



# **Ford Foundation records, Program Division, Office of the Vice President, Office Files of James H. Lapple**

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## Summary Information

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| <b>Repository:</b>               | Rockefeller Archive Center   |
| <b>Creator - aut:</b>            | Lapple, James H.   |
| <b>Creator:</b>                  | Ford Foundation  |
| <b>Title:</b>                    | Ford Foundation records, Program Division, Office of the Vice President, Office Files of James H. Lapple   |
| <b>ID:</b>                       | FA599  |
| <b>Date [inclusive]:</b>         | Bulk, 1989-1992 1971-1993  |
| <b>Date [bulk]:</b>              | 1989-1992  |
| <b>Physical Description:</b>     | 2.4 Cubic Feet   |
| <b>Language of the Material:</b> | English  |
| <b>Abstract:</b>                 | <p>The Program Division was created in 1989 to streamline the supervision of the Ford Foundation's worldwide programming initiatives. The division's one department, the Office of the Vice President, absorbed the responsibilities of two independent programs: the United States and International Affairs Program and the Developing Countries Program. James Lapple joined Ford Foundation in 1986 to work as an accountant. By 1990 he had risen to Manager of Operations within the Office of the Vice President of the Program Division. The Office Files of James H. Lapple span from 1971 to 1993, with the bulk originating between 1989 and 1992, and document his work as Manager of Operations. Program reviews and field office budget reports make up the bulk of the collection and detail the activities and operations of Foundation staff and grant recipients both at the New York headquarters and abroad. Budget projections and expenditure reports reveal the funding allotted for each program and, within each, how and where money was distributed. The papers also reveal Mr. Lapple's direct involvement in the establishment of field offices, from securing attorneys and setting up site visits to leasing property and hiring local staff. Several files concern the establishment of field offices in Santiago and Namibia and reveal the months of preliminary research and detailed preparation necessary to open an office abroad.</p> |

## Preferred Citation

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

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## Biographical Note

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James H. Lapple graduated from St. Bonaventure University in 1984 with a Bachelor's in Business Administration and a focus on Accounting. He later earned both an MBA and a CPA. From 1984 to 1986, Mr. Lapple worked as a staff accountant for Price Waterhouse and, in April 1986, joined the Ford Foundation as a senior accountant for International Operations within the Office of the Secretary, Legal, Financial and Administrative Services. In January 1990, Mr. Lapple became the Manager of Operations within the Office of the Vice President of the Program Division. He was promoted in April 1994 to the role of Manager of Operations and Grants Administration for the entire Program Division. In these roles, Mr. Lapple oversaw the finances and accounting practices of the international field offices, monitored grant-making budgets, and supervised and supported field office employees. He traveled often and supported and assisted with field office operations both from the New York headquarters and on his many trips. Mr. Lapple resigned in August 1997 to work for the Institute of International Education where he served as Vice President for Finance and Administration. In 2004, he became the Treasurer of Rockefeller University. Currently Mr. Lapple is the Vice President for Finance and the Associate Treasurer at Rockefeller University.

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## Organizational Note

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The Program Division was created in 1989 to streamline the supervision of the Ford Foundation's worldwide programming initiatives. The division's main department, the Office of the Vice President, absorbed the responsibilities of two previously independent programs: the United States and International Affairs Program (USIAP) and the Developing Countries Program (DCP).

The Developing Countries Program consisted of three regions: Latin America and the Caribbean (LAC); Asia and the Pacific (ASIA); and Africa and the Middle East (AME). Each region was further subdivided into zones operated by a field office. The LAC region included three zones: a Brazil office, a Mexico office, and two offices within the Andean Region and the Southern Cone (a main office in Santiago, Chile which opened in 1991 and a sub-office in Lima, Peru). ASIA was divided into four zones with offices in India, Bangladesh, and China, and three offices in Southeast Asia (a main office in Indonesia,

and two sub-offices in the Philippines and Thailand). AME was divided into three zones with a main and a sub-office in each zone. The North Africa and Middle East zone included a main office in Egypt and a sub-office in the Sudan; West Africa consisted of a main office in Senegal and a sub-office in Nigeria; and Eastern and Southern Africa activities operated out of a main office in Kenya and a sub-office in Zimbabwe.

Both main and sub-offices oversaw the implementation of initiatives and worked together to coordinate programming and grantee activity. The representative of each zone and the bulk of the program staff worked out of the main office. In geographically broad zones, an assistant representative often worked out in a sub-office. This practice expanded the Foundation's presence and ensured that even large regions would have adequately coverage by Foundation staff. Depending on shifting interests and social, political, and economic conditions within the regions, field offices periodically relocated from one country to another. The Andean Region and the Southern Cone experienced this when, in the early 1990s, the Foundation decided to convert its Lima office into a sub-office and establish a new main office in Santiago, Chile.

The United States and International Affairs Program also consisted of several divisions. By the early 1990s, these programs included Education and Culture; International Affairs; Rights and Social Justice; Governance and Public Policy; Program-Related Investments; Reproductive Health and Population; Rural Poverty and Resources; Urban Poverty; and the Office of the Vice President. With the Foundation's reorganization of 1997 and the termination of a distinct department designed to supervise worldwide programming, the responsibilities once delegated to the Program Division transferred to three new program areas: Asset Building and Community Development (ASSETS); Education, Media, Arts and Culture (EMAC); and Peace and Social Justice (PSJ).

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## Scope and Contents

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The Office Files of James H. Lapple span from 1971 to 1993, with the bulk of the files originating between 1989 and 1992. They document his work as Manager of Operations and Grant Administration within the Office of the Vice President of the Program Division. Mr. Lapple monitored the activities of and decisions made by Foundation staff abroad. Program reviews and field office reports make up the bulk of the collection and detail the activities and operations of Foundation staff and grant recipients. Budget projections and expenditure reports describe in detail the funding allotted for each program and, within each, how and where money was distributed and spent. The meeting documents reveal the objectives of the Program Division and how funding was appropriated, allocated, and used to support activities. They illustrate accounting and grant-making processes, information and records management systems, and employment and hiring policies, and highlight their changing nature as the Foundation sought more efficient modes of operation. In addition, Mr. Lapple's papers reveal his involvement in the establishment of field offices, including the engagement of local attorneys hired to secure the legal documentation necessary for the Foundation to operate overseas, and the search for and lease of

office space. The records also illustrate employee lodging and subsequent property renovations and employment issues regarding Foundation consultants and local staff members.

Of particular note are the files revealing field office practices for administering grant funding to local recipients. Prior to the late 1980s and early 1990s, each regional office developed its own system for monitoring and distributing grant funding. Mr. Lapple proved instrumental in standardizing the process by implementing a computer-generated field office grants system (FOGS) and arranging for the installation of the corresponding software in regional offices.

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## Arrangement

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The collection is arranged into four series:

1. Program Reviews and Budgets, 1989-1993
2. Field Office Management and Operations, Bulk, 1990-1992 1971-1992
3. Field Office Budgets (Fiscal Year 1992), 1991
4. Management Files, 1991-1992

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## Administrative Information

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### Publication Statement

Rockefeller Archive Center

15 Dayton Avenue

Sleepy Hollow 10591

[archive@rockarch.org](mailto:archive@rockarch.org)

URL: <http://www.rockarch.org>

### Immediate Source of Acquisition

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.

The latest accession was transferred to RAC in 2018 by the Ford Foundation and ingested by RAC as Accession 2018:066.

## Conditions Governing Access

Open for research with select materials restricted as noted. Brittle or damaged items are available at the discretion of RAC. Researchers interested in accessing digital media (floppy disks, CDs, DVDs, etc.) in this collection must use an access surrogate. The original items may not be accessed because of preservation concerns. To request an access surrogate be made, or if you are unsure if there is an access surrogate, please contact an archivist.

## Processing Information Note

The original volume of 3 cubic feet accessioned in 2011 was reduced during processing to 1.6 cubic feet and transferred to 4 archival document boxes. The original arrangement of the collection has been maintained. Duplicates, reference files and background materials, grant proposals, and files that addressed purely financial matters were not retained.

The latest accession (2018:066) was added to the collection as Series 4: Management Files, 1991-1992 by Katie Martin in October 2018.

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## Related Materials

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### Related Materials

Ford Foundation records, Program Division, Office of the Vice President, Office Files of James H. Lapple (FA683) <http://dimes.rockarch.org/FA683/collection>

Ford Foundation records, Program Division, Office of the Vice President, Office Files of James H. Lapple (FA661) <http://dimes.rockarch.org/FA661/collection>

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## Collection Inventory

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### Program Reviews and Budgets, 1989-1993

## Scope and Contents

The program review meeting files consist of agendas, budget projections, interoffice memoranda, handwritten notes and additional materials. The Program Division held meetings each year, including mid-year and six-month budget reviews, DCP/USIAP joint program reviews, and individual review sessions for DCP and USIAP divisions. During these meetings, program officers and directors reported on expenditures, existing and future programming, and grant distribution and shared budget projections. The files also hold reports and papers detailing work accomplished within the programs.

Of particular note is the Field Office Delegation of Authority manual, found with the 1991 Joint Program Review materials. It details the responsibilities and functions of field office staff and regional representatives. It delineates the duties of field office representatives, assistant representatives, and program officers and paints a more vivid picture of the management of Foundation offices abroad.

## Arrangement

Arranged chronologically.

| Title/Description   | Instances |           |
|---|-----------|-----------|
| United States and International Affairs Program (USIAP) -- Governance and Public Policy (GPP) -- Budget Projections, Feb 1989   | box 1     | folder 1  |
| Developing Countries Program(DCP)/USIAP -- Memoranda Re: New Budget Reports, Aug-Sep 1989   | box 1     | folder 2  |
| DCP/USIAP Program Review (April 1990) -- Agendas, Memoranda, Status Reports, Handwritten Notes, Jan-Jun 1990  | box 1     | folder 3  |
| USIAP -- Human Rights and Social Justice (HRJ) -- Budget Projections, Mar 1990  | box 1     | folder 4  |
| USIAP -- Program-Related Investments (PRI) -- Budget Projections, Jun 1990  | box 1     | folder 5  |
| USIAP -- Governance and Public Policy -- Budget Projections, 1990   | box 1     | folder 6  |
| DCP/USIAP Mid-Year Budget Review (March 1991) -- Agendas, Memoranda, Budget and Expenditures Reports, Mar 1991  | box 1     | folder 7  |
| DCP/USIAP Joint Program Review (April-May 1991) -- Agendas, Memoranda, Meeting Materials, Notes from Sessions, Jan-May 1991   | box 1     | folder 8  |
| DCP/USIAP Joint Program Review -- Budget Session (5/6/91) -- Agenda, Memoranda, Meeting Materials, Apr-Jun 1991   | box 1     | folder 9  |
| DCP/USIAP Joint Program Review -- Regional Sub-office Luncheon/Meeting (5/6/91) -- Agenda, Meeting Materials Re: Sub-Office Issues and Grant Administration, May 1991 | box 1     | folder 10 |
| DCP/USIAP Joint Program Review -- Field Office Delegation of Authority Manual, 1991   | box 1     | folder 11 |
| DCP/USIAP -- Budget Reports, Memoranda and Handwritten Notes Re: Fiscal Year 1991 and 1992 Expenditures and Staff, Mar-Aug 1991                                       | box 1     | folder 12 |



|   |       |           |
|---|-------|-----------|
| USIAP Program Review -- Session Agendas for Jan-Feb 1992 Meetings, Dec 1991   | box 1 | folder 13 |
| USIAP Program Review -- Governance and Public Policy (1/9/92) -- Agenda, Memoranda, Budget Projections, Jan 1992                          | box 1 | folder 14 |
| USIAP Program Review -- Urban Poverty (1/10/92) -- Memoranda and Budget Projections, Oct 1991-Jan 1992                                    | box 1 | folder 15 |
| USIAP Program Review -- Program-Related Investments (1/14/92) -- Agenda and Grant Projections, Jan 1992                                   | box 1 | folder 16 |
| USIAP Program Review -- International Affairs (2/5/92) -- Agenda, Memoranda, Budget Projections, Jan 1992                                 | box 1 | folder 17 |
| USIAP Program Review -- Education and Culture (2/6/92) -- Agenda, Memoranda, Budget Projections, Jan-Feb 1992                             | box 1 | folder 18 |
| USIAP Program Review -- Rights and Social Justice (2/7/92) -- Agenda, Memoranda, Meeting Materials, Budget Projections, Dec 1991-Feb 1992 | box 2 | folder 1  |
| USIAP Program Review -- Reproductive Health and Population (2/14/92) -- Agenda, Memoranda, Budget Projections, Jan-Feb 1992               | box 2 | folder 2  |
| USIAP Program Review -- Rural Poverty and Resources (2/14/92) -- Agenda, Memoranda, Budget Projections, Worldwide Funds, Jan-Feb 1992     | box 2 | folder 3  |
| DCP/USIAP 6-Month Budget Review (March 1992) -- Program Budget Reports, Mar-May 1992  | box 2 | folder 4  |
| DCP/USIAP Joint Program Review (May 1992) -- Agendas, Memoranda, Meeting Materials, Jan-May 1992  | box 2 | folder 5  |
| DCP/USIAP Joint Program Review (May 1992) -- Field Office Retention Guidelines, May 1992  | box 2 | folder 6  |
| USIAP Program Review -- Rights and Social Justice (3/4/93) -- Agenda, Memoranda, Reports, Budget Projections, Feb-Mar 1993                | box 2 | folder 7  |
| USIAP Program Review -- Governance and Public Policy (3/9/93) -- Agenda, Memoranda, Meeting Materials, Budget Projections, Mar 1993       | box 2 | folder 8  |

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## Field Office Management and Operations, Bulk, 1990-1992 1971-1992 (1990-1992)

### Scope and Contents

This series details the management and operations of Foundation offices abroad and includes interoffice memoranda, employment contracts, property leases, country agreements, consultant's reports, meeting and site visit materials, and handwritten notes. The bulk of the files focus on the Foundation's developing interests in Namibia and Chile, documenting both the establishment of offices within the two countries and the redistribution of responsibilities of former regional branches. Records in this series also chart Mr. Lapple's Beijing, Cairo, and Lima

office visits to supervise the installation of the FOGS software and the development of the protocols governing its use.

## Arrangement

Arranged alphabetically by region and zone.

| Title/Description   | Instances |           |
|---|-----------|-----------|
| Africa and the Middle East (AME) -- Namibia -- Establishment of Field Office -- Country Agreement and Memoranda Re: Employment Policies, 1991-1992                            | box 2     | folder 9  |
| AME -- Namibia -- South Africa/Namibia Task Force Visit (July 1992) -- Agenda and Hotel Reservation Information, Jun-Jul 1992   | box 2     | folder 10 |
| AME -- West Africa -- Report, "Funds for Community Development Associations (FCDAs)" by the Ford Foundation, West Africa Office, Mar 1990                                     | box 2     | folder 11 |
| AME -- West Africa (Nigeria) -- Office Space -- Property Lease, Apr 1990  | box 2     | folder 12 |
| ASIA (Asia and the Pacific) -- Bangladesh -- Office Space -- Memoranda and Floor Plans, 1991  | box 3     | folder 1  |
| ASIA -- China -- Field Office Grant System (FOGS) Installation -- Agendas, Memoranda, Grant Reports, Jun-Dec 1991   | box 3     | folder 2  |
| ASIA -- India, Nepal, and Sri Lanka -- Office Lease Agreement, Feb-Jun 1991   | box 3     | folder 3  |
| ASIA -- Southeast Asia (Indonesia) -- Office Lease Agreement, Jan-Feb 1991  | box 3     | folder 4  |
| Latin America and the Caribbean (LAC) -- Andean Region and the Southern Cone (Lima) -- Field Office Grant System (FOGS) Installation -- Agenda, Memoranda, Survey, 1989-1990  | box 3     | folder 5  |
| LAC -- Andean Region and the Southern Cone (Lima) -- Regional Office Staffing and Transition to Sub-Office Status, 1988-1990  | box 3     | folder 6  |
| LAC -- Andean Region and the Southern Cone (Santiago) -- Andrew Wallace Consultancy -- Memoranda, Consultant's Reports, May-Sep 1990  | box 3     | folder 7  |
| LAC -- Andean Region and the Southern Cone (Santiago) -- Employment Contracts and Memoranda Re: Field Office Staffing, 1990-1991  | box 3     | folder 8  |
| LAC -- Andean Region and the Southern Cone (Santiago) -- Employment Surveys (Salary and Benefits) and Correspondence -- Price Waterhouse and Langton Clark, Dec 1990-Apr 1991 | box 3     | folder 9  |
| LAC -- Andean Region and the Southern Cone (Santiago) -- Legal Fees and Attorney Contracts Re: Work Rendered in 1990, Oct 1990-Feb 1991                                       | box 3     | folder 10 |

|   |       |           |
|---|-------|-----------|
| LAC -- Andean Region and the Southern Cone (Santiago) -- Legal Work Re: Establishment of Field Office in Chile, Bulk, 1990-1991 1971-1991 (1990-1991)   | box 3 | folder 11 |
| LAC -- Andean Region and the Southern Cone (Santiago) -- Meetings and Site Visits -- Agendas, Meeting Materials, Discussion Topics, Notes Re: Establishment and Staffing of Regional Office in Chile, April 1990-Jan 1991 | box 3 | folder 12 |
| LAC -- Andean Region and the Southern Cone (Santiago) -- Office Space -- Memoranda, Correspondence, Lease Agreements Re: Santiago Rentals and Renovations, Jan 1990-Jan 1991  | box 3 | folder 13 |
| LAC -- Andean Region and the Southern Cone (Santiago and Lima) -- Expenditure Issues and Observations -- Budget Reports, Memoranda, 1990-1992   | box 4 | folder 1  |

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## Field Office Budgets (Fiscal Year 1992), 1991

### Scope and Contents

This series contains field office budget and expenditure reports for the 1992 fiscal year as well as related interoffice memoranda with background and additional information about the finances and accounting of the regional branches. The budget reports for to the 1992 fiscal year were compiled in 1991, and often correspond to and address the field office activities and expenditures described in Series II.

### Arrangement

Arranged alphabetically by region.

| Title/Description   | Instances |           |
|---|-----------|-----------|
| Africa and the Middle East (AME) Budget Report, 1991  | box 4     | folder 2  |
| AME -- Eastern and Southern Africa (Kenya) Office Budget Report (with accompanying documents including office leases), 1991 | box 4     | folder 3  |
| AME -- Eastern and Southern Africa (Zimbabwe) Office Budget Report, 1991  | box 4     | folder 4  |
| AME -- North Africa and Middle East (Egypt) Office Budget Report, 1991  | box 4     | folder 5  |
| AME -- North Africa and Middle East (Sudan) Office Budget Report, 1991  | box 4     | folder 6  |
| AME -- South Africa and Namibia Office Budget Report, 1991  | box 4     | folder 7  |
| AME -- West Africa (Nigeria) Office Budget Report, 1991   | box 4     | folder 8  |
| AME -- West Africa (Senegal) Office Budget Report, 1991   | box 4     | folder 9  |
| Asia and the Pacific (ASIA) Budget Report, 1991   | box 4     | folder 10 |

|  |       |           |
|--|-------|-----------|
| ASIA -- Bangladesh Office Budget Report, 1991                                | box 4 | folder 11 |
| ASIA -- China Office Budget Report, 1991                                     | box 4 | folder 12 |
| ASIA -- India Office Budget Report, 1991                                     | box 4 | folder 13 |
| ASIA -- Southeast Asia (Indonesia) Office Budget Report, 1991                | box 4 | folder 14 |
| ASIA -- Southeast Asia (Philippines) Office Budget Report, 1991              | box 4 | folder 15 |
| ASIA -- Southeast Asia (Thailand) Office Budget Report, 1991                 | box 4 | folder 16 |
| Latin America and the Caribbean (LAC) Budget Report, 1991                    | box 4 | folder 17 |
| LAC -- Andean Region and the Southern Cone (Peru) Office Budget Report, 1991 | box 4 | folder 18 |
| LAC -- Brazil Office Budget Report, 1991                                     | box 4 | folder 19 |
| LAC -- Mexico Office Budget Report, 1991                                     | box 4 | folder 20 |

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## Management Files, 1991-1992

| Title/Description   | Instances |            |
|---|-----------|------------|
| Namibia -- Salary Survey Engagement Letters and Recruiting Engagement Letters, 1992 | box 5     | folder 1   |
| Namibia -- Task Force General Notes, undated  | box 5     | folder 2   |
| Namibia -- Newspaper Clippings, 1992  | box 5     | folder 3   |
| Namibia -- Administrative Files (3 folders), 1991-1992                              | box 5     | folder 4-6 |

### Scope and Contents

Memos, Personnel Policy and Practices Manual, correspondence regarding Namibian National Salary Survey, Namibia Task Force Draft, Field Office Timetable, Task Force Meeting Agendas, job descriptions and office hierarchy, drafts, Republic of Namibia National Assembly Labour Bill B.42 - '91,

|   |       |           |
|---|-------|-----------|
| Accountant CVs - Jobs Unlimited, 1992   | box 7 | folder 30 |
| <u>Conditions Governing Access:</u><br><b>Conditions Governing Access</b><br><br>Sensitive material                           |       |           |
| Namibia Agreement, 1991   | box 5 | folder 7  |
| An Evaluation of Current Renumeration Practices and Market Rates in Namibia, Price Waterhouse Meyernel (2 copies), 1992 March | box 5 | folder 8  |

|  |       |              |
|--|-------|--------------|
| Namibia/South Africa Visit, 1992 July  | box 5 | folder 9     |
| Namibia -- Start-Up Visit , 1992   | box 5 | folder 10    |
| USIAP Program Support Budgets, 1991-1992   | box 5 | folder 11    |
| USIAP Program Support Budgets -- Ratios, 1992                                      | box 5 | folder 12    |
| USIAP Program Support Budgets -- Followup Memos, 1991                              | box 5 | folder 13    |
| USIAP Program Support Budgets -- Analysis (4 folders),<br>1991-1992                | box 5 | folder 14    |
|  | box 6 | folder 15-18 |
| USIAP Program Support Budgets - Developing Country Programs<br>Salaries, 1991      | box 6 | folder 19    |
| USIAP Program Support Budgets - 1992 Budget Instructions (2<br>folders), 1991-1992 | box 6 | folder 20-21 |
| USIAP Program Support Budgets -- Budget Presentation,<br>1991-1992                 | box 6 | folder 22    |
| USIAP Program Support Budgets - Budget Calendarization<br>Worksheets, 1992         | box 6 | folder 23    |
| USIAP 1992 Program Support Budgets, 1992   | box 6 | folder 24    |
| FY 1992 Capital Projects (4 folders), 1992   | box 6 | folder 25-26 |
|  | box 7 | folder 27-28 |
| FY 1992 Capital Projects - Chile, 1991-1992  | box 7 | folder 29    |

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