marina Abramovic (multi-media artist), Ernesto Neto (Brazilian sculptor), and Ron Mueck (Australian sculptor). Early FY 2003 will bring *Zero to Infinity: Arte Povera, 1962-1972* to the Hirshhorn, a major exhibition about the Italian art movement of that period organized by Walker Art Center and the Tate Modern. The *Directions* exhibition series will continue with work by British artist, Cecily Brown. Other exhibitions for the 2002-2003 season will be confirmed by the new Hirshhorn director in early 2002.

Education – Approximately 15 percent of federal S&E funds are allocated for education, which also relies on a mix of federal and trust support. The education program includes museum education and public programs, as well as library and publications staff and operations. The Museum is increasing its outreach to schools. A grant received for the *Juan Muñoz* exhibition program included support for leasing buses, a first for the Museum. In 2001, the Museum spent trust funds on the redesign of the Hirshhorn website. The new website, www.hirshhorn.si.edu, will be fully operational in early 2002. To provide centralized direction of all Smithsonian libraries, HMSG transferred its library functions and resources to the Smithsonian Institution Libraries in FY 2001. Public programming and school outreach programs will continue in FY 2003 in support of the permanent collection and changing exhibitions. In addition, the retrospective of Spanish artist Juan Munoz will continue its national tour to the Art Institute of Chicago, the Contemporary Art Museum in Houston, and the Whitney Museum in New York.

Collections - Collections-related expenditures constitute 18 percent of S&E funds. The collections program includes the creation and maintenance of collection information, acquisition and deaccession of art, shipping, and insurance arrangements for individual works of art and for entire exhibitions, and conservation for the collection and loaned art. The Museum has more than 11,000 works of modern and contemporary art in the national collection.

Research - Approximately 15 percent of federal S&E funds are allocated to research, including funding for curators. Curatorial staff research historical information about the creation and care of collection objects and artists; they also recommend new acquisitions for purchase and by gift.

Administration - While the Hirshhorn gives primary emphasis to the programmatic areas discussed above, centrally provided administrative

support to all of these areas consumes about 38 percent of its federal appropriation. Administration includes human resource management, accounting and contracting assistance, building maintenance, photographic documentation of the collection and exhibitions, safety, and public affairs.

NONAPPROPRIATED RESOURCES – General trust funds provide support for salaries and benefits for personnel and exhibition-related costs. Endowment funds support collections acquisitions, exhibitions, and education. Donor/sponsor designated funds provide support for specific exhibitions, education programs, projects, and events. Fundraising is supported exclusively with nonappropriated funds.

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 2001 ESTIMATE	44	4,347	3	549	0	53	0	0
FY 2002 ESTIMATE	48	4,334	1	300	0	264	0	0
FY 2003 ESTIMATE	48	4,464	1	385	0	400	0	0

ABSTRACT - As a leading center for the visual arts of Africa, the National Museum of African Art (NMAfA) fosters and sustains through exhibitions, collections, research, and public programs an interest in and understanding of that continent's diverse cultures. The Museum's collection represents the visual arts of the entire continent, crossing time from the ancient through the contemporary.

For FY 2003, the estimate includes an increase of \$130,000 for necessary pay for existing staff funded under this line item.

PROGRAM - The National Museum of African Art holds its collections in trust on behalf of the American people. Preservation and presentation of these objects are dual objectives. Through acquisition, care, research, exhibition, and interpretation of these works of art, the Museum educates the public and celebrates African aesthetics, history, and culture.

Exhibitions - Funding for exhibitions is about 36 percent of the Museum's total S&E funding. Three major exhibitions organized by NMAfA will be opened in FY 2002: *Spectacular Display: The Art of Nkanu Initiation Rituals* will feature objects central to the initiation ceremonies of these Central African peoples and includes a community outreach component. *Gifts and Blessings: The Textile Arts of Madagascar* showcases two magnificent Malagasy silk textiles, presented to President Grover Cleveland by Madagascar's queen in 1886, and numerous other examples of cloths that define Madagascar's continuing textile traditions. A third exhibition, *A Personal Journey: Central African Art from the Lawrence Gussman Collection*, presents objects collected over many years and recently donated to NMAfA and two other museums that will host the exhibition. Publications accompany all three exhibitions, and extensive public programming is planned.

In FY 2003, a major exhibition showcasing Ethiopian artists, *Ethiopian Passages: Dialogues in the Diaspora*, will include works from NMAfA's collection as well as local, national, and international loans. The Museum will also produce a catalogue with photographs of both objects and artists. A companion exhibition of 17th–19th-century Ethiopian icons from the Museum's collection will document a year-long conservation project, supported by the Kress Foundation, to clean and restore the icons to their original brilliant color. In response to expressions of strong interest from the public, the Museum will install a selection of outstanding works of art from ancient Egypt. A loan exhibition of Moroccan carpets, textiles, and jewelry—the largest and most comprehensive ever presented in the U.S. or Europe—will complete the FY 2003 exhibition offering.

Education – Education makes up approximately 17 percent of the Museum's federal budget, and as with exhibitions, the greatest portion of federal funds devoted to education and public programs is in support of staff. Many programs are presented directly by Museum staff and others are funded by direct grants and other privately raised funds. Major publications are supported by non-federal funds and publication partnerships. The education department has been enriched by the creation of a new senior position, director of education, and the addition of a volunteer coordinator will further boost programmatic outreach. One such outreach effort is the retraining of docents to carry programs out of the Museum and into area schools.

Collections - Approximately 24 percent of total S&E funds are dedicated to collections management, conservation, and research. Collections growth and development is essential to maintaining dynamic and compelling programming at the Museum, but only \$129,000 of federal funds is available for collection acquisition. NMAfA's position as the premier museum in the world in the area of collecting and exhibiting modern African art is being strengthened through the work of a talented curator of modern and contemporary African art and discerning purchases from artists and dealers worldwide. At the same time, outstanding traditional objects are also being added to the collection through gift and purchase. In the first half of FY 2002, NMAfA added 27 major works to the collection. Highlights included a 19th/20th century Baule female figure covered with gold leaf and a 20th century Cameroon elephant mask, purchased at auction, and the gift of a 16th/17th century Benin copper-alloy plaque.

The Museum's collection is housed and cared for in a modern facility by highly trained conservation and collections management staff.

Conservation work in FY 2002 will benefit from an increase in curatorial staff and be guided by the institutional mandate to expand outreach activities. The department has developed or refined staff skills, in particular for the care of contemporary African art, the care and exhibition of digital art, and addressing conservation issues with living artists. Research carried out by NMAfA staff is in support of the collections, publications, and exhibitions presented to the public.

Administration – Administrative support for all of the above programmatic functions is anticipated to remain basically level at 23 percent of budget. In addition to maintaining an active and continually updated website, NMAfA has undertaken a major project to enrich its electronic collections database with high quality digital images, to complete the cataloguing of all its objects, and to make these records publicly accessible via the Museum website. Staff of the Eliot Elisofon Photographic Archives added 4,030 new records and modified 1,869 existing records. A major digitizing project resulted in 11,442 images scanned and 7,333 of these attached to existing Smithsonian Institution Research and Information System records.

NONAPPROPRIATED RESOURCES - A trust fund allotment provides support for the director's salary, benefits, and travel and an allotment specifically for fundraising supports the salary, benefits and travel of the Museum's director of development. The Special Exhibition Fund provided support for a planning conference for a major jewelry exhibition, scheduled for FY 2004, and supplemented other funding for a family guide that accompanied the loan exhibition, *In the Presence of Spirits: African Art from the National Museum of Ethnology, Lisbon*. Income from NMAfA's collections acquisitions endowment funded the purchase of a Bamum pot and three paintings by contemporary African artists. Gift funds earmarked for publications were used to support a book to accompany the Museum's exhibition of Malagasy textiles.

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 2001 ACTUAL	505	43,350	14	3,096	30	9,374	8	1,826
FY 2002 ESTIMATE	514	43,419	16	2,834	33	11,428	7	2,462
FY 2003 ESTIMATE	514	44,982	20	2,342	33	25,137	8	2,163

ABSTRACT - 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. Opened in 1910, the Museum was the first Smithsonian building constructed exclusively to house collections and research facilities. Today, it is the largest Smithsonian museum and research unit and the most visited natural history museum in the world. With a team of hundreds of scientists, curators, fellows and research associates, NMNH is America's foremost institution for the study and investigation of the natural world and the human activities that influence it. NMNH scientists conduct research to increase understanding of the fundamental relationships of all living things, in laboratories and field settings in nearly every country in the world. At the center of NMNH research is the Museum's collection of more than 124 million natural science specimens, the largest of its kind. These collections form an unparalleled encyclopedia of the diversity of life on earth. NMNH collections are studied and utilized by researchers and educators throughout the world.

The rich tradition of NMNH research supports its exhibitions and educational outreach. As one of the most visited museums in the world, NMNH provides wide and diverse public audiences with exciting and authoritative presentations on every aspect of life on earth. Through its affiliations, 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, accessible to everyone with access to a computer terminal.

For FY 2003, the estimate includes an increase of \$1,563,000 for necessary pay for existing staff funded under this line item.

PROGRAM - Federal funding ensures that NMNH maintains its position of preeminence in research and public programs. Federal funding provides a base of support in four categories: exhibitions on the Mall and other venues across the country; education, including support for the Discovery Room, the O. Orkin Insect Zoo, and the Naturalist Center located in Loudon County, Virginia; collections and research, and administration.

Exhibitions - About 9 percent of S&E funding is allocated to exhibitions. The first priority in FY 2003 is the renovation and maintenance of the Museum's permanent halls, including the opening of the *Kenneth E. Behring Family Hall of Mammals* in October and the creation of the companion website, and the *Forces of Change* exhibition hall. The Museum's program of temporary exhibitions is supported by both federal and nonappropriated funds. Exhibitions in FY 2002 and FY 2003 include *Peter Rabbit's Garden*, *Mongolia Today*, *America's Wildest Places* (in conjunction with the Interior Department), and *Global Links* (in conjunction with NASA).

NMNH exhibitions and public programs reflect the Museum's commitment to education, particularly in the sciences. Federal funding ensures that the Museum's vigorous program of developing new high quality exhibitions will continue, and enables NMNH to make its exhibitions available to other U.S. and international institutions. The much-anticipated exhibition *Lewis and Clark* is being produced in part with federal resources. The award-winning NMNH traveling exhibition, *Vikings*, has been seen by millions of museum visitors in cities throughout the country. The effectiveness of NMNH exhibitions and presentations can be seen in its popularity as a family museum. In 2001, NMNH welcomed 9.1 million visitors.

Education - On-going education programs amount to about 3 percent of S&E funding. NMNH is the center of an extensive national/international network that includes traveling exhibitions, interactive electronic classrooms and field trips, and information websites.

Research and Collections - About 74 percent of S&E funding is used to support the Museum's collections and research functions. The quality of NMNH research depends on the ability to attract and retain the services of the most skilled scientists in a highly competitive market. S&E funding has made it possible for the Museum, through its staff, to contribute immeasurably to understanding the fundamentals of the dynamic environment, while helping to resolve contemporary societal issues.

The foundation of NMNH research is the Museum's collections, the most extensive and well documented in the world. Federal funding is essential to maintain and preserve NMNH collections for future generations while extracting important information to move science forward. Collections care projects in FY 2001 included the move of the National Anthropological Archives' collections into state-of-the-art storage at the Museum Support Center, ensuring they will continue to be available, especially for the study of indigenous peoples worldwide and America's diverse heritage. Insect collections, heavily used in the identification of invasive species, have been relocated into highly efficient storage systems in the new East Court Building. In FY 2001, the first phase was implemented of a multi-media collections catalog that makes the Museum's collections information immediately available to various constituents.

NMNH is a world leader and international center for research on earth and planetary sciences, systematics and phylogeny, evolutionary and human studies. These areas of study are consistent with the recommendations for the future path of U.S. science in recent reports issued by the President's Council on Science and Technology, the National Research Council, the National Academy of Sciences, and the National Science Foundation. The Museum staff includes experts in systematic biology, anthropology, mineral sciences, and paleobiology. This highly educated and skilled team is entrusted with protecting NMNH collections and also studying Museum specimens and communicating their findings to the public and policymakers.

On-going research that addresses current societal interests includes the study of the geological stability of the environs of Yucca Mountain, the proposed long-term nuclear repository; investigation of the binding properties and stability of manganese oxide, a naturally occurring chemical compound noted for its ability to affect heavy metals' ability to leach into ground water; human skeletal biology and skeletal identification; analysis of the chemical composition of the asteroid Eros 433, a nearby stellar body whose nature may reveal information about the formation of other stellar bodies; and the study of human effects on the world's coral reefs and near shore ecosystems, helpful to policymakers and planners.

Research results are communicated in a variety of ways, from publication of scholarly papers in scientific journals, lectures, university courses and training opportunities for rising scientists, to targeted workshops and lectures such as the forensic identification course provided to District of Columbia metropolitan police inspectors and crime scene investigators. As a world center for specimen-based study, NMNH hosted

more than 2400 research visitors in FY 2001 from 48 states and two territories in the U.S., as well as 65 countries.

NMNH is the world leader in the repatriation of human skeletal remains and cultural objects to Native peoples. Operating under the policy guidelines of the National Museum of the American Indian Act of 1989, NMNH has undertaken more repatriations on the behalf of Native American tribes than any other institution in the United States. The largest repatriation in the country of more than 1,300 individual remains and 15,000 cultural objects to the Three Affiliated Tribes of North Dakota will begin in 2002. Other repatriations are pending to Alaska, California, the Southwest, the Northwest, the Northeast, the Great Lakes and the Plains regions.

Administration - A total of 14 percent of available federal funding is allocated to support human resource and financial management, information technology, public affairs, and facilities management activities. NMNH administration strives to ensure a clean, safe, and effective workplace and public facility. Administrative support throughout the Museum is essential to the ability to carry out both NMNH's public mission and its research and collections responsibilities.

NON-APPROPRIATED RESOURCES - The Museum raises funds from private sources to support additional program and administrative functions, including special events to promote new exhibitions and educational initiatives, and public outreach through the news media. Donor/sponsor designated funds are critical in supporting exhibition hall renovation, such as the major gift to build the new *Kenneth E. Behring Family Hall of Mammals*. The Hunterdon endowment provides all operating support for the Smithsonian Marine Station in Fort Pierce, Florida. The endowment also supports research in the biodiversity, life histories, and ecology of marine organisms in the coastal waters of Florida by almost 50 scientists each year, including staff from NMNH and SERC and collaborators from universities across the country. Funding from the Rasmuson Foundation will support sharing of the Museum's Alaskan collections through public access, exhibitions, and indigenous partnerships. The Museum was awarded 56 competitive grants and contracts in FY 2001 totaling \$3.6 million to support research in a number of areas, many to enrich the information available on the Museum's valuable biological collections for use by other agencies, and to support education and exhibition projects.

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 2001 ACTUAL	304	21,058	5	1,068	10	4,250	5	703
FY 2002 ESTIMATE	311	21,902	3	984	16	4,290	5	682
FY 2003 ESTIMATE	334	24,275	3	904	12	2,396	3	700

ABSTRACT - The National Zoological Park (NZP) 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. Our mission is to study, celebrate, and help protect the diversity of animals and their habitats. The Zoo is a beautiful 167-acre urban park in the heart of Washington DC, and is home to a wonderfully diverse animal collection, ranging from hummingbirds to elephants. NZP brings its visitors close to the animals with innovative exhibits that stimulate natural behavior and provide well-being for the animals. NZP scientists work at the Zoo as well as at the 3,150-acre Conservation and Research Center in Front Royal, VA, and in the field.

For FY 2003, the estimate includes an increase of 23 FTEs and \$2,373,000. This amount includes increases of \$1,081,000 for mandatory costs associated with continuing the salaries and benefits for the additional security officers (25 FTEs) hired with the supplemental funds; 3 FTEs and \$493,000 for programmatic increases; and \$799,000 for necessary pay for existing staff funded in this line item. There is also a decrease of 5 FTEs associated with the proposal to fund construction management personnel in the Repair, Restoration and Alteration of Facilities (RR&A) account.

PROGRAM - Federal S&E funding supports NZP's programs in four general categories: exhibits, including live animals and plants; animal collections; research and education; and administration, including facilities and security, finance and information technology.

Exhibitions – A total of 23 percent of total S&E funding is allocated to exhibiting the animal and plant collections. This emphasis reflects NZP's commitment to providing outstanding educational experiences to its 3 million visitors a year. The giant pandas were a major attraction in 2001

and their appeal will continue to increase as they approach reproductive age. New exhibits for Mexican wolves and lemurs were opened in 2001, and the births at the Zoo included a Masai giraffe, Sumatran tiger, lowland gorilla, and Asian elephant. The 10-year Zoo Renewal Plan, launched in 2001, sets the stage for new and innovative exhibits that will replace some of its oldest areas, including the 1890's sloth bear area and the 1930's Elephant house. In FY 2002, with funding of \$26,000 and 1 FTE provided by Congress, the Zoo is hiring a curator for a new agricultural exhibit. The construction of this exhibit, called a Kids Farm and featuring contact opportunities with cows, donkeys and goats, will be completed in early 2003. Other new exhibits will feature homes for sloth bears, fishing cats, and red pandas, as well as an expanded giant panda habitat. A new elephant habitat is being developed to open in two phases beginning in 2005. Each of these revitalized exhibits is the focus of an interdisciplinary, broadly collaborative research and training program that increases scientific understanding and protection of these rare animals in the wild. The exhibits are planned to leave visitors with a deeper understanding and appreciation of these animals, as well as provide linkages to the vast but often invisible research strengths of the Smithsonian Institution.

Collections – Approximately 15 percent of total S&E funding is applied to this category for the keepers, curators, veterinary, pathology, registrar, and commissary staffs. Animals are central to the Zoo's mission and NZP maintains the highest standard of health care—including veterinary medicine—for the animals in the collection. Approximately 20 percent of NZP's total non-salary funds are spent in the collections category each year, and additional nonappropriated funds are necessary to meet all the animal collection needs. A large portion of these funds is used to purchase animal food, medicines, and animal management supplies.

Research and Education – About 10 percent of S&E funds support conservation, research, and education. Many of these program costs are also supported by private sources. In FY 2001, NZP scientists secured over \$3.3 million in grants to be applied to research projects over the next several years. NZP scientists produced over 70 peer-reviewed articles on topics as varied as veterinary care, small population management, reproductive technology, reintroduction, tropical agro-systems, and the management and monitoring of critical natural habitats. Achievements such as these have brought NZP worldwide recognition as a center for scientific excellence in veterinary medicine, reproductive biology, and conservation research. NZP scientists also conducted 12 professional training courses (serving 136 participants) in the U.S. and abroad. To provide the public with more and improved education and outreach without increasing funding, NZP will connect its ongoing research efforts at Rock Creek and

Front Royal with those of Smithsonian scientists working at other research centers, as well as in the field.

NZP is continuing to work with other zoos on animal reproduction issues. Such cooperation resulted in the birth of the male Asian elephant calf in December, 2001. To improve captive breeding of giant pandas, reproductive biologists will soon complete a three-year biomedical survey in Chinese zoos. Zoo scientists continue monitoring flagship species and threatened ecosystems, including desert tortoises in the Eastern Mojave Desert, Hawaiian birds, and Asian elephants in the evergreen forests of Southeast Asia. A combination of ground surveys, satellite imagery, and geographic information systems was used to assess one of the last intact grassland ecosystems in the world, the steppes of eastern Mongolia. The results will help in the Zoo's collaborative efforts to reintroduce Przewalski's horses to their native habitat in Mongolia.

NZP continues to expand interpretive exhibit programs and public education programs through the Friends of the National Zoo and to work with the Community Science Center in Washington DC, which NZP created to increase student interest in science and science careers. Science curricula development and science teacher training programs occur in Washington DC and in rural Virginia. Numerous courses in wildlife management and conservation leadership are given at NZP and in countries around the world.

Administration – The largest portion (52 percent) of total S&E funding is used to support facilities and security. Maintenance and security of facilities pose a major challenge to NZP, because of the physical size of the two NZP locations and the condition of the facilities. NZP has over one million square feet of facilities. The facilities earmarked for renovation under the new 10-year Zoo Renewal Plan include some of the oldest areas of the Zoo.

In FY 2002, the Zoo is receiving \$4,429,000 and 25 FTEs as part of the emergency supplemental (P.L. 107-117). These funds include \$406,000 to hire four temporary or seasonal officers and six fulltime permanent officers, to ensure sufficient manpower to allow internal and external patrols as well as the ability to handle emergencies; \$100,000 for 30 planters to be installed at various strategic locations to ensure no vehicles enter selected unauthorized locations; \$23,000 to purchase 50 Hazmat equipment units, to ensure essential police staff protection for evacuation of the public from the park and essential animal staff protection for securing and providing necessary animal care; \$260,000 for 4 x-ray machines to detect weapons, plastic explosives, and other illegal organic

and inorganic materials; \$500,000 for a public address system, to allow communication with the public within the park in the event of an emergency; \$300,000 for a comprehensive security plan to assist in the development of permanent security improvements; \$500,000 for additional fencing at the Rock Creek location; and \$1,665,000 for 15 magnetometers and 6 x-ray machines to screen visitors and \$675,000 for 15 additional officers to operate this equipment. The FY 2003 request includes \$1,081,000 in mandatory costs to continue the salaries and benefits funding in FY 2003 for the 25 security staff hired with the FY 2002 emergency supplemental funds.

Within administration, a total of 14 percent of S&E funding is directed toward budget and finance, information technology, and personnel and administrative support. NZP has continued to give priority to funding its exhibits and the other areas discussed above, but it must also address the requirements in these areas, which support every major division within the Zoo. The use of the latest information technology is critical to all parts of the NZP mission. An ever-growing NZP website features live coverage of unique Zoo events like the activities of the new giant pandas, the new tiger cub and the newly born elephant. NZP also uses information technology for animal collection inventories and monitoring of animal diet and medical histories.

EXPLANATION OF PROGRAM CHANGE – The Institution requests an increase of \$493,000 and 3 FTEs for the National Zoological Park for FY 2003.

An increase of \$175,000 is requested, as one-time funding, to continue security improvements which were begun with the FY 2002 emergency supplemental funding. The increase of \$175,000 will provide for pop-up barriers to be installed at the Zoo's Rock Creek location. These barriers are required in four locations where authorized vehicles are allowed to enter the exhibit area of the park. Pop-up barriers prevent unauthorized vehicles from penetrating into public areas, while allowing necessary vehicle access. The Smithsonian requests these funds as no-year.

Within the facilities category, the Institution requests 3 FTEs and \$318,000 to administer the Repair, Restoration and Alterations of facilities program at the National Zoological Park, and to strengthen overall the effectiveness of the Institution's facilities program. This increase is based on recommendations in the recent report of the National Academy of Public Administration. Three GS-13 architect/engineer positions are needed in order to provide effective oversight and management of the Institution's and the Zoo's expanded RR&A and maintenance programs. These positions

will ensure an appropriate level of design and construction project management and supervision of the Zoo's major revitalization projects and multiple minor renovation and repair projects at Rock Creek and the Conservation Research Center. Of the total amount requested, \$300,000 is for salaries and benefits for the 3 positions and \$18,000 is for other objects funding, including computers, furniture, and space costs.

At the same time, 5 existing FTEs are proposed for transfer to the RR&A account to provide enhanced management of the Zoo's RR&A projects. Bill language is proposed to authorize payment of salaries and benefits of these staff from project funds.

NONAPPROPRIATED RESOURCES - General trust funds support salaries and benefits of personnel, general support, fund raising, outreach, and acquisitions. Donor/sponsor designated funds support costs related to specific programs and projects, such as conservation, research, and training. Government grants and contracts support research. In addition, NZP education, visitor services, and volunteer programs are funded almost exclusively with nonappropriated funds. In addition, nonappropriated funds are being used increasingly to support animal collection needs such as exhibit supplies and animal medicine, as well as information technology needs including computer replacement and technical support of the NZP website.

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 2001 ACTUAL	119	20,389	100	12,954	15	2,750	287	66,710
FY 2002 ESTIMATE	123	20,546	100	12,859	15	4,503	287	71,100
FY 2003 ESTIMATE	123	21,121	100	12,859	15	4,431	287	71,100

ABSTRACT - The Smithsonian Astrophysical Observatory (SAO) conducts research to increase understanding of the origin and nature of the universe and to communicate this information through publications, teaching, and public presentations. Headquartered in Cambridge, Massachusetts, SAO is a member of the Harvard-Smithsonian Center for Astrophysics (CfA), along with the Harvard College Observatory. Observation facilities include the Fred Lawrence Whipple Observatory in Arizona, the Oak Ridge Observatory in Massachusetts, the Submillimeter Array under construction in Hawaii, a millimeter-wave radio telescope in Cambridge, and a small submillimeter telescope at the South Pole, as well as instruments launched into the atmosphere by balloons, and into space by rockets and spacecraft.

For FY 2003, the estimate includes an increase of \$575,000 for necessary pay for existing staff funded under this line item.

PROGRAM - SAO's federal funding provides a base of support for its research, educational programs, and related facilities, administrative, and program support. Direct federal appropriations also enable SAO to leverage its resources threefold through the securing of government and non-government contracts and grants and gifts.

Research - For FY 2003, research amounts to about 80 percent of the SAO appropriation. Internationally acknowledged for its pioneering work at the cutting edge of astronomy and astrophysics, the Smithsonian Astrophysical Observatory has maintained its leadership role through 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. SAO's contributions to the national scientific agenda are demonstrated, for example, by the fact that four of

the nineteen recommended national priorities in astronomy identified by the National Academy of Sciences for the next 10 years involve research in which SAO plays a major role. Further, 10 SAO scientists, including two active retirees, are members of the National Academy of Sciences. Scientists at SAO, as well as at other Smithsonian research institutes, are subject to rigorous review by national and international peers.

SAO continues to operate NASA's Chandra X-ray Observatory, which completed its second year of observations in FY 2001 with a series of widely reported results and discoveries. For example, during FY 2001, Chandra observations led to an enhanced understanding of black holes. Chandra took the deepest x-ray images ever and found the early universe likely to be teeming with black holes, probed the theoretical edge of a black hole known as the "event horizon," observed the x-ray afterglows of gamma ray bursts, and captured the first x-ray flare ever seen from the massive black hole in the center of the Milky Way. Chandra data also shed light on the distribution of dark matter and yielded the most accurate estimate to date of the amount of dark matter in galaxy clusters.

SAO also continued to operate NASA's Submillimeter Wave Astronomy Satellite (SWAS), a space telescope used to study the chemistry and dynamics of the interstellar gas clouds in the Milky Way galaxy. In FY 2001, SWAS observed massive amounts of water vapor surrounding an aging giant star about 500 light years from Earth. The SWAS observations provided the first evidence that extrasolar planetary systems contain water.

In FY 2001, SAO scientists discovered high-energy gamma-ray emissions from so-called "extreme" galaxies and created the first large-scale map of the galactic center using emissions from carbon monoxide molecules at submillimeter wavelengths. SAO scientists also set new limits on the amount of material in the outer reaches of the solar system by studying the diffuse light from Kuiper Belt Objects too small to be seen directly.

Solar scientists at SAO continued to study the electrically charged atoms (ions) that the sun expels into the solar system via the solar wind and coronal mass ejections. New observations from SAO's UltraViolet Coronagraph Spectrometer (UVCS) aboard the Solar and Heliospheric Observatory (SOHO) spacecraft allowed scientists to: (1) probe physical processes in the explosive coronal mass ejections that can have a strong impact on the Earth's local space environment, and (2) observe, for the first time, the properties of the sources of the high speed solar wind as these sources reform in conjunction with the sun's switch in magnetic polarity.

Education - Approximately 2 percent of S&E funds support SAO's educational activities. SAO's long-standing efforts in public education and outreach include development of science education curriculum materials for pre-college students and teachers using astronomy as a unifying theme; teacher training; development of a major elementary school hands-on science curriculum (ARIES) being adopted by school systems throughout the country; monthly Observatory Nights (in Cambridge) featuring a non-technical lecture and telescopic observing with similar programs offered twice a year specifically for children; a Visitors Center at the Whipple Observatory in Arizona; a public website with a broad and diverse selection of general astronomical information and specific program details on SAO projects; and the creation of video programming for, and operation of, the CPB/Annenberg TV Channel which provides continuous science education curriculum programming directly to schools and cable television systems throughout the United States.

Administration - Approximately 18 percent of SAO's S&E funding supports administrative costs. This includes rent of laboratory and office space in Massachusetts, Arizona, and Hawaii. Facilities staff are required at the Whipple Observatory in Arizona and Oak Ridge Observatory in Massachusetts. These funds also support information technology infrastructure, including the Computational Facility.

SAO's general administrative services, including accounting, contracting, library, personnel, and travel support, is funded by 2 percent of the S&E budget. Overhead recovered from contracts and grants covers the trust share of these expenses.

NONAPPROPRIATED RESOURCES - General trust funds provide some of the support for research, fellowships, and business expenses. Overhead from grants and contracts provide partial support for salaries and benefits of personnel and general operations.

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 2001 ACTUAL	28	3,226	0	-22	0	35	1	37
FY 2002 ESTIMATE	29	3,357	0	159	0	84	0	15
FY 2003 ESTIMATE	29	3,460	0	13	0	10	0	0

ABSTRACT - 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.

For FY 2003, the estimate includes an increase of \$103,000 for necessary pay for existing staff funded in this line item.

PROGRAM - Federal S&E funding supports SCMRE's programs in five general categories: materials research; education and outreach programs; exhibitions; technical and analytical support to collections care and maintenance in Smithsonian museums; and administration.

Research – Of SCMRE's federal S&E funds, more than 50 percent are allocated to materials research on museum collection items and related cultural materials. SCMRE's expertise in the area of research on the deterioration and preservation-related properties of materials is internationally known. It plans to expand its efforts on improved preservation methods for natural history collections. The Art-in-Transit project combines sophisticated computer modeling and measurements of materials properties to evaluate risks of damage due to shocks, vibrations, and changes in temperature and humidity for objects on travel, and to develop mitigation methodologies. For the immediate future, the laboratory will continue to emphasize the study of Hispanic and Native American material culture during the colonization of the southern and western United States. New equipment has been installed to allow expanded analytical work on materials previously difficult to characterize chemically.

Education - Approximately 21 percent of SCMRE's federal S&E funding is allocated to education. Its mission includes extensive education for conservators and other museum professionals; it provides advanced technical training courses for conservation and collection management professionals, with emphasis on courses that can be provided nationwide. The technical information program handles around 1,000 information requests annually. The redesigned website is crucial in distributing this and related information to public and professional audiences.

Exhibitions - As part of its outreach activities, SCMRE organizes exhibits that center on the interdisciplinary application of scientific methodologies in studies of cultural materials. Federal S&E support to this program in FY 2002 is about 2 percent. Sponsorship and contributions by partner institutions make up the major part of the funding to produce and organize these exhibits. The highly successful exhibit *Santos: Substance & Soul* will have its final venue in San Juan, Puerto Rico, in FY 2002. Also in FY 2002, SCMRE will develop several smaller exhibits resulting from the work on material culture associated with the period of Spanish missionization in the western and southern United States.

Collections - SCMRE's technical support staff continue to provide analytical and technical assistance to conservation and curatorial staff in Smithsonian museums and occasionally for the larger museum community and government agencies. Although most Smithsonian museums have in-house conservation staffs, SCMRE provides sophisticated instrumentation and specialized scientific staff needed to support the conservation efforts in each museum. In FY 2001, SCMRE performed more than 530 analyses for Smithsonian museums. Support to other agencies included the conservation of the Congressional Mace and consultation in the decontamination of the Hart Senate Office building. For FY 2002, about 10 percent of federal S&E funds are for salaries, supplies, and maintenance of scientific equipment in the collections category.

Administration – About 16 percent of federal S&E support is allocated to administrative support. This includes information technology for SCMRE programs, network and platform maintenance, and provision of office infrastructure support, as well as finance and administration.

NONAPPROPRIATED RESOURCES - General trust funds provide support for research and education activities. Donor/sponsor designated funds and grants provide support for costs related to specific programs and projects in research, education, and outreach.

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 2001 ACTUAL	41	3,332	3	439	5	744	31	2,673
FY 2002 ESTIMATE	41	3,391	6	521	5	441	34	2,700
FY 2003 ESTIMATE	41	3,510	6	546	1	450	35	2,700

ABSTRACT – The Smithsonian Environmental Research Center (SERC) conducts research on the ecological dynamics of estuaries and coastal systems and human impact on the environment. Using as a base its core site on the Chesapeake Bay, the staff undertakes comparative research at sites across the U.S. and abroad. Research findings are communicated to diverse regional and national audiences through a variety of public educational and professional training programs.

For FY 2003, the estimate includes an increase of \$119,000 for necessary pay for existing staff funded under this line item.

PROGRAM – SERC's S&E funding supports research and education programs and administrative support. More than 70 percent of the world's population resides in the coastal zone, and the interactions between humans and their environment in this area have increasingly profound effects on sustainability, ecosystem integrity, economics, public health, and societal productivity. SERC has four major unique features. Its unique position at the land-water margin of the nation's largest estuary, the Chesapeake Bay, allows its staff and hundreds of visiting scientists to investigate interconnections of aquatic, terrestrial, and atmospheric components of complex landscapes. For improved stewardship of the biosphere, SERC's research provides data, publications, and expert consultation to support conservation, environmental policy, and natural resources management. Working collaboratively with other scientists, SERC also trains future generations of scientists to address significant environmental issues. SERC's public education programs provide an authoritative voice on both the process of research and the delineation of important environmental issues.

Research – About 65 percent of S&E funding supports research. SERC has published more than 1,000 papers on ecological dynamics and human interaction with the environment, and conducts a diverse array of research programs throughout the world. The value and excellence of SERC research is demonstrated by the 48 external competitive grants and contracts totaling more than \$21 million over several fiscal years.

SERC is the national center for the analysis of invasive species in marine and estuarine ecosystems. SERC's program includes the National Ballast Water Information Clearinghouse, which reports nationwide patterns of ballast water delivery and management to Congress. SERC's Invasions Biology Program and measures invasion patterns through nationwide field surveys of all U.S. coastal states, and develops a national database that also links species data for freshwater habitats. This program also assesses the magnitude and consequences of pathogenic microorganisms transferred by ships to U.S. coastal waters.

Research continues in Maryland and Florida on the effects of increased atmospheric carbon dioxide on plant growth. Research continues in Maryland, Hawaii, Antarctica, and 20 other sites across the U.S. on the impact of ultraviolet (UV) solar radiation on the earth's surface. SERC's analysis of changes in biogeochemical cycles of carbon and nitrogen provide data and mechanisms for global economic models.

SERC is an international leader in landscape ecology and the study of land-use effects on watershed discharges of nutrients. Research data provide solutions to the challenges associated with coastal development. SERC's program demonstrates the crucial role of waterside forests and wetlands in controlling nutrient discharges. SERC's watershed program has the longest record of acid rain for the mid-Atlantic region and relates precipitation inputs to watershed discharges.

SERC conducts an integrative program of estuarine research on plankton production and water quality, as well as food-web dynamics. SERC scientists direct the country's most comprehensive program on blue crab ecology, providing consultation to fishery managers in Maryland and other states along the east and Gulf coasts. As part of the 2001 international conference of the Estuarine Research Federation, SERC organized a major symposium on Florida's Indian River Lagoon.

Education – About 2 percent of S&E funding supports education, which SERC conducts on both a regional and national level. In FY 2001, approximately 10,000 visitors came to SERC to participate in public programs. More than 8,000 students from Washington DC schools visited

SERC's traveling exhibition, *Tales of the Blue Crab*, while it was on display at the National Aquarium. SERC expanded its educational outreach by developing a Distance Learning Program that links scientists to schools across the country. An array of videoconferences and electronic field trips are offered nationwide to students through partnerships with Schenectady, New York, Public Schools and Indiana's Ball State University, including estuarine ecosystems, bird ecology, and watershed-landscape connections. *Where the River Meets the Sea* is the first of four electronic field trips featuring SERC scientists and educators. These field trips will air in April 2002 via satellite and will be transmitted over the Web simultaneously to millions of students in schools across the U.S.

SERC, in collaboration with the Sierra Club, broadcasts a series of daily one-minute radio spots on environmental topics relative to the Chesapeake region, via *Watershed Radio* station. SERC also produces a website supporting *Watershed Radio*, and over 32,000 hits per month are received. Workshops for teachers provided scientific training, continuing education, and environmental curriculum through a combination of activities. Over 1,000 adults per year are educated through SERC's evening series seminars and lectures on current environmental issues.

In FY 2001, SERC provided internships for 54 university students and sponsored more than 30 graduate and postdoctoral students. SERC hosted more than 450 visiting scientists and natural resource managers from around the world to gain information about research methods. SERC scientists and students presented more than 350 seminars and lectures at workshops and conferences.

Administration – About 33 percent of S&E funds support administrative costs, including general program management oversight, facility maintenance, procurement, human resources, and information technology, all in support of SERC's research programs.

NONAPPROPRIATED RESOURCES - General trust funds provide support for fundraising and intern/fellowship programs. Donor/sponsor designated funds provide critical operating support related to specific programs and projects in research, public education, and professional training. The bulk of SERC's research programs are supported by government grants and contracts.

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 2001 ACTUAL	242	10,957	20	1,348	28	1,879	14	1,373
FY 2002 ESTIMATE	242	10,691	9	827	23	3,930	12	1,500
FY 2003 ESTIMATE	242	11,029	8	807	29	2,125	10	1,000

ABSTRACT - The Smithsonian Tropical Research Institute (STRI) is the world's leading institute for research devoted to increasing our understanding of the past, present, and future of tropical biodiversity. STRI fulfills its mission through long-term studies by its resident scientific staff, by supporting research facilities in the Republic of Panama, and via collaborations in scientifically strategic sites throughout the tropics. STRI's research stations and laboratories serve more than 600 scientists and students annually, representing institutions and nations from around the globe. As manager of the Barro Colorado Nature Monument under international agreements with the Republic of Panama, STRI protects this scientific reserve, which has served as a tropical outdoor laboratory for U.S. scientists and students since 1923. STRI also contributes through its research/training program to training the next generation in its specialized areas of research, and communicates research results in over 200 annual publications and on its website.

For FY 2003, the estimate includes an increase of \$338,000 for necessary pay for existing staff funded under this line item.

PROGRAM - Federal S&E funding supports STRI's programs in three categories: research; education, which includes visitor services and public outreach; and administration, which includes facilities, security, and information technology.

Research - Approximately 50 percent of STRI's S&E funding supports research, its principal mission. The Institute's scientific community produces more than 200 annual scientific publications in peer-reviewed journals; in FY 2001, 16 of these were in the most competitive scientific journals, *Science* and *Nature*. These publications discussed topics that ranged from understanding coral bleaching and measuring past biodiversity,

to the future of the Amazon rain forests and the effects of overfishing on coastal environments. The work of STRI scientists includes research on paleoecology and archaeology, which allows us to understand the impact of the rise of the Isthmus of Panama five million years ago, when it began to act as a bridge between North and South America and a barrier between the Caribbean and the Pacific Ocean. The location of STRI in Panama provides easy access to coastal and marine environments in two oceans and enables staff to make comparisons of the evolution of marine organisms and to reconstruct their history. Long-term analyses of the responses of coral reefs to El Niño and climate change. Another important area of work is related to the ecology of tropical forests, which are home to more than half of the world's species. STRI's Center for Tropical Forest Science has established a network of long-term and large-scale forest-monitoring plots in 13 tropical countries, where staff monitor more than three million trees representing 10 percent of all known tree species in the tropics. The long-term studies on the impact of fragmentation on tropical forests are providing insights into the responses of tropical plants and animals to habitat change, with implications critical to forest management, conservation, and to understanding the impact of global climate change on forests and tropical ecosystems.

Education - About 3 percent of STRI's S&E funding supports education activities. The research productivity of STRI's permanent scientific staff is augmented by the work of scientists and students from international academic/research institutions—representing 32 nations, 39 states and 88 U.S. institutions—who used its facilities in Panama during FY 2001. During the same period, the Institute provided research training to 80 young men and women. STRI is collaborating also with the National Zoological Park to present STRI research to visitors to the NZP's Amazonia exhibit and through electronic media.

STRI is also strengthening its communication and public outreach efforts to reach its audiences through a more effective use of its website, public lectures, and publications aimed at nonscientific audiences.

Administration - About 47 percent of STRI's S&E funding supports administrative functions, including facilities and security, information technology, and general administration.

STRI maintains a network of research sites for use by its permanent staff, visiting scientists, and students. These include a leading research library for tropical studies, a unique two-ocean marine program with well-equipped research laboratories on the Pacific and Caribbean coasts, a marine research vessel, and molecular research facilities. The Institute

pioneered the use of a modified construction crane in Panama to study the previously inaccessible forest canopy; this research tool is now replicated in the U.S., Japan, and Australia. Today, STRI is the largest U.S. presence in the Republic of Panama since the reversion of the Panama Canal on December 31, 1999. The Institute has the responsibility for protecting the 13,700 acres of the Barro Colorado Nature Monument for long-term studies by the international scientific community.

To effectively support a modern research operation in various geographic locations requires a modern administrative and logistical support network. One area that STRI seeks to modernize for administrative and research applications is information technology. The Institute has received donor support to initiate an innovative automated telemetry system to monitor animal populations on Barro Colorado with collaborators from U.S. private industry and research and academic institutions.

NONAPPROPRIATED RESOURCES - General trust funds support salaries and benefits of personnel in development and education. Donor/sponsor funds primarily support specific programs and projects in research, research training (fellowships, internships, graduate training), and outreach. Government grants and contracts support STRI's research function; one example is a project that uses ecological principles and knowledge to guide the collection of samples from tropical plants, insects, and fungi that may have active compounds for drug development against cancer, HIV, malaria, and agricultural pests. Another contract supports work on the Panama Canal watershed that includes biological, archeological, and hydrological research, which is essential for effective watershed management and the long-term operations of the Panama Canal.

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 2001 ACTUAL	86	7,380	35	5,427	8	2,583	4	1,587
FY 2002 ESTIMATE	89	8,123	46	4,267	11	3,642	3	2,289
FY 2003 ESTIMATE	89	8,383	46	3,814	12	2,935	3	1,490

ABSTRACT - Through a coordinated national outreach program, the Institution plans to expand the presence of the Smithsonian Institution across the nation and expose the entire country to the rich heritage of the American people. This national outreach effort will greatly expand roles for 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 the Smithsonian Affiliations (SA). The Smithsonian Associates, 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, and Smithsonian Institution Press (SIP).

For FY 2003, the estimate includes an increase of \$260,000 for necessary pay for existing staff funded under this line item.

PROGRAM - The national outreach program enables the Institution to support community-based cultural and educational organizations around the country; ensures a vital, recurring, and high-impact Smithsonian presence in all 50 states; increases connections between the Institution and targeted audiences (African American, Asian American, Latino, Native American, and new American); and provides kindergarten through college age museum education and outreach opportunities.

In terms of functional areas, the programs under Outreach support exhibitions (47 percent); education (25 percent); research (11 percent); and administrative support (17 percent).

Smithsonian Institution Traveling Exhibition Service - SITES circulates exhibitions to cities and towns across America. Every year, nearly five

million people take advantage of these programs by visiting SITES shows in their own local museums, science centers, libraries, historical societies, zoos, aquariums, municipal buildings, and schools. The exhibitions, which reach as many rural communities as large cities, feature collections and research findings from every Smithsonian museum. For many, SITES exhibitions are once-in-a-lifetime opportunities to experience the scope and vitality of the Smithsonian firsthand.

The FY 2002 program funds creation of two new *Museum on Main Street (MoMS)* exhibitions and the development of 11 Smithsonian Sampler exhibitions. The FY 2003 base includes \$500,000 to continue the *MoMS* program. Both of the new *MoMS* exhibitions, *Key Ingredients* and *America, America!*, will circulate in multiple copies to continue reaching 150 new communities in 12 states during FY 2003. To date, exhibitions in the *MoMS* program have reached 250 rural towns in 31 states. The Smithsonian Sampler exhibitions underscore the Smithsonian's place as keeper of the nation's legacy. In FY 2002, *Lunch Box Memories* and *From Turbines to Tupperware*, will highlight the Institution's legendary collections of everyday items. Other FY 2002 exhibitions—*The American Presidency*, *First Ladies*, *African Americans in the Military*, and *American Indian Code Talkers*—will pay tribute to those who have guided and guarded the nation; and the exhibitions *What is a Fossil?*, *Caves*, and *The Giant Pandas* will explore three leading areas of Smithsonian expertise in the sciences. Planned exhibitions for FY 2003 include *Civil War Legacies*, *Kiowa Indian Cradles*, *A century of Flight*, and *Monsters, Myths, and Minerals*.

A SITES priority in FY 2003 is to secure private sector funding to create a mobile museum exhibition of American history treasures. At a time when Americans are seeking more than ever to connect with a shared history and heritage, SITES is committed to creating a new way of bringing the Smithsonian to the public outside of the traditional museum setting.

Smithsonian Center for Education and Museum Studies - The Smithsonian Center for Education and Museum Studies is the Institution's leader in museum education. The Center develops programs, writes publications, and researches effective museum practices. These ideas are used to enhance visits to the Smithsonian and to museums and other cultural institutions across the United States. The Center's initiatives increase the Smithsonian's public impact through national outreach.

In FY 2002 and 2003, SCEMS will continue to produce publications, websites, and programs for education and museum communities nationwide with an emphasis on developing national outreach programs. The Center will continue to publish curriculum-related materials for teachers in

collaboration with national organizations such as the College Board, U.S. Department of Education, and the National Writing Project. These publications will be supported with professional development workshops in Washington, DC, and across the nation. The Center will also publish a resource guide to educational products, websites, and distance-learning opportunities at the Smithsonian.

As part of the continuing effort to enhance public impact, SCEMS will begin distributing publications in FY 2003 to every elementary and middle school library to increase readership, awareness, and use of Smithsonian resources. Teacher workshops will model how to use these resources in the classroom.

Finally, SCEMS will continue to produce the Institution's central education website—currently serving more than a million visitors a year—which includes a searchable database, unique sites such as *Smithsonian Kids Collecting*, and links to all Smithsonian units with educational resources. In FY 2002 and FY 2003, website enhancements will include improved navigation, added features, and increased services.

Smithsonian Affiliations – The Smithsonian Affiliations (SA) program establishes long-term, collaborative relationships with museums and cultural organizations throughout the nation to maximize the cultural and educational benefits that both the Smithsonian and the affiliate museums can impart to local communities. Currently there are 92 affiliated organizations in 30 states and the District of Columbia, Puerto Rico, and Panama. The SA has three primary goals: to establish an affiliate presence in all 50 states; to develop and fund the Smithsonian Affiliations Internship and Fellowship programs, providing educational opportunities more accessible to the affiliate community; and to streamline the affiliations process for obtaining loans of Smithsonian collections in a cost effective and timely manner. A small federal base supports the 2 federal positions that carry out SA's administrative functions.

Smithsonian Institution Press – The Smithsonian Institution Press produces and disseminates the highest quality scholarship and research to academic and educated lay readers by publishing books related to the research and collections strengths of the Smithsonian Institution (American studies, air and space studies, anthropology and archaeology, the natural sciences, and museum studies). During fiscal year 2001, books of particular note included *Inside Pitch: Life in Professional Baseball*; *Moon Lander: How We Developed the Apollo Lunar Module*; *Primate Taxonomy*; *The Museum in Transition: A Philosophical Perspective*; *Feasts: Archaeological and Ethnographic Perspectives on Food*; *Politics, and Power*; and *Legacies*:

Collecting America's History at the Smithsonian. Planned publications in FY 2002 and FY 2003 include *The Smithsonian Book of Giant Pandas*; *Odyssey in Print: Adventures in the Smithsonian Libraries*; *Cool Comfort: America's Romance with Air-Conditioning*; *The Natural History of the Rocky Mountains*; and *Lewis & Clark: One Land – Many Visions*.

National Science Resources Center - The National Science Resources Center (NSRC) of the Smithsonian Institution and The National Academies are working together to improve K-12 science education by significantly increasing the number of students having access to quality K-12 science education programs. School districts serving 15 percent of the nation's student population are implementing science education programs using the NSRC's K-8 science curriculum units and employing best practices the NSRC disseminates through its outreach programs held throughout the United States.

Office of Fellowships - The Office of Fellowships manages the Institution's active fellowship and internship programs and approves all stipend appointments. One of the Office's primary objectives is to facilitate the Smithsonian's scholarly interactions with students and scholars at universities, museums, and other research institutions around the world. The fellowship programs, such as the Latino Studies Fellowship Program and the Smithsonian Institution Fellowship Program, provide students and scholars with opportunities to pursue independent research projects in association with members of the Smithsonian professional research staff. The internship programs, such as the Minority Internships and Native American internships, are prearranged, structured learning experiences that are relevant both to the interns' academic and professional goals and to research and museum activities of the Institution.

NONAPPROPRIATED RESOURCES - General trust funds provide support to defray the costs of staff salaries and benefits, fundraising, exhibition design and production, publications, materials, outside specialists, and contractual services. Donor/sponsored designated funds provide support for costs related to specific projects and programs.

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 2001 ACTUAL	17	1,537	35	3,075	0	461	0	0
FY 2002 ESTIMATE	16	1,617	20	2,944	0	243	0	25
FY 2003 ESTIMATE	15	1,356	20	2,916	0	66	0	0

ABSTRACT - The Smithsonian's communications programs promote the building of academic, scholarly, and community-based ties with the public and institutions throughout the nation. This line item includes the Office of Public Affairs and the Visitor Information and Associates' Reception Center, both part of the Institution's Office of Communications.

For FY 2003, the estimate includes a net decrease of 1 FTE and \$261,000, including non-recurring costs of 1 FTE and \$299,000 and one FTE, discussed under the Non-recurring costs section of this justification; and an increase of \$38,000 for necessary pay for existing staff funded in this line item.

The Communications programs support exhibitions and education (35 percent) and administration (65 percent).

PROGRAM - Office of Public Affairs (OPA) – OPA initiates and coordinates the Institution's public relations; publishes brochures and other publications for the public, museum visitors and Smithsonian staff; and coordinates advertising and promotional programs for the museums and research centers. The office operates a Web site for journalists and produces a monthly full-page advertisement in *The Washington Post* on events and exhibitions. Publications issued by OPA include an Institution-wide general visitor information brochure in a number of languages; a brochure on *African American Heritage at the Smithsonian*; a quarterly newsletter, *Research Reports*; the monthly employee newspaper, *The Torch*; and a biweekly staff newsletter with administrative items. OPA also administers the Smithsonian's Visual Identity Program and its system of logos, and in conjunction with Smithsonian Institution Press, the office produces the annual report, *Smithsonian Year*.

Visitor Information and Associates' Reception Center (VIARC) - 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. As a central support organization and the principal contact point for information about the Institution, VIARC's work is carried out through: the Internet; the Smithsonian Information Center; 14 Museum information/member reception desks; response services for public and member mail, telephone, and electronic inquiries; outreach to the tourism industry; outdoor way-finding stations; and two large volunteer programs that provide primary support for the Institution's public information activities and for staff project assistance behind the scenes.

During FY 2001, more than 11 million visitors were served in the Smithsonian Information Center; 1,145 behind-the-scenes volunteers were active across the Institution and 647 volunteer information specialists staffed museum information desks in 13 buildings and answered the Smithsonian's public inquiry phone lines.

NONAPPROPRIATED RESOURCES - General trust funds provide support for salaries and benefits of personnel and other related costs. In addition, these funds provide general support for information dissemination, outreach, publications, and general operations. Donor/sponsor designated funds support costs related to specific programs and projects.

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 2001 ACTUAL	0	5,835	0	0	0	0	0	0
FY 2002 ESTIMATE	0	5,506	0	0	0	0	0	0
FY 2003 ESTIMATE	0	6,006	0	0	0	0	0	0

ABSTRACT - As part of the restructuring plan reviewed and approved by Congress in 1993, the Smithsonian reallocated funds to create two Institution-wide funding programs: one supports the units' needs to replace, upgrade, and acquire new research equipment; the other enables the myriad of information technology needs across the Institution to be addressed systematically. In FY 1995, the Institution first received funds to support the development of a third Institution-wide program for Latino initiatives. These funds are important to meet the on-going need to acquire state-of-the-art research equipment, continue to improve the Institution's information infrastructure and systems, and increase Latino research, collections acquisitions, exhibitions, and educational programming.

For FY 2003, the estimate includes an increase of \$500,000 for the Information Resources Management pool.

PROGRAM - Institution-wide programs consist of the following pools and fund: Latino Initiatives pool; Research Equipment pool; and Information Resources Management (IRM) pool, which includes Collections Information Systems (CIS) funding. These pools support exhibitions (17 percent), research (28 percent), and information technology (55 percent).

Latino Initiatives - The Institution has \$996,000 in its base to support exhibitions, research, collections acquisitions, and educational programming that illuminate and highlight Latino contributions to America and permit a wider sharing of Latino accomplishments in the sciences, humanities, and performing arts. 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.

Two examples of projects funded by the Latino Initiatives pool in FY 2001 are *Art Night 2001*, a program including lectures, musical and dance performances, and art-related activities that focused on modern and contemporary art created by Hispanic, Latin American and Latino artists; and *Stamps with Personality: Roberto Clemente*, a biographical exhibition of the life and accomplishments of this American athlete.

Research Equipment – Since its inception in 1994, the research equipment pool continues to be the most important resource available 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. Over the years, the unit directors of the museums and research centers have determined the most effective application of these funds, with review by the appropriate Under Secretaries to meet the highest priority needs.

Some examples of major purchases and benefits derived during FY 2001 include:

- To determine which dyes were used in the Star Spangled Banner without the need to destroy the original material, the National Museum of American History purchased a spectrophotometer to calculate the spectral measurements of the color in the flag. The machine also determines the success of the cleaning treatment and establishes a baseline for monitoring the changes to this national icon during exhibition.
- The National Zoological Park was able to update the x-ray equipment used daily by the staff at the veterinary hospital for the Rock Creek Park facility. This equipment is critical for animal health care at the Zoo. In addition, micro-centrifuges used in semen preparation and storage were purchased. This process is the first step in successful artificial insemination, which has been used by NZP's reproductive team to produce a number of endangered species, including black-footed ferrets, cheetahs, and the new Asian elephant calf.
- The Smithsonian Astrophysical Observatory obtained equipment that allows them to stop and restart pulses of light passing through clouds of atoms. This widely heralded achievement is accomplished by exploiting the rules of quantum mechanics, which govern the behavior of matter and energy at the atomic scale. Recent theoretical advances indicate

that the ability to stop and restart light could be a technical cornerstone of the ultimate information revolution.

- The National Portrait Gallery acquired computer equipment for infrared, x-ray and digital cameras, and film scanners. The equipment allows for instant imaging capability for objects in the collections; and treatment reports by NPG conservators.

Information Resources Management – In FY 2001, base resources for the IRM pool and for CIS funds supported an Institution-wide network, various automated resource management systems, collections information systems and related imaging projects, as well as software application development and upgrades. A portion of the program provided infrastructure for Web programming to extend the Smithsonian's presence electronically across the nation. In FY 2002, IRM pool funds will be used to support the development and enhancement of Collections Information Systems (\$958,000), the Institution's centralized financial and human resource management system (Enterprise Resource Planning) project (\$1,000,000), and the Managed Information Technology infrastructure (\$846,000). The entire amount of non-CIS IRM pool funds will be dedicated to these latter two projects in FY 2003 and subsequent years.

EXPLANATION OF PROGRAM CHANGE – The Institution requests an increase of \$500,000 in FY 2003 for the Information Resources Management pool. These funds will be used for priority information technology requirements of Smithsonian museums, research institutes and offices. The Smithsonian is becoming increasingly reliant on information technology to perform administrative and program support functions. Over the past several years, the Smithsonian has been digitizing its collections, archives, library, and research information and migrating its legacy collection information systems to commercial software products. Smithsonian units plan to leverage information technology to expand exhibition and education programming, and expand Web offerings to bring museum experiences to the broader public. With additional funding, support will be provided for the operation and maintenance of current collection systems, as well as to help the Smithsonian meet new demands for information technology products and services. The increased funding will also enhance existing systems by adding new capabilities to help manage collections, improve exhibits, and diffuse information through the Web.

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 2001 ACTUAL	33	2,383	2	108	1	31	0	0
FY 2002 ESTIMATE	35	2,494	2	133	0	0	0	0
FY 2003 ESTIMATE	35	2,588	1	96	0	15	0	0

ABSTRACT - The Office of Exhibits Central (OEC) is the Smithsonian Institution's most comprehensive exhibit producer. OEC is expert in the specialized needs of traveling, temporary, and permanent exhibitions. OEC also provides services in concept development, project management, prototyping, and installations. In addition, OEC is very committed to providing training programs and internship initiatives.

For FY 2003, the estimate includes an increase of \$94,000 for necessary pay for existing staff funded under this line item.

PROGRAM - As the Smithsonian's most comprehensive exhibition producer, OEC is completely aligned with the Institution's goals of public impact and national outreach. More than 95 percent of OEC's federal budget supports the compensation of OEC's staff. Each year, OEC staff specializing in design, editing, graphics, fabrication, model making, and administrative support services provide a wide variety of exhibition services for 150 projects, both large and small, to clients across the Smithsonian. The small remaining budget supports other operating expenses.

Exhibitions – About 90 percent of OEC's funds are for exhibitions. As in past years, the Smithsonian Institution Traveling Exhibition Services (SITES) was OEC's largest client. Of the six exhibitions that were designed, edited, and produced for SITES, the *Yesterday's Tomorrows* and the *Burgess Shale* exhibitions were very large projects. Other exhibitions included the *Small Wonder*; *American Garden Legacy*; *Out of Time*; and *Vietnam: The Land We Never Knew*. As in the past, OEC also provided extensive exhibition dispersal and refurbishment services for the many SITES exhibitions traveling throughout the United States, several of which are included in the *Museum on Main Street* program.

Another major traveling exhibition, *Looking Both Ways*, was designed and produced for the Center for Arctic Studies of the National Museum of Natural History and will travel throughout Alaska. OEC also provided exhibit services for the *Exploring the Universe* exhibition for the National Air and Space Museum, the *Santos* exhibition for the Center for Latino Initiatives and the Smithsonian Center for Materials Research and Education, and several exhibits installed in New York: the *Voyages* exhibition designed and produced for SI Libraries, and the *Craft and the Creative Process*, *Treasures From the Archives*, and *Artists in Their Studios* exhibitions for the Archives of American Art.

A new area of focus for FY 2003 and beyond will be the establishment of a project management office to designate a clear line of authority and enhance communications throughout the exhibition production process, as well as to facilitate the outsourcing of exhibition production services when OEC staff are unavailable due to other commitments.

To further align OEC with the Institution's national outreach goals, OEC will expand its expert installation services within the Smithsonian. Programs will include SITES, SI Affiliations, and other Smithsonian units. Another major initiative will be providing several major training programs for entry-level staff of the National Museum of the American Indian and the Center for Latino Initiatives.

Administration – The remaining ten percent of OEC's funds are for a small administrative staff who provide support to the exhibitions staff in the areas of human resources, finance, procurement, and general office management. The main focus of the administrative staff has been to streamline data collection and its use as a management tool in exhibit-related activities. For example, an online timekeeping system is being developed to track hours spent by exhibit staff on various projects.

NONAPPROPRIATED RESOURCES – General trust funds provide support for salaries and benefits of personnel and associated costs.

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 2001 ACTUAL	0	7,032	0	0	0	0	0	0
FY 2002 ESTIMATE	0	6,229	0	0	0	0	0	0
FY 2003 ESTIMATE	0	5,000	0	0	0	0	0	0

ABSTRACT - The Major Scientific Instrumentation line item provides multi-year funding for the development of large-scale instrumentation projects to enable Smithsonian scientists to remain at the forefront of their fields. Currently funded through this line item are two projects for the Smithsonian Astrophysical Observatory (SAO): the development of an array of submillimeter telescopes, and conversion of the Multiple Mirror Telescope (MMT). 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.

For FY 2003, the estimate includes a net decrease of \$1,229,000, including \$500,000 for the Multiple Mirror Telescope conversion and \$729,000 for the submillimeter array. These reductions are discussed further in the Non-recurring costs section of this budget.

PROGRAM – The FY 2003 request will be used entirely to support research.

Construction of an Array of Submillimeter Wavelength Telescopes - The last frontier of ground-based astronomy consists of observing the skies with telescopes sensitive to submillimeter waves—light with wavelengths between those of infrared and radio waves. Since FY 1992, SAO has been designing and constructing components for its submillimeter array (SMA) of moveable antennas on Mauna Kea in Hawaii. In 1994, SAO was joined in this project by the Academia Sinica Institute of Astronomy and Astrophysics (ASIAA), Taiwan. The SMA, with its unprecedented ability to resolve fine spatial details, will enable SAO scientists to play a major role in understanding the processes by which stars and planets form and the mechanisms that generate the prodigious amounts of energy spewing from

quasars and active galaxies. Five antennas were operational in September 2001, with construction of the remaining three scheduled for completion by early 2003. Funds are requested in FY 2003 to meet the specification for sensitivity by increasing the bandwidth from 300 MHz to 2,000 MHz, and to equip the last three antennas with receivers at 690 GHz. When fully operational, the eight-antenna SMA will be a major scientific instrument of international stature, unique in the world in its combination of wavelength coverage and resolving power.

Conversion of the Multiple Mirror Telescope - When dedicated in 1979, the original Multiple Mirror Telescope (MMT) represented a radical departure in telescope design and was the third largest telescope in the world, utilizing six 1.8-meter telescope mirrors in a single altitude-azimuth mount. With the development of the technology by the late 1980s to cast larger mirrors, SAO, in partnership with the University of Arizona, undertook the conversion of the MMT to a single 6.5-meter mirror instrument to effectively increase its light-collecting power by more than 2.5 times and allow it to view an area of the sky more than 400 times larger, thus permitting large-scale surveys of faint objects in deep space. The new mirror was installed in March 1999 and the MMT resumed operation in May 2000.

Base funding of \$2,500,000 in this line item will enable SAO to continue to develop the new instruments necessary to fully utilize the capabilities of the converted MMT. During FY 2003, SAO intends to continue the development of two powerful wide-field spectrographs: Binospec, which operates at optical wavelengths and FLAMINGOS, which operates at infrared wavelengths. Their sophisticated optical designs allow simultaneous study of many faint stars in our galaxy or of many distant galaxies at the limits of the observable universe. These observations will address fundamental questions of origins, from the birth of stars in our galaxy to the formation and early evolution of distant galaxies.

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 2001 ACTUAL	42	3,575	0	0	0	0	0	0
FY 2002 ESTIMATE	45	3,074	0	0	0	1	0	0
FY 2003 ESTIMATE	45	2,469	0	5	0	0	0	0

ABSTRACT - The Museum Support Center (MSC) provides for scientific research, conservation, and collections storage in a specially equipped and environmentally controlled facility located in Suitland, Maryland.

For FY 2003, the estimate includes a decrease of \$678,000 in MSC equipment funding, which is discussed in the Non-recurring costs section of this justification; and an increase of \$73,000 for necessary pay for existing staff funded under this line item.

PROGRAM - Specially-designed, state-of-the-art storage equipment is available at MSC to house the more than 31 million objects being relocated from the National Museum of Natural History and the National Museum of American History. MSC accommodates collections storage for three general types of needs: collections storage in cabinets, open shelving for biological specimens in alcohol, and high bay storage for very large objects.

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. In FY 2003, MSC funds will support collections (42 percent) and facilities and information technology (58 percent).

Base funds continue to be used for the MSC collections move and storage. The priority for FY 2003 is to continue to reduce the number of alcohol collections in the Natural History building. The balance of the equipment funds available through FY 2002 will allow the National Museum

of Natural History to purchase alcohol tanks to replace old, deteriorated tanks, and shelving for some additional collections to be moved from the Mall building. All equipment procured for Pod 3 will be able to be reused in Pod 5 when that facility is completed. Additional cases and drawers are required to complete the equipping of Pods 2 and 4 at MSC. A portion of the alcohol collections will be temporarily transferred to MSC's Pod 3. An amount of \$2 million in design funds for Pod 5 is included in the Smithsonian's FY 2003 request for Construction to safely store the Museum's valuable biological collections stored in alcohol in the future.

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 2001 ACTUAL	22	1,539	2	207	1	61	0	-2
FY 2002 ESTIMATE	24	1,611	2	186	1	103	0	0
FY 2003 ESTIMATE	24	1,674	2	187	0	107	0	0

ABSTRACT - The Smithsonian Institution Archives (SIA) is the Institutional memory of a unique American cultural resource and the steward of the national collections. To ensure accountability and enhance public appreciation of a great national treasure, SIA serves the Smithsonian community, scholars, and the general public by preserving documentation for major programs, policies, decisions, and events; providing a resource for the study of American science, culture, and museum development; and providing guidance for management of the national collections.

For FY 2003, the estimate includes an increase of \$63,000 for necessary pay for existing staff funded under this line item.

PROGRAM - In FY 2003, SIA will continue to appraise, acquire, and preserve the records of the Institution and related documentary materials; oversee the Institution's collections management policy; offer a range of reference, research, and records service; and create products that promote understanding of the Smithsonian and its history.

Education - Almost 11 percent of total S&E funding supports educational activities. In fiscal years 2002 and 2003, SIA will place particular emphasis on conducting workshops for teachers in the use of primary materials for the K-12 community, expanding SIA's website of historical letters and photographs mounted for classroom use, and teaching collections management to staff from small rural and ethnic museums.

Collections - About 58 percent of total S&E funding is dedicated to the management of SIA archival files, photographs, microfilm, architectural drawings, oral history tapes, and personal papers totaling over 22,000 cubic feet. These resources support the appraisal, acquisition, processing, description, preservation and ongoing accessibility of the collection. Recent

achievements include a comprehensive schedule for the disposition of all records of the Freer-Sackler Galleries, new modules for SIA's collections management system (for loans, reference transactions, and use), the acquisition of over 850 cubic feet of archives, response to almost 5,000 research requests, the remastering and digitization of 50 oral history tapes, and the digitization for public access of 549 finding aids on SIA's website.

The care and preservation of the collection has required increased attention and resources as the physical facilities in which SIA is housed experience continuing environmental challenges. Private funds will be used to support a conservator to improve preservation of the collection. Enhanced access through more extensive cataloging and description, including online finding aids, will continue in 2003, as will the oral history program and the placement of selected documents online.

The National Collections Program (NCP) spearheaded the effort to publish a revised Institution-wide policy on collections management. NCP is now preparing an implementation handbook to help museums review their individual collections management policies for compliance with the revised policy. NCP continues to prepare the annual *Collections Statistics* and *Smithsonian Annals* for issuance. In 2001, it also produced and distributed a booklet, *Highlights of Smithsonian Institution Collections*.

Research - Approximately 13 percent of total S&E funding is allocated to research. The bulk of these funds support the Joseph Henry Papers project, a multi-volume edition of the selected papers of the Smithsonian's first secretary. Other activities include the creation of an online database and website documenting the legal history of the Smithsonian Institution, and scholarly presentations to diverse audiences.

Administration - Almost 18 percent of total S&E funding is dedicated to administrative activities that support the entire office and lay the groundwork for an electronic records program. The infrastructure for the archival program relies heavily on technological advancement and the application of new technology to the work of archivists, historians, and collections coordinators. SIA continues to focus on creating a technological platform capable of handling the acquisition and long-term preservation of archival electronic records.

NONAPPROPRIATED RESOURCES – General trust funds provide partial support for the Joseph Henry Papers project; the appraisal of audio-visual materials; preservation projects for film, tape, and paper; and other programmatic activities.

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 2001 ACTUAL	100	8,129	14	1,257	0	350	0	0
FY 2002 ESTIMATE	107	8,278	12	1,051	0	568	0	3
FY 2003 ESTIMATE	111	8,488	12	997	0	831	0	0

ABSTRACT - In the mid-twentieth century, the Smithsonian Institution centralized its libraries and created one organization, Smithsonian Institution Libraries (SIL), to support the Institution's research and curatorial activities through the purchase of pertinent information sources and provision of reference service. Now, in the 21st century, SIL anticipates the need for information appropriate to the Institution's priorities and fills inquiries from the government, universities, researchers, and the public worldwide. To that end, SIL acquires, organizes, and delivers scholarly, scientific, and educational resources and information in all forms, including electronic. SIL also exhibits and interprets its collections for students, scholars, and lifelong learners; provides information in response to queries; and sponsors educational activities for a broad audience through public programs and publications in both paper and electronic forms.

In FY 2003, the estimate includes a net increase of \$210,000, including a decrease of \$53,000 related to the FY 2002 cost reductions, and an increase of \$263,000 for necessary pay for existing staff funded under this line item. The estimate also includes an increase of 4 FTEs in FY 2003. After the consolidation of the libraries from four art museums under SIL, a determination has been made of the number of positions that need to be filled for the consolidated operation.

PROGRAM - In FY 2003, SIL will continue to provide high quality, timely information services to the Smithsonian community and the public from 20 branch libraries and through the Internet. SIL's online catalog is accessible through the Smithsonian Institution Research and Information System.

Collections – SIL continues to be the primary vehicle for providing journals and other critical information to Smithsonian researchers. As a result, SIL allocates about 94 percent of its S&E funding to collection

activities. In FY 2003, SIL's key priority is to sustain its outstanding collections in support of scientific research. The majority of SIL's most active users are Smithsonian scientists, research assistants, interns, fellows, and graduate students who depend on scientific journals, for peer-evaluated data on the latest investigations and discoveries. SIL has redirected spending priorities within collection management to enhance information in science by making significant electronic resources available to researchers. SIL staff will strive to keep collections strong by maintaining exchanges of books and journals with more than 4,000 institutions worldwide and will continue to borrow and lend books as a substitute to buying crucial titles.

SIL's strength lies in highly qualified staff and extensive subject collections. Already, librarians train researchers to use new electronic databases; in FY 2003, they will create new aids to help users be more independent in finding the information they seek. For SIL, a major goal in 2003 is to ensure the availability of materials that would otherwise become unusable. SIL will accomplish this by preparing digital editions of fragile, out-of-print, and extremely rare works of strong scholarly and educational value in Smithsonian-specific subject areas. In addition, SIL will continue a vigilant program of collection maintenance through binding, book repair, and microfilming.

Exhibitions - Approximately 1 percent of S&E funding is devoted to exhibitions. In FY 2003, SIL will share national treasures with the public through its ongoing program of book exhibitions, lectures, and symposia. SIL will open *An Odyssey in Print: Adventures in Smithsonian Libraries* in May 2002, showcasing 100 books, from very rare materials in science to children's pop up books, from SIL's collections. An earlier version, *Voyages: A Smithsonian Libraries Exhibition*, opened at the Grolier Club, New York City, during summer 2001 where it was favorably reviewed.

Administration – Approximately 5 percent of total S&E funding is used to support administration. In FY 2003, SIL will increase its staff development program to assist SIL employees in meeting the challenge of providing more services in a fiscally constrained environment and to increase the current level of administrative support provided to the branches.

NONAPPROPRIATED RESOURCES – General trust funds help defray costs of providing information services to the trust-funded units and support exhibitions, publications, public programs, and fundraising. Designated funds from donors support specific projects and programs, such as the SIL/Dibner Library Resident Scholar Program, the Baird Society Scholar program, lectures, and publications. Income from endowment funds supports acquisitions and preservation activities.

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 2001 ACTUAL	331	34,916	244	28,632	0	524	0	0
FY 2002 ESTIMATE	359	43,420	209	33,719	0	1,042	0	9
FY 2003 ESTIMATE	374	53,976	209	33,217	0	165	0	0

ABSTRACT - Administration includes executive management and related functions provided by the Offices of the Secretary; the Under Secretaries for Science, American Museums and National Programs, and Finance and Administration; and the Director of the International Art Museums Division.

For FY 2003, the estimate includes a net increase of 15 FTEs and \$10,556,000. This includes a decrease of \$103,000 related to the FY 2002 cost reductions, discussed in the Non-recurring costs section of this justification; an increase of \$161,000 for increased Workers' Compensation costs, which is discussed in the Mandatory Increases section of this budget; an increase of 15 FTEs and \$9,318,000 to meet programmatic requirements; and an increase of \$1,180,000 for necessary pay for existing staff funded in this line item.

PROGRAM

Office of the Secretary - The Office of the Secretary oversees the Smithsonian Institution and maintains continuous communication with the Board of Regents and its committees. Organizations reporting directly to the Office of the Secretary include the Office of Inspector General, Office of Policy and Analysis, Office of Diversity Initiatives, and Office of Development, as well as the Under Secretaries, Director for International Art Museums, and the Chief Executive Officer of Smithsonian Business Ventures.

The Office of Inspector General conducts, supervises, and coordinates audits and investigations to prevent and detect fraud, waste, and abuse of Smithsonian programs and operations. The Office of Policy and Analysis provides timely and accurate information for decision-making to improve the efficiency and effectiveness of the Smithsonian Institution.

The Office of Diversity Initiatives promotes equal opportunity by strategic recruiting and ensuring compliance with all applicable regulatory guidelines pertaining to equal opportunity in the Smithsonian's employment and business relationships. The Office of Development provides both direct fund raising and development support activities in response to Institution-wide and selected museum and research institute development activities.

Under Secretary for Science - The Under Secretary for Science provides leadership and oversight of the activities at the National Museum of Natural History, National Zoological Park, Smithsonian Astrophysical Observatory, Smithsonian Center for Materials Research and Education, Smithsonian Environmental Research Center, Smithsonian Tropical Research Institute, Smithsonian Institution Press, National Science Resources Center, Office of Fellowships, and Office of Sponsored Projects. The functions of the Office of International Relations, formerly under the Under Secretary for Finance and Administration, moved to this office in FY 2002. The Institution is waiting for the results of the Science Commission's review of the scientific research activities carried out at the Institution. It is expected to provide recommendations for restructuring the science units to achieve the highest quality results in today's competitive, multidisciplinary environment. In FY 2002, an independent review will also be undertaken to assess the opportunity for competition in scientific research.

Under Secretary for American Museums and National Programs - The Under Secretary for American Museums and National Programs is responsible for all of the Institution's museums and galleries that focus on the American experience, as well as the Institution's national outreach programs. The museums that are part of this office spotlight American culture, achievements, and accomplishments. They include the Anacostia Museum and Center for African American History and Culture; Archives of American Art; Center for Folklife and Cultural Heritage; Cooper-Hewitt, National Design Museum; National Air and Space Museum; National Museum of American History; National Postal Museum; National Museum of the American Indian; National Portrait Gallery; and Smithsonian American Art Museum. The National Programs bring the experience of the Smithsonian to local communities around the country. In addition, this Under Secretary's office serves the Smithsonian, its visitors, and staff by advancing and focusing the Institution's efforts to become accessible and welcoming to people with disabilities. Essential activities are provided by the following organizations.

- **Director of National Programs** - The Director of National Programs provides leadership and direction in maximizing the public impact of the Smithsonian's outreach activity. The Director oversees the Smithsonian

Affiliations Program, the Smithsonian Institution Traveling Exhibition Service, Smithsonian Center for Education and Museum Studies, and The Smithsonian Associates.

- ***Latino Initiatives*** - The Smithsonian Center for Latino Initiatives works to develop significant and long-term representation of Latino heritage and contributions to U.S. history, arts, music, culture, and science.
- ***Asian Pacific American Studies*** - This office is responsible for increasing the representation of Asian Pacific American history and cultures in Smithsonian collections, research, exhibitions, programs, and staffing.
- ***Government Relations*** - The Office of Government Relations acts as the Institution's primary agent with the Administration, Congress, and federal, state, and local entities, by presenting Smithsonian policies and plans, developing and clearing legislative proposals, and coordinating Smithsonian participation at legislative hearings.
- ***Special Events and Protocol*** - The Office of Special Events and Protocol handles the arrangements for special Institutional events and provides expertise to Smithsonian museums and research institutes on issues of domestic and international protocol.
- ***Arts and Industries Building Exhibition Program*** - The Arts and Industries Building Exhibition Program features changing exhibitions of Smithsonian collections, as well as those from museums (including Smithsonian Affiliate museums), galleries, universities and archives beyond the Smithsonian. An average of 12 exhibits are presented yearly.

Other units included under American Museums and National Programs, which are justified elsewhere in this budget, are the Visitor Information and Associates Reception Center, and Office of Public Affairs.

Under Secretary for Finance and Administration - The Under Secretary for Finance and Administration has responsibility for the day-to-day administration of the Institution. Essential activities are provided by the following organizations.

- ***Finance*** - The Chief Financial Officer provides strategic direction and advice for financial management functions and assures that the Institution's fiduciary responsibilities are carried out. The Office of Planning, Management and Budget provides information and financial data and analysis, and plans, allocates, and manages resources for the

Smithsonian. The Office of the Comptroller accounts for and reports on the Smithsonian's assets, liabilities, and equities by collecting, authenticating, classifying, and recording financial transactions. The Office of Contracting oversees the acquisition, contracting, and property management functions for the Institution. The Office of the Treasurer is responsible for the growth, safety, and integrity of the financial assets of the Smithsonian and assists in identifying and controlling risks.

- **Information Technology** - The Office of the Chief Technology Officer (OCTO) provides the basic infrastructure and resources, leadership, support and guidance for the Smithsonian's uses of information technology. The office provides comprehensive technical support and services, which include day-to-day operation, maintenance, security, and disaster recovery of the Institution's information technology infrastructure. Specific services include operational and maintenance support for the mainframe computer, Help Desk support, office automation and desktop support services, system and data base software maintenance, and Internet/Intranet support. The Office of Imaging, Printing, and Photographic Services serves the photographic and imaging needs of museums and research institutes. Smithsonian Institution Archives, another office under OCTO, is justified elsewhere in this budget.
- **Human Resources** - The Office of Human Resources plans, directs, develops, organizes, administers, and evaluates a comprehensive program of human resources management for the Smithsonian's diverse employee population.
- **General Counsel** - The Office of the General Counsel (OGC) provides legal advice and services to protect the interests of the Smithsonian. OGC represents the Smithsonian in litigation, issues final determinations on administrative tort and personal property claims, and monitors developments in the laws that influence Smithsonian operations and programs.
- **Facilities** - The Office of Facilities Engineering and Operations (formerly the Office of Facilities Services) oversees the Institution's facility functions to ensure comprehensive, integrated facilities programs. The Office of Safety and Environmental Management administers employee and visitor safety programs, environmental management, fire protection and prevention, and occupational health programs. Other facility functions reside with the Office of Physical Plant and Office of

Protection Services; these offices are included in separate sections of this budget.

Other offices included under Finance and Administration, which are justified elsewhere in this budget, are Smithsonian Institution Libraries and the Office of Exhibits Central.

Director, International Art Museums Division - The Director, International Art Museums Division, provides leadership and oversight for all policies, programs, and activities of the National Museum of African Art, Freer Gallery of Art, Arthur M. Sackler Gallery, and Hirshhorn Museum and Sculpture Garden.

EXPLANATION OF PROGRAM INCREASE - For FY 2003, the Institution requests for Administration an increase of \$9,318,000, including an increase of 14 FTEs and \$9,200,000 for the Office of the Chief Technology Officer, and 1 FTE and \$118,000 for the Office of Contracting. Also justified here but included in the Office of Physical Plant line item is an increase of 21 FTEs and \$2,564,000 for staff and related costs to support the Institution's expanded Repair, Restoration and Alteration of Facilities (RR&A) program. An increase of 3 FTEs and \$318,000 also is included under the National Zoological Park line item for support of the Zoo's expanded RR&A program.

Office of the Chief Technology Officer - As part of the Institution's effort to address issues raised in the recent National Academy of Public Administration report, the Smithsonian requests additional funds in FY 2003 to continue two initiatives:

- ***Enterprise Resource Planning System (12 FTEs and \$5,800,000)*** - The Smithsonian is replacing antiquated financial and human resource management systems incrementally through FY 2005 with a commercial Enterprise Resource Planning (ERP) software product. The increased funding will enable the Office of the Chief Technology Officer (OCTO) to operate and maintain three financial modules that will be deployed in FY 2002 and to begin development of the procurement, projects, budgets, grants, assets, and accounts receivable modules. OCTO will also begin development of the first phase of the human resources components, which includes the human resources, time and labor, and payroll modules.

The 12 additional FTEs requested in FY 2003 are needed to provide system development and integration support for the human resource management modules of the ERP system. Development of these

modules will begin in FY 2003. The 12 FTEs also will provide operational support for the development, testing, and production environments for the ERP system. There will be an increased demand for network support due to an increased demand for external interfaces—such as SAO in Massachusetts and STRI in Panama—to the ERP system. This will require additional resources to ensure ERP service level commitments are met. The request includes \$1,205,000 for salaries and benefits, and \$4,595,000 for other objects.

- ***Managed Information Technology Infrastructure (2 FTEs and \$3,400,000)*** - The Smithsonian plans to make several major enhancements to its information technology infrastructure to make it more robust, reliable, and secure. This modernization will occur incrementally through FY 2005. The OCTO will focus on co-locating and consolidating file, print, and application servers, and centralizing local area network management. The requested funds will enable OCTO to replace aging NetWare equipment and implement a server architecture that will enable implementation of standard management practices to address issues of security and backup.

The network management staff at the Smithsonian is inadequately staffed and operations-oriented, resulting in a confusing environment and constant reactive state. Currently, the Institution has only 5 FTEs to support wide area network, cabling services, email, and network operating services on a network that serves more than 6,000 users. The 2 additional FTEs requested in FY 2003 are needed to support network engineering and operations activities. The additional resources will support the implementation of a Network Operations Center and improved Help Desk; upgrade of directory, email, and network operating systems; and consolidation and co-location of application servers. The request includes \$204,000 for salaries and benefits, and \$3,196,000 for other objects.

Office of Facilities Engineering and Operations - As recommended by the National Academy of Public Administration (NAPA), the Smithsonian recently revalidated its requirement for an investment over the next decade of \$1.4 billion (uninflated) to revitalize its aging physical plant. All of the Institution's major museums require major renovation and modernization to arrest the impacts of advanced deterioration and increasing systems failures in the physical infrastructure. This effort must be accomplished concurrently with construction of the National Air and Space Steven F. Udvar-Hazy Center and the National Museum of the American Indian on the Mall. Never before has the Institution attempted to carry out so many large, costly, and complex

construction projects at the same time that major critical repairs demand equal attention.

The Smithsonian is technically capable of successfully leading and accomplishing the modernization effort. However, additional staff in facilities engineering are essential to carry out the Institution's role as a facilities owner in terms of obligation performance, safety, quality, and containment of contract costs and schedule growth.

The Institution last received a staff increase to administer the RR&A program in FY 1989 and FY 1990 (20 FTEs and \$1,030,000). Since that time permanent staff to support the RR&A program has remained the same despite the doubling in RR&A funding from \$36.9 million appropriated in FY 1990 to \$67.9 million appropriated in FY 2002.

The Institution has identified an increase of 88 FTEs, spread across several years, that are required to reinforce and modernize its facilities operations, and to handle increased workload to meet NAPA-identified revitalization requirements. In addition to staffing current needs properly, this increase of approximately 12.5 percent in FTEs is vital to the implementation of best practices in maintenance, engineering, design, and construction. The additional FTEs will also ensure more efficient use of the funding that becomes available for these purposes. Upon conclusion of this 10-year effort, workforce demographics will be such that today's junior managers will have sufficient technical knowledge, competencies, and leadership skills to be able to compete successfully for senior technical positions vacated by retiring managers, engineers, and technicians.

To meet the immediate need, the Institution is proposing to hire 34 people in FY 2002 to staff the field offices for the construction of the three largest projects now underway: NASM's Udvar-Hazy Center, the Patent Office Building and the NMAI Mall Museum; and to strengthen internal capacity to design, contract, and administer repair and restoration projects. For the reasons explained below, no new funds in FY 2002 are required.

Recognizing the extraordinary burden the significantly increased capital program places on the Institution's salary and expenses, the Institution is requesting authority in bill language to use permanent employees rather than contractors for project supervision and administration. Project funds within RR&A and the major capital projects, currently used to pay the contractors, would be used to hire a portion of the 34 positions needed in FY 2002. Another 20 on-board staff would also be similarly paid from project funds, freeing up this amount in Salaries and Expenses to hire other staff with expertise in new technologies and

methodologies needed elsewhere in the Institution’s facility organization. Funds have already been budgeted in each project for construction supervision and administration to cover construction management requirements. However, instead of continuing to add contract support without increasing in-house staff, OFEO will balance the two elements with measured increases in both. Thus, there will be no net increase in any project cost for the additional project staff for two reasons: previous project budget planning and lower costs of in-house staff versus contract support. This project funding approach will be limited to those positions directly related to field activities, and the Institution will manage it in the same way the Army Corps of Engineers managed the same process they used for many years.

In FY 2003, the Institution requests 25 FTEs and \$3,000,000 as the next increment of the 88 total positions needed, of which 3 FTEs and \$318,000 are requested under the National Zoological Park line item. Also, 21 FTEs and \$2,564,000 are included under the Office of Physical Plant line item, but are justified here. This amount includes \$2,710,000 for salaries and benefits, and \$290,000 in other object support for supplies, services, and equipment and for leased space to house the new staff.

These additional staff will ensure an appropriate level of design and project management and supervision for the RR&A program to achieve the Smithsonian’s long-range modernization program. The resources requested for these offices do not include professional staff directly involved in field supervision of RR&A work. The Institution will continue to match construction supervision and administration staff with actual workload requirements, using the project funding mechanism, in order to complete the facilities modernization program.

The table below details the affected units, and the narrative following discusses the specific positions required.

Office of Contracting	1	118,000
Office of Physical Plant:		
Office of Project Management	2	282,000
Office of Engineering, Design and Construction	<u>19</u>	<u>2,282,000</u>
Subtotal	21	2,564,000
TOTAL	22	\$2,682,000

- **Office of Contracting** - A Contract Specialist GS-12/13 will augment capacity in all aspects of contracting for design and construction services to support the Institution’s expanded capital program. A total of

\$118,000 is requested, which includes \$100,000 for salary and benefits, and \$18,000 for other objects.

- **Office of Physical Plant** - A total of 21 FTEs and \$2,564,000 are required to ensure an appropriate level of design and project management and supervision for the RR&A program. Nineteen Architects/Engineers GS-12/13/14 will serve as design managers and reviewers, perform cost engineering for more consistent estimates, and support the Geo-Spatial Engineering (GIS) program. The GIS program, to be implemented in FY 2002, will relate all known physical data on Smithsonian facilities with as-built drawings, construction drawings, and other data, in layers, so that space utilization and facility management can be more effectively accomplished. In addition, two Project Managers or Executives GS-14/15 are needed to provide additional leadership and technical expertise for several major revitalization efforts now in progress. A total of \$2,310,000 is needed for salary and benefit costs and \$254,000 for other objects, including supplies, services, and equipment.

NONAPPROPRIATED RESOURCES - General trust funds provide support for salaries and benefits of personnel and other related costs. Donor/sponsor designated funds provide support for costs related to programs and projects such as scientific research, fund raising, and public relations. Government grants and contracts provide support for special initiatives and conferences.

OFFICE OF PROTECTION SERVICES

	APPLICATION OF OPERATING RESOURCES							
	FEDERAL APPROPRIATIONS		GENERAL TRUST		DONOR/SPONSOR DESIGNATED		GOV'T GRANTS & CONTRACTS	
	FTE	\$000	FTE	\$000	FTE	\$000	FTE	\$000
FY 2001 ACTUAL	719	35,510	0	113	0	0	0	0
FY 2002 ESTIMATE	775	37,383	0	154	0	0	0	0
FY 2003 ESTIMATE	985	58,674	0	154	0	0	0	0

ABSTRACT - The Office of Protection Services (OPS) protects and secures the collections entrusted to the Smithsonian Institution and ensures the safety and security of staff and visitors, while permitting an appropriate level of public access to collections and properties.

For FY 2003, the estimate includes an increase of 210 FTEs and \$21,291,000. This amount includes increases of \$7,719,000 for mandatory costs associated with continuing the salaries and benefits for the additional security officers hired with the FY 2002 emergency supplemental funds; \$11,925,000 for security enhancements; and \$1,647,000 for necessary pay for existing staff funded under this line item.

PROGRAM - The Office of Protection Services employs a combination of electronic security, physical barriers, and uniformed officers to provide optimum security and safety for the Smithsonian's collections, facilities, staff, and visitors. As part of its long-term strategy for security system upgrades and modernization, OPS continues to collaborate with industry experts to implement a master plan to support planning, procurement, and integration of electronic security systems at the Smithsonian. This modernization program replaces security systems in all Smithsonian buildings and will integrate access-card readers, CCTV cameras, and alarm zones.

The Office of Protection Services is receiving \$17,182,000 from \$21,707,000 in FY 2002 emergency supplemental funds provided to the Institution for counter-terrorism measures. OPS will use these funds to hire outside experts to conduct security assessments such as blast mitigation analyses and security staff deployment for the Mall museums (\$1,000,000); erect temporary physical barriers at vulnerable sites along the Mall museums (\$2,250,000); install public address systems and

perimeter camera systems where needed (\$3,560,000); provide magnetometers and x-ray machines for use at selected building entrances (\$2,159,000); and purchase emergency/hazmat kits for each facility on the Mall (\$55,000). The funds also will provide security staff to conduct external patrols, including an additional K-9 team (\$1,592,000); operate the magnetometers and x-ray machines (\$5,300,000); and provide security for the Victor Building (\$1,266,000). The FY 2003 request includes \$7,719,000 in mandatory costs to continue salary and benefits funding in FY 2003 for 210 security staff hired with the FY 2002 supplemental funds.

Security - Almost all of OPS's resources (96 percent) are categorized as security, with a small amount provided for information technology and administrative support. An upward trend in the demand for security services, dramatically reinforced by the events of September 11, 2001, poses challenges for the Smithsonian's security program. In response to the threat of terrorist attack, OPS has added external security patrols, instituted baggage searches for all visitors and staff entering Smithsonian facilities, and is conducting searches of all vehicles entering Smithsonian garages. Physical barriers are in place along the length of the Museums situated on the National Mall. This heightened security effort, which involves considerable overtime for existing officers, must be supported by additional resources to be effectively sustained. Although the Institution has experienced a significant decrease in visitors since September 11, Smithsonian visitation increased an average of 10 percent a year between FY 1996 and FY 2000, to over 31,000,000. In anticipation of a projected return to normal attendance, museum directors have requested increased uniformed officer presence, particularly at peak visitation periods. Renovation plans for existing facilities, including the installation of new exhibitions, will place demands on security not only after opening day but also during the renovation process when security escorts are required for contractors working in sensitive areas. The inauguration of new facilities, such as the Steven J. Udvar-Hazy Center at Dulles International Airport, and the National Museum of the American Indian on the Mall, will require resources beyond what are currently available in the base. Resources needed for these new facilities are described elsewhere in this budget document.

An efficient hiring process, consistent and rigorous training, and a well-below-industry-average attrition rate of 10 percent, contribute to the workforce stability that permits flexible response to short term spikes in security demand, within a facility or among facilities. Workforce stability also ensures that security personnel are able to deliver consistent, high quality customer service for the benefit of Smithsonian visitors and staff. In FY 2002, OPS will complete another full review of its force deployment

strategy, in cooperation with museum and facility directors; this review will include the location and number of posts and the hours those posts need to be staffed.

Administration - Also crucial to the success of the Office of Protection Services' mission is a variety of trained administrative staff that support the matrix of uniformed officers and electronic security systems. In FY 2003, the Office of Protection Services proposes to fund administrative support for its security operations at the same level as in FY 2002, about 4 percent of its S&E spending. This support includes maintenance of the local information technology network and resident software applications tailored to OPS's needs; an efficient hiring and employee relations process; delivery of professional training programs by qualified instructors; and fiscal accountability. In addition, OPS staff continually review and recommend improvements to current practices, while ensuring compliance with in-house, Smithsonian, and statutory policies and regulations.

EXPLANATION OF PROGRAM CHANGE - The Institution requests a net increase of \$11,925,000 for security enhancements in FY 2003.

Security System Modernization, Maintenance and Renewal (\$1,100,000) - In FY 2003, the Institution will complete the modernization of Smithsonian security systems by completing work already in progress at the National Air and Space Museum and the Freer Gallery of Art and the Quadrangle. The Quadrangle includes the National Museum of African Art and the Arthur M. Sackler Gallery. OPS will use \$550,000 of the funds appropriated in FY 2002 for system modernization to complete the replacement of old components and installation of new technical security equipment in these facilities' galleries and collection storage areas.

For FY 2003, the Institution requests \$1,100,000 for ongoing maintenance and renewal of Smithsonian security systems. This increase, along with current base funding of \$649,000 and \$250,000 of the funds appropriated in FY 2002 for system modernization, will provide permanent base funding of \$2 million needed on an annual basis for these purposes. Maintenance of the system will include software upgrades, technical inspections, cleaning, repairs on front-end equipment (computers, switchers, and monitors), field devices, and data-gathering panels. Renewal costs include replacing installed equipment because of equipment failure, life-cycle termination, changes in technological approach, or additional requirements placed upon the systems, such as new exhibits or alarms. Hardware renewal is based on a three-to-five-year cycle. Wiring renewal is based on a 10-15-year life cycle, beginning two years after installation. Since the installation program has been phased over a four-year time

period, the renewal costs are expected to stabilize after four years. Beginning in FY 2003, maintenance and renewal costs will remain stable at approximately \$2 million per year.

Security Improvements (\$10,825,000) - The Institution requests \$10,825,000 for additional long-term security improvements. These improvements were identified as part of the Smithsonian's comprehensive response to terrorist threats in the wake of the September 11, 2001 attacks. The FY 2002 emergency supplemental appropriation provided funds for measures that could be implemented quickly, including temporary physical barriers. The requested funds will provide the basis for permanent physical security systems involving more complex design, construction, and installation issues as well as requiring appropriate approvals from the Commission of Fine Arts and the National Capital Planning Commission. The permanent installations funded from this request will replace the temporary physical barriers currently in place. This request will provide initial funding of \$8,095,000 for appropriate permanent physical barriers along the Mall to reduce the risk from vehicles containing explosive devices. In addition, funds will provide for strengthened windows and glass doors in vulnerable buildings, beginning with the Air and Space, American History, and Hirshhorn Museums (\$1,400,000), as well as pop-up barriers and hardened officer booths (\$1,330,000) at vehicular entrances of the museums on the Mall. The Smithsonian requests these funds as no-year.

NONAPPROPRIATED RESOURCES - General trust funds pay for mandated trust employee background security investigations conducted by the Office of Personnel Management. General trust funds also support the annual National Conference on Cultural Property Protection. For 25 years, this self-supporting conference has provided an opportunity for the diffusion of knowledge among security, library, and administrative professionals throughout museums, libraries, universities, and other cultural property institutions. The 2001 conference attracted 160 participants from around the United States, Canada, and the world. The 2002 conference, with the theme *Celebrating 25 Years of Training Excellence*, will be held in Charleston, South Carolina.

OFFICE OF PHYSICAL PLANT

	APPLICATION OF OPERATING RESOURCES							
	FEDERAL APPROPRIATIONS		GENERAL TRUST		DONOR/SPONSOR DESIGNATED		GOV'T GRANTS & CONTRACTS	
	FTE	\$000	FTE	\$000	FTE	\$000	FTE	\$000
FY 2001 ACTUAL	455	73,633	18	5,119	4	341	0	0
FY 2002 ESTIMATE	488	76,199	3	5,145	5	300	0	176
FY 2003 ESTIMATE	492	90,965	3	5,089	5	300	0	0

ABSTRACT - The Office of Physical Plant (OPP) creates, maintains, revitalizes, operates, and protects a physical environment that enables the Smithsonian to achieve its scientific and cultural goals. OPP creates an environment in which the Smithsonian buildings and grounds are recognized as a benchmark of quality, and provides a functional, pleasing, safe, and accessible environment to present and maintain the collections. OPP also creates an environment in which visitors experience an appreciation for our heritage, and for the Smithsonian, its buildings, and the collections held as a national trust.

For FY 2003, the estimate includes a net increase of \$14,766,000. This increase includes a decrease of \$88,000 related to the FY 2002 cost reductions, discussed under the Non-recurring costs section of this justification; an increase of \$10,815,000 (included in this line item but justified in the Mandatory Increases section) to support increases in the Institution's central utilities, communications, and rent accounts; an increase of 3 FTEs and \$225,000 (included here but justified under the National Museum of the American Indian) to support operation of the utility systems in the NMAI Mall Museum; 21 FTEs and \$2,564,000 (included here but justified under the Administration line item) to support the Institution's expanded Repair, Restoration and Alteration program; and \$1,250,000 for necessary pay for existing staff funded under this line item.

In addition, this line item includes a decrease of 20 FTEs associated with the proposal to fund construction management personnel in the Repair, Restoration and Alteration of Facilities (RR&A) account to provide enhanced management of RR&A projects. Bill language is proposed to authorize payment of salaries and benefits of these staff from project funds.

PROGRAM - Federal funding is the foundation that supports OPP's mission to maintain and revitalize the Smithsonian's physical environment. OPP uses these resources in two general areas: administration and collections.

Administration – This is the major functional category supported by federal S&E funds. It includes programs in three areas: facilities, information technology, and finance/general administration.

About 87 percent of OPP's federal S&E funds support operation and maintenance of Smithsonian facilities. FY 2002 funds support staff in OPP as well as the South Group (Smithsonian Castle and Arts and Industries Building) and Quadrangle Building management groups. In addition, funds support the Smithsonian's central utility and rent accounts. The continued aging of Smithsonian facilities has created an environment in which more maintenance resources are required just to sustain the buildings each year. As a result, OPP has examined all of its functional responsibilities and reduced or eliminated non-core services.

OPP's federal S&E funds support a small information technology staff, which manages Facility Center, the facilities management system used by OPP and the museums to track operations and maintenance workloads. The group also provides vital support for the building automation system that is the backbone of OPP's HVAC systems. OPP also devotes a small portion of its federal S&E funds to provide a strong central focus on fiscal management, procurement, and human resource activities. Together, these activities account for about 12% of S&E resources.

Collections – The two OPP units that are actively engaged in collections management activities—Horticultural Services and Architectural History and Historic Preservation—represent less than 1 percent of OPP's federal S&E funds. The units' collections include archival materials, furnishings used in Smithsonian buildings and gardens, as well as a world-renowned collection of rare orchids.

EXPLANATION OF PROGRAM INCREASE - For FY 2003, the Smithsonian requests 3 FTEs and \$225,000, included in this line item but justified under the National Museum of the American Indian, to support operation of the utility systems in the NMAI Mall Museum. An increase of \$10,815,000, included in this line item but justified under Mandatory Increases, will support increases in the Institution's central utilities, communications, and rent accounts. An increase of 21 FTEs and \$2,564,000, included in this line item but justified under Administration, will support the Institution's expanded Repair, Restoration and Alteration program

NONAPPROPRIATED RESOURCES – General trust funds provide support for salaries and benefits of personnel, related support costs, the trust share of space rental costs for administrative activities, and support services offered to other units by the Office of Physical Plant. Donor/sponsor designated funds provide support for costs associated with the upkeep of Smithsonian gardens.

REPAIR, RESTORATION AND ALTERATION OF FACILITIES

	SI	NZIP	TOTAL
FY2001 Appropriation	\$49,890,000	\$7,583,000	\$57,473,000
FY2002 Appropriation	\$57,900,000	\$10,000,000	\$67,900,000
FY2003 Estimate	\$64,550,000	\$16,750,000	\$81,300,000

PROGRAM GOALS - The goal of the Repair, Restoration and Alteration of Facilities (RR&A) program is to ensure that deterioration in Smithsonian facilities is arrested and that necessary repairs and revitalization of the facilities go forward in a sensible way so that the Institution's exhibition, research, conservation, collections storage, and education programs function efficiently, effectively, and safely in facilities that conform with modern building, life safety, and environmental codes.

STRATEGY FOR ACHIEVING GOALS - 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 professional engineering evaluation, *Smithsonian Institution, Museums and Facilities: Critical Assessment and Improvement Objectives*, dated September 28, 2001, records for the first time in one account 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 A-E consultant investigations and hundreds of internal condition assessments. The total repair and restoration requirements known at this time fall into two major areas:

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.

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 reliability and risk management reinforced through qualitative standards and cost-effective application of technology.

The RR&A chart that follows summarizes the Institution's request for the highest priority projects for FY 2003, and the related future program through FY 2007, based on the FY 2003 approved request. 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, which 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 RR&A chart describe FY 2003 project requests and are organized in two formats. Large projects—those exceeding \$1.5 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 \$1.5 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 2003 to perform work in the categories that follow. The Institution contracts for most RR&A projects unless it is more cost-effective to use existing employees or to hire temporary staff to accomplish the work. Beginning in FY 2002, the Smithsonian will hire permanent staff or use contracts for certain ongoing maintenance services with funding in the RR&A account. The FY 2003 request proposes bill language to authorize the use of RR&A project funds for payment of salaries of construction management staff. The request also proposes shifting 25 FTEs from the Salaries & Expenses account to this account for the necessary staff, including 6 for the National Zoo and 19 for other RR&A projects. The RR&A 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
Repair, Restoration and Alteration of Facilities
FY 2003 - FY 2007

CATEGORY \$Millions	Received	Received	Received	Request	Future Program Based on Approved FY 2003 Budget ^{1/, 2/}				
	Prior	FY 2001	FY 2002	FY 2003	FY 2004	FY 2005	FY 2006	FY 2007	Outyears
MAJOR RENEWAL									
Arts & Industries Building	3.2	4.0	6.0						
Freer Gallery									
Hirshhorn Museum									
Museum Support Center									
National Air and Space Museum									
National Museum of American History	1.4								
National Museum of Natural History	65.7	10.7	12.0	10.0					
National Zoological Park	4.1	4.2	4.9	11.3					
Patent Office Building	16.6	17.0	15.0	25.0					
Quadrangle									
Renwick Gallery									
Silver Hill Facility									
Smithsonian Castle	0.5	0.5							
SUBTOTAL	91.5	36.4	37.9	46.3					
CODE COMPLIANCE AND SECURITY									
Fire Detection and Suppression		0.3		1.8					
Access, Safety and Security		1.8	4.6	2.2					
National Zoological Park Code Compliance and Security			1.5	1.0					
SUBTOTAL		2.1	6.1	5.0					ONGOING
INFRASTRUCTURE REPAIR									
General Repair		4.4	9.1	13.0					
Facade, Roof and Terrace Repair		4.4	0.9						
Utility System Repair		1.7	3.1	4.2					
Advance Planning and Design		2.5	2.5	3.3					
National Zoological Park Infrastructure Repairs		3.5	3.6	4.4					
Alterations and Modifications		2.5	2.8	3.0					
SUBTOTAL		19.0	22.0	27.9					ONGOING
ROUTINE MAINTENANCE AND REPAIR *									
		0.0	0.0	2.1					ONGOING
SUMMARY									
SUBTOTAL, Smithsonian		49.8	57.9	64.6					
SUBTOTAL, National Zoological Park		7.7	10.0	16.7					
GRAND TOTAL		57.5	67.9	81.3	83.0	85.0	87.0	89.0	ONGOING

* There is currently \$21 million within the S&E base for facilities maintenance. A final decision on whether to include facility maintenance funds within this account or within the S&E account in future years has not yet been made.

^{1/} The outyears program is based on the approved FY 2003 budget level and does not reflect the future requirements as described in *Smithsonian Institution Museums and Facilities: Critical Assessment*, based on NAPA's 2001 report as follows: FY 2004: \$215.3 million; FY 2005: \$256.0 million; FY 2006: \$280.5 million; and FY 2007: \$276.0 million. As these projections would require a fourfold increase over the next five years, the Smithsonian will have to prioritize its RR&A requirements in order to stay within available funds in the current budget climate.

^{2/} Project and category level detail to be determined.

MAJOR RENEWAL

This category provides funds for the cyclical replacement of major building systems and equipment and major revitalization projects required for the preservation of the buildings. It primarily addresses the major replacement requirements for HVAC and electrical 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>Line Request</u> <u>\$(000)s</u>	<u>Subtotals</u> <u>\$(000)s</u>
Patent Office Building	Restore Building	25,000	25,000
Natural History Museum	Ongoing Major Renewal	10,000	10,000
National Zoological Park	Renovate Deer & Tapir Area	7,000	
National Zoological Park	Design Multiple Building Renovations	4,300	
	Total NZP Request		11,300
TOTAL			46,300

PROJECT TITLE: Restore Patent Office Building
INSTALLATION: Patent Office Building
LOCATION: Washington DC

FY 2003 REQUEST (Thousands of Dollars): 25,000

PRIOR YEAR FUNDING: 48,649

Construction (including construction management) 28,943
Facility Planning and Design 17,177
Relocation Expenses 2,529

FUTURE YEAR FUNDING: 92,400

Complete mechanical system installation and system rough-in and install elevators 20,000
Fit out of 1st & 2nd floors 38,000
Fit out of 3rd floor & mezzanine, move back into building 34,400

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 houses paintings, sculpture, graphic art, photography, and

folk art dedicated to the arts and artists of the United States from colonial times to the present. The National Portrait Gallery exhibits portraits of major figures in American history and culture. Average annual visitation for both museums prior to closure of the building was 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 (HVAC) system cannot meet the required 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 widening the door openings in the south, east, and north for improved visitor access and 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. Restore interior finishes after installation of new systems and other construction.

The Institution also plans to construct a glass dome over the building's courtyard, install a modern kitchen and restaurant, and add up to two exterior visitor kiosks. This work will occur concurrently, but will be funded from private sources. The Institution plans to seek authorization where required.

In FY 2003, the Institution will complete design and begin courtyard excavation, basement and 4th floor mechanical equipment installation, system rough-in of all floors, and elevator installation. The current schedule calls for completing the contract documents for construction in the summer of 2002. Construction duration will be 36 months from the time of contract award.

PROGRESS TO DATE:

Facility assessment and planning phases have been completed and the roof and gutters have been replaced. Design for the renewal is 50 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 47 percent complete. The Institution awarded the contract for the exterior stone and window renovation portion of the project in fall 2001 for \$8.7 million, and work has now started. Additionally, a contract for the packing, crating and relocation of SAAM and NPG collections was recently awarded for \$1.3 million. The relocation of the collections to temporary leased storage is expected to be completed by March 2002.

The Institution will use a portion of the funds previously budgeted for construction management services to hire five engineers to perform construction contract supervision and administration. These staff will act as owner representatives to ensure quality work is completed safely.

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.

The delay in construction completion causes additional costs including leased space for art storage and security costs. The separation of staff from their collections causes inefficiency and inconvenience in collections management and research.

PROJECT TITLE: Ongoing Major Renewal
INSTALLATION: National Museum of Natural History
LOCATION: Washington DC

FY 2003 REQUEST (Thousands of Dollars): 10,000

Project Element:
Ongoing HVAC replacement and code improvements 10,000

PRIOR YEAR FUNDING: 88,407
Construction 76,089
Facility Planning & Design 10,968
Interim Repair 1,000
Move 350

BUILDING BACKGROUND:

Eligible for listing in the National Register of Historic Places, the National Museum of Natural History was designed by Hornblower and Marshall in the Beaux-Arts style and opened in 1910. Mills, Petticord, and Mills added the east and west wings in the early 1960s for offices, storage, and laboratories. In the late 1990s, east and west courtyard complexes were added for public facilities, offices, storage, and classrooms. The 1.3 million-square-foot building is one of the leading international centers for research on life sciences, earth and planetary studies, and anthropology. The Hope diamond, dinosaur skeletons, an African bush elephant, and an insect zoo are among the collections. The visitation in FY 2001 was 9.1 million.

PROJECT JUSTIFICATION:

The windows in the main building are original and are so badly deteriorated they no longer provide a proper seal; they are also covered with layers of lead-based paint. The roof system above the rotunda and the major halls was

installed in 1909, with portions replaced in the 1950s. The roof over the original building is now being replaced. The 40-year-old HVAC, control, fire protection and suppression, and laboratory exhaust systems are all 15 years past their projected normal useful life and break down frequently. The automatic temperature control system is obsolete and does not operate satisfactorily to maintain stable temperature and humidity necessary for long-term preservation of the collections. Ninety percent of the electrical lighting and power panels in the building are more than 30 years old. The emergency power system is inadequate to operate the more than 30 elevators, 3 fire pumps, and emergency lighting in the building in the event of a major power outage. Restrooms for the public, and some for staff, have been modified to make them accessible, but 22 staff restrooms in the building still do not meet ADA requirements. Asbestos has been abated in all major equipment rooms and in the attics, but it remains in duct wrap, mastic, pipe insulation, and most of the vinyl floor tile. Lead in old paint is present throughout the building, and must be abated or encapsulated. To meet pressing space needs, mezzanines have been added over the years in a haphazard fashion; none have sufficient fire separation from adjacent spaces, they are inaccessible to persons with disabilities, and many are overcrowded to the point of structural stress. None of these mezzanines can be renovated to meet code requirements. They must be removed or replaced. The Museum continues to outgrow its quarters, diminishing the space available for public use. When the building opened in 1910, 220,000 square feet of exhibit space was provided. Today, visitation has increased a thousand fold from the earliest days of the Museum, yet exhibits currently occupy 25 percent less space. Escalators installed in the 1970s are poorly placed and do not serve visitor needs.

PROJECT DESCRIPTION:

Replace HVAC, ductwork, lighting, and electrical wiring. Abate and encapsulate asbestos and lead. Restore and upgrade the windows in the original building. Upgrade fire protection and detection systems, storm water systems, water distribution, sanitary, and power systems. Remove and replace the mezzanines to meet acceptable fire protection and accessibility standards. Modify staff restrooms to meet ADA requirements. Update the existing security system. Create an accessible entrance from the Mall. Create a safe storage facility for the variety of hazardous chemicals used in the Museum's scientific research departments. Repair and replace deteriorated piping systems in the tunnels beneath the ground floor of the museum, including primary fire protection sprinkler mains, storm and sewage mains, and miscellaneous water and steam piping. Upgrade emergency power systems to bring the building's life safety systems into code compliance.

In FY 2003, the Institution plans to renovate a second portion of the third floor main building, the sixth floor of the west wing, and exhibit hall 30. These phases will include the complete building system restoration and renewal for approximately 50,000 square feet of the building. The hall 30 project space will be restored and reverted to gallery space and is coordinated with major exhibit reinstallation planned for this hall. Restoration and renewal will include complete replacement and upgrade of the HVAC system, electrical distribution system, fire protection and detection, plumbing systems, lighting, architectural restoration, and asbestos and lead abatement.

PROGRESS TO DATE:

Construction completed on the NMNH renewal includes the central cooling plant and emergency generator, asbestos abatement in all mechanical spaces and attics, replacement of all windows in the east and west wings, roof replacement for the entire building, HVAC equipment replacement, and the renovation of three floors in the east wing and a portion of the third floor of the main building.

IMPACT OF DELAY:

Continued degradation of windows, HVAC, power, water, storm, and steam condensate systems, including leaks and loss of service to the facility, will occur. Steam condensate and storm lines have backed up, flooded, and damaged equipment in the west court basement. Major valve failure has flooded the chiller plant, shutting it down. Overheating of electrical vaults could cause malfunction and loss of electrical service to the facility. Continued degradation of all building system components and any prolonged loss of cooling, heating, or power would impact the Museum's activities, as well as the condition of the collections housed therein. Excessive heat in one of the exhibit halls caused a mineral specimen to collapse. Storm water pumps cannot keep up with flooding in the basement in event of a major rain; as a result, the staff keeps materials on pallets and off the floor. One hundred spray nozzles in a single cooling tower failed at once, causing humidity to spike throughout the building. This Museum remains one of the Institution's primary accessibility issues. The mezzanines present non-compliant code conditions for the safety of staff and collections. The misplaced escalators present the risk of accidental falls and injury.

PROJECT TITLE: Renovate Deer & Tapir Area
INSTALLATION: National Zoological Park – Rock Creek
LOCATION: Washington DC

FY 2003 REQUEST (Thousands of Dollars): 7,000

Project Element:
Construction 7,000

PRIOR YEAR FUNDING: 1,400

Design 1,400

PARK BACKGROUND:

The National Zoological Park, a National Historic District, was designed in the 1890s by the firm of renowned landscape architect Frederick Law Olmsted and architect William 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 over 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. Giant pandas, tigers, rhinos, elephants, Amazonia tropical rain forest, the Reptile Discovery Center, the invertebrate exhibit, and wetlands exhibit are among its collections. The visitation in FY 2001 was 2.8 million.

PROJECT JUSTIFICATION:

Twenty-three major buildings at the Zoo, totaling over 600,000 square feet and located on 167 acres, vary in condition from new to recently renovated to poor. There are structural failures at the Australia Building, Bear exhibit, and Holt House. Concrete exhibit rock is deteriorating in the Seal/Sea Lion, Beaver Valley, and Bear exhibits. One large rock failure at the sea lion pool occurred in 1999 and was repaired, and another occurred and rock at the Zoo. Roofing and waterproofing problems exist at the Australia, Bear, Bird, Elephant, Small Mammal, Reptile, and Lion-Tiger houses, as well as the Mane Restaurant, several small barns, and support structures. Other

roofs and terraces will need replacement soon. Heating and cooling systems at the Australia, Bear, Bird, Elephant, and Reptile houses, the Mane Restaurant, and the Police Station buildings are in poor condition. The three large central boilers in the main plant at the Zoo were replaced in 1995. Insufficient quantities of outside combustion air are supplied to the boilers, reducing their efficiency. Areas with asbestos and lead paint have been identified, and are being abated or removed on a gradual basis. Although a central fire alarm system has been recently installed, existing smoke detection and fire alarm systems in many buildings need to be extended and improved to meet current codes and provide better coverage. The underground electric distribution system serving approximately half of the Zoo's buildings needs to be replaced because of ground faults and poor condition of cables. There have been four significant power outages in the past five years due to transformer failures, with several outages putting animals, staff, and the public at risk of animal escapes. The Zoo's water service dates back to the 1890s. Water quantity to the facilities is insufficient, as demonstrated when elephant house pools are being filled and toilets cannot be flushed at valley trail restrooms. Because the District of Columbia switched from chlorine to chloramine water treatment, new water treatment systems and additional filtration were installed in critical areas. Additional treatment systems are being installed in the seal, sea lion, beaver, and otter pools, and the hippo pools require daily chemical treatment to eliminate the hazard of chloramines in the water. Due to these water system problems and obsolete water treatment equipment, seals and sea lions have developed eye and skin problems that can only be solved by changing to salt water systems. Portions of the Zoo's sanitary and storm drainage systems date to the original site development in the 1890s and have been subsequently extended and modified. Failures in these systems are currently causing soil erosion at three locations. The security systems are outdated and inadequate. Many buildings and outside areas do not meet ADA accessibility requirements.

PROJECT DESCRIPTION:

The full scope of the facilities renewal at the Zoo involves upgrading underground utility systems throughout the Zoo, including:

- New 12-inch main water line to increase capacity and to allow fire sprinklers to be installed in all buildings
- Upgrade electrical distribution system and replace old transformers.
- Improve sanitary and storm water piping to repair failures and reduce erosion of the site.
- Upgrade fiber-optic telecommunications distribution systems to eliminate overhead wiring and increase capacity for multiple systems applications (telephone, video, security, fire alarm, etc).

The renewal also includes installing chloramine water treatment systems in remaining areas and replacing sea/lion fresh water system with new salt water system to improve animal health; renovating Deer and Tapir area to relocate Sloth Bears so existing Bear Exhibit can be renovated; renovating the Mane Restaurant, Elephant House, Small Mammals, Property Yard, Valley Keeper Building, Reptile Building, Deer and Tapir Building, and Seal and Sea Lion exhibits; maintaining and repairing building roofs, waterproofing, walls, exhibits, air conditioning, electric, lighting, safety, and security systems; improving fire alarm and smoke detection systems; extending and enhancing fire protection in all buildings to meet code requirements; upgrading existing security systems in all facilities; modifying buildings and exhibits to improve site and exhibit access.

In FY 2003, the Institution will begin construction to renovate the existing Deer and Tapir area. This project renovates the utility and service infrastructure for the Deer and Tapir Area, consisting of 6.25 acres of failing animal exhibits and paths at Rock Creek. Renovation work includes replacement of severely inadequate site utilities with new water service to permit installation of fire suppression systems, new high-voltage electric service to increase capacity and replace existing single phase service, improved sewer and storm water management, new gas service, new security systems, new perimeter fence and railing, and new fiber-optic and telecommunications backbone. Work includes installation of new service road away from the public paths, and installation of new public walkways that meet ADA guidelines. Existing holding buildings will be replaced with new structures to meet current USDA and AZA animal containment regulations. Holding buildings are designed for energy efficiency and incorporate environmentally sustainable design and construction practices. Fire suppression systems will be installed to reduce fire hazards to the animal collection.

PROGRESS TO DATE:

The A/E concepts and schematic design for the Deer and Tapir area were completed in October 2001.

IMPACT OF DELAY:

The three buildings remaining in this area are on the verge of structural failure. Temporary structural work and temporary heating were installed to keep the buildings functional for one additional winter, until animals could be relocated to other areas of the Zoo or de-accessioned. Existing utility infrastructure for this area is completely

inadequate. This area of the Zoo will be closed to public access if work to replace animal holding areas does not proceed.

This project is the first step toward upgrading buildings, exhibits, and infrastructure at the Zoo's public facility. It is located just inside the front entrance to the Zoo, and is the first animal area visible to the public. Delaying renovation of the Deer and Tapir area for Sloth Bears will also delay repair of other failing facilities at the Zoo, critical work that is planned to follow this project. For example, the Australia building will be uninhabitable and must be closed or replaced within three years. A portion of the Upper Bear Line animal holding area has been closed due to structural failure. Six buildings (Bear, Elephant, Reptile, Small Mammal, Bird, Education/Administration) have leaking or seriously deteriorated roofing systems and are overdue for roof replacement. These same buildings are in need of significant HVAC and electrical system improvements to correct existing deficiencies, meet fire and life safety codes, and accommodate improved animal care requirements, including addition of supplemental heating and/or cooling, increased computer and equipment power loads, animal exhibit/habitat repairs, and increased or changed lighting needs. All water treatment systems for animal life support in the Zoo must be improved and expanded. Seals and sea lions need to be shifted from fresh water to a salt water system to prevent further eye and skin disease. Extensive areas of failing concrete rockwork throughout the Zoo need to be repaired or replaced to maintain secure enclosures, meet animal health needs, and prevent injury from falling concrete. Fire alarm and suppression systems and smoke detection systems need to be extended so that all areas are properly covered and in compliance with current codes.

Without repairs, continued degradation of these buildings will occur and deficiencies will remain, including structural and cosmetic deterioration, roof and wall tank leaks, piping leaks and breaks, unscheduled power, water, and HVAC outages, and telecommunications service interruptions, causing an increased likelihood that the buildings will need to be closed, animal areas condemned, and animals relocated offsite on an emergency basis. If facilities continue to deteriorate, pools will continue to leak, powered doors will continue to fail, electric hot-wires will fail, heating and cooling systems will fail, placing the general public, staff, and collections at risk. Without adequate containment and security, the potential for escape of dangerous animals will increase as facilities age.

PROJECT TITLE: Design Multiple Building Renovations
INSTALLATION: National Zoological Park – Rock Creek
LOCATION: Washington DC

4,300

FY 2003 REQUEST (Thousands of Dollars):

Project Element:

Design

4,300

700

PRIOR YEAR FUNDING (FY 2002):

PROJECT JUSTIFICATION:

The Elephant House was built in 1934 and is in serious disrepair. The Small Mammal house is at the end of its useful life. Fire alarm, smoke detection, and fire suppression systems are significantly deficient and have limited coverage. The HVAC and electrical systems are critically inadequate and do not conform to currently accepted codes and practices for management of these animals and for public health. Air quality problems are a health concern for staff due to inadequate fresh-air supply. Asbestos insulation must be removed from the facility. The roof and skylights leak and are beyond cost-effective repair. Hydraulic doors are failing and being repaired on a weekly basis, increasing the hazard of managing animals. On several recent occasions, maintenance staff have been called in after hours and on weekends to repair elephant and rhino doors so that animals could be permitted to enter or exit the building for critical management. The hot water system is inadequate and failing. Staff office and support space is deteriorated and unusable. A chloramine removal water treatment system is needed for hippos. Exterior yards are too small for the elephants. Improvements must be made to waste handling and control of animal waste in runoff from yards to comply with most current EPA guidelines. Additional shade structures are needed in all yards. Walkway and railing improvements are required for ADA compliance.

PROJECT DESCRIPTION:

This project will initiate A/E design for several areas of the Major Renewal project for the National Zoological Park, which is described in more detail in the previous project description. In FY 2003, design will begin for the Giraffe Relocation and renovation of the Elephant and Small Mammal Houses and the Seal/Sea Lion & Lower Bear Areas.

These areas include approximately eight acres of animal exhibit yards. The project includes schematic design and cost estimating for complete renovation of the existing buildings and a new elephant holding facility that will also provide swing space for temporary relocation of animals during building renovations. Building renovations will include structural repairs, roof and skylight replacement, HVAC, power distribution, lighting, fiber optic backbone, hydraulic doors, people doors, and windows. Fire suppression, smoke detection, and fire alarm systems will be installed or upgraded to reduce fire hazards to the animal collection. In addition, building modifications will be made to improve safety for animal management staff and to provide interior pools and necessary water treatment for improved animal welfare. Site renovations will include upgrade of all underground utilities and services, including: steam, high-voltage electric service, water, sewer, storm drainage, storm water management, telephone, security, fiber-optic, roads, paths, accessibility improvements, and animal containment and animal management improvements. The exterior animal yards will be improved to allow for safe and modern animal management activities, including improved containment, visitor railings, and paths. The project will be designed for energy efficiency and incorporate environmentally sustainable design and construction practices. Work includes installation of new manure collection area to meet EPA regulations, and installation of new public walkways that meet ADA guidelines. Adjacent vacant animal yards will be incorporated so that under-utilized areas are fully renovated.

PROGRESS TO DATE:

A/E design will begin in FY 2002.

IMPACT OF DELAY:

The facilities are rapidly approaching failure and it may be necessary to close them unexpectedly. If work is delayed, critical animal and public health concerns could arise from HVAC systems and animal waste management and control. Electrical power and hydraulic door failures will create unsafe conditions for staff, animals, and the public. Animals, staff, and the public will remain at risk due to lack of adequate fire and life safety systems. These conditions could result in closure of the facilities and the need to relocate animals—some of them very large and difficult to move—on an emergency basis.

CODE COMPLIANCE AND SECURITY

The Smithsonian plans to spend \$5,020,000 in FY 2003 on code compliance and security projects. Listed below are the major categories under Code Compliance and Security, and the major projects.

- **Fire Detection and Suppression Projects.** Provides fire protection and safety measures meeting today's standards with state-of-the-art technology. Typically includes installation of detection systems such as smoke alarms, suppression systems such as sprinklers, and architectural modifications to create fire zones by installing walls and doors with rated fire resistance.
- **Access, Safety and Security Projects.** Provides better access to facilities for persons with disabilities, improves environmental conditions for the health and safety of visitors and staff, and corrects facility conditions that threaten the security of the National Collections.
- **Minor Projects.** Minor projects in these same categories are generally under \$500,000 each and are distributed throughout Smithsonian facilities.

<u>Facility</u>	<u>Major Projects</u>	<u>\$(000)s</u>
Multiple Locations	Provide Guard Services, All Locations	600
Quadrangle	Upgrade Fire Protection System	1,500
Multiple Locations	<u>Minor Projects</u> Implement Miscellaneous projects under \$500,000	2,920
TOTAL		5,020

PROJECT TITLE: Provide Guard Services, All Locations
INSTALLATION: All Facilities
LOCATION: SI-Wide

FY 2003 REQUEST (Thousands of Dollars): 600

PRIOR YEAR FUNDING:

FY 2001 400
FY 2002 500

PROJECT DESCRIPTION:

Smithsonian security forces are assigned to maintain security at Smithsonian facilities whenever contractor staff is on site to perform work on repair, restoration, or alteration projects. The cost of guard services in this request is required for a variety of small RR&A projects at multiple Smithsonian locations. It does not represent the total cost of security services for RR&A because for the larger, discrete projects, such as the major renovations at POB and NMNH, security services are charged directly to the discrete project.

PROJECT TITLE: Upgrade Fire Protection System
INSTALLATION: Quadrangle
LOCATION: Washington, DC

1,500

FY 2003 REQUEST (Thousands of Dollars):

225

PRIOR YEAR FUNDING:

0

Construction

225

Facility Planning and Design

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. Additional audio and visual devices will be added to comply fully with ADA 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 ANSI A17.1 requirements. It will install sprinkler and/or gaseous fire suppression protection in Sackler and NMAfA refrigerated collection rooms. 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.

INFRASTRUCTURE REPAIR

The Smithsonian plans to spend \$27,880,000 in FY 2003 on infrastructure repair projects. Listed below are the major categories included under Infrastructure Repair, and the major projects.

- **General Repairs.** Provides resources for minor, unscheduled-but-essential repairs that the Institution cannot anticipate specifically or that do not fit into any one discrete category.
- **Façade, Roof, and Terrace Repairs.** Provides exterior repair and maintenance to building envelopes to prevent major structural and interior damage and deterioration due to age, water intrusion, and weathering.
- **Utility System Repairs.** Maintains, repairs, and upgrades the HVAC systems and plumbing, electrical, and communications systems. Ensures reliable and energy-efficient operation of utility systems through ongoing renovation, repairs, and replacement of deteriorated equipment.
- **R&R Planning, Design, and Inspection.** Supports projects to identify and analyze long-range repair and restoration needs and to design future-year projects in advance of funding requests.
- **Alterations and Modifications.** Provides for smaller, program-oriented construction projects with estimated construction costs of less than \$1 million.

<u>Facility</u>	<u>Major Projects</u>	<u>\$(000)s</u>
Cooper-Hewitt Museum	Restore Mansion Interior	700
Hirshhorn Museum	Improve Interior Lighting	1,000
Multiple Locations	Minor General Repair, including SI Craft Services	3,750
Multiple Locations	Emergency and General Repair	4,000
Multiple Locations	Personnel, Reprographics, and Library	3,500
Multiple Locations	Miscellaneous Utility Repair	500
American History Museum	Repair Mechanical & Electrical Systems	2,000
National Zoological Park	Repair/Improve HVAC Systems, Rock Creek	760
National Zoological Park	Repair Roads, Bridges and Erosion	700
National Zoological Park	Misc. General Repairs and Painting	500
Environmental Research Ctr.	Install Utility Connection to Research Center	550
Multiple Locations	Planning, Design and Inspection Services	3,325
Multiple Locations	Alterations and Modifications	3,000
Facility	Minor Projects	\$(000)s
Multiple Locations	Implement miscellaneous projects under \$500,000	3,595
TOTAL		27,880

PROJECT TITLE: Restore Mansion Interior
INSTALLATION: Cooper-Hewitt, National Design Museum
LOCATION: New York City, NY

FY 2003 REQUEST (Thousands of Dollars): 700

Project Element: 700
Interior Rehabilitation

PRIOR YEAR FUNDING: 375

PROJECT DESCRIPTION:

This project consists of the rehabilitation of the ground floor public spaces as well as the first floor ticket and coatroom areas of the Carnegie Mansion, the main structure of the National Design Museum located on Museum Mile in New York City. These areas of the Museum have not been altered since the mansion became a museum in the 1970's. The lecture room is the main public meeting space within the Museum and is utilized for all public presentations, workshops and outreach programs as well as Museum board and staff meetings. It provides studio space for the interactive programs that the museum offers to school groups and design professionals alike. Registration and enrollment for many of these programs and events often exceeds 100 people. Ticketing and coat check areas do not meet growing visitation and newly recognized security needs.

PROJECT JUSTIFICATION:

Due to the present constraints, all of these areas become extremely congested during public events and peak visitation. The restrooms, lecture room and egress corridors of the ground floor do not meet current ADA and Smithsonian Institution accessibility standards. Some of the rudimentary issues have been addressed by in-house museum staff, leaving the Museum's premier public meeting space with a look that is neither unified nor well defined.

During normal hours of operation, visitors check coats with admissions staff at a combined ticket/coat check counter directly inside the main entry of the Museum. During peak visitation, the present ticketing/coat check operation is

quickly overwhelmed. Visitors must queue in the doorway and outside of the main entry. In addition, recent events have caused an increase in security inspections and procedures that further congests the already tight main ticket counter area.

IMPACT OF DELAY:

A delay will limit public programming and cause a loss of ticket sales at the museum due to the lack of serviceable lecture room facilities, restrooms and other visitor services. Increased security inspections will continue to create congestion in the museum main entrance during peak periods and events.

PROJECT TITLE: Improve Interior Lighting
INSTALLATION: Hirshhorn Museum and Sculpture Garden
LOCATION: Washington DC

FY 2003 REQUEST (Thousands of Dollars): 1,000

PRIOR YEAR FUNDING:

FY 1997	53
FY 1998	860
FY 2000	110
FY 2001	42

1,065

PROJECT DESCRIPTION: This project is an ongoing project begun in FY 1997. It involves upgrading and replacing the exhibit lighting in the Hirshhorn Museum and Sculpture Garden. The Institution used prior year funding to upgrade and replace the lighting in the second and third floor exhibit galleries. The FY 2003 project is to complete this work in the ambulatory exhibit spaces, as well as in the stage and booth areas in the auditorium.

PROJECT TITLE: Minor General Repair, including SI Craft Services
INSTALLATION: All Facilities
LOCATION: SI-Wide

FY 2003 REQUEST (Thousands of Dollars): 4,000

PRIOR YEAR FUNDING:

FY 2001 1,500
FY 2002 2,375

PROJECT DESCRIPTION:

This request is to provide minor general repair, including craft services throughout the Institution. Projects at this level generally fall below \$50,000 and include such things as replacing broken or failing pipes, painting, repairing damaged floors, patching walls, etc. Work in this category may be performed either by outside contractors or by Smithsonian staff.

PROJECT TITLE: Emergency and General Repair
INSTALLATION: All Facilities
LOCATION: SI-Wide

FY 2003 REQUEST (Thousands of Dollars): 4,000

PRIOR YEAR FUNDING:

FY 2001 2,000
FY 2002 4,355

PROJECT DESCRIPTION:

This request is to provide emergency repair and general repair throughout the Institution. Projects at this level generally fall between \$50,000 and \$200,000 and include unanticipated and emergency repair needs.

PROJECT TITLE: Personnel, Reprographics, and Library
INSTALLATION: All Facilities
LOCATION: SI-Wide

FY 2003 REQUEST (Thousands of Dollars):

3,500

PRIOR YEAR FUNDING:

FY 2001
FY 2002

600
1,860

PROJECT DESCRIPTION:

This request includes staff costs for term and temporary design management, permanent construction management and contract supervision and administrative staff. The permanent staff of 22 construction management engineers will cost approximately \$2.5 million in FY 2003. An additional 5 construction management staff are budgeted for the POB renovation project and are included in the description of that project. The engineers directly supervise construction contractors on site performing RR&A work in Smithsonian buildings to be sure 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 RR&A work expected to be in progress during FY 2003, and annually thereafter, and 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. The Smithsonian expects to begin this "project funding" of construction management staff in FY 2002.

In addition, this request 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 RR&A program.

PROJECT TITLE: Miscellaneous Utility Repair
INSTALLATION: All Facilities
LOCATION: SI-Wide

FY 2003 REQUEST (Thousands of Dollars):

500

PRIOR YEAR FUNDING:

FY 2001

800

FY 2002

500

PROJECT DESCRIPTION:

This request supports utility repair throughout the Institution. Examples of work performed include repair and/or replacement of chillers, boilers, and lighting systems, and HVAC repair. Work may be performed by outside contractors or by Smithsonian staff.

PROJECT TITLE: Repair Mechanical & Electrical Systems
INSTALLATION: National Museum of American History
LOCATION: Washington DC

FY 2003 REQUEST (Thousands of Dollars): 2,000

Project Elements:
Repair Basement Steam Condensate Lines 1,000
Repair Condensate Lines to Convectors and Heating Units 400
Repair Steam Pressure Reducing Valve Stations 300
Air Condition High Voltage Vaults 300

PRIOR YEAR FUNDING: 250

Construction 0
Conceptual Planning 42
Design (2001) 208

PROJECT JUSTIFICATION:

Basement steam condensate return is in poor to fair condition. Active leaks have plagued basement storage collection areas that the steam returns run through. Steam condensate returns include high-, medium-, and low-pressure returns, as well as vacuum return and vacuum-pumped return. Steam condensate return piping from the convectors in the stairs, as well as fin tube radiation in the Railroad Hall, Agricultural Hall, and Taylor Gallery are in poor condition. The east wing and west wing PRV stations are in fair to poor condition with many valves in both stations leaking substantially. The PRV station in the central plumbing mechanical room is also in fair to poor condition. Electrical equipment in the five vaults is in danger of overheating and malfunctioning in the summer if active cooling is not provided.

PROJECT DESCRIPTION:

During previous renovations, some of the steam system serving the basement was converted to a hot water heating system, but a large portion of the original steam system remains. This project replaces all the original steam condensate lines downstream from equipment traps. Steam condensate risers extending up to the fourth floor and those serving convectors and heating units will also be replaced. Because existing risers are located in hard-to-reach spaces, routing for new risers must be found in lieu of replacing existing risers. Additionally, three steam-pressure-reducing stations in the basement will be replaced. Condensate lines will be replaced in the summer.

Four electrical vaults in the basement and another on the fourth floor are currently cooled by outside air. During the summer months, the temperature in these vaults rises and causes overheating of the electrical equipment. This project adds supplemental air handling equipment with chilled water coils. The new cooling equipment will take over the current heating and ventilating system when the vault temperatures rise to unacceptable levels.

IMPACT OF DELAY:

Continued degradation of steam condensate lines, including leaks and loss of service to the facility, will occur. Overheating of electrical vaults could cause malfunction and loss of electrical service to the facility.

PROJECT TITLE: Repair/Improve HVAC Systems at Rock Creek
INSTALLATION: National Zoological Park
LOCATION: Washington DC

FY 2003 REQUEST (Thousands of Dollars): 760

PROJECT DESCRIPTION

This project supports maintenance and repair of approximately 80 percent of the HVAC operating equipment at the Zoo's Rock Creek and Front Royal sites. Each year, planned improvements and unplanned equipment replacement must be performed with these funds. If this work is not funded, there will be significant animal health, staff health, and public health problems due to equipment failures and lack of repair.

PROJECT TITLE: Repair Roads, Bridges, and Erosion
INSTALLATION: National Zoological Park
LOCATION: Washington DC

FY 2003 REQUEST (Thousands of Dollars): 700

PROJECT DESCRIPTION

Repairs are needed to the three bridges at the Zoo that cross Rock Creek. Lead paint must be removed from the Harvard Street Bridge, rust stains removed, and railings repaired and repainted. In addition, the paving is in need of replacement. The two stone bridges over Rock Creek are in need of repair and re-pointing. Work is also required to correct erosion problems around the bridges. If this work is not performed, the bridges will continue to deteriorate, erosion will continue, and lead paint will flake, creating a hazard to the public entering the Zoo at that location.

PROJECT TITLE: Miscellaneous General Repairs and Painting
INSTALLATION: National Zoological Park
LOCATION: Washington DC

FY 2003 REQUEST (Thousands of Dollars): 500

PROJECT DESCRIPTION:

Each year, planned minor repairs, unplanned failures, and animal management issues arise requiring immediate action and available funds. Work such as replacing damaged railings, painting excessive rust or flaking animal enclosures, building a stall for a critical animal care operation, covering emergency equipment failures, and making improvements for animal enrichment is performed with these funds. If this work is not funded, equipment failures could result in unplanned closures of buildings or the entire facility.

PROJECT TITLE: Install Utility Connection to Experimental Research Center
INSTALLATION: Smithsonian Environmental Research Center (SERC)
LOCATION: Edgewater, MD

FY 2003 REQUEST (Thousands of Dollars): 550

PROJECT DESCRIPTION:

The SERC Experimental Research Center facilities are separated from the main SERC research facilities. There is no direct data cable, communications cable, or conduit connection between these major research centers. This project will install a multiple-conduit duct bank between the research sites to provide backbone communications and data link connection. If this connection is not installed, SERC will continue to operate with inadequate communications and data connections between the major research centers. The inefficiencies of this outdated system will continue to hinder SERC's ability to operate its basic research and educational programs.

PROJECT TITLE: Planning, Design and Inspection Services
INSTALLATION: All Facilities
LOCATION: Smithsonian-wide

FY 2003 REQUEST (Thousands of Dollars): 3,325

PRIOR YEAR FUNDING:

FY 2001 1,190
FY 2002 2,500

PROJECT DESCRIPTION:

Feasibility studies, needs assessment, and design for Repair and Restoration projects are required before repair and restoration work can take place. Planning, design and inspection services in this request are required for a variety of RR&A projects at multiple Smithsonian locations. The funding will allow development of a project baseline, including costs, scope and schedule, prior to receiving funding to perform the work. For the larger, discrete projects, such as the major renovations at POB and NMNH, design services are charged directly to the project.

PROJECT TITLE: Alterations and Modifications
INSTALLATION: All Facilities
LOCATION: Smithsonian-wide

FY 2003 COST ESTIMATE (Thousands of Dollars): 3,000

PRIOR YEAR FUNDING:

FY 2001 2,470
FY 2002 2,800

PROJECT DESCRIPTION:

The Institution must make changes, improvements or minor additions to existing space and plan for future requirements, in order to maintain the vitality and operating effectiveness of its programmatic activities. Funds in this category allow staff to contract for space planning and feasibility studies to ensure the best programmatic use of space as needs change, 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 performed in the Alterations and Modifications category in FY 2001 include:

- NMAH Music Hall
- HMSG Space Utilization Study
- NMNH Film Archives
- SAO Dorm Extension
- SIL Compact Shelving
- NZP Education/Administration Office Modifications
- SERC, Stormwater Management, Pond Two
- SERC, Approach Road Realignment
- SERC, Lab Addition, Phase Five

Work planned for FY 2002 includes:

- HMSG Education Room
- NMAH Exhibit Hall Renovation
- NMAI Pavilion Renovation
- NMNH Exhibit Hall Demolition

ROUTINE MAINTENANCE AND REPAIR

In July 2001, a study of the Smithsonian facilities program by the National Academy of Public Administration (NAPA) recommended that the Institution “develop and implement a structured maintenance program that includes preventive maintenance, periodic testing and inspection, and programmed maintenance.” The Institution recently submitted a report to Congress, *Assessment of the Smithsonian Facility Maintenance Program*, which outlines such a program. Routine maintenance and repair is the upkeep of property and equipment, and work necessary to realize the originally anticipated useful life of a fixed asset. The monumental buildings of the Smithsonian have lifetimes that last centuries, although most of the building components have a design service life of typically between 10 and 30 years. An effective maintenance program is critical to ensuring that building components remain at their original capacity, efficiency, or capability throughout their service lives. Without proper maintenance, systems and components deteriorate at a greater than normal rate, leading to equipment breakdown, premature failure, decline in appearance, increased operations costs, and shortening of the asset’s useful life. Thus, an inadequate maintenance program causes an increase in revitalization or replacement requirements. The Institution’s planned RR&A program will balance the need to provide more effective maintenance of its facilities with the requirement to revitalize and modernize those buildings and systems already at the end of their useful service lives.

Reliability Centered Maintenance (RCM). RCM is a maintenance philosophy that incorporates the most logical and cost-effective mix of predictive, proactive, preventive, and breakdown (reactive) maintenance. The mix is a function of the degree of required reliability, or, conversely, the impact of failure of systems and structure components supporting organization activities and objectives. Overall, development of RCM and its measured application of the underlying four maintenance processes, deployed in parallel with a modern computerized maintenance management system, results in attainment of the full expected life of equipment and infrastructure, lower life cycle maintenance costs, and greatest reliability of equipment.

RCM entails risk-based plant management with precision condition monitoring using advanced technologies, so that the Institution spends its maintenance resources more wisely. As much as half of the \$1.9 million for preventive maintenance funds in the FY 2002 RR&A budget will be used to develop an implementation strategy to expand the use of modern maintenance analyses, equipment, training, and practices and to begin implementation.

Funds provided will also be used to hire additional staff to increase maintenance performed, and coordinate design review and commissioning of new and renovated facilities. Based on the experience of other agencies, such as NASA and the National Security Agency, implementing RCM at the Smithsonian will probably cost about \$3-4 million over a two-to-three year period. This investment will be recovered in about three years from the benefits of more effective and efficient maintenance activities and avoiding emergency repair costs.

The \$2.1 million requested in FY 2003 will complete the conversion to RCM as well as pay the salaries and benefits of the additional maintenance staff. Beginning in FY 2002, the Institution expects to hire 33 new staff to implement RCM and increase maintenance capacity. The full year annual cost in FY 2003 is projected to be \$1.5 million. The staff will include an Associate Director for Reliability Centered Maintenance (GS-15); 12 engineering technicians (GS-11/12), to perform testing of building systems and components, review designs for repair and construction projects from a maintenance perspective, and provide commissioning support for new facilities and major renovations to include evaluating contractor submittals, acceptance testing, and establishing RCM baseline data at the end of the project; and 20 HVAC mechanics (WG-10) to perform maintenance on existing facilities.

<u>Facility</u>	<u>Projects</u>	<u>\$(000)s</u>
Multiple Locations	Conversion to Reliability Centered Maintenance Process	2,100

CONSTRUCTION

	SI	NZIP	TOTAL
FY2001 Appropriation	\$4,490,000	\$4,989,000	\$9,479,000
FY2002 Appropriation	\$30,000,000	0	\$30,000,000
FY2003 Estimate	\$12,000,000	0	\$12,000,000

Plans for facility development represent a major investment in the continuing vitality of all Smithsonian programs. The creation of the National 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 FY 2003 Construction program includes:

National Museum of the American Indian	Mall Museum	\$10,000,000
National Museum of the Natural History	Museum Support Center, Pod Five Design	<u>2,000,000</u>
Total		\$12,000,000

The FY 2003 request proposes bill language to authorize the use of Construction project funds for payment of salaries for construction management staff. Five construction management staff will be funded from NMAI Mall Museum funds.

**Smithsonian Institution
Long Range Construction Program
FY 2003 - FY 2007**

ESTIMATED COSTS \$ Millions	Federal Funding						Additional Funding Prior & Future
	Prior Funding	Request FY 2003	Future Program Based on Approved FY 2003 Budget				
			FY 2004	FY 2005	FY 2006	FY 2007	
National Museum of the American Indian Mall Museum							
Plan/Design: 23.3	23.3						
Construction: 176.0	80.0	10.0					86.0
Equipment:							
199.3	103.3	10.0					86.0
National Museum of Natural History Museum Support Center Pod 5							
Plan/Design: 2.0		2.0					
Construction: 23.0			12.0	11.0			
Equipment: 4.5				2.0	2.5		
29.5		2.0	12.0	13.0	2.5		
To Be Determined					10.5	13.0	
TOTAL		12.0	12.0	13.0	13.0	13.0	

The Institution's five-year plan for construction is not complete. Additional important requirements for the outyears have been identified and are awaiting internal review and approval. These outyear projects have not been included in these estimates.

PROJECT TITLE: Construct Mall Museum
INSTALLATION: National Museum of the American Indian (NMAI)
LOCATION: Washington DC

FY 2003 REQUEST (Thousands of Dollars):
Begin Option C (completion of interiors) 10,000

PRIOR YEAR FUNDING (Federal): 103,300

Project Element:
Construction (including construction management and contingency) 80,000
Planning & Design 23,300

PRIOR YEAR FUNDING (Trust): 65,200

PROJECT JUSTIFICATION:

This project was established by legislation and has already received \$103.3 million in federal funding. The original cost estimate was \$110 million, to be shared 2/3 federal and 1/3 private. The estimate was increased to \$199.3 million in FY 2002, of which an additional \$10 million is included in this FY 2003 request. The balance will require additional fundraising. An additional \$20 million in trust funds is also projected to cover opening costs, bringing the project budget to \$219.3 million. The construction of the foundation and superstructure began with a Notice-to-Proceed on June 30, 2001, and construction is ongoing. Building and completing this Museum is essential to honoring the commitments made to U.S. taxpayers, private donors, and the Native American community.

PROJECT DESCRIPTION:

The National Museum of the American Indian Mall Museum is the third and final facility established by Public Law 101-185 (1989) for the NMAI within the Smithsonian Institution. The building consists of five stories above grade,

two mechanical mezzanine levels, and a basement. It houses a five-story, domed atrium, several large exhibit galleries, a 300-seat theater, a native-foods café, Museum shops, and office and support areas. The site contains several outdoor gathering and performance areas, water features, and a native habitat landscape.

Excavation, sheeting, shoring, and dewatering were completed under the Site Preparation Contract in January 2001. The building package was divided into a base bid with several options, devised to follow a critical path construction schedule and anticipated funding stream. The base bid is a foundations and structure package; Option A is the core and shell; Options B and C comprise the interior fit-out, furnishings, and equipment, and the completion of the landscaping and site work. A construction contract was awarded to Clark/TMR, A Joint Venture, on June 20, 2001. The base bid and the stone portions of Options A and B were exercised in the initial contract phase. The \$30 million FY 2002 appropriation will be supplemented with trust funds in order to award the balance of Options A and B before prices for these options expire on February 1, 2002. The \$10 million requested in FY 2003, supplemented with trust funds, will be awarded in the fall of 2002 to begin Option C to build out the interiors. The Institution will use a portion of funds previously budgeted for construction management services to hire 5 engineers to perform construction contract supervision and administration. These staff will perform owner's representative functions to ensure quality work is completed safely. The National Museum of the American Indian will open in the summer of 2004.

IMPACT OF DELAY:

Delay in awarding the balance of the construction contract options will push the Museum opening date beyond the summer of 2004. Contract Option C, which completes the balance of the interiors, will expire on November 1, 2002. Therefore, the Institution wishes to award this option with FY 2003 funding and supplemental trust funds in the fall of 2002 to avoid an increase in costs. Delay in the funding stream will delay the critical path progress and increase project construction costs, construction management costs, and the contingency reserve.

PROJECT TITLE: Design Pod 5
INSTALLATION: Museum Support Center
LOCATION: Suitland, MD

FY 2003 REQUEST (Thousands of Dollars):

Design development and construction documents 2,000

FUTURE YEAR FUNDING

Site work and construction of code-compliant Storage building for alcohol collections	23,000
Fit out storage equipment and move of alcohol collections into building	4,500

PROJECT JUSTIFICATION: The design and construction of Pod 5 is the Smithsonian’s highest priority safety and security project. The Smithsonian has the largest collection of preserved animal species in the world. This irreplaceable collection is at risk of total loss because it is stored in space 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 life safety codes in the following ways:

1. Maximum allowable size for an inside alcohol storage room is 500 square feet. Alcohol is stored in a 14,400-square-foot room, a 15,100-square-foot room, an 11,600-square-foot room, and three rooms in excess of 2,500 square feet each.
2. Wall, floors, and ceilings must be rated for 2-hour fire resistance. Only one 3,000-square-foot room meets this requirement.
3. Maximum allowable alcohol to be stored in one room is 5,000 gallons. All rooms exceed this limit.
4. Alcohol storage rooms must have sprinkler systems in compliance with Extra Hazard Group II. Most rooms do not have this extra sprinkler capacity.

5. Alcohol rooms must have liquid-tight floors and spill-proof containment to prevent burning liquid from leaking through floors, walls, or under doors to non-protected spaces. The rooms do not meet these requirements.
6. Alcohol storage rooms must have sufficient drainage in order to remove spills or leaks to a safe location. The rooms do not meet these requirements.
7. 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. The rooms do not meet these requirements.
8. Alcohol storage rooms must be continuously exhausted to the outside and alarmed if mechanical ventilation fails. The rooms do not meet these requirements.
9. Aisle width within the rooms must be a minimum of 3 feet to allow free egress in case of emergency. The rooms do not meet these requirements.

Renovating the existing space to become code compliant can only be achieved through extraordinarily disruptive and costly means, including the procurement of swing space and moving these hazardous collections two times. Moving the containers out and then back doubles the risk to the fragile collections.

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. Only one move of the collections would be required, lessening by half the risk of damage to them.

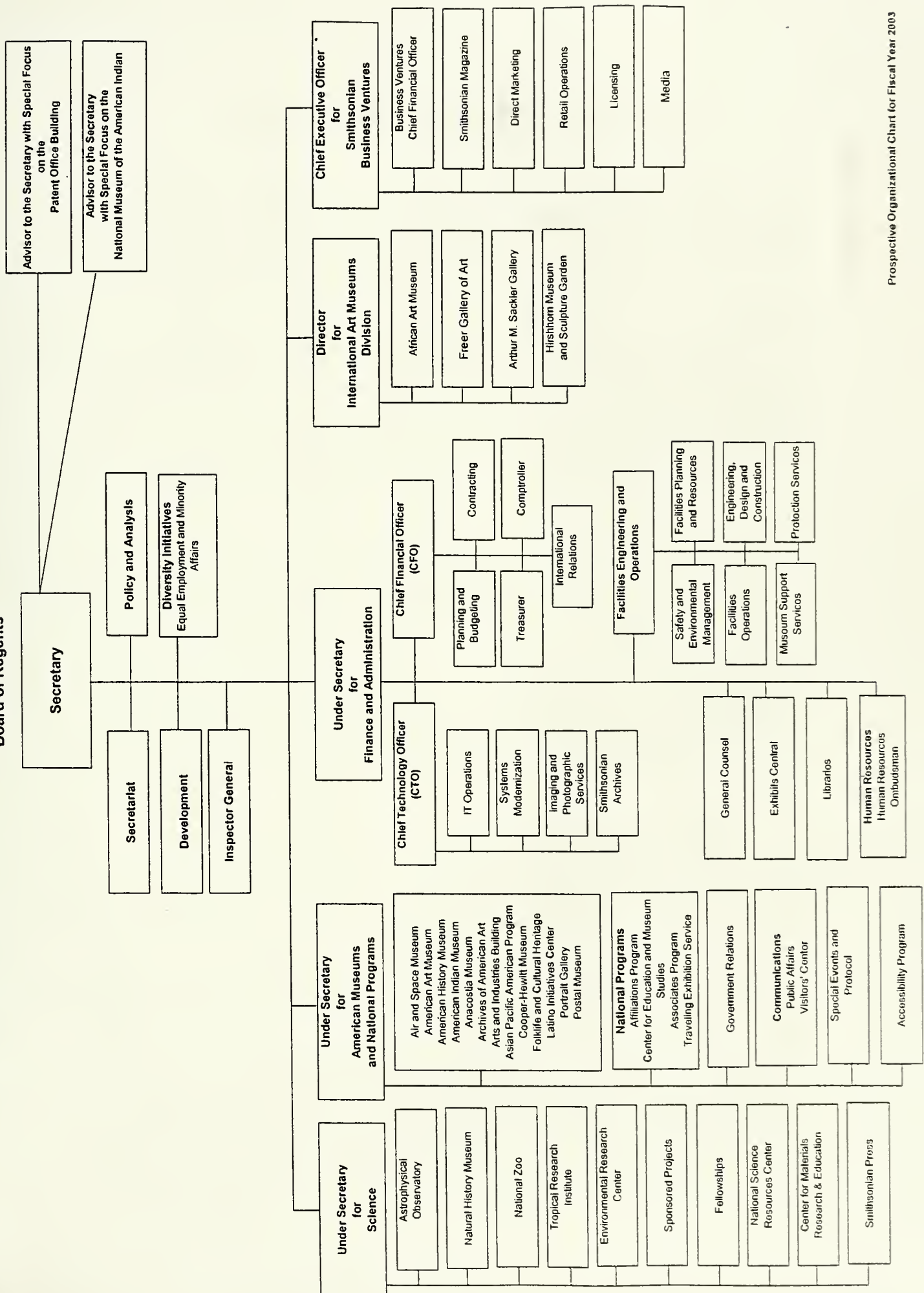
PROJECT DESCRIPTION: The Smithsonian Institution's Museum Support Center is a state-of-the-art research, conservation, and collections storage facility. The facility houses no public exhibits and dedicates its space to providing optimum environments for the preservation and study of Smithsonian collections. Four large storage bays and an office/laboratory complex make up the Museum Support Center. The third bay, or pod, was intended for use as alcohol collections storage. A lengthy design process was undertaken to complete the installation of a steel collections storage structure in Pod 3. Due to current code requirements and collection needs, 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 would still be unable to satisfy all the collection needs. While a portion of the alcohol collections will

temporarily remain in Pod 3, the need remains for a code-compliant alcohol collections storage facility that will permanently house all of the alcohol collections.

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.

SMITHSONIAN INSTITUTION

Board of Regents



**VISITS TO THE SMITHSONIAN
FY 1997–FY 2001**

<u>MUSEUM</u>	<u>FY 1997</u>	<u>FY 1998</u>	<u>FY 1999</u>	<u>FY 2000</u>	<u>FY 2001</u>
MALL					
SI Castle	1,812,172	1,890,838	1,854,903	1,836,963	1,857,990
A&I Building	986,348	875,853	742,415	868,171	1,167,490
Natural History	5,859,717	6,476,700	7,076,380	9,489,272	9,100,091
Air and Space/Silver Hill	8,348,096	10,238,890	9,410,872	9,008,608	9,831,447
Freer Gallery	290,939	330,104	364,305	347,607	306,065
Sackler Gallery	176,627	207,653	213,276	224,151	192,296
African Art	227,703	232,939	245,786	234,295	214,775
Ripley Center	134,579	300,147	333,537	502,334	555,183
American History	5,106,387	5,579,039	5,680,001	6,261,715	5,798,993
Hirshhorn	767,229	829,782	795,646	951,570	731,453
OFF MALL					
American Art/ Portrait Gallery ¹	374,494	550,087	362,854	176,881	0
Renwick	132,481	130,700	125,910	146,071	149,777
Anacostia ²	7,206	26,100	25,794	3,302	0
Cooper-Hewitt	100,804	131,949	108,579	150,786	136,329
American Indian ³	577,962	615,697	587,546	498,316	413,470
National Zoo	2,634,000	2,800,000	2,682,283	2,360,876	2,807,353
Postal	450,288	423,760	461,743	450,483	400,478
TOTAL⁴	27,987,032	31,640,238	31,071,830	33,511,401	33,663,190

¹Closed to the public January 2000 through present.

²Closed to the public December 1996 through January 1998, September 1998, and December 1999 through present. Scheduled to reopen to the public on February 11, 2002.

³Includes the George Gustav Heye Center, which opened in 1994, and the Cultural Resources Center, which opened in April 2000.

⁴As a result of events of September 11, 2001 visitation is expected to be down sharply in FY 2002.

SPECIAL FOREIGN CURRENCY PROGRAM

Program of Grants for Research - Through its Special Foreign Currency Program, the Smithsonian has made grants to United States universities, museums, and other institutions of higher learning (including the Institution itself) primarily for research and advanced professional training in fields of traditional Smithsonian competence.

Excess currency appropriations directly funded the program through FY 1986. Outlays from budget authority provided through FY 1986, including the Forward-funded Reserve for the American Institute of Indian Studies, have continued. In addition, since FY 1986 the Smithsonian has received allocations of U.S.-owned Indian rupees from funds appropriated to the Department of State in FY 1985 for the establishment of the U.S.-India Fund for Education, Cultural, and Scientific Cooperation.

Since its initiation in 1965, the Smithsonian Foreign Currency Program has been a major source of support for research carried out by United States institutions in those countries for which excess foreign currencies are available. The full responsibility for the design, execution, and publication of research results rests with the scholar working within a program of a United States institution. Smithsonian foreign currency grants strengthen the fundamental research and training activities of collaborating institutions abroad, because most projects directly involve host country institutions and scholars. Ongoing research supported by these grants included projects in archeology, anthropology, art history, natural sciences, and astrophysics.

Forward-Funded Reserve for the American Institute of Indian Studies - Since 1967, the Smithsonian has provided annual funding through the Special Foreign Currency Program to the American Institute of Indian Studies (AIIS) for its fellowships, research, symposia, and publications programs, as well as for its administrative costs. The Smithsonian has helped sustain this Institute and other American research centers abroad for more than 30 years because of their contributions to scholarship and science without regard to national boundaries and because of their special service to American scholars.

With Special Foreign Currency Program funding received from FY 1980 through FY 1985, the Smithsonian established a forward-funded reserve of \$7,170,000 equivalent in rupees. This reserve enabled the AIIS to sustain its programs after the removal of India from the excess currency list in 1985. Since FY 1986, AIIS, with oversight from the Smithsonian,

has drawn upon funds in this reserve for its fellowship program and administrative costs in India. The Institution continues to examine annual proposals through its peer review system before releasing funds to AIFS.

The reserve should provide core support for AIFS programs well into the new millenium. In 1990, Congress authorized the deposit of the reserve in interest-bearing (rupee) accounts in order to help continue the viability of the fund. In FY 1993, the first deposits totaling an equivalent of \$4,000,000 were made to the interest-bearing accounts. Most of the funds remaining in the reserve were deposited into interest-bearing accounts in FY 1995. The first draw-down of those funds occurred in 1998 when the last rupee grant was made.

TRUST FUNDS

In addition to support provided by federal appropriations, the Institution receives trust funds to expand and enrich its programs. The following provides an overview of all sources of funding.

The Institution's trust funds include general trust funds with limited or no restrictions on their use, designated funds restricted by the donor or sponsor, and government grants and contracts. Projections are subject to the uncertainty of the size of donations, grants, and contracts; to fluctuations in visitor attendance; and to the volatility of the economy, which directly affects the return on the endowment and donor giving, as well as restaurant, mail order, and museum shop revenues, memberships, and other auxiliary activities. The Institution's gross operating revenue, less the expenses of the auxiliary activities, represents the net operating revenue available for programmatic and related purposes. The following table provides a summary of the sources of trust operating funds.

(Dollars in Millions)	FY 2001 Actual	FY 2002 Estimate
General Trust	94.0	72.0
Donor/Sponsor Designated	123.0	80.0
Government Grants & Contracts	80.0	70.0
Total Available for Operations	297.0	222.0

SOURCE AND APPLICATION OF TRUST FUNDS - The following sections describe the sources of each category of trust funds as well as a general description of their application.

General Trust Funds - The sources of general trust funds are investment income; earnings from unrestricted endowments; net proceeds from the museum shops, mail order, and food service concessions; sales of Smithsonian books, records, and other products based on designs and objects in the collections; theater/planetarium operations at the National Air and Space Museum and the Samuel C. Johnson IMAX Theater in the National Museum of Natural History; rental of exhibitions of the Smithsonian Institution Traveling Exhibition Service; membership programs (including *Smithsonian* and *Air and Space* magazines); the sale of posters, exhibition brochures, catalogs, and other publications; and admission fees. During the first quarter of FY 2002, the Smithsonian Institution experienced a dramatic decline in visits following the September 11th attacks. As a result, the Smithsonian museum shops and concessions experienced a corresponding reduction in sales and earnings. Projected sources of FY 2002 general trust funds total \$72,000,000. These funds are used to

support administrative programs such as central management, legal counsel, accounting, personnel, contracting, and budget, as well as education, research and public programs such as fellowship and award programs, scholarly studies, and exhibitions.

Donor/Sponsor Designated Funds - Designated trust funds include gifts, grants, and earnings on endowments from individuals, foundations, organizations, and corporations that specify the purpose of the funds. Designated funds in FY 2002 are projected to total \$80,000,000. Generally, these funds support a particular exhibition or program, are used to manage the Smithsonian collections, and/or support research projects.

Government Grants and Contracts - Various government agencies and departments provide grants and contracts for projects that only the Smithsonian can conduct because of its expertise in a particular area of science, history, art, or education and because of its ability to respond quickly to certain needs. For FY 2002, government grants and contracts are projected to be \$70,000 000. Of this amount, \$58,000,000 is provided for astrophysical research and development carried out by the Smithsonian Astrophysical Observatory.

APPROPRIATION LANGUAGE AND CITATIONS

The Act of August 10, 1846, 9 Stat. 102-106, 20 U.S.C. §§ 41-70, established the Smithsonian Institution "for the increase and diffusion of knowledge," and provided the organizational structure for the Institution's administration. The mission of the Smithsonian Institution has remained unchanged throughout its 156-year history, although additional authority for many of the Institution's programs and operations has been enacted over the years. Those statutes, along with the Smithsonian charter, are cited below as the authority for the Smithsonian Institution appropriation language, except where specific authorizing language has been included in the wording of the appropriation itself.

Appropriation: Salaries and Expenses

1. For necessary expenses of the Smithsonian Institution, as authorized by law, including research in the fields of art, science, and history;

20 U.S.C. §§ 50, 53a, 69, 75b(b), 76bb(c), 77a, 78, 80a(a), 80m, 80q-1(b)(1),(3) provide that (1) "...all objects of art and of foreign and curious research, and all objects of natural history, plants, and geological and mineralogical specimens...shall be so arranged and classified...as best to facilitate the examination and study of them..." (2) "Appropriations are authorized for...the making of solar observations at high altitudes..." (3) "The Secretary of the Smithsonian Institution is hereby authorized...to continue independently or in cooperation anthropological researches among the American Indians and the natives of lands under the jurisdiction or protection of the United States..." (4) "The Gallery [National Portrait Gallery] shall function 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 of the artists who created such portraiture and statuary." (5) "The Joseph H. Hirshhorn Museum and Sculpture Garden...shall be used for the storage, exhibition, and study of works of art..." (6) "The national air and space museum shall...provide educational material for the historical study of aviation and space flight." (7) "The Secretary of the Smithsonian Institution is authorized to cooperate with any State, educational institution, or scientific organization in the United States for continuing paleontological investigations..." (8) "It shall be equipped with a study center

for scholarly research into the meaning of war, its effect on civilization, and the role of the armed forces..." (9) "...the Board may...conduct programs of research and education (in the Museum of African Art)..."(10) The purposes of the National Museum [of the American Indian] are to (1) advance the study of Native Americans, including the study of language, literature, history, art, anthropology, and life...(3) provide for Native American research and study programs.

2. development, preservation, and documentation of the National Collections;

20 U.S.C. §§ 50, 50a, 59, 69, 75e, 76c, 76cc(a), 77a, 80a, 80m, 80q-1(b)(2), 81 provide that (1) "...all objects of art and of foreign and curious research, and all objects of natural history, plants, and geological and mineralogical specimens...shall be delivered to such persons as may be authorized by the Board of Regents to receive them, and shall be so arranged and classified...as best to facilitate the examination and study of them..." (2) "The Smithsonian Institution is authorized to include in its estimates of appropriations such sums as may be needful for the preservation and maintenance of the John Gellatly art collection." (3) "All collections of rocks, minerals, soils, fossils, and objects of natural history, archaeology, and ethnology...when no longer needed for investigations in progress shall be deposited in the National Museum." (4) "The Secretary of the Smithsonian Institution is hereby authorized...to continue independently or in cooperation...the excavation and preservation of archaeological remains." (5) "...the Board may - (1) purchase, accept, borrow, or otherwise acquire portraiture, statuary, and other items for preservation, exhibition, or study." (6) "...the Regents are authorized...to acquire (by purchase or otherwise) and sell contemporary works of art or copies thereof..." (7) "There is established in the Smithsonian Institution a Board of Trustees...which shall have the sole authority (i) to purchase or otherwise acquire...works of art for the Joseph H. Hirshhorn Museum and Sculpture Garden..." (8) "The national air and space museum shall...collect, preserve, and display aeronautical and space flight equipment of historical interest and significance..." (9) "...the Smithsonian Institution shall collect, preserve, and exhibit military objects of historical interest and significance." (10) "...the Board may purchase, accept, borrow or otherwise

acquire additional works of art or any other real or personal property for the Museum (of African Art); preserve, maintain, restore...or otherwise hold any property of whatsoever nature acquired..." (11) "The purposes of the National Museum [of the American Indian] are to...(2) collect, preserve, and exhibit Native American objects of artistic, historical, literary, anthropological, and scientific interest..." (12) "The National Zoological Park is placed under the direction of the Regents of the Smithsonian Institution, who are authorized to transfer to it any living specimens, whether of animals or plants, in their charge, to accept gifts for the park...to make exchanges of specimens..."

3. presentation of public exhibits and performances;

20 U.S.C. §§ 75b(b), 76c(b), 76bb(c), 77a, 80a(a), 80m(a), 80q-1(b) provide that (1) "The Gallery [National Portrait Gallery] shall function as a free public museum for the exhibition and study of portraiture and statuary..." (2) "In order to encourage the development of contemporary art and to effect the widest distribution and cultivation in matters of such art, the Regents are authorized to...conduct exhibitions..." (3) "The Joseph H. Hirshhorn Museum and Sculpture Garden...shall be used for the storage, exhibition, and study of works of art..." (4) "The national air and space museum shall...collect, preserve, and display aeronautical and space flight equipment of historical interest and significance..." (5) "...the Smithsonian Institution shall collect, preserve, and exhibit military objects of historical interest and significance." (6) "...the Board may...display...any property of whatsoever nature acquired (for the Museum of African Art)..." (7) "The purposes of the National Museum [of the American Indian] are to...(2) collect, preserve, and exhibit Native American objects of artistic, historical, literary, anthropological, and scientific interest..."

4. collection, preparation, dissemination, and exchange of information and publications;

20 U.S.C. § 53a provides that "Appropriations are authorized for the...preparation of manuscripts, drawings, and illustrations for publication."

5. conduct of education, training, and museum assistance programs;

20 U.S.C. § 65a provides "The Director of the National Museum under the direction of the Secretary of the Smithsonian Institution shall - (1) cooperate with museums and their professional organizations in a continuing study of museum problems and opportunities, both in the United States and abroad;... (3) prepare and distribute significant museum publications; (4) perform research on, and otherwise contribute to, the development of museum techniques...."

20 U.S.C. § 77a provides that "The national air and space museum shall...provide educational material for the historical study of aviation and space flight."

20 U.S.C. § 79a provides that "The purpose of setting aside such an area [Barro Colorado Island] is to preserve and conserve its natural features...thus providing a place where duly qualified students can make observations and scientific investigations for increase of knowledge, under such conditions and regulations as may be prescribed by the Smithsonian Institution."

20 U.S.C. § 79e provides that "There are authorized to be appropriated annually...such sums as are necessary for the administration of [the Canal Zone Biological Area] for the maintenance of laboratory or other facilities..."

The Panama Canal Treaty and ancillary agreements vest in the Smithsonian Tropical Research Institute responsibility to serve as custodian of the Barro Colorado Nature Monument. The Panama Canal Act of 1979, Public Law 96-70, as amended, implements the provisions of the Panama Canal Treaty.

20 U.S.C. § 80m(a) provides that "...the Board [of Regents] may... (3) conduct programs of research and education (in the Museum of African Art)...."

6. maintenance, alteration, operation, lease (for terms not to exceed thirty years), and protection of buildings, facilities, and approaches;

20 U.S.C. §§ 53a, 76g, 76ee, 79b, 80m, 81 provide that respectively, (1) "Appropriations are authorized for the maintenance of the Astrophysical Observatory and...for repairs

and alterations of buildings and grounds occupied by the Smithsonian Institution in the District of Columbia and elsewhere..." (2) "There are authorized to be appropriated annually such sums as may be necessary to maintain and administer the Gallery [National Portrait Gallery]..." (3) "There is authorized to be appropriated...such additional sums as may be necessary for the maintenance and operation of such [Hirshhorn] [M]useum and [S]culpture [G]arden." (4) "The Smithsonian Institution shall...be responsible for the construction and maintenance of laboratory and other facilities on the area provided for the use of students authorized to carry on studies within the confines of the area..." (5) "...the Board may...preserve, maintain...any property of whatsoever nature acquired (for the Museum of African Art)..." (6) "The National Zoological Park is placed under the direction of the Regents of the Smithsonian Institution, who are authorized...to administer and improve the said Zoological Park for the advancement of science and the instruction and recreation of the people." Public Law 101-512 making appropriations for the Department of the Interior and Related Agencies for the fiscal year 1991 extended the maximum term for leases from ten years to thirty years.

7. not to exceed \$ _____ for services as authorized by 5 U.S.C. 3109;

5 U.S.C. § 3109 provides that "When authorized by an appropriation or other statute, the head of an agency may procure by contract the temporary (not in excess of 1 year) or intermittent services of experts or consultants or an organization thereof, including stenographic reporting services."

8. up to 5 replacement passenger vehicles;

31 U.S.C. § 1343 provides that "(b) An appropriation may be expended to buy or lease passenger motor vehicles only-- (1) for the use of--...or, (2) as specifically provided by law."

9. purchase, rental, repair, and cleaning of uniforms for employees,

5 U.S.C. § 5901 provides that "(a) There is authorized to be appropriated annually to each agency of the Government of the United States,...on a showing of necessity or desirability, such

sums as may be necessary to carry out this subchapter. The head of the agency concerned...shall-- (1) furnish to each of these employees a uniform at a cost not to exceed \$400 a year...or (2) pay to each of these employees a allowance for a uniform not to exceed \$400 a year..."

40 U.S.C. § 193t provides that "The special police provided for in section 193n of this title [Smithsonian Institution]...may be furnished, without charge, with uniforms and such other equipment as may be necessary for the proper performance of their duties..."

10. of which not to exceed \$ _____ for the instrumentation program, collections acquisition, exhibition reinstallation, the National Museum of the American Indian, and the repatriation of skeletal remains program shall remain available until expended,

Wording added by the Congress in Public Law 100-446 making appropriations for the Department of the Interior and related agencies for the fiscal year 1989 to permit the Institution to establish no-year funding within the Salaries and Expenses account for the development of major scientific instrumentation. Public Law 101-512 making appropriations for the Department of the Interior and Related Agencies for the fiscal year 1991 also allowed no-year funding to be used for purchases for museum collections; the design, production, and reinstallation of museum exhibitions; the operating costs associated with the new National Museum of the American Indian; and the repatriation of skeletal remains.

31 U.S.C. § 1301(c) provides "An appropriation in a regular, annual appropriation law may be construed to be permanent or available continuously only if the appropriation ... (2) expressly provides that it is available after the fiscal year covered by the law in which it appears."

11. and including such funds as may be necessary to support American overseas research centers and a total of \$ _____ for the Council of American Overseas Research Centers:

Wording added by the Congress in Public Law 99-190 making appropriations for the Department of Interior and Related Agencies in 1986. Public Law 100-446 making appropriations for the Department of the Interior and Related Agencies for the fiscal year 1989 modified reference to add specific dollar sum

to be provided to the Council of American Overseas Research Centers.

12. Provided, That funds appropriated herein are available for advance payments to independent contractors performing research services or participating in official Smithsonian presentations:

31 U.S.C. § 3324 provides that "(b) An advance of public money may be made only if it is authorized by-- (1) a specific appropriation or other law..."

13. Provided further, That the Smithsonian Institution may expend Federal appropriations designated in this Act for lease or rent payments for long term and swing space, as rent payable to the Smithsonian Institution, and such rent payments may be deposited into the general trust funds of the Institution to the extent that federally supported activities are housed in the 900 H Street, N.W. building in the District of Columbia: Provided further, That this use of Federal appropriations shall not be construed as debt service, a Federal guarantee of, a transfer of risk to, or an obligation of, the Federal Government; Provided further, That no appropriated funds may be used to service debt which is incurred to finance the costs of acquiring the 900 H Street building or of planning, designing, and constructing improvements to such building.

Wording added by the Congress in Department of the Interior and Related Agencies Appropriations Act, 2000, as enacted by section 1000(a)(3), Division B of the Consolidated Appropriations Act, 2000 (Public Law 106-113, approved November 29, 1999).

Appropriation: Repair, Restoration and Alteration of Facilities

1. For necessary expenses of maintenance, repair, restoration, and alteration of facilities owned or occupied by the Smithsonian Institution, by contract or otherwise, as authorized by section 2 of the Act of August 22, 1949 (63 Stat. 623),

Act of August 22, 1949 (63 Stat. 623), 20 U.S.C. § 53a, provides that "Appropriations are authorized...for repairs and alterations of buildings and grounds occupied by the Smithsonian Institution in the District of Columbia and elsewhere..."

20 U.S.C. § 81 provides that "The National Zoological Park is placed under the direction of the Regents of the Smithsonian Institution, who are authorized...to administer and improve the said Zoological Park for the advancement of science and the instruction and recreation of the people."

2. including not to exceed \$ _____ for services as authorized by 5 U.S.C. 3109,

5 U.S.C. § 3109 provides that "When authorized by an appropriation or other statute, the head of an agency may procure by contract the temporary (not in excess of 1 year) or intermittent services of experts or consultants or an organization thereof, including stenographic reporting services."

3. to remain available until expended,

31 U.S.C. § 1301 provides "An appropriation in a regular, annual appropriation law may be construed to be permanent or available continuously only if the appropriation... expressly provides that it is available after the fiscal year covered by the law in which it appears."

4. of which \$ _____ is provided for maintenance, repair, rehabilitation and alteration of facilities at the National Zoological Park:

Wording added by the Congress in Department of the Interior and Related Agencies Appropriations Act, 2000, as enacted by section 1000(a)(3), Division B of the Consolidated Appropriations Act, 2000 (Public Law 106-113, approved November 29, 1999) for clarification.

5. Provided, That contracts awarded for environmental systems, protection systems, and repair or restoration of facilities of the Smithsonian Institution may be negotiated with selected contractors and awarded on the basis of contractor qualifications as well as price.

Wording added in fiscal year 1984 to allow for negotiations with the most competent firms for restoration and renovation work where it can be certified that such work must be performed to meet the special needs of historic structures, the protection of collections, or public safety.

Appropriation: Construction

1. For necessary expenses for construction,

20 U.S.C. § 53a provides that "Appropriations are authorized...for repairs and alterations of buildings and grounds occupied by the Smithsonian Institution in the District of Columbia and elsewhere..."

2. to remain available until expended.

31 U.S.C. § 1301(c) provides "An appropriation in a regular, annual appropriation law may be construed to be permanent or available continuously only if the appropriation... (2) expressly provides that it is available after the fiscal year covered by the law in which it appears."

Adjustments to FY 2002 Funding (in thousands of dollars)

Unit	FY 2002 Congressional		FTE		Reorganizations and Permanent		Revised	
	FTEs	\$000	FTEs	\$000	FTEs	\$000	FTEs	\$000
MUSEUMS AND RESEARCH INSTITUTES								
<i>American Museums</i>								
Anacostia Museum/Center for African American History and Culture	25	1,932	(7)	0	0	0	18	1,932
Archives of American Art	24	1,738	(2)	0	0	0	22	1,738
Center for Folklife and Cultural Heritage	14	1,850	4	0	0	0	18	1,850
Cooper-Hewitt, National Design Museum	40	2,942	0	0	0	0	40	2,942
National Air and Space Museum	236	16,599	(16)	0	0	0	220	16,599
National Museum of American History	295	20,800	(18)	0	0	0	277	20,800
National Museum of the American Indian	257	27,899	39	0	0	0	296	27,899
National Portrait Gallery	81	5,627	0	0	(267)	13	77	5,360
Smithsonian American Art Museum	115	8,264	1	0	(241)	14	112	8,023
<i>International Art Museums</i>								
Arthur M. Sackler Gallery/Freer Gallery of Art	75	6,098	(3)	0	(137)	15	71	5,961
Hirshhorn Museum & Sculpture Garden	71	4,771	(3)	0	(196)	16	65	4,575
National Museum of African Art	54	4,334	(6)	0	0	0	48	4,334
<i>Science Museums and Research Institutes</i>								
National Museum of Natural History	579	43,404	(67)	0	15	17,8	514	43,419
National Zoological Park	320	22,027	(12)	0	(125)	18	311	21,902
Smithsonian Astrophysical Observatory	141	20,546	(18)	0	0	0	123	20,546
Smithsonian Center for Materials Research and Education	36	3,357	(7)	0	0	0	29	3,357
Smithsonian Environmental Research Center	45	3,391	(4)	0	0	0	41	3,391
Smithsonian Tropical Research Institute	242	10,581	0	0	110	17	242	10,691
TOTAL MUSEUMS AND RESEARCH INSTITUTES	2,650	206,160	(119)	0	(7)	(841)	2,524	205,319

Adjustments to FY 2002 Funding (in thousands of dollars)

Unit	FY 2002 Congressional		FTE Adjustment 12		Reorganizations and Permanent Reprogramming		Revised FY 2002	
	FTEs	\$000	FTEs	\$000	FTEs	\$000	FTEs	\$000
PROGRAM SUPPORT AND OUTREACH								
Outreach	97	8,193	(8)	0 1/2	0	(70) 1/9	89	8,123
Communications	16	1,617	0	0	0	0	16	1,617
Institution-wide Programs	0	5,506	0	0	0	0	0	5,506
Office of Exhibits Central	40	2,494	(5)	0 1/2	0	0	35	2,494
Major Scientific Instrumentation	0	6,229	0	0	0	0	0	6,229
Museum Support Center	69	3,074	(19)	0 1/2	(5)	0	45	3,074
Smithsonian Institution Archives	24	1,611	0	0	0	0	24	1,611
Smithsonian Institution Libraries	99	7,437	(4)	0 1/2	12	841 3/4, 15,6	107	8,278
TOTAL PROGRAM SUPPORT AND OUTREACH	345	36,161	(36)	0	7	771	316	36,932
ADMINISTRATION								
	371	43,376	(9)	0 1/2	(3)	44 1/9, 10	359	43,420
FACILITIES SERVICES								
Office of Protection Services	775	37,383	0	0	0	0	775	37,383
Office of Physical Plant	500	76,173	(15)	0 1/2	3	26 1/10	488	76,199
TOTAL FACILITIES SERVICES	1,275	113,556	(15)	0	3	26	1,263	113,582
GRAND TOTAL	4,641	399,253	(179)	0	0	0	4,462	399,253
FTEs END-OF-YEAR 1/11	4,288						4,288	

Footnotes for FY 2002 Appropriation:

- \1 FY 2002 Appropriation excludes emergency supplemental appropriation (\$21.7 million) for increased security at Smithsonian facilities.
- \2 Adjustment to reflect actual or projected FTE usage.
- \3 Transfer of four FTEs and \$267,000 from the National Portrait Gallery to the Smithsonian Institution Libraries to consolidate art libraries.
- \4 Transfer of four FTEs and \$241,000 from the Smithsonian American Art Museum to the Smithsonian Institution Libraries to consolidate art libraries.
- \5 Transfer of one FTE and \$137,000 from the Sackler/Freer Galleries to the Smithsonian Institution Libraries to consolidate art libraries.
- \6 Transfer of three FTEs and \$196,000 from the Hirshhorn Museum and Sculpture Garden to the Smithsonian Institution Libraries to consolidate art libraries.
- \7 Transfer of \$110,000 from the National Museum of Natural History to the Smithsonian Tropical Research Institute for Biological Diversity of Forest Fragments Project.
- \8 Transfer of two FTEs and \$125,000 from the National Zoological Park to the National Museum of Natural History for genetics program.
- \9 Transfer of \$70,000 from Outreach (Smithsonian Center for Education and Museum Services) to Administration (National Programs) for realignment of national outreach staffing.
- \10 Transfer of \$26,000 from Administration (Office of Planning, Management and Budget) to Office of Physical Plant (South Group) to provide funding for laborer.
- \11 Reflects OMB ceiling for FY 2002.

**Setting Future Directions at the Smithsonian Institution:
Strategic Plan
2003-2007**

I. Introduction

The Smithsonian Institution has been in existence for 155 years, since James Smithson bequeathed his entire estate

...to the United States of America, to found at Washington, under the name of the Smithsonian Institution, an Establishment for the increase and diffusion of knowledge...

The U.S. Congress accepted the gift in 1836 and enacted the Organic Act of 1846 that established the Institution in its present form. The Congress provided that the trust be administered by a Board of Regents and a Secretary. Congress gave the Regents and their designated Secretary broad discretion to determine and to choose the most appropriate means of increasing and diffusing knowledge.

The role the Smithsonian plays in American society is unique and fundamental. It engages Americans in experiencing their history and their cultural and scientific heritages more fully than any other institution in the world. It also enables them to learn about other peoples and cultures throughout history and across the world, from ancient China to the entire continent of Africa to the legendary sites and modern cities of Latin America. Since its inception, the Smithsonian has helped to build an understanding of the world, through access to music, art, science, technology, and education, and through research and discovery in its role as a prominent member of the world's scientific community.

The Smithsonian is a monument to American curiosity about the world and, above all, about ourselves. It is a vital repository of the creativity, courage, aspirations, innovative spirit, imagination, ingenuity, and traditional values of the American people. In its collections resides the material record of what America has been. When Americans contemplate that record, they should be persuaded and inspired to know that there are no bounds to what the nation can be.

The Smithsonian is now poised not only to maintain and enlarge its fundamental role, but to do so in ways that will allow an organization begun in the mid-nineteenth century to function successfully as a complex enterprise in the 21st century, according to contemporary standards of management and organization. To do this, the Smithsonian produced dual mission statements that will guide the activities and priorities for programming and resource use in the first decade of this century.

To prepare for future challenges and opportunities, the Smithsonian Institution developed this initial strategic plan to address both short and long-term needs. On an ongoing basis, the Smithsonian will put in place mechanisms to ensure that the strategic planning framework is integrated with legislative, budgetary and planning processes.

Within this framework, each unit will generate goals and performance measures to guide daily operations. Efforts are already under way to build strategic planning into operations. When completed, this planning initiative will provide guidance with which the individual units will establish goals, performance objectives, and strategies; these will result in their formulation of action plans.

Better data is an essential component of the planning effort. The Smithsonian is committed to gathering, using, and disseminating improved information and to preparing regular reports on the status of plans, programs, and activities in each of the units. These actions will, in turn, permit more informed and responsive decision making, an essential step in making wise use of both public and private resources to meet our many and varied future needs.

II. Vision and Mission

As we begin a new decade and prepare for the 21st century, we are renewing our commitment to the American public by ensuring that our programs and activities fit within a sound framework and that they remain attuned to the changing conditions of our nation. Our vision statement responds to both current and future opportunities.

Vision Statement

As part of its broad purpose to increase and enhance knowledge, the Smithsonian is a forward - looking, multifaceted organization that serves the public through exhibits, research, education, publications, and outreach activities; also, as an important member of the scientific community, it contributes to research and discovery in a number of important areas.

Our agenda revolves around two key themes or mission statements that are our operational imperatives.

Mission Statement #1

The Smithsonian is committed to enlarging our understanding of the mosaic that is the American national identity by serving as the most extensive provider nationwide of authoritative experiences that connect the American people to their history and to their cultural and scientific heritages.

The Smithsonian is tightly woven into the fabric of American life and has helped generations of Americans to experience their heritage in its many hues and textures. It

has been spectacularly successful over the years in attracting audiences. Two of the Smithsonian's museums, just a few blocks apart on the National Mall, are the most-visited museums in the world: the National Museum of Natural History and the National Air and Space Museum.

Unlike other institutions in the United States and Europe that draw high percentages of their traffic from abroad, the Smithsonian attracts more than 90 percent of its visitors from the United States. Americans consider the Smithsonian theirs. They identify with the Smithsonian and what it represents. It is a distinctly American institution filled with our nation's treasures. There are over 284 million incomparably interesting and valuable items in our buildings-including a staggering array of objects and specimens from the natural, cultural, technological, social, and political history of America. Books, photographs, and other documents are also important objects of the collection. The challenge is to create extraordinary personal experiences for visitors.

Despite the record of past and current successes, the Smithsonian can do better. We want to increase markedly our levels of engagement with the public, here in Washington and throughout the country. Among the ways we will do that is by making certain that the exhibits in all our museums:

- Are of first-rate quality;
- Focus on topics of compelling interest to the public;
- Are presented according to the highest contemporary standards of museum presentation; and
- Spark dialogues with visitors and make tangible our compelling stories.

In addition, we will give the public entirely new reasons to visit the Smithsonian. In the first decade of the 21st century, we will put in place two significant structures in the National Capital area: the Udvar-Hazy Center of the National Air and Space Museum and the National Museum of the American Indian. We will renovate the Patent Office Building that houses the National Portrait Gallery and the Smithsonian American Art Museum. These three buildings will make the Smithsonian an even more compelling destination for visitors. And if past experience holds true, the vast majority of those visitors will be Americans. Although these buildings alone will not compel the vast number of people to visit, they will be vehicles for engaging visitors in the process of discovery and for expanding the vocabulary of public presentation.

Our goal is not merely to attract greater numbers of visitors, but to entice greater numbers to tell us that the Smithsonian surpassed their expectations and that their experiences of the Institution were clear, cogent, moving, and memorable.

If the Smithsonian truly belongs to all Americans, its boundaries cannot be the physical premises of our museums in the District of Columbia. For that reason, we are developing a set of strategies to make the Smithsonian an increasingly vivid and ubiquitous presence across the United States. The lure of Washington will always bring

visitors to our sites here, but we cannot count on repeat visits to our nation's capital. We must find flexible ways of reaching new audiences.

One of the key external factors we have considered in developing our networking strategy is the shift in the demographics of our population. The size of the population is growing and its composition is changing. Many of these populations are and will continue to be under-served unless we develop new approaches to reaching them. Because there are under-served audiences that cannot travel to us, we are determined to bring the Smithsonian to them. We extend the Smithsonian's reach through partnerships and associations with communities nationwide, more traveling exhibits, a stronger Internet presence, and focused attention on the needs and desires of contemporary audiences. There are entire segments of our population who have not yet begun to experience the treasures this Institution holds for them, and we will reach out to them in an expanded spirit of service. To facilitate such relationships implies the use of a whole new kind of expertise in outreach.

Mission Statement #2

To extend the uniquely powerful contribution science has made to the development of the United States, the Smithsonian is committed to promoting scientific research and discovery and to being a leader in a select number of scientific areas in which we have an important role to play.

The great scientific tradition of the Smithsonian dates back to its very origins. We are immensely proud of the Smithsonian's scientific achievements in astrophysics, tropical biology, biodiversity, and a select number of other specialized areas. However, no institution, not even the greatest university, can aspire to lead in all areas of scientific research. Prudent institutions select the areas in which they can excel and in which they have a unique presence, and then they establish clear priorities. Therefore, the Smithsonian will focus on a limited number of areas in which our achievements can be distinctive and to which the Institution can make an enduring commitment. We are currently involved in a major review of scientific activity at the Institution, to identify what has been genuinely innovative and distinctive. Findings will form a solid basis for future progress. This review is being conducted by a panel of experts from both within the Smithsonian and outside it.

Despite the Smithsonian's long tradition of scientific research, we have not done a good job of communicating our scientific contributions to the general public. We are committed to doing so, in non-technical terms, so that citizens can appreciate the Smithsonian's contributions in the advancement of science throughout its history, and can be encouraged to become involved in scientific endeavors themselves.

III. Support to the Smithsonian's Missions

To bring coherence, focus and flexibility to the Institution's two missions, we have grouped the Smithsonian into five divisions:

- Science
- American museums and national programs
- Art museums with internationally-oriented and contemporary collections
- Finance and administration
- Business ventures

In addition, we intend to evaluate and modernize the Institution's management systems and to bring them all to a level of quality and sophistication appropriate to a contemporary organization of the Smithsonian Institution's size and complexity. The systems are:

- financial and accounting controls,
- investment management,
- management information,
- information technology,
- collections management,
- human resources,
- physical plant and facilities,
- government relations, and
- press relations.

Finally, to provide the financial support that is essential if we are to achieve the dual missions of the Institution, we intend to seek funding from diverse sources for implementation of this plan, including substantial increases in donations from the private sector, competitively awarded grants and contracts, and augmentations from the federal government. We will continue to manage the endowment to provide the maximum possible support for our activities and we will increase the profitability of the Smithsonian Business Ventures.

IV. Key External Factors

According to the Institute of Museum and Library Services, the outlook for museums is strong and growing. There are approximately 15,000 museums in the United States; in 2000 there were 865 million visits to these museums—a 50% increase from just a decade ago. Eighty-eight percent of these museums offer programs for Kindergarten-Grade 12 students, and 50 million children participate in these programs every year. Museums care for items that represent our cultural and natural heritages, holding over 750 million objects and specimens.

In developing its Strategic Agenda for 1998-2000, the American Association of Museums found a number of challenges and opportunities facing museums in the present

and near-term future. Some that are particularly relevant to the Smithsonian, and that will be addressed in our planning process, include:

New technologies that are developing at an accelerating rate—Museums will need to remain current with new technologies and to use them effectively in their programs and operations. This challenge will present opportunities for the Smithsonian to use new technologies to achieve its goals of reaching more Americans beyond the Mall, as well as connecting with new Americans and ethnic audiences.

Continuing demographic change and the growth of a borderless global environment—In the United States, the greatest population growth is occurring in the South, Southwest, and West, areas outside the North, Northeast, and Middle Atlantic regions from which the Smithsonian has traditionally attracted its largest audiences. Our nation of 281 million people now has one of the highest percentages of foreign-born individuals in its history—one out of ten of its inhabitants was born outside the United States. The Smithsonian needs to design programs to reach major segments of our population. This plan includes goals and strategies aimed at reaching those populations.

New developments in education that give greater emphasis to participatory learning—Museums will need to respond to the trend toward more participatory learning and to other changes in educational approaches as they emerge. As part of the national outreach efforts emphasized in this plan, the Smithsonian will strengthen its educational programs and integrate them more fully with other outreach activities.

Partnership and collaboration as increasingly important means through which organizations of every kind accomplish their purposes—The Smithsonian will continue to emphasize and expand its affiliations programs around the country with other museums and organizations, both large and small, in order to become a long-term presence in at least one community in every state in the nation. These collaborations expand the Smithsonian's audience, allow us to share our vast collections more broadly, and make available our staff expertise in a rich array of subject matter. We will increase and strengthen collaboration between our scientists and researchers from other government agencies, laboratories, and universities.

With governmental support for museums remaining static, increasing slightly or even decreasing, competition for available private support increases—This plan includes strategies for expanding the available sources of private support, increasing funds from our own business activities and from grants and contracts, and strengthening our efforts to work with Congress and the President to increase federal funding.

Pressure to increase the accountability of not-for-profit institutions to the public, to individual and institutional donors, and to government—The implementation of this plan, and related annual performance plans, will put into place at the Smithsonian specific goals, strategies and measures that will be applied across the Institution. Major decisions related to resources and priorities will be made in alignment with these plans, and the results will be reported regularly.

V. Goals

To achieve its missions by 2007, the Smithsonian has developed a plan that encompasses four goals. Our entire organizational effort—policies, programs, processes, assets, activities, and requirements—is directed to achieving these goals.

Goal #1: Public Impact

Enlarge our audiences, expand our degree of engagement with the public, in Washington and throughout the country, and improve the quality of the Smithsonian experience for our audiences.

The Smithsonian will increase its contact with the public in Washington, D.C. and across the country. We will attract a greater number of visitors to our existing museums and to the Washington area, and will attract larger audiences across America. We will also attract new and more ethnically diverse audiences by finding special ways to connect with them and building bridges that span different cultures. We will upgrade our exhibits. More than 45 percent of the exhibits in the four most visited destinations (the National Museum of American History, the National Air and Space Museum, the National Museum of Natural History, and the National Zoological Park) are 15 years and older.

Objectives and Strategies

Objective 1 *Offer compelling, first-class exhibits.*

- Strategies**
- * Develop and adopt guidelines for development, design and management of Smithsonian exhibits.
 - * Mount exhibits in our museums that visitors, peers and the media find exciting, memorable, and original.
 - * Improve the maintenance of exhibits.
 - * Phase out exhibits that do not meet newly established guidelines.
 - * Increase collaboration and cooperation among SI units and between SI and non-SI planning and development.
 - * Create connections among exhibitions at the Smithsonian to encourage the public to explore in greater depth the wealth of knowledge and information available across the Institution.

Objective 2 *Expand a national outreach effort to attract larger audiences throughout America.*

- Strategies**
- * Increase the audience reached by Smithsonian Affiliations program, the Smithsonian Institution Traveling Exhibition Service (SITES), The Smithsonian Associates (TSA), and the Smithsonian Center for Education and Museum Studies (SCEMS) and unit outreach programs.
 - * Offer an array of products and programs to other museums and cultural institutions that complement and support their operations.

Objective 3 *Bring Smithsonian research to bear on the increase of knowledge in the arts, humanities and sciences.*

- Strategies**
- * Utilize SI research in development of SI exhibitions and in the scholarly interpretation of SI collections for the public.

Objective 4 *Bring Smithsonian education resources to the nation.*

- Strategies**
- * Coordinate a comprehensive Smithsonian education program among the SI units and the Smithsonian Center for Education and Museum Services (SCEMS) that focuses on the kindergarten through college student population and teachers at all levels.
 - * Develop and adopt a strategy for using the Web to bring the Smithsonian to the nation and the world.

Objective 5 *Attract greater numbers of new Americans and ethnic populations to the Smithsonian and its exhibits.*

- Strategies**
- * Increase the number of Smithsonian exhibits, programs, and outreach activities designed to appeal to targeted ethnic groups and to new Americans.
 - * Assess the awareness and reputation of the Smithsonian among Americans especially populations living outside Washington, DC, and targeted ethnic populations

Objective 6 *Improve the quality of visitors' services*

- * Assess the level and quality of existing services such as signage and public amenities from the perspective of the visitor.
- * Based on the results of the surveys, generate a plan to upgrade services.

Goal #2: Scientific Research

Deepen our commitment to the pursuit of scientific research and discovery by focusing resources in centers of excellence in which the Smithsonian has unique strengths.

We recognize the fundamental importance of specialized scientific research to the development and well-being of the United States and to the global environment. We will fulfill our long-standing responsibility to scientific inquiry by adapting and adjusting our research to leverage our resources.

As a starting point, we will make choices. Our first priority is to identify those areas where the Smithsonian is able to make the most valuable, as well as unique, contributions.

Objectives and Strategies

Objective 1 *Determine areas of scientific research in which the Smithsonian excels and has a unique presence, and maintain that presence.*

- Strategies**
- * Form a commission of scientists from within the Smithsonian and outside to review science programs at the Institution and to make recommendations on the types of work to be undertaken, the organizational structures best suited to carry out the work, and the role of SI research in the larger national and international research agenda.
 - * Regularly assess the quality of the work taking place at the Institution's scientific units through a mix of methods.

Objective 2 *Focus the Institution's resources to areas where the Smithsonian has the potential for making a significant contribution.*

- Strategies**
- * Set long-term objectives for centers of excellence, with interim one-year objectives, and develop effective means for measuring and evaluating results.

Objective 3 *Strengthen capacity in selected areas of research.*

- Strategies**
- * Increase fellowships and scholarly studies awards through establishment of endowments or other forms of long-term support.
 - * Seek exchanges with colleges, universities and research

institutions to bring graduate and post-doctoral students to the Smithsonian to collaborate with research staff and to study the collections.

- * Develop products and processes that facilitate scientific research.
- * Apply effective means to disseminate scientific knowledge to the public and to encourage the pursuit of science by students.

Goal #3: Management Excellence

Strengthen the Institution's management, and evaluate and modernize management systems and processes to bring them to level of quality and sophistication appropriate to a contemporary organization of the Smithsonian's size and complexity.

The Smithsonian needs to bring the full array of its management functions into the 21st century. The Smithsonian needs to have administrative, financial, and information technology systems commensurate with those of a modern organization. Improved financial and administrative systems will provide the management decision support structure essential to achieving our missions and goals. Our current management systems are unwieldy and decades out of date. One of our greatest challenges is the need to repair, restore, and alter many of our physical facilities. In July 2001, the National Academy of Public Administration (NAPA) published a report that states that more than \$1.2 billion is needed to bring our buildings into a reasonable state of repair. Finally, we need to hold managers accountable and promote better cooperation and coordination among the units.

Objectives and Strategies

Objective 1 *Take steps to improve the management of the Institution.*

- Strategies**
- * Develop and improve the capacity to plan programs and activities institution-wide, particularly at the unit levels.
 - * Develop an overarching framework from the bottom up and top down that links the broader Smithsonian strategic plan to the plans of individual units.
 - * Develop integrative mechanisms across the units to ensure better coordination and cooperation.
 - * Establish and implement effective financial management policies

Objective 2 *Bring the Institution's management systems and processes up to date.*

Strategies

- * Evaluate the Institution's management systems and processes.
- * Prioritize needs, estimate resource requirements and establish timelines in accordance with resource availability for required changes in the Institution's management systems and processes.
- * Make IT infrastructure robust, reliable and secure.
- * Design a financial reporting architecture and implement a Management Information System (MIS) that provides information required by central management and the units.
- * Update human resource management systems and processes to support responsiveness to employee and employer HR needs.
- * Enhance relations with Federal and other government agencies.
- * Enhance relations with the press and mass media.

Objective 3 *Implement and maintain state-of-the-art collections management systems and processes.*

Strategies

- * Conduct a comprehensive study of collections management at the Smithsonian that will result in a SI-wide collecting plan.
- * Communicate findings of collections study and newly established collecting guidelines through workshops.
- * Link unit collections management policies and collecting plans to SI policy and plan.
- * Track implementation of current collections policies and standards.

Objective 4 *Increase access to Smithsonian collections.*

Strategies

- * Assess the state of accessibility of collections by internal and external users.
- * Enhance automated Collection Information Systems (CIS)
- * Increase access to collection information through digitization and electronic access.

Objective 5 *Complete the construction of new facilities and renewal of existing buildings.*

Strategies

- * Secure funding and complete construction of new facilities and renewal of existing buildings on time and within budget and approved scope.

Objective 6 *Execute aggressive, long-range SI facilities modernization program.*

Strategies * Secure funding and implement facilities plan outlined in *Museums and Facilities: Critical Assessment and Improvement Objectives, September 28, 2001*

Objective 7 *Ensure optimal safety and protection of museums and research institutes, as well as visitors, staff, and volunteers.*

Strategies * Provide a safe and secure environment for collections, visitors, staff, and volunteers
* Secure funding and execute security measures in accordance with priorities contained in SI security upgrade plan

Goal #4: Financial Strength

Provide the financial support essential to achieving the Institution's goals.

To address the overall goal of financial strength of the Smithsonian, we have established several objectives that will enable us to support our missions more fully, using all resources available to the Institution.

Objective 1 *Substantially increase donations from the private sector.*

Strategies * Set goals and priorities for increased private donations.
* Plan and implement efforts to attract several gifts exceeding \$60-\$75 million.

Objective 2 *Secure the federal resources needed for Institution operations.*

Strategies * Prepare detailed budget requests and justification on the needs of the Institution for presentation to the Administration and Congress.

Objective 3 *Over the long-term (five years), grow the annual payout from the Endowment at least as rapidly as inflation while maintaining the purchasing power of the Endowment.*

Strategies * Develop an investment strategy to meet the goal of a long-term expected real return of at least 5.5%.
* Manage the endowment portfolio to earn a total return at least equal to that of the policy portfolio based on market indices.
* Pay out 5% of the average market value per share over the prior 5 years.

Objective 4 *Increase the profits of Smithsonian Business Ventures.*

- Strategies**
- * Develop a coordinated approach to museum-based business operations.
 - * Broaden the audience for direct response sales and e-commerce.
 - * Re-design the *Smithsonian* magazine to increase overall circulation and advertising revenue
 - * Attract a cohort of younger subscribers.

IV. Measures

To determine the success of its efforts, the Smithsonian is developing meaningful ways of measuring museum-related accomplishments and outcomes, as well as measures for the Smithsonian's wide scope of other activities. Areas for which performance measurements are being crafted include exhibits, education, outreach, collections and research, as well as the administrative functions of finance, facilities management, human resources, and information technology. Once the final set of credible measures is developed, staff will be trained on how to use them. The Institution's goal is to begin tracking performance consistently with a set of measures that have been adopted by the entire Smithsonian community at the start of fiscal year 2003.

VII. Relationship to the Annual Performance Plan

The Smithsonian submitted an annual performance plan under the 1997-2000 Strategic Plan with each budget request since FY 1999. In FY 2002, the Institution will start to prepare its first performance plan that is linked to this revised strategic plan. The FY 2002 performance measures will be derived from the missions and goals contained in this strategic plan. The performance plan will reflect key representative activities of the Institution. When individual units have prepared strategic and operating plans, the units will generate measures at both unit and program levels.

VIII. Conclusion

This strategic plan reflects a set of ambitious goals and objectives for the Smithsonian Institution as it enters the 21st century. With a sense of concerted purpose, the goals in this plan can and will be attained. We will use them to guide and inform the execution of our daily responsibilities in all units of the Smithsonian. Decisions about the well-being of individual components of the Smithsonian will take into account how the outcomes are likely to serve the larger plans of the Institution. In this way, through clarity of purpose and focus, the Smithsonian Institution aims to continue to honor the purpose of Mr. Smithson's gift to the fullest possible extent in the years to come.

SMITHSONIAN INSTITUTION LIBRARIES



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