



Ford Foundation records, Administration, Comptroller, Program Management Cost Files

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Rockefeller Archive Center

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Summary Information

Repository:	Rockefeller Archive Center
Creator:	Ford Foundation
Title:	Ford Foundation records, Administration, Comptroller, Program Management Cost Files
ID:	FA501
Date [inclusive]:	1952-1984 (Bulk: 1967-1982)
Date [bulk]:	1967-1982
Physical Description:	6.46 Cubic Feet 17 letter document boxes.
General Physical Description note:	(17 document boxes)
Language of the Material:	English
Abstract:	<p>The Program Management Cost Files span from 1952 to 1984 and are organized into three series: the Ford Foundation Refugee Fund (1952-1957), Travel and Study Award Policy (1957-1964), and Program Management Costs (1961-1984). Set up in 1952 and administered by the United Nations High Commissioner for Refugees on behalf of the Foundation, the Refugee Fund assisted Western and Central European communities with the economic and social integration of post-war refugees. The files for the Fund document its administration and financial and logistical matters. The files for the travel and study award policy review the benefits offered to foreign nationals receiving travel and study awards and their dependents. The files for program management costs constitute the bulk of the collection and shed light on budgets and planning for divisions and programs spanning fiscal years 1961 through 1982. The management costs for International Division programs and field offices as well as the Special Retrenchment Fund are particularly well documented.</p>

Preferred Citation note

Information regarding the Rockefeller Archive Center's preferred elements and forms of citation can be found at <http://www.rockarch.org/research/citations.php>

Organizational History

The Division of Administration (ADMIN) was formally established in 1964-1965 with responsibilities that grew to encompass personnel; accounting and investments; information services; office services; building services; and support and consultation services. Throughout the 1960s, the Division expanded to include the offices of the Vice President, Comptroller, and Personnel (added in 1966), Building Services (1967), Logistical Services (1968), and Program Related Investments (1969) and then later were subtracted from the Division. In 1980-1981, the Division of Organization and Management (O&M) replaced the Division of Administration. The Division of Financial and Administrative Services then replaced O&M in turn between 1981 and 1983.

Reporting to the Vice President of Administration, the Office of the Comptroller supervised basic accounting and reporting functions. It also prepared Federal and State tax returns, oversaw audits of overseas field offices, conducted financial reviews of domestic grantees, and reported to the Board of Trustees on Foundation management and project budgets. Budget planning, a yearly Foundation-wide exercise, involved preparation of program action (later management cost action) forms, Delegated Authority and Foundation Administered Project recommended grant action reports, and other supplementary documents. Projected budgets and fund requests were presented to the Board of Trustees at its September meeting. During the meeting the Board determined the allocation of funds to be appropriated for program management and activities in each division, program, and office.

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Scope and Content Note

The Program Management Cost Files span from 1952 to 1984 and are organized into three series: the Ford Foundation Refugee Fund (1952-1957), Travel and Study Award Policy (1957-1964), and Program Management Costs (1961-1984). The earliest files in the collection pertain to the administration of the Foundation's fund to assist Western and Central European communities with the integration of post-war refugees. At the time the fund was set up in 1952, between 11 and 12 million refugees and displaced persons had left their homes in Eastern Europe because of political changes or were expelled, as was the case for ethnic minorities and ethnic Germans in communist countries. The fund was intended not for direct relief but for finding permanent solutions to the social and economic problems refugees faced in integrating into their new communities. The fund supported grantee programs included vocational training in Germany and Trieste, small farm loans in Austria, building programs in Austria and Germany, and financial aid for refugee students in Greece and the German Federal Republic. Grant recipients included the World Council of Churches, American Friends Service Committee, Lutheran World Federation, and the National Catholic Welfare Conference.

The files for the Foundation's travel and study award policy document the development of a policy regarding the benefits to be extended to foreign national award recipients and their dependents who

accompany them to the United States. Explored in memoranda are considerations such as length of grant, cultural expectations and policies of other institutions making similar grants.

The bulk of the collection comprises Program Management cost files. These span fiscal years 1961 to 1982 and contain a basic program action or management cost action form, or other budget document or modification. The action form indicates the appropriation approved for a specific division, program or office for a given fiscal year.

Some Program Management cost files differentiate between budget categories such as program advisory staff, training associates, logistic support, small program actions, office (operating) expenses, representational and administrative staff, consultants, field office support, and travel and study awards. An appropriation for travel and study awards provided some discretionary funding to support projects that contributed to the personal and professional development of people working in program areas. Another appropriation for small program actions enabled exploration of a small grant approach so that a variety of study and developmental projects could be supported.

Program management cost files on the Office for Latin America and the Caribbean, Asia and the Pacific, Population, and Public Broadcasting, South and Southeast Asia and the Division of Administration tend to contain other materials in addition to program action and modification forms.

For the fiscal year 1967 field office support budgets provided funds for offices and office services for overseas administrative personnel and project specialists. In addition, the Foundation paid for medical expenses, education allowances, local and international travel, and conference and meeting expenses.

The program management cost files for the Division of Administration include appropriations for the Special Retrenchment Fund (SRF). The economic downturn of 1973 and 1974 and the resulting risk to Foundation's assets brought to the forefront the need to reassess and determine sustainable levels of expenditure. At its December 1974 meeting, the Board of Trustees determined that further retrenchment was necessary to stabilize and preserve the longevity of the Foundation. An annual spending target of \$100 million requiring a 50 percent budget reduction across the Foundation was set for fiscal year 1975. To help programs to cover the costs incurred by implementing the required retrenchment measures, then Vice President of Administration Arthur D. Trottenberg recommended creation of a Special Retrenchment Fund through a special appropriation from General Funds. Initiated in March 1975 and intended to last until September 1979, SRF covered substantial non-recurring costs, including separation payments to terminated staff members, consulting fees and associated expenses for studies related to the retrenchment process, the closing or reduction in the size of overseas field offices, and expenses resulting from interior building alterations required to consolidate space and prepare vacancies for new tenants.

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Arrangement

The collection is organized into 3 series.

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Administrative Information

Publication Statement

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Immediate Source of Acquisition note

Ford Foundation archive was deposited at RAC in 2011. Ford Foundation records, correspondence, reports, program files and officers papers were transferred to, and accessioned by, RAC beginning in 2011. Accessions continue as necessary.

Conditions Governing Use note

Completion of a use agreement is required prior to providing scholarly access. See RAC Head of Reference (or applicable designee) for details. Ford Foundation holds title, copyright and literary rights in the collection, in so far as it holds them. The Rockefeller Archive Center has authority to grant permission to cite and publish material from the collection for scholarly purposes. Permission to publish extensive excerpts, or material in its entirety, will be referred to the Ford Foundation.

Processing Information

The Program Management cost files had been part of the artificially created collection of International Affairs program staff files. The latter collection was accessioned into the Ford Archives in 2004. During review 10 cubic feet of Program Management cost files were separated and re-categorized. The collection was reduced during processing to 6.8 cubic feet. Duplicates, form thank you and employment notification letters, resumes, and files on recipients of individual study awards were not retained.

Conditions Governing Access

Records more than 10 years old are open for research with select materials restricted as noted. Brittle or damaged items are available at the discretion of RAC.

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Related Materials

Separated Materials Note

Appendix A: Reports – Unpublished reports written by Ford Foundation staff and consultants were removed from their original folders, scanned and transferred to the Archives' collection of staff and consultant reports. See Appendix A for a list of these reports and their specific assigned number. The reports are listed in alphabetical order by author. The assigned number may be used to access reports in the online catalog.

Related Collections

Ford Foundation records, Office Files of Arthur D. Trottenberg, 1968-1979. This collection contains files on management costs, budget planning, and retrenchment. See **Series III: Financial** (1958-1980, bulk 1970-1975).

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Collection Inventory

Ford Foundation Refugee Fund, 1952-1957

Scope and Contents

Series I. Ford Foundation Refugee Fund, 1952-1957

This series, arranged alphabetically, consists of Treasurer's Department files relating to the administration of the Ford Foundation Refugee Fund. The files contain correspondence and memoranda between the Ford Foundation Treasurer's Department and Dr. G. J. van Heuven Goedhart, the United Nations High Commissioner for Refugees to whom the Foundation entrusted the administration of the fund. The documents detail financial and logistical matters such as the administration of grants (1952), establishing procedures for recording cancellation of appropriations (1952), and policy for the purchase and issuing of grant payments in blocked schillings (1952-1957). Also included are monthly financial reports prepared by the United Nations High Commissioner detailing the progress made in administering funds.

Title/Description	Instances	
American Association for the United Nations -- Memos Re: Cancellation of Appropriation, 1953-1954	box 1	folder 1

Berlin Refugees -- Memos Re: Cancellation of Appropriation, 1954	box 1	folder 2
Grantees -- Correspondence to Grantees Re: Grant Actions, 1953	box 1	folder 3
Osterreichische Landerbank -- Correspondence Re: Establishing Blocked Schilling Bank Account, 1953-1954	box 1	folder 4
United Nations High Commissioner for Refugees Correspondence (1 of 2), Sep 1952-Feb 1953	box 1	folder 5
United Nations High Commissioner for Refugees Correspondence (2 of 2), Mar-May 1953	box 1	folder 6
United Nations High Commissioner for Refugees Correspondence Re: Blocked Schilling Exchange Rates, Jun 1953-Apr 1957	box 1	folder 7
United Nations High Commissioner for Refugees Progress Report to Ford Foundation, 1952-1953	box 1	folder 8
United Nations Monthly Financial Reports on Use of Funds to Aid Refugees, 1952-1956	box 1	folder 9
United Nations Refugees Report -- "The Uprooted Strike Root" -- Progress report (10/1/52-3/31/53) on a Ford Foundation grant for refugees to the Office of the United Nations High Commissioner for Refugees (includes photographs), Apr 15, 1953	box 1	folder 10

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Travel and Study Award Policy, 1957-1964

Scope and Contents

Series II. Travel and Study Award Policy, 1957-1964

The files in this series, arranged in chronological order, concern internal policy benefits extended to recipients of travel and study awards. Specifically, Ford Foundation wanted to determine whether provisions should be made for dependents of foreign nationals to travel to and reside in the United States for the period that award recipients would be teaching or researching as well as circumstances under which such provisions should be offered. The files contain memoranda reviewing and authoring internal policy, as well as research and advice from other institutions such as the Institute of International Education.

Title/Description	Instances	
Policy and Procedure Memos (1 of 3), Nov 1957-Aug 1961	box 1	folder 11
Policy and Procedure Memos (2 of 3), Oct 1961-May 1964	box 1	folder 12
Policy and Procedure Memos (3 of 3), Jun-Dec 1964	box 1	folder 13

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Program Management Costs, 1961-1984

Scope and Contents

Series III. Program Management Costs, 1961-1984

This series consists of program action and management cost action forms, memoranda, and budget planning reports detailing management costs for divisions and programs for fiscal years 1961 through 1982. For example, some Latin America and the Caribbean files contain quarterly budget projections and mid-year budget reviews for individual field offices, and some Public Broadcasting files contain fiscal status reports and related memoranda. The folders are arranged chronologically by fiscal year. Within yearly increments, the files have been arranged by subject.

Title/Description	Instances	
International Division/Middle East and Africa (ID/MEA) -- FY 1961 Program Specialists -- Iraq (via Lebanon Office), 1961-1967	box 2	folder 1
International Division/Middle East and Africa -- FY 1961 Program Specialists and Consultants -- United Republic of Tanzania (Tanganyika), 1961-1967	box 2	folder 2
International Division/Middle East and Africa -- FY 1966 Program Specialists -- Lebanon, 1966-1969	box 2	folder 3
International Division/Middle East and Africa -- FY 1966 Program Specialists -- United Arab Republic, 1966-1969	box 2	folder 4
International Division/Middle East and Africa -- FY 1967 Program Specialists -- Tunisia, 1967-1968	box 2	folder 5
International Division/South and Southeast Asia (ID/SSEA) -- FY 1967 General Support Budget, 1966-1967	box 2	folder 6
International Division/South and Southeast Asia -- FY 1967 India Field Office Support Budget, 1966-1967	box 2	folder 7
International Division/South and Southeast Asia -- FY 1967 Indonesia Field Office Support Budget, 1966-1967	box 2	folder 8
International Division/South and Southeast Asia -- FY 1967 Malaysia Field Office Support Budget, 1966-1967	box 2	folder 9
International Division/South and Southeast Asia -- FY 1967 Pakistan Field Office Support Budget, 1966-1967	box 2	folder 10
International Division/South and Southeast Asia -- FY 1967 Philippines Field Office Support Budget, 1966-1967	box 2	folder 11
International Division/South and Southeast Asia -- FY 1967 Thailand Field Office Support Budget, 1966-1967	box 2	folder 12
Administration (ADMIN) -- FY 1969 General Management Costs (697-0999), 1968-1969	box 2	folder 13
Education and Research (ER) -- FY 1969 Program Management Costs (698-0974), 1968-1969	box 2	folder 14
Education and Research/Higher Education and Research (ER/HER) -- FY 1969 Program Management Costs (PA 69-974), 1968-1969	box 2	folder 15

Education and Research/Special Projects in Education -- FY 1969 Program Management Costs (PA 69-0974, 698-0974), 1968	box 2	folder 16
Humanities and the Arts -- FY 1969 Program Management Costs (698-0972), 1968-1969	box 2	folder 17
International Division/Asia & Pacific (ID/A&P) -- FY 1969 Representational and Administrative Staff (PA 69-980, 698-0980), 1968	box 2	folder 18
International Division/Asia & Pacific -- FY 1969 Program Advisory Staff (PA 69-981, 698-0981), 1968	box 2	folder 19
International Division/Asia & Pacific -- FY 1969 Attachment File (Report and Floor Plan of International School of Islamabad) (PA 69-982), 1968-1969	box 2	folder 20
International Division/Asia & Pacific -- FY 1969 Consultants (Re: Asian Book Seminar, Rawalpindi International School, etc) (PA 69-982, 698-0982), 1968-1969	box 2	folder 21
International Division/Asia & Pacific -- FY 1969 Training Associates (PA 69-983, 698-0983), 1968	box 2	folder 22
International Division/Asia & Pacific -- FY 1969 Office Expenses (PA 69-984, 698-0984), 1968-1969	box 3	folder 1
International Division/Asia & Pacific -- FY 1969 Logistic Support -- Program Management Staff (PA 69-985, 698-0985), 1968	box 3	folder 2
International Division/Asia & Pacific -- FY 1969 Operating Expenses and Small Program Actions, 1968-1970	box 3	folder 3
International Division/European and International Affairs (ID/ EIA) -- FY 1969 Program Management Costs (698-0978), 1968-1969	box 3	folder 4
International Division/Latin America and the Caribbean (ID/LAC) -- FY 1969 Representational and Administrative Staff (PA 69-980, 698-0980), 1968	box 3	folder 5
International Division/Latin America and the Caribbean -- FY 1969 Consultants (PA 69-982, 698-0982), 1968	box 3	folder 6
International Division/Latin America and the Caribbean -- FY 1969 Training Associates (PA 69-983, 698-0983), 1968	box 3	folder 7
International Division/Latin America and the Caribbean -- FY 1969 Logistic Support -- Program Management Staff (PA 69-985, 698-0985), 1968	box 3	folder 8
International Division/Latin America and the Caribbean -- FY 1969 Office Expenses (PA 69-984, 698-0984), 1968	box 3	folder 9
International Division/Latin America and the Caribbean -- FY 1969 Operating Expenses and Small Program Actions, 1968-1975	box 3	folder 10
International Division/Office of the Vice President (ID/OVP) -- FY 1969 Office Operating Expenses (PA 69-978), 1968-1969	box 3	folder 11

International Division/Office of the Vice President -- FY 1969 Program Management Costs (698-0978), 1968-1969	box 3	folder 12
International Division/Population (ID/POP) -- FY 1969 Program Management Costs (698-0978), 1968-1969	box 3	folder 13
National Affairs (NA) -- FY 1969 Program Management Costs (698-0970), 1968-1969	box 3	folder 14
National Affairs -- FY 1969 Program Management Costs (Memos Re: Closing Out North Carolina Fund, etc.) (PA 69-970), 1968-1969	box 3	folder 15
Office of Public Broadcasting (PB) -- FY 1969 Program Management Costs (PA 698-0976), 1968-1969	box 3	folder 16
Administration -- FY 1970 General Management Costs, 1969-1970	box 3	folder 17
Education and Research -- FY 1970 Program Management Costs, 1969-1970	box 3	folder 18
Education and Research/Higher Education and Research -- FY 1970 Administrative Staff (PA 70-980), 1969-1970	box 3	folder 19
Education and Research/Higher Education and Research -- FY 1970 Program Advisors (PA 70-981), 1969-1970	box 3	folder 20
Education and Research/Higher Education and Research -- FY 1970 Consultants (PA 70-982), 1969-1970	box 3	folder 21
Education and Research/Higher Education and Research -- FY 1970 Training Associates (PA 70-983), 1969-1970	box 3	folder 22
Education and Research/Higher Education and Research -- FY 1970 Office Expenses (PA 70-984), 1969-1970	box 3	folder 23
Humanities and the Arts (HA) -- FY 1970 Administrative Staff (PA 70-980), 1969-1970	box 3	folder 24
Humanities and the Arts -- FY 1970 Program Advisors (PA 70-981), 1969	box 3	folder 25
Humanities and the Arts -- FY 1970 Consultants (PA 70-0983), 1969	box 3	folder 26
Humanities and the Arts -- FY 1970 Office Expenses (PA 70-0984), 1969	box 3	folder 27
Humanities and the Arts -- FY 1970 Program Management Costs, 1969-1970	box 3	folder 28
International Division/Asia & Pacific -- FY 1970 Representational and Administrative Staff (PA 708-0980), 1969-1970	box 3	folder 29
International Division/Asia & Pacific -- FY 1970 Program Advisory Staff (PA 708-0981), 1969	box 3	folder 30
International Division/Asia & Pacific -- FY 1970 Consultants (PA 708-0982), 1969	box 3	folder 31

International Division/Asia & Pacific -- FY 1970 Training Associates (PA 708-0983), 1969	box 3	folder 32
International Division/Asia & Pacific -- FY 1970 Office Expenses (PA 708-0984), 1969	box 3	folder 33
International Division/Asia & Pacific -- FY 1970 Logistic Support (PA 708-0985), 1969	box 3	folder 34
International Division/Asia & Pacific -- FY 1970 Operating Expenses and Small Program Actions, 1969-1971	box 3	folder 35
ID/EIA -- FY 1970 Program Management Costs, 1970	box 3	folder 36
ID/LAC -- FY 1970 Representational and Administrative Staff (PA 70-0980), 1969	box 3	folder 37
ID/LAC -- FY 1970 Program Management Costs (PA 70-0981), 1969	box 3	folder 38
ID/LAC -- FY 1970 Consultants (PA 70-0982), 1969	box 3	folder 39
ID/LAC -- FY 1970 Training Associates (PA 70-0983), 1969	box 3	folder 40
ID/LAC -- FY 1970 Office Expenses (PA 70-0984), 1969	box 3	folder 41
ID/LAC -- FY 1970 Logistic Support -- Program Management Staff (PA 70-0985), 1969	box 3	folder 42
ID/OVP -- FY 1970 Program Management Costs (PA 70-980, 708-0980), 1969-1970	box 4	folder 1
ID/OVP -- FY 1970 Program Advisors (PA 70-0981), 1969	box 4	folder 2
ID/OVP -- FY 1970 Consultants (PA 70-982, 708-0982), 1969	box 4	folder 3
National Affairs/Government and Law (NA/GL) -- FY 1970 Administrative Staff (PA 70-980), 1969-1970	box 4	folder 4
NA/GL -- FY 1970 Program Advisors (PA 70-981), 1969	box 4	folder 5
NA/GL -- FY 1970 Consultants (PA 70-982), 1969	box 4	folder 6
NA/GL -- FY 1970 Office Expenses (PA 70-984), 1969	box 4	folder 7
NA/GL -- FY 1970 Program Management Costs, 1969-1970	box 4	folder 8
NA/OVP -- FY 1970 Administrative Staff (PA 70-980), 1969-1970	box 4	folder 9
NA/OVP -- FY 1970 Program Advisors (PA 70-981), 1969-1970	box 4	folder 10
NA/OVP -- FY 1970 Consultants (PA 70-982), 1969-1970	box 4	folder 11
NA/OVP -- FY 1970 Office Expenses (PA 70-984), 1969	box 4	folder 12
NA/OVP -- FY 1970 Program Management Costs, 1969-1970	box 4	folder 13
National Affairs/Resources and the Environment (NA/R&E) -- FY 1970 Administrative Staff (PA 70-980), 1969-1970	box 4	folder 14
NA/R&E -- FY 1970 Program Advisors (PA 70-981), 1969	box 4	folder 15

NA/R&E -- FY 1970 Consultants (PA 70-982), 1969	box 4	folder 16
NA/R&E -- FY 1970 Office Expenses (PA 70-984), 1969	box 4	folder 17
NA/R&E -- FY 1970 Program Management Costs, 1969-1970	box 4	folder 18
National Affairs/Social Development (NA/SD) -- FY 1970 Administrative Staff (PA 70-980), 1969-1970	box 4	folder 19
NA/SD -- FY 1970 Program Advisors (PA 70-981), 1969	box 4	folder 20
NA/SD -- FY 1970 Consultants (PA 70-982), 1969	box 4	folder 21
NA/SD -- FY 1970 Training Associates (PA 70-983), 1969	box 4	folder 22
NA/SD -- FY 1970 Office Expenses (PA 70-984), 1969	box 4	folder 23
NA/SD -- FY 1970 Program Management Costs, 1969-1970	box 4	folder 24
National Affairs/Urban and Metropolitan Development (NA/UMD) -- FY 1970 Administrative Staff (PA 70-980), 1969-1970	box 4	folder 25
NA/UMD -- FY 1970 Program Advisors (PA 70-981), 1969	box 4	folder 26
NA/UMD -- FY 1970 Consultants (PA 70-982), 1969	box 4	folder 27
NA/UMD -- FY 1970 Office Expenses (PA 70-984), 1969	box 4	folder 28
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PB -- FY 1970 Consultants (PA 70-0982), 1969-1970	box 4	folder 32
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PB -- FY 1970 Program Management Costs, 1969-1970	box 4	folder 34
ADMIN -- FY 1971 General Management Costs, 1970-1971	box 4	folder 35
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ADMIN/OVP -- FY 1971 General Management Costs (PA 71-982), 1970	box 4	folder 37
E&R -- FY 1971 Program Management Costs (PA 71-980), 1970-1971	box 4	folder 38
E&R -- FY 1971 Program Management Costs (PA 71-981), 1970	box 4	folder 39
E&R -- FY 1971 Program Management Costs (PA 71-982), 1970	box 4	folder 40
E&R -- FY 1971 Program Management Costs (PA 71-983), 1970	box 4	folder 41
E&R -- FY 1971 Program Management Costs (PA 71-984), 1970	box 4	folder 42
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HA -- FY 1971 Program Management Costs (PA 71-984), 1971	box 5	folder 4
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ID/A&P -- FY 1970 Program Advisory Staff (PA 71-981), 1970-1971	box 5	folder 6
ID/A&P -- FY 1971 Consultants (PA 71-982), 1970-1971	box 5	folder 7
ID/A&P -- FY 1971 Training Associates (PA 71-983), 1970-1971	box 5	folder 8
ID/A&P -- FY 1971 Program Management Costs, Logistic Support, Small Program Actions (PA 71-984), 1970	box 5	folder 9
ID/A&P -- FY 1971 Program Management Costs, Logistic Support, Small Program Actions (PA 71-985), 1970	box 5	folder 10
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ADMIN -- FY 1972 General Management Costs, 1971-1973	box 6	folder 4
E&R -- FY 1972 Program Management Costs (PA 72-980), 1971-1972	box 6	folder 5
E&R -- FY 1972 Program Management Costs (PA 72-981), 1971-1972	box 6	folder 6
E&R -- FY 1972 Program Management Costs (PA 72-982), 1971	box 6	folder 7
E&R -- FY 1972 Program Management Costs (PA 72-984), 1971-1972	box 6	folder 8
E&R -- FY 1972 Program Management Costs, 1971-1972	box 6	folder 9
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