Withdrawal/Redaction Sheet
Clinton Library

DOCUMENT NO. AND TYPE	SUBJECT/TITLE	DATE	RESTRICTION
001. report	[Personally Identifiable Information] [partial] (3 pages)	00/00/1980	b(6)

COLLECTION:
Clinton Presidential Records
Staff Secretary
Todd Stern
OA/Box Number: 9310

FOLDER TITLE:
Inspector General Documents [Folder 2] [2]

2019-0774-S
rs3391

RESTRICTION CODES

Presidential Records Act - [44 U.S.C. 2204(a)]

P1 National Security Classified Information [(a)(1) of the PRA]
P2 Relating to the appointment to Federal office [(a)(2) of the PRA]
P3 Release would violate a Federal statute [(a)(3) of the PRA]
P4 Release would disclose trade secrets or confidential commercial or financial information [(a)(4) of the PRA]
P5 Release would disclose confidential advice between the President and his advisors, or between such advisors [a)(5) of the PRA]
P6 Release would constitute a clearly unwarranted invasion of personal privacy [(a)(6) of the PRA]

C. Closed in accordance with restrictions contained in donor's deed of gift.
PRM. Personal record misfile defined in accordance with 44 U.S.C. 2201(3).
RR. Document will be reviewed upon request.

Freedom of Information Act - [5 U.S.C. 552(b)]

b(1) National security classified information [(b)(1) of the FOIA]
b(2) Release would disclose internal personnel rules and practices of an agency [(b)(2) of the FOIA]
b(3) Release would violate a Federal statute [(b)(3) of the FOIA]
b(4) Release would disclose trade secrets or confidential or financial information [(b)(4) of the FOIA]
b(6) Release would constitute a clearly unwarranted invasion of personal privacy [(b)(6) of the FOIA]
b(7) Release would disclose information compiled for law enforcement purposes [(b)(7) of the FOIA]
b(8) Release would disclose information concerning the regulation of financial institutions [(b)(8) of the FOIA]
b(9) Release would disclose geological or geophysical information concerning wells [(b)(9) of the FOIA]

H. List all entities that owners, directors, officers, partners and managers of applicant have a financial interest in or hold a management or board position. If none, so state.

Name of entity	Name of Person	Position Held	% or Ownership
NORTHWESTERN MEMORIAL HOSPITAL	JAMES H. LOWRY	BOARD MEMBER	----
GRINNELL COLLEGE	JAMES H. LOWRY	BOARD MEMBER	----

I. Have any of the above firms received or applied for 8(a) approval:
Yes [ ] No [x] If yes, identify_____

IV. Company History: (Narrative of purpose chronological development, problems and successes).

James H. Lowry & Associates was organized in October, 1975 in response to the need for small management consulting firms that are expert in economic and social development and urban affairs. James H. Lowry, the founder of the firm, was motivated to establish this firm not only by his entrepreneural spirit, but also by the lack of professional minority firms with expertise in these critically important fields.

All monies for the firm were provided by James H. Lowry, and its establishment as a full-scale management services firm was based upon the skills, experience, and reputation of James H. Lowry. Mr. Lowry was formerly the Director for Public Sector Practice in the Chicago Office of McKinsey & Company, a highly reputable international consulting firm.

Under the able management of Mr. Lowry, the firm has grown in terms of size, billings, and reputation, but has not yet become a consistently profitable venture. Despite quality products and on-time performance, James H. Lowry & Associates has not yet been able to develop the kind of stable income flow and client base it needs to be assured of survivial.

The business has been successful due to a large amount of work with the City of Chicago. During this past year, JHLA executed its first contract with the Federal Government. Due to the high costs of marketing and procuring new business, JHLA has decided to focus its efforts on limited competition and sole source procurement opportunities. Such a marketing strategy for 1979 would be greatly enhanced by 8(a) certification.

Further work with the Department of Commerce and other Federal agencies would be greatly facilitated by the attractiveness that 8(a) contracts pose for their contracting requirements. Additional Federal business would give JHLA the opportunity to hire the additional manpower, lease more space, and develop the resources necessary to gain access to the private marketplace. JHLA already has the reputation. James H. Lowry & Associates only needs to build the capacity to become competitive with the larger general management consulting firms.

JAMES H. LOWRY

James H. Lowry is the President and sole owner of James H. Lowry & Associates, a profitable and growing firm specializing in urban affairs and community and economic development. Prior to the firm's founding in October, 1975, Mr. Lowry had had over nine years of experience as a professional management consultant serving corporate and government clients. His previous employment includes the following positions:

Director of Public Sector Practice, McKinsey and Company, Inc. - where his extensive consulting experience included participation in a variety of community and economic development assignments, including the following:

> Chicago Community Ventures - where he assisted over fifteen minority companies in various economic development activities as a member of the Resource Board. He also served as an advisor to the President in developing a statement of objectives and in designing a basic structure for the parent company.
>
> Interracial Council for Business Opportunities - where, as a consultant to the Council, Mr. Lowry completed a strategic planning study to assist the organization in identifying major goals and objectives. Mr. Lowry focused his attention on streamlining operations so that the Council could achieve greater efficiency in providing technical assistance to minority businesses.
>
> United Republic of Tanzania - where he assisted in the reorganization of eight ministries and sixteen regions from a highly centralized to a decentralized governmental structure. He designed and helped implement a new planning and control system for the Republic's comprehensive rural development program.
>
> New York Urban Coalition - where he prepared a feasibility study for a proposed industrialized housing project. He prepared a detailed analysis focusing on financial requirements of a highly competitive industrialized housing industry.

Special Assistant to the President, Bedford-Stuyvesant Restoration Corporation (BSRC) - where he was responsible for helping design one of the first minority economic development programs in the country. Funded by the U.S. Department of Labor with Special Impact funds, BSRC established a $2.5 million investment pool for community business development. One of the first and largest projects under this program was the establishment of a major IBM installation in the community.

U.S. Peace Corps - where he served in several capacities. In Lima, Peru, Mr. Lowry was the Peace Corps Associate Director and was responsible for the administration and programming of more than a hundred Peace Corps volunteers in the city of Lima and nearby coastal towns. In Arecibo, Puerto Rico, he served as Program Director of the Peace Corps Training Center and was responsible for the administration and training of Peace Corps volunteers assigned to Latin America.

JAMES H. LOWRY

James H. Lowry is the President and sole owner of James H. Lowry & Associates, a profitable and growing firm specializing in urban affairs and community and economic development. Prior to the firm's founding in October, 1975, Mr. Lowry had had over nine years of experience as a professional management consultant serving corporate and government clients. His previous employment includes the following positions:

Director of Public Sector Practice, McKinsey and Company, Inc. - where his extensive consulting experience included participation in a variety of community and economic development assignments, including the following:

> Chicago Community Ventures - where he assisted over fifteen minority companies in various economic development activities as a member of the Resource Board. He also served as an advisor to the President in developing a statement of objectives and in designing a basic structure for the parent company.
>
> Interracial Council for Business Opportunities - where, as a consultant to the Council, Mr. Lowry completed a strategic planning study to assist the organization in identifying major goals and objectives. Mr. Lowry focused his attention on streamlining operations so that the Council could achieve greater efficiency in providing technical assistance to minority businesses.
>
> United Republic of Tanzania - where he assisted in the reorganization of eight ministries and sixteen regions from a highly centralized to a decentralized governmental structure. He designed and helped implement a new planning and control system for the Republic's comprehensive rural development program.
>
> New York Urban Coalition - where he prepared a feasibility study for a proposed industrialized housing project. He prepared a detailed analysis focusing on financial requirements of a highly competitive industrialized housing industry.

Special Assistant to the President, Bedford-Stuyvesant Restoration Corporation (BSRC) - where he was responsible for helping design one of the first minority economic development programs in the country. Funded by the U.S. Department of Labor with Special Impact funds, BSRC established a $2.5 million investment pool for community business development. One of the first and largest projects under this program was the establishment of a major IBM installation in the community.

U.S. Peace Corps - where he served in several capacities. In Lima, Peru, Mr. Lowry was the Peace Corps Associate Director and was responsible for the administration and programming of more than a hundred Peace Corps volunteers in the city of Lima and nearby coastal towns. In Arecibo, Puerto Rico, he served as Program Director of the Peace Corps Training Center and was responsible for the administration and training of Peace Corps volunteers assigned to Latin America.

Tutor, Kivukoni College, Dar-Es-Salaam, Tanzania - where he served at an adult training center for government and civic leaders. Mr. Lowry taught Political Science and American Government.

Mr. Lowry was educated at Grinell College, where he received his B.A. in Political Science and was awarded a John Hay Whitney Fellowship. He took his M.A. in Public and International Affairs at the University of Pittsburgh. Mr. Lowry was selected to participate in the Harvard Graduate School of Business Administration Program for Management Development (PMD) and was elected President of his PMD class. In both 1970 and 1976, he was voted one of the U.S. Outstanding Young Men.

ATTACHMENT A

Certificate № 110642

STATE OF ILLINOIS

OFFICE OF THE SECRETARY OF STATE

To all to whom these Presents Shall Come, Greeting:

Whereas, *Articles of Incorporation duly signed and verified of* JAMES H. LOWRY AND ASSOCIATES, INC. *have been filed in the Office of the Secretary of State on the* 6th *day of* February *A. D. 19* 76, *as provided by "THE BUSINESS CORPORATION ACT" of Illinois, in force July 13, A. D. 1933.*

Now Therefore, I, MICHAEL J. HOWLETT, *Secretary of State of the State of Illinois, by virtue of the powers vested in me by law, do hereby issue this certificate of incorporation and attach thereto a copy of the Articles of Incorporation of the aforesaid corporation.*

In Testimony Whereof, *I hereto set my hand and cause to be affixed the Great Seal of the State of Illinois.*

Done at the City of Springfield this 6th *day of* February *AD 19* 76 *and of the Independence of the United States the two hundred and* 00

Michael J. Howlett

SECRETARY OF STATE

ATTACHMENT A-2

FORM B C A-47

BEFORE ATTEMPTING TO EXECUTE THESE BLANKS BE SURE TO READ CAREFULLY THE INSTRUCTIONS ON THE BACK THEREOF.

(THESE ARTICLES MUST BE FILED IN DUPLICATE)

(Do not write in this space)
Date Paid 2-6-76
Initial License Fee $
Franchise Tax $
Filing Fee $ 35.00
Clerk $ 113.00

STATE OF ILLINOIS, } ss.
COOK COUNTY

TO MICHAEL J. HOWLETT, Secretary of State :

The undersigned,

Name	Number	Street	Address City	State
Allison S. Davis	14	West Erie Street	Chicago,	Illinois

being one or more natural persons of the age of twenty-one years or more or a corporation, and having subscribed to shares of the corporation to be organized pursuant hereto, for the purpose of forming a corporation under "The Business Corporation Act" of the State of Illinois, do hereby adopt the following Articles of Incorporation:

ARTICLE ONE

The name of the corporation hereby incorporated is: James H. Lowry and Associates, Inc.

ARTICLE TWO

The *address* of its initial registered office in the State of Illinois is: 14 West Erie Street, in the City of Chicago (60610 (Zip Code)) County of Cook and the *name* of its initial Registered Agent at *said address* is: Allison S. Davis

ARTICLE THREE

The duration of the corporation is: perpetual

ARTICLE FOUR

The purpose or purposes for which the corporation is organized are:

To serve in an advisory, managerial and consultative capacity; to investigate systems, methods and controls of manufacturing, plant operations, marketing, inventories and other operations operations integral to all businesses, and to make recommendations, revise, adapt, modernize and establish economies to effect industrial and managerial efficiency and in connection therewith to take over the entire operation and business of any type of business and for industry and to do such things and to perform such services as may be necessary to carry out the foregoing purposes.

ARTICLE FIVE

PARAGRAPH 1: The aggregate number of shares which the corporation is authorized to issue is 1,000, divided into one classes. The designation of each class, the number of shares of each class, and the par value, if any, of the shares of each class, or a statement that the shares of any class are without par value, are as follows:

Class	Series (If any)	Number of Shares	Par value per share or statement that shares are without par value
Common	None	1,000	No par value

PARAGRAPH 2: The preferences, qualifications, limitations, restrictions and the special or relative rights in respect of the shares of each class are:

None

ARTICLE SIX

The class and number of shares which the corporation proposes to issue without further report to the Secretary of State, and the consideration (expressed in dollars) to be received by the corporation therefor, are:

Class of shares	Number of shares	Total consideration to be received therefor:
Common	100	$1,000.00
		$

ARTICLE SEVEN

The corporation will not commence business until at least one thousand dollars has been received as consideration for the issuance of shares.

ARTICLE EIGHT

The number of directors to be elected at the first meeting of the shareholders is: one

ARTICLE NINE

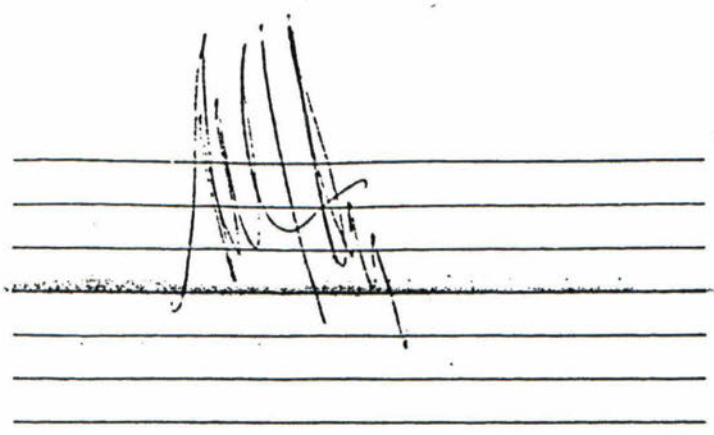
PARAGRAPH 1: It is estimated that the value of all property to be owned by the corporation for the following year wherever located will be $_____

PARAGRAPH 2: It is estimated that the value of the property to be located within the State of Illinois during the following year will be $_____

PARAGRAPH 3: It is estimated that the gross amount of business which will be transacted by the corporation during the following year will be $_____

PARAGRAPH 4: It is estimated that the gross amount of business which will be transacted at or from places of business in the State of Illinois during the following year will be $_____

NOTE: If all the property of the corporation is to be located in this State and all of its business is to be transacted at or from places of business in this State, or if the incorporators elect to pay the initial franchise tax on the basis of its entire stated capital and paid-in surplus, then the information called for in Article Nine need not be stated.



Incorporators

NOTE: There may be one or more incorporators. Each incorporator shall be either a corporation, domestic or foreign, or a natural person of the age of twenty-one years or more. If a corporation acts as incorporator, the name of the corporation and state of incorporation shall be shown and the execution must be by its President or Vice-President and verified by him, and the corporate seal shall be affixed and attested by its Secretary or an Assistant Secretary.

OATH AND ACKNOWLEDGMENT

STATE OF ILLINOIS }
Cook County } ss.

I, Ellen Fuog, A Notary Public, do hereby certify that on the 2nd day of Jan 1976

Allison S. Davis

personally appeared before me and being first duly sworn by me acknowledged the signing of the foregoing document in the respective capacities therein set forth and declared that the statements therein contained are true.

IN WITNESS WHEREOF, I have hereunto set my hand and seal the day and year above written.

Place
(NOTARIAL SEAL)
Here

Ellen Fuog
Notary Public

FORM B C A-47

ARTICLES OF INCORPORATION

JAMES H. LOWRY AND ASSOCIATES, INC.

The following fees are required to be paid at the time of issuing Certificate of Incorporation: Filing fee $75.00; Initial license fee of 50¢ per $1,000.00 or 1/20th of 1% of the amount of stated capital and paid-in surplus the corporation proposes to issue without further report (Article Six); Initial franchise tax of 1/10th of 1% of the issued, as above noted. However, the minimum initial franchise tax is $25.00 and varies monthly on $25,000, or less, as follows: January, $37.50; February, $35.42; March, $33.33; April, $31.25; May, $29.17; June, $27.08; July, $25.00; August, $22.92; September, $20.83; October, $18.75; November, $16.67; December, $14.58; (See Sec. 133 BCA).

In excess of $25,000, the franchise tax per $1,000.00 is as follows: Jan., $1.50; Feb., 1.4167; March, 1.3334; April, 1.25; May, 1.1667; June, 1.0834; July, 1.00; Aug., .9167; Sept., .8334; Oct., .75; Nov., .6667; Dec., .5834.

All shares issued in excess of the amount mentioned in article Six of this application must be reported within 60 days from date of issuance thereof, and franchise tax and license fee paid thereon; otherwise, the corporation is subject to a penalty of 1% for each month on the amount until reported and subject to a fine of not to exceed $500.00.

The same fees are required for a subsequent issue of shares except the filing fee is $1.00 instead of $75.00.

FILED

FEB 6 - 1976

Michael J. Howlett
Secretary of State

(64482-60M-2-75)

SBA

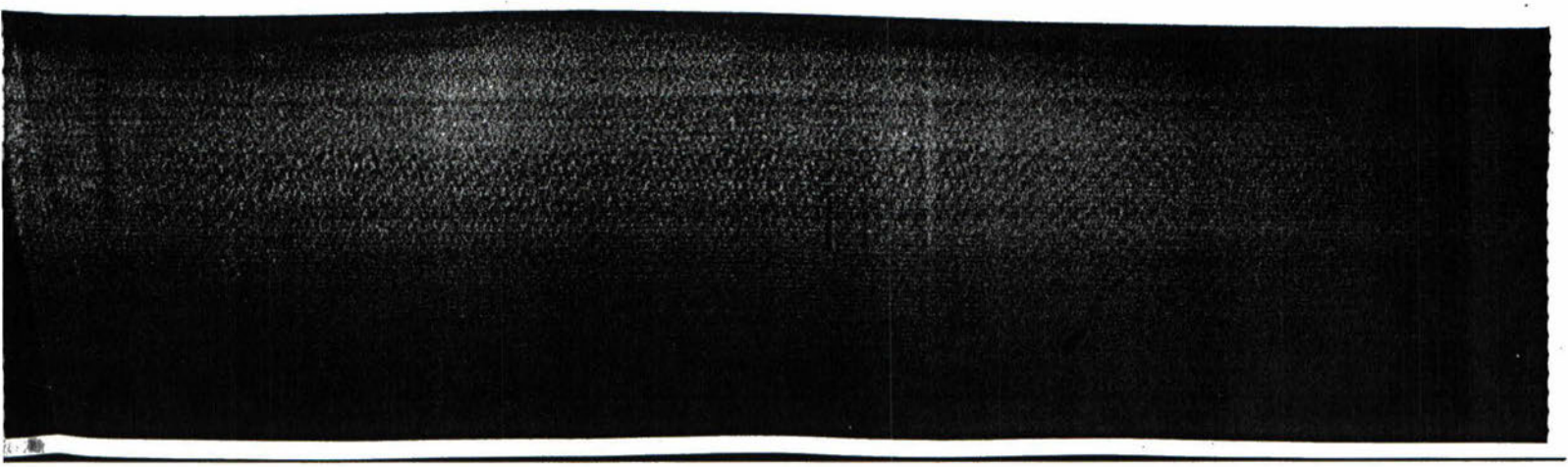
Office of Minority Small Business and Capital Ownership Development

The U.S. Small Business Development Program

8(a) HANDBOOK

NOT copied

U.S. Small Business Administration



LOG/NEGOTIATION MEMORANDUM

Case No. _____
Requirement No. _____
Prime No. _____
Sub No. SBS408(a)80-COK 1

$383,118.40

Contractor: James H. Leary and Associates
444 N. Michigan Ave.
Suite 810
Chicago, Ill. 60611 9/329-1290

Agency: U.S. Department of Labor
Employment and Training Administration
230 S. Dearborn St. Rayenburg 3-1517
Chicago, Ih 60604

Requirement: An analysis of present MIS for CETA prime sponsors

Estimated Dollar Value: $200,000.

Negotiation Authority: Section 8(a) of the Small Business Act (15USC 637(a))

3/11/80 - Received for negotiation. The contractor has already been given the statement of work and had preliminary meetings with the agency to discuss technical aspects. The requirement matches the company's business plan.

3/12 - Per BDS. Another meeting on technical aspects set for 3/14. Labor has indicated they will accept proposal, and, if they do not have

3/17- Peter Bynot in office. Gave me copy of proposal. Total amount $426,620. [redacted] direct.

3/18- Ed Howard in office on another matter. Told him I had reviewed proposal and had objections in some areas. The proposal had discussed a "joint venture" arrangement with the Fargo company, yet in another place it referred to subcontracting to Fargo. Told him if this is a joint venture we would have to have a copy and it would have to be approved by our Central Office. As presently structured, the amount proposed by Fargo seems to be within the 45% limit. Also told him I did not like the fact that one of the team leaders proposed by Fargo

had submitted a false resume.
Dale Thompson had worked for
or was a part owner of, two
other 8(a) firms. Neither of
these companies were set
forth under his experience.
Howard will pass my concerns
on to Bynoe.
3/19- Call from Ray Enberg. He
thinks proposal too high. Would
be willing to negotiate direct if
given letter.

Negotiation Memorandum

The contractor originally proposed a price of $426,670 for this service. [redacted]
The agency was authorized by letter to negotiate directly with the contractor, providing a memorandum of negotiation was provided. In discussions with the agency, however, it was determined that the price was out of range. The contractor then revised his price to $399,735. This was still considered too high. A meeting was arranged to discuss the proposal. Gary Peele, B.D.S, Al Bellasomi ADD/MSE and Bill Kokal, negotiator attended. As a result of this meeting, Lowry's proposal was adjusted and a new price totalling

$383,118.40 was agreed to. Travel was to be "as needed" and was estimated to be $35,000. Mr. Byrne, of HL, confirmed his agreement to this price (Phase I at $1,550. per prime sponsor site, total $164,300). Approximately 40% will be subcontracted. The agency provided copies of the contracts, but refused to provide a memo of negotiations since they were not required by their regulations to write a memorandum.

The agency will signify their agreement that the price is fair and reasonable by signing the contract.

In view of the foregoing and the fact that the price was found to be fair and reasonable, it is proposed to enter into a contract

Rec'd from Clerk Bd. 12-29-81 CAC

JAMES H. LOWRY & ASSOCIATES

444 N. Michigan - Suite 810

Chicago, Illinois 60611 Your contract dates: JUNE 30 - AUGUST 22, 1980 (August 19)

For rental of OLIVE-HARVEY College Space CLASSROOMS (10)

By: JAMES H. LOWRY & ASSOCIATES
Name of Organization

Purpose: MAYOR'S YOUTH SUMMER YOUTH EMPLOYMENT PROGRAM (LABOR MARKET ORIENTATION)

This billing covers the following rental dates:

JNUE 30 thru AUGUST 22, 1980 (August 19)

Charge $2,537.00

Please make check payable to: CITY COLLEGES OF CHICAGO

Date June 13, 1980

Kindly submit one copy with your remittance.

Rec'd Final Letter Byn
12-29-80 CAC

TRUMAN COLLEGE
City Colleges of Chicago
1145 W. Wilson Avenue
Chicago, Il. 60640

Attention: Business Office

Date: July 31, 1980

TO: JAMES H. LOWRY & ASSOCIATES
444 N. MICHIGAN AVENUE
CHICAGO, ILLINOIS 60601

ATTN: PETER C.B. BYNOE

INVOICE No. B044
This bill is rendered only as an accommodation
TERMS ARE NET CASH AND PAYABLE ON PRESENTATION
YOUR ORDER No.

For Labor and Services Furnished on

June 30, 1980 through August 15, 1980. Facilities assigned: Classrooms (6); Ti me: 8:30 AM to 4:30 PM.
Activity: LABOR MARKET ORIENTATION

30 chairs/desks per classroom and 1 table

OK P.L.

APPROVED PER BOARD REPORT---------- Charge $2,200.00

PAID

Please return duplicate copy with your payment. Make checks payable to Truman College.

TOPS FORM 3733-LITHO IN U.S.A.

ORIGINAL

12-29-80 CAC

IN ACCOUNT WITH

MALCOLM X COLLEGE

1900 W. Van Buren Chicago, Illinois 60612

ATTENTION: ACCOUNTS PAYABLE DEPARTMENT

DATE September 30, 1980

TO: James H. Lowry & Associates
Attention: Richard Crawford
444 N. Michigan, Suite 810
Chicago, Illinois 60601

MET / LRD

MXC INVOICE NUMBER 80345	CUSTOMER ORDER NO.	DATE

DESCRIPTION	AMOUNT
Rental of Facilities from June 30, 1980 to August 22, 1980.	$3,500.

(Mayor's Youth Summer Employment Program)

TOTAL AMOUNT DUE

NORTHEASTERN ILLINOIS UNIVERSITY
CENTER FOR INNER CITY STUDIES
700 EAST OAKWOOD BOULEVARD · CHICAGO, ILLINOIS 60653 ● (312) 268-7500

rental payment

September 5, 1980

Mr. Peter C.B. Bynoe
Vice President
James H. Lowry & Assocaites
Management Consultants
Three Illinois Center
Suite 1340
303 East Wacker Drive
Chicago, Illinois 60601

Dear Peter:

On behalf of my colleagues at CICS, I wish to thank you and others at James H. Lowry & Associates for your most generous gift of one-thousand dollars. Please be assured that we shall use the donation in ways that benefit those in our community-outreach program.

If we at CICS can be of any further assistant to you and staff members at James H. Lowry & Associates, please contact me immediately. Again, thank you so very much.

Very sincerely,

Donn F. Bailey, Ph.D.
Director

DFB:fj

Dr. Bailey 268-7500

Paper Bus
12-25-84

Date Ordered | Trip Date: ~~August~~ July, 1980

Time Cust. Location | Leave | Return | No. of Hours

No. of Passengers | Bus No. | Capacity

Ordered By: Mr. R. ~~Crawford~~ Crawford | No. of Buses

Phone No. | Deposit Rec'd | C.O.D. $41,850.00

LL TO. James H. Lowry & Associates

65 East South Water Street

Chicago, IL. 60610

ECTED SITES

an-1145 W. Wilson Av.

olm X - 1900 W. Van Buren St.

e/Harvey - 10100 S. Woodlawn

RUCTIONS

sportation for 18 days:

8,9,10,11,14,15,16,17,18,21,

3,24,25,28,29,30,31

MILEAGE

	Date	# buses	Amt
Return Garage			
Ret. Cust.	7/8	16	$2480.00
Lv. Dest.	7/9	10	$1550.00
Arr. Dest.	*7/10	10	$1550.00
Arr. Cust.	*7/10	4 (dbl)	310.00
Leave Garage	7/11	10	$1550.00
TOTAL MILES	7/14	10	$1550.00

TIME

Return Garage	7/15	16	$2480.00
Ret. Cust.	7/16	17	$2635.00
Lv. Dest.	7/17	19	$2945.00
Arr. Dest.	7/18	14	$2170.00
Arr. Cust.	7/21	19	$2945.00
Leave Garage	7/22	21	$3255.00
TOTAL HOURS	7/23	15	$2325.00

COMPUTATION OF CHARGES

Flat Rate Charge

Service From ____ To ____

Live Miles ____ @ ____ ¢

Deadhead Miles ____ @ ____ ¢

Time Charges Hours ____ @ $ ____ / Hr.

No. of Days Daily Minimum ____ @ $ ____ / Day

No. of Days Driver Layover ____ @ $ ____ / Day

Tolls ____ Parking ____

No. of Buses X ____ / Bus

CONTRACT

Less Deposit or C.O.D. Amt.

Overtime After ____ SUB TOTAL

Overtime Rate ____ / Hr. Additional Miles and/or Overtime

TOTAL

CANCELLATION CHARGE

mer will pay all toll road and parking charges.

will be a cancellation charge of _____ per bus ordered and not used if notice of cancellation ceived by us at least 48 hours in advance of service.

e shown on this order is based on the Maximum of _____ Hours Service after which ll be a charge of $ _____ per hour.

nal mileage beyond the original contract will be charged for at the rate of $ _____ per mile.

not responsible for Baggage or Other Personal Property.

s Transporation will not be responsible for any accidents ies to passengers while they are off of bus.

Driver's Signature

Customer

PAY LAST AMOUNT IN THIS COLUMN

(L. OK)

BILL TO: James H. Lowry & Associates

65 East South Water Street

Chicago, IL. 60610

Date Ordered	Trip Date
	July, 1980

Time Cust. Location	Leave	Return	No. of Hou

No. of Passengers	Bus No.	Capacity

Ordered By	No. of Buses
Mr. R. Crawford	

Phone No.	Deposit Rec'd	C.O.D.
		$41,850

FROM
SELECTED SITES

TO
Truman - 1145 W. Wilson Av.

Malcolm X - 1900 W. Van Buren St.

Olive/Harvey - 10100 S. Woodlawn

INSTRUCTIONS
Transportation for 18 days:

July8,9,10,11,14,15,16,17,18,21,22,

23,24,25,28,29,30,31

Customer will pay all toll road and parking charges.

MILEAGE

	Date	#buses	Amt.
Return Garage			
Ret. Cust.	7/24	15	$2325.00
Lv. Dest.	7/25	12	$1860.00
Arr. Dest.	7/28	17	$2635.00
Arr. Cust.	7/29	20	$3100.00
Leave Garage	7/30	16	$2480.00
TOTAL MILES	7/31	11	$1705.00

TIME

Return Garage		
Ret. Cust.		
Lv. Dest.		
Arr. Dest.		
Arr. Cust.		
Leave Garage		
TOTAL HOURS		
TOTAL		✓$41,850.00

COMPUTATION OF CHARGES

Flat Rate Charge Service From per day To per bus		$155
Live Miles @ ¢		
Deadhead Miles @ ¢		
Time Charges Hours @ $ / Hr.		
No. of Days Daily Minimum @ $ / Day		
No. of Days Driver Layover @ $ / Day		
Tolls Parking		
No. of Buses X / Bus		
18 days transportation CONTRACT		$41,85
Less Deposit or C.O.D. Amt.		
Overtime After	SUB TOTAL	$41,85
Overtime Rate / Hr.	Additional Miles and/or Overtime	
	TOTAL	$41,85
	CANCELLATION CHARGE	

There will be a cancellation charge of _____ per bus ordered and not used if notice of cancellation is not received by us at least 48 hours in advance of service.

The Rate shown on this order is based on the Maximum of _____ Hours Service after which there will be a charge of $ _____ per hour.

Additional mileage beyond the original contract will be charged for at the rate of $ _____ per mile.

We are not responsible for Baggage or Other Personal Property.

J. Spears Transporation will not be responsible for any accidents or injuries to passengers while they are off of bus.

Driver's Signature

Customer

PAY LAST AMOUNT IF THIS COLU

R.L. OK

BILL TO: James H.Lowery & Associates

303 East Wacker Drive

Chicago,Illinois 60601

Date Ordered		Trip Date: August 1980	
Time Cust. Location	Leave	Return	No. of Hours
No. of Passengers	Bus No.		Capacity
Ordered By: Mr/Richard Crawford		No. of Buses	
Phone No.	Deposit Rec'd: 32,		C.O.D.: $32.240.(

FROM: SELECTED SITES

TO:
Truman College -1145 W.Wilson
Malcolm X College-1900 W.Vanbuen
Olive Harvey College/103rd.&Woodlawn
CICS 700 East Lakwood Blvd;

INSTRUCTIONS:
August:Transportarion For (16)Days

Customer will pay all toll road and parking charges.

MILEAGE

	Date	Buses	Amt;
Return Garage			
Ret. Cust.	8/19/	10	$1,550.00
Lv. Dest.	8.20/	10	$ 1,550. 00
Arr. Dest.	8/21/	10	$1,550. 00
Arr. Cust.	8/22/80	10	$1,550. 00
Leave Garage			
TOTAL MILES			

TIME

Return Garage		
Ret. Cust.		
Lv. Dest.		
Arr. Dest.		
Arr. Cust.		
Leave Garage		
TOTAL HOURS		

COMPUTATION OF CHARGES

Flat Rate Charge Per Day / Per Bus — Service From ____ To ____		$155.
Live Miles @ ¢		
Deadhead Miles @ ¢		
Time Charges Hours @ $ / Hr.		
No. of Days Daily Minimum @ $ / Day		
No. of Days Driver Layover @ $ / Day		
Tolls Parking		
No. of Buses × / Bus		
Transportation For (16)Dys CONTRACT $		$32,240.
Less Deposit or C.O.D. Amt.		
Overtime After	SUB TOTAL	$32,240.
Overtime Rate / Hr.	Additional Miles and/or Overtime	
TOTAL		
CANCELLATION CHARGE		

There will be a cancellation charge of _____ per bus ordered and not used if notice of cancellation is not received by us at least 48 hours in advance of service.
The Rate shown on this order is based on the Maximum of _____ Hours Service after which there will be a charge of $ _____ per hour.
Additional mileage beyond the original contract will be charged for at the rate of $ _____ per mile.
We are not responsible for Baggage or Other Personal Property.
J. Spears Transporation will not be responsible for any accidents or injuries to passengers while they are off of bus.

Driver's Signature

Customer

PAY LAST AMOUNT IN THIS COLUMN

BILL TO: James H. Lowery & Associates

303 East Wacker Drive (Suite # 1340)

Chicago, Illinois 60601

Date Ordered	Trip Date
	August, 1980

Time Cust. Location	Leave	Return	No. of Hou

No. of Passengers	Bus No.	Capacity

Ordered By	No. of Buses
Mr. Richard Crawford	

Phone No.	Deposit Rec'd	C.O.D.
861-1800		$32,240.

FROM
SELECTED SITES

TO
Truman -1145 West Wilson

Malcolm X College

Olive/Harvey Collece

INSTRUCTIONS
CICS; 700 East Oakwood Blvd;

August; Transportation For (16) DAYS

1-4-5-6-7-8-11-12-13-14-15-18-

XX XX
19=19-20-21-22-----

Customer will pay all toll road and parking charges.

MILEAGE

	Date	#Buses	AMT.
Return Garage			
Ret. Cust.	8/1/	10	$1,550.00
Lv. Dest.	8/4/	16	$ 2.480.00
Arr. Dest.	8/5/	16	$2,480. 00
Arr. Cust.	XX 8/6	16	$2,480. 00
Leave Garage	8/7/	16	$2,480. 00
TOTAL MILES	8/8/	13	$2,015. 00

TIME

Return Garage	8/11/	15	$2,325.00
Ret. Cust.	8/12/	16	$ 2,480.00
Lv. Dest.	8/13/	15	$ 2,325.00
Arr. Dest.	8/14/	10	$ 1,550.00
Arr. Cust.	8/15/	10	$1 550. 00
Leave Garage	8/18/	10	$2,325. 00
TOTAL HOURS			

Pay Only

COMPUTATION OF CHARGES

Flat Rate Charge Service From	Per Day To Per Bus	$155.
Live Miles	@ ¢	
Deadhead Miles	@ ¢	
Time Charges Hours	@ $ / Hr.	
No. of Days Daily Minimum	@ $ / Day	
No. of Days Driver Layover	@ $ / Day	
Tolls	Parking	
No. of Buses	X / Bus	
Transportation For (16) Days CONTRACT		$32,24
Less Deposit or C.O.D. Amt.		
Overtime After	SUB TOTAL	$32,24
Overtime Rate / Hr.	Additional Miles and/or Overtime	
TOTAL		
CANCELLATION CHARGE		

There will be a cancellation charge of _____ per bus ordered and not used if notice of cancellation is not received by us at least 48 hours in advance of service.
The Rate shown on this order is based on the Maximum of _____ Hours Service after which there will be a charge of $ _____ per hour.
Additional mileage beyond the original contract will be charged for at the rate of $ _____ per mile.
We are not responsible for Baggage or Other Personal Property.
J. Spears Transporation will not be responsible for any accidents or injuries to passengers while they are off of bus.

Driver's Signature

Customer

PAY LAST AMOUNT IN THIS COLUM

AGENT ACTIVITY SUMMARY	Case: 50-0599-0079
Time & Date Agent	Summary of Investigative Activity
1-6-81 C. Collins	I interviewed James Spears, President of Spears Transportation, Inc., at 7149 South Exchange, Chicago, the location of Spears Transportation. Spears provided the following information. Spears Transportation provided buses for the LMO program conducted by Lowry & Asso during the summer of 1980. He recalled that on July 7th his company may have provided one bus to transport counselors ~~[illegible]~~ to work sites. It is his feeling that the buses supplied were generally filled to capacity but on a rare occasion the participants may have not been at the right place for the bus to pick them up. Spears acknowledged that the billing for 8/18/80 was incorrect but he could not recall if the bill should have been 10 buses @ $1550.00 or 15 buses @ $2,325.00
1-7-81 C. Collins a.m.	I talked via telephone with Peter Bynoe at his Washington, D.C. Office (202-466-4730). Bynoe provided the following information. He had contacted the subcontractor (The Fargo Co) and learned that Fargo had evaluated Ft. Wayne but had not billed for it and at the same time double billed for Hennepin County, Mn. Bynoe said that the subcontractor would provide him with a letter to that effect. Bynoe stated that attendance averaged 4700 per week or about 80% of the planned 40,000 participants

AGENT ACTIVITY SUMMARY	Case: 50-0599-0029
Time & Date Agent	Summary of Investigative Activity
1-2-81 C Collins	I telephoned Tyrone Evans at 248-7174. Evan worked for Lowry & Asso last summer on the LMO program as an LMO counselor. For the greater part of summer he was located at Truman College and for the last week at Malcolm X College. At Truman the staff ra was approximately 6. He felt that there wa some problem. Getting participants to the classes on time. If there were not enough participants to fill classes as schedule then the counselors would double up. Eva also felt that the program could have been organized in a more efficient manner.
1-2-81 C. Collins	I telephoned Mitchell Katten at 446-0123. Katten worked for Lowry and Asso last summer on the LMO contract as a messenger. He distributed equipment to the training site but he did not have an opportunity to observe attendance in any of the classrooms
1-2-81 C. Collins	I telephoned Phyliss Lumley at 871-3249. She worked last summer as an LMO consultant on the LMO contract. Lumley spen some time at Truman College, Malcolm X Colleg and Olive-Harvey College. She said that attendance was good, in fact, at times there were too many participants and extra chair had to be found. She did not know of any significant problems with the program

AGENT ACTIVITY SUMMARY	Case: 50-0599-0029
Time & Date Agent	Summary of Investigative Activity
12-30-80 11:05 am C. COLLINS	I stopped at 3238 Nelson, Robbens, Ill. That is the listed residence of Quinn Richardson. The woman who answered the door said that Quinn was presently out jogging & playing basketball.
12-30-80 1:20 pm & 2:48 pm C. COLLINS	I called Debra Mahone at 524-2373. Number was busy.
12-31-80 C. Collins	I called Debra Mahone at 524-2373. She stated that she worked for Lowry & Asso. last summer on the CMO program. Mahone was a counselor for the program located at Malcom X College. She stated that all classes there were filled usually with 50-60 students, sometimes with 80 students. None of the classes were cancelled to her knowledge.
12-31-80 C. Collins	I called Edward Johnson at 261-7988. He stated that he worked for Lowry & Asso. last summer on the CMO program. Johnson was a counselor and an CMO instructor. He was assigned most of the summer to Olive-Harvey and also about one week at Malcom X college. He stated that on some days, in particular rainy days, all of the classes were not filled. In such cases the available staff would be split among those classes that were conducted.

AGENT ACTIVITY SUMMARY	Case: 50-0599-0029
Time & Date Agent	Summary of Investigative Activity
12-30-80 3:15 pm P. COLLINS	On this date, I interviewed Cerathel Burgess at her residence at 16 North Lockwood, Chicago, Ill. (Telephone 379-4852) She stated that she worked for Lowry & Asso. as a supervisor with the LMO program Burgess was at Olive-Harvey for the first week and at Malcolm X for the balance of the summer. There was a schedule change for the first day (July 7) because America's Music asked for a change at the last minute. Some of the buses had as few as 12 participants although each bus could hold 44 people. She also said that she kept a tally of participants but that this was turned over to Lowry staff
12-30-80 P. COLLINS	I called Stephanie Smith at 693-6473; however, that number is no longer in service and the information operator had no listing.

AGENT ACTIVITY SUMMARY	Case: 50- 0599-0029
Time & Date Agent	Summary of Investigative Activity
12-19-80 C. Collins	I tried to telephonically contact Karl Lewin at 667-5891 but it has been disconnected The information operator did not have another number. I also called in Atlanta 404-288-753 but the desk clerk stated that Lewin had checked out and left no forwarding address. I then called Peter Bynoe and asked that a message be left that he call me if he had a more current number for Lewin.
12-22-80 11:30 am C Collins	Peter Bynoe called to say that he could not come up with a better number for Lewin. Bynoe stated that Lewin lives in the Atlanta area.
12-23-80 C. Collins	Completed telephone sample survey of prime sponsors re: MIS evaluation contract. 37 prime sponsors out of the 75 evaluated by Lowry were contacted by telephone and all 37 confirmed evaluation by Lowry or subcontractor staff. In addition another 4 visits were confirmed by Chicago ETA staff Thus 41 out of 75 were contacted for a 54% sample. Of the 41 visits, 15 were done by subcontractor staff.
12-30-80 10:00 am C. Collins	I stopped at 6937 South Constance, Chicago, which is listed as the address of Spears Transportation, Inc. It is a private residence. No one came to the door.

Withdrawal/Redaction Marker
Clinton Library

DOCUMENT NO. AND TYPE	SUBJECT/TITLE	DATE	RESTRICTION
001. report	[Personally Identifiable Information] [partial] (3 pages)	00/00/1980	b(6)

COLLECTION:
Clinton Presidential Records
Staff Secretary
Todd Stern
OA/Box Number: 9310

FOLDER TITLE:
Inspector General Documents [Folder 2] [2]

2019-0774-S
rs3391

RESTRICTION CODES

Presidential Records Act - [44 U.S.C. 2204(a)]

P1 National Security Classified Information [(a)(1) of the PRA]
P2 Relating to the appointment to Federal office [(a)(2) of the PRA]
P3 Release would violate a Federal statute [(a)(3) of the PRA]
P4 Release would disclose trade secrets or confidential commercial or financial information [(a)(4) of the PRA]
P5 Release would disclose confidential advice between the President and his advisors, or between such advisors [a)(5) of the PRA]
P6 Release would constitute a clearly unwarranted invasion of personal privacy [(a)(6) of the PRA]

C. Closed in accordance with restrictions contained in donor's deed of gift.
PRM. Personal record misfile defined in accordance with 44 U.S.C. 2201(3).
RR. Document will be reviewed upon request.

Freedom of Information Act - [5 U.S.C. 552(b)]

b(1) National security classified information [(b)(1) of the FOIA]
b(2) Release would disclose internal personnel rules and practices of an agency [(b)(2) of the FOIA]
b(3) Release would violate a Federal statute [(b)(3) of the FOIA]
b(4) Release would disclose trade secrets or confidential or financial information [(b)(4) of the FOIA]
b(6) Release would constitute a clearly unwarranted invasion of personal privacy [(b)(6) of the FOIA]
b(7) Release would disclose information compiled for law enforcement purposes [(b)(7) of the FOIA]
b(8) Release would disclose information concerning the regulation of financial institutions [(b)(8) of the FOIA]
b(9) Release would disclose geological or geophysical information concerning wells [(b)(9) of the FOIA]

Lowery

AGENT ACTIVITY SUMMARY	Case: 50 - 0599 - 0029

Time & Date Agent	Summary of Investigative Activity
9:30 AM 12/9/80 J. Hurley	I was contacted by Steve SINGER, ETA who requested information regarding the status of the Lowery investigation. SINGER advised that he was currently reviewing proposals for a new contract for consulting services and he indicated that Lowery was one of the companies whose proposal was being considered. SINGER asked if our investigation had developed anything that would indicate that he should hold up rendering a decision re: award to Lowery. I advised SINGER that the investigation was not completed and that I could provide no information. SINGER was told that, to date, no information had been developed that should influence this decision one way or the other with respect to award of subsequent contracts to Lowery, [redacted] and that his decision should be based on the reasonable and responsive nature of the Lowery proposal and his knowledge of Lowery's performance on previous contracts.
12-19-80 C. Collins	I called Harry Bates at 312-785-7913. He was not there but returned my call later. Bates confirmed that he is a former employee of Lowery and Associates. He also stated that his current address is 10040 South Lafayette, Chicago, Il. 60628 and that his SSN is (b)(6) I read a list of the prime sponsors that Lowery's invoices stated that he evaluated. Bates confirmed the dates that he made his visits by consulting his appointment books. Bates stated that he did not work on the technical assistance phase of the contract.

AGENT ACTIVITY SUMMARY	Case: 50-0599-0029
Time & Date Agent	Summary of Investigative Activity
11-19-80 P. Collins	Peter Bynoe personally delivered to me a letter, dated 11/18/80, that contains a list of those employees that worked on the LMO workshops during the summer of 1980.
11-19-80 P. Collins	I prepared in conjunction with Terry Montgomery a list of prime sponsors with telephone numbers and contact names who had been evaluated by Lowry.
11-21-80 P. Collins	I interviewed Donald Bozzi at the Chicago OI office, Suite 3200, 230 S. Barborn Chicago. Bozzi is a management analyst with the Chicago ETA regional office. He had worked with Lowry and subcontractor staff in Lake Co., Ill. and Hammond but he had no knowledge of any criminal activity.
11-25-80 P. Collins	On this date I telephoned 5 prime sponsors in Ohio: Ashtabula Co. Allen Co. Butler Co., Clark Co. and the Clermont/Warren Consortium. All 5 prime sponsors confirmed visits by Lowry & subcontractor staff.

AGENT ACTIVITY SUMMARY	Case: 50-0599-0029
Time & Date Agent	Summary of Investigative Activity
11-14-80 C. Collins	I interviewed Charles Stevenson (1236 S. Albany Chicago 60623) (SSN: (b)(6)) at his place of employment, Lowry & Associates. He began his employment there on May 19, 1980. From memo he confirmed that he had done MB evaluations at Cook Co, Rock Island, Lockford and WOW.
11-14-80 C. Collins	I interviewed Richard Crawford (8653 S. Calumet, Chicago) (SSN:) at his place of employment, Lowry & Associates. He confirmed evaluations for 10 prime sponsor. He claims to have kept a fairly accurate record of his time on tally sheets. His off-site hours were spent developing work plans and doing initial planning. He also confirmed technical assistance on-site visits to Cleveland, Youngstown, Cuyahoga Co., and Akron.
11-14-80 C. Collins	I interviewed William Reyburn (6445 S. Says Chicago, 60638) (SSN:) at his place of employment Lowry & Associates. He confirmed evaluations 7 prime sponsor. He also performed a one half day off-site review of the MOS system. He was transferred from Meyer's jurisdiction on August 1, 1980.
11-14-80 C. Collins	I interviewed David Morrison (3536 N. Wilton, Chicago 60657) (SSN:) at his place of employment, Lowry & Associates. He started at Lowry in August 1980. He did off-site ~~evaluations~~ systems reviews of the BOS Michigan and some others he could not recall for a period of about 2 days.

AGENT ACTIVITY SUMMARY	Case: 50-0599-0029
Time & Date Agent	Summary of Investigative Activity
11-12-80 3:55pm C. Collins	Mike Meyer of Lowry & Asso called and offerred to arrange meetings with Bynoe for Friday (11/14).
10:00 am 11-14-80 C. Collins	Met with Michael Meyer and Peter Bynoe of Lowry & Associates at their offices at Suite 13 303 E. Wacker, Chicago (ROI dictated). Meyer also provided work sheets that identify on-site and off-site hours by person. Review of files at Lowry indicated that Lowry has four other contracts with USDOL: 99-0-2750-33-69: evaluating the Corporation for Youth Enterprises as a means of Alleviating High Unemployment Problems of Youth Total amount: $109,270.00 99-9-2175-33-50: assessment of the Office of Youth Programs utilization of intermediary nonprofit corporations. Total amount $300,000 99-0-2175-33-51: development of 2 demonstration sites which will provide information on increasing minority business enterprise participation in CE Lowry also has a contract with the City of Chicago for summer 1980 to provide labor market information in the form of 1,600 separate workshops for 25 participants each to summe youth program participants. Total amount of contract $371,360.00

AGENT ACTIVITY SUMMARY	Case: 50-0599-0029
Time & Date Agent	Summary of Investigative Activity
2:20 pm 10-28-80 C. Collins	Interviewed John Honda, Regional Cost Negotiati OASAM, 10th Floor, 230 S. Dearborn, Chicago (telephone 886-5247) (ROI dictated)
10-28-80 3:30 pm C. Collins	Met with Tom Ross, Mel Howard and Darlene Lorman at Ross' office, 6th Floor, 230 S. Dearborn, Chicago. (Report insert dictated)
11-4&5-80 C. Collins	Reviewed Lowry contract for MIS evaluation at Chicago ETA. Access provided by Otha Sauers, Chief Branch of Accounting (Report insert dictated)
4:15 pm 11-6-80 C. Collins	Interviewed Terry Montgomery at the Chicago Regional ETA office, 230 S. Dearborn, Chicago. (ROI dictated)
3:05 pm 11-12-80 C. Collins	Interviewed Ray Enburg, chief management data systems and analysis, Chicago ETA regional office, 230 S. Dearborn, Chicago. His supervisor Steve Singer, associate regional administrator for A & MS, was also present for a portion of t interview. Enburg provided background information regarding the contract negotiation He stated that the total amount of funds available for the contract was set in advance of the negotiations. Lowry's proposal was negotiated downward by regional office staff. According to Enburg regional office staff coul have done the entire evaluation but the was not enough time as the annual assessments were due. Enburg also provided copies of documents listed in report insert dated 11/13/80

FOIA 1981

MAR 1 3 1981

Mr. Peter C. B. Bynoe
Vice President
James Lowry & Associates
303 East Wacker Drive
Suite 1340
Chicago, Illinois 60601

Dear Mr. Bynoe:

This is in reply to your February 24, 1981 Freedom of Information Act (5 USC 552) request for a copy of the final report concerning the investigation of a complaint filed on the Department of Labor Hotline against your firm.

The policy of the Inspector General is to make, to the extent possible, full disclosure of our identifiable records in accordance with the provisions of the Freedom of Information Act. Accordingly, I am enclosing the material you requested, though excisions have been made from these documents in order to protect material(s) which are exempted from disclosure by 5 USC 552 for the reasons set forth below:

— Exemption (b)(2) of the FOIA and DOL regulations at 29 CFR 70.23 permit the withholding of materials related solely to the internal rules and practices of the OIG.

— Exemption (b)(6) and (b)(7)(C) of the FOIA and DOL regulations at 29 CFR 70.27 authorizes the withholding of personal information related to various individuals which, if disclosed to the public, would constitute an unwarranted invasion of personal privacy through harassment and/or unsolicited inquiries.

Although the Department's implementing regulations provide for assessment of charges for professional and clerical time related to fulfilling your request and for reproduction costs, such charges in this case are de minimus, and are therefore waived.

You have the right to appeal my decision to partially deny your request within 90 days from the date you receive this letter. Should you decide to do that, your appeal must state, in writing, the grounds for appeal, together with any statement or argument. Such an appeal would be

RECEIVED
U.S. DEPARTMENT OF LABOR
OIG-CHICAGO FRAUD OFFICE
MAR 19 1981
AM 7|8|9|10|11|12|1|2|3|4|5|6 PM
A

Case file # 50-0599-0029

addressed and directed to the Solicitor of Labor, U.S. Department of Labor, Room S-2002, Frances Perkins Building, 200 Constitution Avenue, N.W., Washington, D.C. 20210. Please refer to the Department of Labor regulations at 29 CFR 70.50 for further details on your appeal rights.

Sincerely,

FRANK A. YEAGER
Acting Deputy Inspector General

Enclosures

AAROSSI:ab:3/10/81
bcc: IG Reader
I, P, MIS Reader
Hocowitz
OI/ETA Branch
RSAC Chicago

ACKNOWLEDGMENT OF FOIA REQUEST

Mr. Peter C.B. Bynoe
Vice President
James H. Lowry and Associates
303 East Wacker Drive, Suite 1340
Chicago, Illinois 60601

(For Window Envelope: Ir Sender's Name and Addre:

Your request dated .....February 24, 1981..... for U.S. Department of Labor records was received. The records requested are located at the address listed below and your request is being forwarded for action. The 10-day response period specified by the Freedom of Information Act will start when your request is received by:

Mr. Frank Yaeger
Acting Deputy Inspector General
Room S-1303
Francis Perkins Building
200 Constitution Avenue, N.W.
Washington, D.C. 20210

(For Window Envelope: Inse Disclosure Officer's Name ar Address--Include Room Num

A delay of 5 days may be expected before this request is received by the Disclosure Officer listed above.

SIGNATURE AND TITLE	ORGANIZATIONAL TITLE AND ADDRESS
Deirdre M. Tanaka Deirdre M. Tanaka Regional Special Agent-in-Charge	Office of the Inspector General Regional Investigations Office 230 S. Dearborn Street, Room 3200 Chicago, IL 60604

GPO 912-542

DL

February 24, 1981

Mrs. Belinda Tanaka
Special Agent in Charge
Office of the Inspector General
Suite 3960
230 South Dearborn Street
Chicago, Illinois 60604

Dear Mrs. Tanaka:

During the latter part of 1980 and the early weeks of 1981, Mr. Clarence Collins of your staff investigated a complaint filed against our firm on the Department of Labor Hotline.

We feel that the investigation went smoothly. We produced all documents and information requested by Mr. Collins. Since we have not heard from your office since Mr. Collins' final interview we assume that we have been absolved of any wrong-doing.

To confirm our belief and also to give us a basis for ensuring that we always maintain the proper documentation on Department of Labor studies, we would like to receive a copy of the final report. We do not know if it is normal practice for your office to release such information, but we would appreciate your assistance. If you have to edit certain sections before the report's release, that is acceptable.

If this request has to be made in a more formal or specific manner, please advise me accordingly. I look forward to hearing from you in the near future.

Until then, I remain

Sincerely,

Peter C. B. Bynoe
Vice President

0549-0029

MJB:bcm

cc: Clarence Collins

FOIA 1981

MAR 1 3 1981

Mr. Peter C. B. Bynoe
Vice President
James Lowry & Associates
303 East Wacker Drive
Suite 1340
Chicago, Illinois 60601

Dear Mr. Bynoe:

This is in reply to your February 24, 1981 Freedom of Information Act (5 USC 552) request for a copy of the final report concerning the investigation of a complaint filed on the Department of Labor Hotline against your firm.

The policy of the Inspector General is to make, to the extent possible, full disclosure of our identifiable records in accordance with the provisions of the Freedom of Information Act. Accordingly, I am enclosing the material you requested, though excisions have been made from these documents in order to protect material(s) which are exempted from disclosure by 5 USC 552 for the reasons set forth below:

— Exemption (b)(2) of the FOIA and DOL regulations at 29 CFR 70.23 permit the withholding of materials related solely to the internal rules and practices of the OIG.

— Exemption (b)(6) and (b)(7)(C) of the FOIA and DOL regulations at 29 CFR 70.27 authorizes the withholding of personal information related to various individuals which, if disclosed to the public, would constitute an unwarranted invasion of personal privacy through harassment and/or unsolicited inquiries.

Although the Department's implementing regulations provide for assessment of charges for professional and clerical time related to fulfilling your request and for reproduction costs, such charges in this case are de minimus, and are therefore waived.

You have the right to appeal my decision to partially deny your request within 90 days from the date you receive this letter. Should you decide to do that, your appeal must state, in writing, the grounds for appeal, together with any statement or arguments. Such an appeal would be

RECEIVED
U.S. DEPARTMENT OF LABOR
OIG-CHICAGO FRAUD OFFICE
MAR 19 1981
AM 7 8 9 10 11 12 1 2 3 4 5 6 PM

Case file # 50-0599-0029

addressed and directed to the Solicitor of Labor, U.S. Department of Labor, Room S-2002, Frances Perkins Building, 200 Constitution Avenue, N.W., Washington, D.C. 20210. Please refer to the Department of Labor regulations at 29 CFR 70.50 for further details on your appeal rights.

Sincerely,

FRANK A. YEAGER
Acting Deputy Inspector General

Enclosures

AAROSSI:ab:3/10/81
bcc: IG Reader
I, P, MIS Reader
Howowitz
OI/ETA Branch
RSAC Chicago

Office of Inspector General
Report of Special Agent

U.S. Department of Labor

☐ Preliminary ☒ Final	City/State of Investigation: CHICAGO, ILLINOIS	DOL Program: ETA	
☐ Special ☐ Supplemental	Date of Report: 04-22-81	Case Number: 50-0578-0002-A30 30-0578-0002	
Subject: ERNEST GREEN;LAMOND GODWIN;ALEXIS HERMAN Alleged conflict of interest in awarding of ETA contract	Reviewers' Initials		
	Date Reviewed		
Special Agent: Deirdre M. Tanaka	Regional Office: Chicago, Illinois		

1. Initiation of this investigation was predicated on receipt of a request for assistance dated April 15, 1981, from the Arlington Field Office. Agent personnel were requested to contact the Small Business Administration (SBA), Chicago, Illinois, for the purpose of reviewing and extracting information in SBA's 8(a) file on JAMES H. LOWRY & ASSOCIATES. Investigation at Chicago on April 21-22, 1981.

2. On April 21 and 22, 1981, I contacted GARY PEELE and MICHAEL COLE, attorney, SBA, Room 488, 219 South Dearborn Street, Chicago, Illinois and reviewed the DOL contract file. Information pertaining to Lowry's financial status (i.e., application for admission to the 8(a) program is not disclosable without a subpoena, although information pertaining to DOL's contract is disclosable and is attached. PEELE advised that LOWRY has been in the 8(a) program for approximately 2 years and is considered one of SBA's "success" stories. He recalled that SBA suggested LOWRY for the contract because the "job came in unassigned." SBA recommended LOWRY because of his firm's ability to do the job. However, PEELE added that there were very few minority firms in the consulting business. According to PEELE, ETA was not impressed with LOWRY's initial proposal presentation, and SBA convinced ETA to allow LOWRY with a second opportunity.

Deirdre M. Tanaka

Deirdre M. Tanaka
Regional Special Agent-in-Charge

For Official Use Only
This report and attachments are the property of the Office of Inspector General, U.S. Department of Labor. Neither it nor its contents may be distributed outside this agency without headquarters approval.

GPO 672-616

Office of Inspector General
Report of Special Agent

U.S. Department of Labor

Type of Report	City/State of Investigation	DOL Program
☒ Preliminary ☐ Final	CHICAGO, IL	ETA
☐ Special ☐ Supplemental	Date of Report	Case Number
	DECEMBER 18, 1980	50-0599-0029
Subject	Reviewers' Initials	JMT
JAMES H. LOWRY & ASSOCIATES	Date Reviewed 12/19/80	12/22
Special Agent	Regional Office	
CLARENCE A. COLLINS, JR	CHICAGO, RIO	

1. Investigation is based upon referral of OLAP Incident Report #000229, dated 8/22/80 which reflected information furnished by an anonymous caller to the DOL Hotline. The caller alleged that LOWRY & ASSOCIATES held two contracts with DOL and that LOWRY overbilled those contracts by charging for hours of work not actually performed by LOWRY staff. This case has been the subject of personal attention by OIG Special Agent CLARENCE A. COLLINS at Chicago, Illinois, on various dates commencing on October 28, 1980. LOWRY & ASSOCIATES is located at Suite 1340, 303 East Wacker Drive, Chicago, Illinois.

2. On October 28, 1980, I interviewed John HONDA at his office at 230 South Dearborn, Chicago. HONDA is the Regional Cost Negotiator and his position is located within the Region V OASAM. HONDA advised that he has negotiated indirect cost rates with LOWRY for 1979 and 1980 and that he has not seen any prior year audits of LOWRY. HONDA had no knowledge of any irregularities regarding information provided by LOWRY in the development of indirect cost rates for these contracts.

3. On October 29, 1980, I interviewed C. THOMSON ROSS, Regional Administrator, ETA Region, V, at his office at 230 South Dearborn, Chicago. ROSS advised that LOWRY was a minority contractor who had received a contract to evaluate prime sponsor's Management Information Systems. ROSS did not know of any problems regarding the LOWRY contract.

4. On November 14, 1980, I interviewed TERRY MONTGOMERY at her place of employment, the Chicago ETA Regional Office at 230 South Dearborn, Chicago. MONTGOMERY is a Supervisory Management Analyst who serves as Project Officer for the LOWRY MIS Evaluation Contract. MONTGOMERY provided the following information. The contract with LOWRY was negotiated by Regional Office staff, but it was negotiated within a range of unit prices suggested by the ETA National Office. For Phase I, the prime sponsor MIS evaluation phase, the unit price was set at $1,550.00 per evaluation report submitted. For Phase II, LOWRY is to provide technical assistance to prime sponsors that were identified by ETA staff as requiring assistance. The unit price was set at $322.89 per technical assistance person day. MONTGOMERY must approve all technical assistance work plans in advance and she is provided a back-up sheet for each invoice that shows on-site and off-site days by person. MONTGOMERY was not aware of any problems with the invoices submitted to DOL. On November 19, 1980, MONTGOMERY provided me with a list of prime sponsors who had been evaluated by LOWRY.

5. On November 12, 1980, I interviewed RAY ENBURG at his place of employment, the Chicago ETA Regional Office at 230 South Dearborn, Chicago. ENBURG is Chief of Management Data Systems and Analysis and he is MONTGOMERY'S Supervisor. ENBURG confirmed the information provided by MONTGOMERY regarding the contract negotiations; however, ENBURG did not have any knowledge of irregularities regarding the contract negotiations or subsequent submission of invoices to DOL.

For Official Use Only
This report and attachments are the property of the Office of Inspector General, U.S. Department of Labor. Neither it nor its contents may be distributed outside this agency without headquarters approval.

6. On November 12, 1980, I interviewed MICHAEL MEYER and PETER BYNOE at their place of employment, LOWRY & ASSOCIATES, at Suite 1340, 303 East Wacker Drive, Chicago. MEYER is the Project Manager for the MIS Evaluation Contract and BYNOE is a Vice-Presid of LOWRY & ASSOCIATES. MEYER provided background information regarding the contract and provided a detailed analysis of personnel utilization for the ETA MIS contract. BYNOE advised that there was a subcontractor for this contract that performed approximately one-half of the evaluations for LOWRY. That subcontractor, the FARGO COMPANY, was chosen from a list of three recommendations from Chicago ETA Regional Office Staff. Both MEYER and BYNOE claimed that the invoices submitted to DOL were true and accurate. BYNOE provided a copy of another contract between LOWRY and the City of Chicago for my examination. That contract required LOWRY to deliver 1,600 separate Labor Market Orientation (LMO) workshops for 25 participants each to summer youth program participants. The maximum amount to be invoiced under the LMO contract is $371,360.00 and the maximum amount to be invoiced under the MIS contract is $383,110.98.

7. On November 14, 1980, I interviewed, individually, the following LOWRY employees at 303 East Wacker Drive, Chicago: CHARLES STEVENSON, RICHARD CRAWFORD, WILLIAM REYBURN and DAVID MORRISON. Each confirmed the dates reported for their on-site visits to prime sponsors and for their off-site efforts, also.

8. On November 21, 1980, I interviewed DONALD BOZZI at the OIG Chicago RIO. BOZZI is a Management Analyst with the Chicago ETA Regional Office. He had participated in joint efforts with LOWRY and subcontractor staff but he had no knowledge of any other activities by LOWRY or the FARGO COMPANY.

9. On November 25, 1980, I telephoned five (5) prime sponsors in Ohio: ASHTABULA CO. ALLEN CO., BUTLER CO., CLARK CO., and the CLERMONT/WARREN CONSORTIUM. All five (5) prime sponsors confirmed visits by LOWRY or subcontractor staff as reflected from invoices submitted by LOWRY.

10. It is recommended that a sample of the prime sponsors evaluated by LOWRY be completed and that a sample of the LMO workshops be examined. If no evidence of criminal activity is developed, this case should be closed. These samples surveys can be completed by December 31, 1980.

Clarence A. Collins, Jr.

Clarence A. Collins, Jr
Special Agent

U.S. DEPARTMENT OF LABOR Office of the Secretary Office of Inspector General	REPORT OF INTERVIEW

Date of Interview NOVEMBER 12, 1980

At approximately 3:05 p.m., on November 12, 1980, I interviewed RAY ENBURG at his place of employment at the Chicago Regional ETA Office at 230 South Dearborn, Chicago. STEVE SINGER who is the Assistant Regional Administrator for Administrative and Management Services and who is ENBURG's Supervisor, was also present for the first ten minutes of the interview. I advised ENBURG and SINGER of my identity and informed them that I wanted to obtain information regarding the LOWRY contract.

ENBURG provided the following information. The Chicago Regional Office of ETA approached the Small Business Administration in order to find a contractor that could perform evaluations of prime sponsor Management Information Systems. ENBURG's contacts at the SBA were AL BELLUOMINI and GARY PEELE. It was the SBA that suggested LOWRY as a contractor. ENBURG stated that he and his staff checked out LOWRY's references. JOHN DYE, who was the former Chief of the Financial Section at the Chicago Regional ETA Office, also contacted someone in Washington to check out LORWY's refferences. Eventually Chicago Regional ETA staff met with SBA staff and with LOWRY's staff. DYE had parameters in terms of the total amount of the contract and interms of the unit costs that were to be used during the negotiations with LOWRY. LOWRY's proposal came in over price and DYE negotiated them downward. Most of the negotiations revolved about the Phase 2 costs for technical assistance. ENBURG had no problems with the actual delivery of services under the contract. Originally LOWRY was to perform evaluations of all prime sponsors; however, ENBURG wanted his staff to obtain experience on doing the evaluations therefore, he pulled certain prime sponsors for that purpose. ENBURG had his staff do approximately 30 prime sponsors while LOWRY did approximately 76 prime sponsors. ENBURG has no knowledge of any criminal activity with respect to the LOWRY contract.

Clarence Collins

By Special Agent Clarence Collins

At Chicago, Illinois

Date Dictated 11-13-80

Date Transcribed 11-18-80

File No. 50-0599-0029

This document is the property of the Office of Inspector General.
Its contents are not to be disclosed to unauthorized persons.

U.S. DEPARTMENT OF LABOR
Office of the Secretary
Office of Inspector General

REPORT OF INTERVIEW

Date of Interview November 6, 1980

At approximately 4:15 pm on November 6, 1980, I interviewed Terry MONTGOMERY at her place of employment at the Chicago ETA regional office at 230 South Dearborn, Chicago, Illinois. MONTGOMERY is a supervisory management analyst and she is the designated project officer for the MIS evaluation and technical assistance contract with Lowry & Associates. I identified myself by a display of credentials to MONTGOMERY and I advised her that the purpose of the interview was to gain information concerning alleged over billing of the LOWRY contract. MONTGOMERY provided the following information:

Negotiations regarding the LOWRY contract were conducted for the Chicago ETA regional office by MONTGOMERY; Ray ENBURG, chief of management data systems and analysis; and John DYE, chief of the finacial branch. The statement of work was written by MONTGOMERY and ETA national office staff. The unit price negotiation was based on a recommendation from the ETA national office that the unit price should range between $1400.00 and $1600.00 for Phase I. Travel costs were left separate due to the rising costs of travel. Reimbursement of travel was to be in accordance with the federal travel regulations. The negotiations for Phase II technical assistance considered a more detailed analysis of costs. DOL agreed subsequent to signing the contract that LOWRY would not have to submit detailed back-up for travel costs.

MONTGOMERY felt that the on-site evaluation should not be done by one person in one day but she accepted those reports because the basis of payment was essentially the production of the report. For the technical assistance phase, MONTGOMERY approves all visits in advance. The general rule for a technical assistance visit is 4 to 6 days which cannot be exceeded without MONTGOMERY'S specific approval. MONTGOMERY receives a back-up sheet with the technical assistance voucher which shows days on-site and days off-site; however, MONTGOMERY finds it difficult to tie this back-up sheet to the technical assistance work plan.

MONTGOMERY did not know of any indirect costs that were built into the contract. MONTGOMERY also related that there were

Date Dictated 11-28-8-

By S/A Clarence A. Collins, JR cc By DMT

Date Transcribed 12-2-80

At 230 South Dearborn Chicago

File No. 50-0599-0029

This document is the property of the Office of Inspector General.
Its contents are not to be disclosed to unauthorized persons.

OIG 103 (11/78)
GPO 934-968

some time constraints in completing the evaluation of the prime sponsor's MIS because these evaluations were to be used for the annual prime sponsor's evaluations.

MONTGOMERY identified Mike MEYER as the LOWRY employee who is LOWRY'S project manager for this contract.

U.S. DEPARTMENT OF LABOR Office of the Secretary Office of Inspector General	REPORT OF INTERVIEW

Date of Interview NOVEMBER 14, 1980

At approximately 10:00 a.m., on November 14, 1980, I interviewed MICHAEL F. MEYER at his place of employment, JAMES H. LOWRY & ASSOCIATES, Suite 1340, 303 East Wacker, Chicago (telephone: 861-1800). PETER C.B. BYNOE, a Vice-President of LOWRY & ASSOCIATES, was also present during a portion of the interview. I identified myself by a display of credentials and I advised them that I was there to obtain information relative to a possible over billing of their contracts with USDOL.

MEYER provided the following personal information:

NAME: MICHAEL F. MEYER
ADDRESS: 510 Fifth Street, Apt J2, Wilmette, Illinois 60091
SSAN: (b)(6)
EMPLOYMENT: At LOWRY since May 1980
TITLE: Project Manager

BYNOE provided the following personal information:

NAME: PETER C.B. BYNOE
ADDRESS: 1030 North State Street, Chicago, Illinois 60610
SSAN:
TITLE: Vice-President

MEYER provided background information regarding the contract and provided the name, address and telephone number of the subcontractor:

The Fargo Company
7655 Old Springhouse Road
McLean, Virginia 22102
Telephone: 703-734-1202

BYNOE stated that staff of the Chicago ETA Regional Office gave LOWRY & ASSOCIATES a list of three recommendations for subcontractors. BYNOE choose Fargo from that list. BYNOE stated that Fargo had no more problems than any other subcontractor.

MEYER stated that the following LOWRY employees, including himself, worked on the MIS evaluation contract: RICHARD CRAWFORD, KARL LEWIN, CHARLES STEVENSON, WILLIAM REYBURN and HARRY BATES. LEWIN and BATES are no longer employed by LOWRY but MEYER had LOWRY staff provide their telephone numbers:

HARRY BATES 312-785-7913
KARL LEWIN 312-667-5091 or 404-288-7550

By Clarence Collins Special Agent Clarence Collins

At 303 East Wacker Drive

Date Dictated 12-1-80

Date Transcribed 12-2-80

File No. 50-0599-0029

C.C

This document is the property of the Office of Inspector General. Its contents are not to be disclosed to unauthorized persons.

Copy by AH

MEYER stated that subcontractor staff who worked on the MIS evaluation contract were FARGO THOMPSON, DAVID THOMPSON and B. SCHMIDT. He also indicated that those LOWRY employees who worked on the Phase II were MEYER, REYBURN, CRAWFORD and DAVID MORRISON. The Fargo employees were F. THOMPSON and SUSAN GARBRECHT. MEYER stated that he could analyze the August and September 1980 invoice for technicial assistance into on-site and off-site hours by person; however, he could not do the same for July 1980 because his record keeping system was not in a form at that time to provide such information.

REPORT INSERT
SA CLARENCE COLLINS

NOVEMBER 13, 1980

On November 12, 1980, I received photocopies of the following documents from RAY ENBURG, Chief MDSA for Chicago Regional Office of ETA:

Letter from C. THOMSON ROSS, Chicago RA of ETA, to BERKLEY BOYD of SBA, dated March 3, 1980. This letter requests that SBA request a proposal from LOWRY & ASSOCIATES.

Letter from JOHN SMITH, SBA, to ROSS providing ETA authority to negotiate directly with LOWRY & ASSOCIATES, dated March 21, 1980.

ENBURG's notes of meeting on March 24, 1980, with JOHN DYE, former Chief, Chicago ETA Regional Office; WALTER ZENG, Chicago Regional ETA Office Contract Specialist and TERRY MONTGOMERY, Chicago ETA Regional Office, Chief of MIS. FINANCE

2-way memo from ENBURG to ZENG, dated April 4, 1980, regarding Phase II Technical Assistance costs.

2-way memo from ENBURG to ZENG, dated April 8, 1980, regarding Phase II Technical Assistance costs.

Undated document regarding contract modification issues.

Case File

REPORT INSERT
SA CLARENCE COLLINS

OCTOBER 29, 1980

At approximately 3:30 p.m., on October 29, 1980, I met with TOM ROSS, Regional Administrator, ETA Region V, at his office on the sixth floor, 230 South Dearborn, Chicago. MELVIN HOWARD, Deputy RA, and DARLENE LORMAN, Director, EOSRS, were also present. I advised ROSS that we had received a hotline complaint regarding JAMES LOWREY.

ROSS advised that LOWREY was a minority contractor who had received an MIS validation contract. ROSS advised that the contract was primarily funded by ETA National Office funds and that he did not know of any fraud type problems with the contract.

ROSS suggested that STEVE SINGER, Assistant Regional Administrator of A&MS, be contacted for further information regarding the contract.

Case Number 50-0599-0029

U.S. DEPARTMENT OF LABOR
Office of the Secretary
Office of Inspector General

REPORT OF INTERVIEW

Date of Interview OCTOBER 28, 1980

At 2:20 p.m., on October 28, 1980, I met with JOHN HONDA at his office on the tenth floor, 230 South Dearborn, Chicago. HONDA stated that his position is titled Regional Cost Negotiator. His position is located within the Region V OASAM. I identified myself and advised HONDA that I was seeking information regarding contracts let to JAMES LOWRY.

HONDA advised that he has negotiated indirect cost rates with JAMES H. LOWRY and Associates at LOWRY's office at 444 North Michigan, Chicago. However, HONDA believed that LOWRY may have moved his offices since his last visit there. HONDA advised that LOWRY has contracts with other U.S. Government agencies, including Commerce and ACTION.

HONDA advised that LOWRY's fiscal year runs from November 1 to October 31 and that LOWRY's indirect rate for 1979 was 116 percent and for 1980 it was 110 percent. The basis of the indirect rate is salaries of employees plus applicable fringe benefits.

HONDA advised that LOWRY's contract with DOL was for the purpose of determining the viability of intermediary non-profit corporations for youth programming. HONDA advised that the contract number was 99-9-2175-33-50.

HONDA advised that his contact at LOWRY was PETER BYNOE (telephone 312-329-1290) and that he had never personally met JAMES LOWRY. HONDA advised that he had not seen any prior year audits regarding LOWRY. HONDA also stated that, as far as he is concerned, LOWRY is clean.

HONDA advised that JEANETTE COHEN, who is with ETA National Office Contracts (FTS 376-7145), might have further information regarding LOWRY.

HONDA provided me with a photocopy of a summary of direct and indirect costs-FY 1980 for JAMES H. LOWRY and Associates.

Clarence Collins

By Special Agent Clarence Collins

At tenth floor, 230 South Dearborn, Chicago

Date Dictated 10-29-80

Date Transcribed 11-3-80

File No. 50-0599-0029

This document is the property of the Office of Inspector General.
Its contents are not to be disclosed to unauthorized persons.

U. S. Department of Labor

Office of Inspector General
Regional Audit Office
230 South Dearborn Street, Suite 1680
Chicago, Illinois 60604
(312) 353-2416
Reply to the Attention of:

OCT 10 1980

MEMORANDUM FOR: Diedre Tanaka
Special Agent In Charge-OIG-Chicago

FROM: Roger Smith
Regional Audit Manager-Chicago

SUBJECT: Hotline Complaint-James Lowrey

Attached are copies of correspondence which relate to your investigative responsibilities. Please take whatever action is appropriate to resolve the complaint and respond to this office and Mr. Bernard N. Berger. We will respond to Mr. Ed Stepnick.

If you have any questions, please call.

RECEIVED
U.S. DEPARTMENT OF LABOR
OIG-CHICAGO FRAUD OFFICE
OCT 10 1980
AM 7 8 9 10 11 12 1 2 3 4 5 6 PM

U.S. Department of Labor

Office of Inspector General
Washington, D.C. 20210

Reply to the Attention of: OLAP Hotline
Rm. S5504 NDOL
Control Number(s):
000229

Ens 9/11

Roger Smith

MEMORANDUM FOR: ED STEPNICK

FROM: BERNARD N. BERGER BNB

SUBJECT: Hotline Complaints

The attached is referred for appropriate action by your agency. For tracking and validation purposes, please provide the Office of the Inspector General with a status report or explanation of how the complaint was closed. We would appreciate receiving your reply within 60 days.

If you believe action on any specific complaint should be taken outside of your agency, please return the complaint within 10 days together with your recommendation for action elsewhere.

Attachment(s)

U.S. DEPARTMENT OF LABOR Office of the Secretary Office of Inspector General	REPORT OF INTERVIEW

Date of Interview NOVEMBER 6, 1980

At approximately 4:15 p.m., on November 6, 1980, I interviewed TERRY MONTGOMERY at her office at the Chicago Regional ETA Office at 230 South Dearborn, Chicago. MONTGOMERY is a Supervisory Management Analyst who serves as Chief of the ETA Regional Office Management Information System. I identified myself to MONTGOMERY and explained to her that I was interested in obtaining information regarding the JAMES H. LOWRY and Associates contract with the Department of Labor.

MONTGOMERY provided the following information:

Negotiations regarding this contract were conducted on behalf of the Department of Labor by JOHN DYE, RAY ENBURG and TERRY MONTGOMERY. The Statement of Work was written by MONTGOMERY and ETA National Office staff. The unit price that was negotiated was based to some extent on ETA experience in the Boston Region. The ETA National Office advised that the on-site evaluations could be done for a price between $1,400.00 and $1,600.00. The ETA National Office also estimated that each on-site evaluation could be done in two to two and a half days per prime sponsor. The negotiation of the Phase 2 costs, for technical assistance, considered a more detailed breakdown in costs. Travel was left seperate due to the rising cost of travel. It was also agreed, by the Department of Labor, that detailed backup for travel need not be submitted. It was further agreed by the Department of Labor that Phase 1 costs based on unit price could be billed every two weeks without receipt of the final report as required by the contract. However, the Department of Labor would hold-up payment on the final voucher for Phase 1 until all reports were submitted. Phase 1 has been completed and all reports have been received.

MONTGOMERY felt that one person performing an on-site evaluation in one day may have been too short a time; however, some prime sponsors did not require that much work. Basically the basis of the unit price pay was the production of the report.

Some of the Phase 2 funding was provided by the National Office of ETA.

The Chicago Regional Office identifies those prime sponsors who need technical assistance and MONTGOMERY fills out a site visit request form. The general rule is that the contractor will provide four to six days on-site for technical assistance and can not exceed the six day limit without the approval of the Department of Labor. MONTGOMERY approves the technical assistance plan before it is executed. MONTGOMERY receives a backup sheet for the delivery of TA when the voucher for technical assistance is received and this back up sheet

Clarence Collins

By Special Agent Clarence Collins

At Chicago, Illinois

Date Dictated 11-12-80

Date Transcribed 11-18-80

File No. 50-0599-0029

This document is the property of the Office of Inspector General.
Its contents are not to be disclosed to unauthorized persons.

is broken down to show on-site and off-site days and total days. However, it is difficult to tie the backup sheet to the work plan and the actual delivery of on-site technical assistance.

LOWRY claimed that there was no money in the contract for secretarial work; therefore, the Department of Labor agreed to allow some consultant money for secretarial work. PETER BYNOE also charged one day of technical assistance for meeting with ETA staff. MONTGOMERY indicated that there were no indirect costs built into the contract.

MONTGOMERY stated that there was pressure to get the contract negotiated because the MIS evaluation was to be used for the annual evaluation done by Employment and Training Administration.

MONTGOMERY said that BOB SUMMERWELL did two Phase 1 reports for on-site evaluations on his own initiative. SUMMERWELL is a member of MONTGOMERY's staff and accompanied the LOWRY staff on their first evaluation as a training exercise.

FOR OFFICIAL USE ONLY *(WHEN FILLED IN)*

INCIDENT REPORT	1. DATE OF RE RT	2. AGENCY DESIGNATION CODE (Yr.) (Agency) (Report No.)	3. FILE NUMBER
	8/22/80		FOR [illegible] USE

4. TYPE OF REPORT: Initial ☐ Supplemental ☐ Final ☐ Other (Specify) ☐ _____

5. TYPE OF INCIDENT: Conduct Violation ☐ Criminal Violation ☐ Program Violation ☐

6. ALLEGATION AGAINST: DOL Employee ☐ Contractor ☑ Grantee ☐ Program Participant or Claimant ☐
Other (Specify) ☐ _____

7. LOCATION OF INCIDENT: DOL REG V CHICAGO

8. DATE & TIME OF INCIDENT/DISCOVERY: SEP - OCT 79

9. SOURCE OF INFORMATION: Public ☐ Contractor ☐ Grantee ☐ Program Participant ☐
Audit ☐ Investigative/Law Enforcement Agency (Specify) ☐
_____. Other (Specify) ☑ ANONYMOUS

10. CONTACTS BY LAW ENFORCEMENT AGENCIES:

11. EXPECTED CONCERN TO DOL: Local ☐ Regional ☑ National ☐
Media Interest ☐ Executive Interest ☐ GAO/Congressional Interest ☐
Other (Specify) ☐ _____

12. DOL PROGRAM INVOLVED: CETA ☑ SESA ☐ OSHA ☐ OWCP ☐ LMWP ☐ MSHA ☐
Other (Specify) ☐ _____. Value of Funds Involved: $ _____

13. INFORMATION ON PERSON(S) INVOLVED:

NAME	GRADE	POSITION OR JOB TITLE	EMPLOY-MENT[1]	LOCAL ADDRESS (Street, city, & sta OR ORGANIZATION IF EMPLOYE
JAMES H. LOWREY			C	CHICAGO, ILL

NOTE: [1] ENTER ONE OF THESE CODES: U-Unemployed; G-Grantee; C-Contractor; D-DOL Employee; F-Other Federal Employee; P-Program Participant or Claimant.

(COMPLETE PAGE 2 OF THIS FORM)

FOR OFFICIAL USE ONLY *(WHEN FILLED IN)*

14. SYNOPSIS OF INCIDENT:

ANONYMOUS CALLER STATED THAT CONTRACTOR HOLD 2 DOL CONTRACTS WHICH HE ALLEGES WERE OVERBILLED. HE STATED THAT CONTRACTOR BILLED FOR HOURS OF WORK PERFORMED BY STAFF MEMBERS THAT WERE NOT ACTUALLY PERFORMED.

HE FURTHER STATED THAT THE FEE FOR EACH OF THE 2 CONTRACTS WAS IN EXCESS OF $300,000. HE DID NOT IDENTIFY THE CONTRACTS BEYOND STATING THAT THE FIRST CONTRACT WAS LET BY DOL REG II AND THE SECOND WAS AWARDED BY THE (CHICAGO) MAYOR'S OFFICE OF EMPLOYMENT & TRAINING (PARTIALLY FUNDED BY DOL). HE ALSO INDICATED THAT REGION II AUDITOR, JOHN HONDA, HAD SOME KNOWLEDGE OF THESE CONTRACTS

15. TYPED NAME & TITLE OF RESPONSIBLE OFFICIAL	16. SIGNATURE OF RESPONSIBLE OFFICIAL
ACTING COORDINATOR, DOL-OIG HOTLINE	Bernard M. Berger
17. COPIES FURNISHED TO:	18. ATTACHMENTS: (LIST)
ED STEPNICK, AIC - AUDIT	

GPO 933-233

REPORT INSERT
SA CLARENCE COLLINS

NOVEMBER 4, 1980

On November 4 and 5, 1980, I reviewed contract number 17-0005-72 between the United States Department of Labor and the Small Business Administration. Under the provisions of this contract, JAMES H. LOWRY and Associates are providing assessment of and technical assistance for CETA Prime Sponsor, Management Information Systems. Although the contract is between Department of Labor and the Small Business Administration, LOWRY is directly billing the United States Department of Labor at the Chicago Regional Office of the Employment and Training Administration. Under the contract, LOWRY is providing on-site visits to evaluate and assess Prime Sponsor Management Information Systems and also technical assistance for correcting problems discovered in the Management Information Systems.

A portion of the work under this contract has inturn been subcontracted to the Fargo Company. Under the original contract, LOWRY was to evaluate and assess one hundred and six (106) prime sponsors and provide five hundred and sixty (560) technical assistance person days. It was also estimated that travel and support of the technical assistance would amount to approximately $38,000.00. The total amount of the contract was for $383,118.40. The contract was modified at a later date to provide for the evaluation and assessment of seventy-six (76) prime sponsors and for the delivery of six hundred and eighty-two (682) technical assistance person days. Travel costs were revised to amount to $45,100.00 the total amount of the modified contract was $383,110.98. Each on-site evaluation was to be billed at $1,550.00 and each technical assistant person day was to be billed at $322.89. Travel was to be reimbursed in accordance with the Federal Travel Regulations.

The appendix to LOWRY's proposal included a list of LOWRY's clients, including the following:

The Mayor's Office of Employment and Training--Summer Program Labor Market Orentation.

The Mayor's Office of Employment and Training--Federal Defenders Youth Project.

The A. PHILIP RANDOLPH Institute Educational Fund.

U.S. Department of Labor, Office of Youth Programs--Determining the feasibility of non-profit corporations as intermediaries in youth programs.

City of Chicago, Department of Human Services--Administrative Consultation and Personnel Audits.

Department of Planning City and Community Development, City of Chicago--Developing citizen participation models and affirmative action guidelines.

I obtained copies of invoices numbered one through seven for this contract. I also obtained copies of page one of the original contract, page one of modification number one and page one of modification number two.

Case File 50-0599-0029

STANDARD FORM 30, JULY 1966
GENERAL SERVICES ADMINISTRATION
FED. PROC. REG. (41 CFR) 1-16.101

AMENDMENT OF SOLICITATION/MODIFICATION OF CONTRACT

PAGE 1 OF 1

1. AMENDMENT/MODIFICATION NO.	2. EFFECTIVE DATE	3. REQUISITION/PURCHASE REQUEST NO.	4. PROJECT NO. (If applicable)
2			

5. ISSUED BY CODE

Department of Labor, Region V
Employment and Training Administration
230 S. Dearborn Street-6th Floor
Chicago, Illinois 60604

6. ADMINISTERED BY (If other than block 5) CODE

7. CONTRACTOR NAME AND ADDRESS (Street, city, county, state, and ZIP Code) CODE FACILITY CODE

James H. Lowry and Associates
444 North Michigan Avenue
Suite 810
Chicago, Illinois 60611

(B)

8.
☐ AMENDMENT OF SOLICITATION NO. _____
DATED _____ (See block 9)
☒ MODIFICATION OF CONTRACT/ORDER NO. 17-0005-72
and SB5408(a)80-C064
DATED 4/11/80 (See block 11)

9. THIS BLOCK APPLIES ONLY TO AMENDMENTS OF SOLICITATIONS

☐ The above numbered solicitation is amended as set forth in block 12. The hour and date specified for receipt of Offers ☐ is extended, ☐ is not extended.

Offerors must acknowledge receipt of this amendment prior to the hour and date specified in the solicitation, or as amended, by one of the following methods:

(a) By signing and returning _____ copies of this amendment; (b) By acknowledging receipt of this amendment on each copy of the offer submitted; or (c) By separate letter or telegram which includes a reference to the solicitation and amendment numbers. FAILURE OF YOUR ACKOWLEDGMENT TO BE RECEIVED AT THE ISSUING OFFICE PRIOR TO THE HOUR AND DATE SPECIFIED MAY RESULT IN REJECTION OF YOUR OFFER. If, by virtue of this amendment you desire to change an offer already submitted, such change may be made by telegram or letter, provided such telegram or letter makes reference to the solicitation and this amendment, and is received prior to the opening hour and date specified.

10. ACCOUNTING AND APPROPRIATION DATA (If required)

11. THIS BLOCK APPLIES ONLY TO MODIFICATIONS OF CONTRACTS/ORDERS

(a) ☐ This Change Order is issued pursuant to _____
The Changes set forth in block 12 are made to the above numbered contract/order.

(b) ☐ The above numbered contract/order is modified to reflect the administrative changes (such as changes in paying office, appropriation data, etc.) set forth in block 12.

(c) ☒ This Supplemental Agreement is entered into pursuant to authority of _____
It modifies the above numbered contract as set forth in block 12.

12. DESCRIPTION OF AMENDMENT/MODIFICATION

On page 6 of the Statement of Work the number of staff-days in phase A is changed from 200 to 250 and the number of on-site staff-days in phase B is changed from 360 to 454.

The quanity and amount of items 1 thru 3 are changed to read as follows:

Item No.		Quantity	Unit	Unit Price	Amount
1.	On-Site Evaluation and Assessment of Prime Sponsor's MIS	76	EA	$1,550.00	$117,800.00
2.	Technical Assistance Person Days	682	EA	$ 322.89	$220,210.98
3.	Travel in support of Item 2	AS NEEDED		ESTIMATED COST	$ 45,100.00

By reason of the foregoing the total of contract is decreased by $7.42 from $383,118.40 to $383,110.98.

BY John L. Smith
Chicago District Director
03 OCT 1980 SMALL BUSINESS ADMINISTRATION

Except as provided herein, all terms and conditions of the document referenced in block 8, as heretofore changed, remain unchanged and in full force and effect.

13. ☐ CONTRACTOR/OFFEROR IS NOT REQUIRED TO SIGN THIS DOCUMENT ☒ CONTRACTOR/OFFEROR IS REQUIRED TO SIGN THIS DOCUMENT AND RETURN 8 COPIES TO ISSUING OFFICE

14. NAME OF CONTRACTOR/OFFEROR
BY James H. Lowry and Associates
(Signature of person authorized to sign)

17. UNITED STATES OF AMERICA
BY Melvin Howard
(Signature of Contracting Officer)

15. NAME AND TITLE OF SIGNER (Type or print)	16. DATE SIGNED	18. NAME OF CONTRACTING OFFICER (Type or print)	19. DATE SIGNED
PETER C.B. BYNOE V-P	9/26/80	Melvin Howard	10/6/80

STANDARD FORM 30, JULY 1966
GENERAL SERVICES ADMINISTRATION
FED. PROC. REG. (41 CFR) 1-16.101

AMENDMENT OF SOLICITATION/MODIFICATION OF CONTRACT

PAGE 1 OF 1

1. AMENDMENT/MODIFICATION NO.	2. EFFECTIVE DATE	3. REQUISITION/PURCHASE REQUEST NO.	4. PROJECT NO. (If applicable)
1	22 May 80		

5. ISSUED BY CODE
Department of Labor, Region V
Employment and Training Administration
230 S. Dearborn Street-6th Floor
Chicago, Illinois 60604

6. ADMINISTERED BY (If other than block 5) CODE

[redacted]

7. CONTRACTOR NAME AND ADDRESS (Street, city, county, state, and ZIP Code) CODE FACILITY CODE

James H. Lowry and Associates
444 North Michigan Avenue
Suite 810
Chicago, Illinois 60611

8.
☐ AMENDMENT OF SOLICITATION NO. _____,
DATED _____ (See block 9)
☒ MODIFICATION OF CONTRACT/ORDER NO. 17-0005-72 and SB5408(a)80-C064
DATED 4/11/80 (See block 11)

9. THIS BLOCK APPLIES ONLY TO AMENDMENTS OF SOLICITATIONS

☐ The above numbered solicitation is amended as set forth in block 12. The hour and date specified for receipt of Offers ☐ is extended, ☐ is not extended.

Offerors must acknowledge receipt of this amendment prior to the hour and date specified in the solicitation, or as amended, by one of the following methods:

(a) By signing and returning _____ copies of this amendment; (b) By acknowledging receipt of this amendment on each copy of the offer submitted; or (c) By separate letter or telegram which includes a reference to the solicitation and amendment numbers. FAILURE OF YOUR ACKOWLEDGMENT TO BE RECEIVED AT THE ISSUING OFFICE PRIOR TO THE HOUR AND DATE SPECIFIED MAY RESULT IN REJECTION OF YOUR OFFER. If, by virtue of this amendment you desire to change an offer already submitted, such change may be made by telegram or letter, provided such telegram or letter makes reference to the solicitation and this amendment, and is received prior to the opening hour and date specified.

10. ACCOUNTING AND APPROPRIATION DATA (If required)

11. THIS BLOCK APPLIES ONLY TO MODIFICATIONS OF CONTRACTS/ORDERS

(a) ☐ This Change Order is issued pursuant to _____
The Changes set forth in block 12 are made to the above numbered contract/order.

(b) ☐ The above numbered contract/order is modified to reflect the administrative changes (such as changes in paying office, appropriation data, etc.) set forth in block 12.

(c) ☒ This Supplemental Agreement is entered into pursuant to authority of _____
It modifies the above numbered contract as set forth in block 12.

12. DESCRIPTION OF AMENDMENT/MODIFICATION

Under CONTRACTOR BILLING the first sentence is deleted and the following is substituted therefor: Billing for the Phase 1 on-site visits will be based on the completion of the visit for the first 80 units and the completion and delivery of the reports, including reports for the first 80 units, for the last 26 units. The contractor will bill the Dept. of Labor/Employment and Training Administration on April 30, May 30, June 15 and June 30.

By reason of the foregoing, the contract total remains the same.

SMALL BUSINESS ADMINISTRATION
John L. Smith 23 MAY 1980
Chicago District Director

Except as provided herein, all terms and conditions of the document referenced in block 8, as heretofore changed, remain unchanged and in full force and effect.

13. ☐ CONTRACTOR/OFFEROR IS NOT REQUIRED TO SIGN THIS DOCUMENT ☒ CONTRACTOR/OFFEROR IS REQUIRED TO SIGN THIS DOCUMENT AND RETURN 8 COPIES TO ISSUING OFFICE

14. NAME OF CONTRACTOR/OFFEROR
BY James H. Lowry and Associates
(Signature of person authorized to sign)

17. UNITED STATES OF AMERICA
BY Melvin Howard
(Signature of Contracting Officer)

15. NAME AND TITLE OF SIGNER (Type or print)	16. DATE SIGNED	18. NAME OF CONTRACTING OFFICER (Type or print)	19. DATE SIGNED
PETER L. B. BYNOE, EVP	5/23/80	MELVIN HOWARD	

STANDARD FORM 26, JULY 1966
GENERAL SERVICES ADMINISTRATION
FED. PROC. REG. (41CFR) 1-16.101

AWARD/CONTRACT

FIRM FIXED PRICE AND COST REIMBURSEMENT

PAGE 1 OF 203

1. CONTRACT (Proc. Inst. Ident.) NO.	2. EFFECTIVE DATE	3. REQUISITION/PURCHASE REQUEST/PROJECT NO.	4. CERTIFIED FOR NATIONAL DEFENSE UNDER BDSA REG. 2 AND/OR DMS REG. 1. RATING:
SB5406(a)80-C064			

5. ISSUED BY CODE
Small Business Administration
Chicago District Office
219 S. Dearborn St.
Chicago, Illinois 60604

6. ADMINISTERED BY (If other than block 5) CODE
Department of Labor, Region V
Employment and Training Administration
230 S. Dearborn Street - 6th Floor
Chicago, Illinois 60604

7. DELIVERY
[XX] FOB DESTINATION
[ ] OTHER (See below)

8. CONTRACTOR NAME AND ADDRESS (Street, city, county, State and ZIP code) CODE / FACILITY CODE
James H. Lowry and Associates
444 North Michigan Avenue
Suite 810
Chicago, Illinois 60611

9. DISCOUNT FOR PROMPT PAYMENT
NET

10. SUBMIT INVOICES (4 copies unless otherwise specified) TO ADDRESS SHOWN IN BLOCK 11

11. SHIP TO/MARK FOR CODE
Employment and Training Admin., USDL
230 South Dearborn Street-6th Floor
ATTN: Ms. Terry Montgomery
Chicago, Illinois 60604

12. PAYMENT WILL BE MADE BY CODE
Branch of Accounting
Employment and Training Administration, USDL
230 S. Dearborn St. - 6th Floor
Chicago, Illinois 60604

13. THIS PROCUREMENT WAS [ ] ADVERTISED, [XX] NEGOTIATED, PURSUANT TO:
[ ] 10 U.S.C. 2304 (a)( )
[XX] 41 U.S.C. 252 (c)15 and 15 U.S.C. 637(a)

14. ACCOUNTING AND APPROPRIATION DATA

15. ITEM NO.	16. SUPPLIES/SERVICES	17. QUANTITY	18. UNIT	19. UNIT PRICE	20. AMOUNT
L.	On-Site Evaluation and Assessment of Prime Sponsor's MIS.	106	EA	1,550.00	164,300.00
2.	Technical Assistance Person Days	560	EA	322.89	180,818.40
3.	Travel in support of Item 2	AS NEEDED		ESTIMATED COST	38,000.00
	This contract consists of the following: 1. SF 26, 1 page and Representations, Certifications and Acknowledgements, 2 pages. 2. Special Clauses for subcontracts, 1 page. 3. Contract 17-0005-72, 199 pages.				

21. TOTAL AMOUNT OF CONTRACT $ 383,118.40

CONTRACTING OFFICER WILL COMPLETE BLOCK 22 OR 26 AS APPLICABLE

22. [X] CONTRACTOR'S NEGOTIATED AGREEMENT (*Contractor is required to sign this document and return* 4 *copies to issuing office.*) Contractor agrees to furnish and deliver all items or perform all the services set forth or otherwise identified above and on any continuation sheets for the consideration stated herein. The rights and obligations of the parties to this contract shall be subject to and governed by the following documents: (a) this award/contract, (b) the solicitation, if any, and (c) such provisions, representations, certifications, and specifications, as are attached or incorporated by reference herein. (*Attachments are listed herein.*)

26. [ ] AWARD (*Contractor is not required to sign this document.*) Your offer on Solicitation Number _____, including the additions or changes made by you which additions or changes are set forth in full above, is hereby accepted as to the items listed above and on any continuation sheets. This award consummates the contract which consists of the following documents: (a) the Government's solicitation and your offer, and (b) this award/contract. No further contractual document is necessary.

23. NAME OF CONTRACTOR
BY Peter L. Bynoe
(Signature of person authorized to sign)

27. UNITED STATES OF AMERICA
BY John D. Smith
(Signature of Contracting Officer)

24. NAME AND TITLE OF SIGNER (Type or print)	25. DATE SIGNED	28. NAME OF CONTRACTING OFFICER (Type or print)	29. DATE SIGNED
Peter Bynoe Vice President	11 APR 1980	John D. Smith Chicago District Director	11 APR 1980

893 Signed 4-14-80

REPRESENTATIONS, CERTIFICATIONS AND ACKNOWLEDGMENTS

REPRESENTATIONS *(Check or complete applicable boxes or blocks.)*
The offeror represents as part of his offer that:

SMALL BUSINESS

He ☐ is, ☐ is not, a small business concern. If offeror is a small business concern and is not the manufacturer of the supplies offered, he also represents that all supplies to be furnished hereunder ☐ will, ☐ will not, be manufactured or produced by a small business concern in the United States, its possessions, or Puerto Rico.

MINORITY BUSINESS ENTERPRISE

He ☐ is, ☐ is not, a minority business enterprise. A minority business enterprise is defined as a "business at least 50 percent of which is owned by minority group members or, in case of publicly owned businesses, at least 51 percent of the stock of which is owned by minority group members." For the purpose of this definition, minority group members are Negroes, Spanish-speaking American persons, American-Orientals, American-Indians, American Eskimos, and American-Aleuts.

REGULAR DEALER – MANUFACTURER *(Applicable only to supply contracts exceeding $10,000.)*

He is a ☐ regular dealer in ☐ manufacturer of, the supplies offered.

CONTINGENT FEE

(a) He ☐ has, ☐ has not, employed or retained any company or persons *(other than a full-time bona fide employee working solely for the offeror)* to solicit or secure this contract, and (b) he ☐ has, ☐ has not, paid or agreed to pay any company or person *(other than a full-time bona fide employee working solely for the offeror)* any fee, commission, percentage, or brokerage fee contingent upon or resulting from the award of this contract; and agrees to furnish information relating to (a) and (b) above, as requested by the Contracting Officer. *(Interpretation of the representation, including the term "bona fide employee," see Code of Federal Regulations, Title 41, Subpart 1-1.5.)*

TYPE OF BUSINESS ORGANIZATION

He operates as ☐ an individual, ☐ a partnership, ☐ a nonprofit organization, ☐ a corporation, incorporated under the laws of the State of _____.

EQUAL OPPORTUNITY

(a) He ☐ has, ☐ has not, participated in a previous contract or subcontract subject either to the Equal Opportunity clause herein or the clause originally contained in section 301 of Executive Order No. 10925, or the clause contained in Section 201 of Executive Order No. 11114; that he ☐ has, ☐ has not, filed all required compliance reports; and that representations indicating submission of required compliance reports, signed by proposed subcontractors, will be obtained prior to subcontract awards. (The above representation need not be submitted in connection with contracts or subcontracts which are exempt from the equal opportunity clause.)

(b) The bidder (or offeror) represents that (1) he ☐ has developed and has on file, ☐ has not developed and does not have on file, at each establishment affirmative action programs as required by the rules and regulations of the Secretary of Labor (41 CFR 60-1 and 60-2) or (2) he ☐ has not previously had contracts subject to the written affirmative action programs requirement of the rules and regulations of the Secretary of Labor. *(The above representation shall be completed by each bidder (or offeror) whose bid (offer) is $50,000 or more and who has 50 or more employees.)*

CERTIFICATION OF NONSEGREGATED FACILITIES *(Applicable to (1) contracts, (2) subcontracts, and (3) agreements with applicants who are themselves performing federally assisted construction contracts, exceeding $10,000 which are not exempt from the provisions of the Equal Opportunity clause.)*

By the submission of this bid, the bidder, offeror, applicant, or subcontractor certifies that he does not maintain or provide for his employees any segregated facilities at any of his establishments, and that he does not permit his employees to perform their services at any location under his control, where segregated facilities are maintained. He certifies further that he will not maintain or provide for his employees any segregated facilities at any of his establishments, and that he will not permit his employees to perform their services at any location, under his control, where segregated facilities are maintained. The bidder, offeror, applicant, or subcontractor agrees that a breach of this certification is a violation of the Equal Opportunity clause in this contract. As used in this certification, the term "segregated facilities" means any waiting rooms, work areas, rest rooms and wash rooms, restaurants and other eating areas, time clocks, locker rooms and other storage or dressing areas, parking lots, drinking fountains, recreation or entertainment areas, transportation, and housing facilities provided for employees which are segregated by explicit directive or are in fact segregated on the basis of race, color, religion or national origin, because of habit, local custom, or otherwise. He further agrees that (except where he has obtained identical certifications from proposed subcontractors for specific time periods) he will obtain identical certifications from proposed subcontractors prior to the award of subcontracts exceeding $10,000 which are not exempt from the provisions of the Equal Opportunity clause; that he will retain such certifications in his files; and that he will forward the following notice to such proposed subcontractors (except where the proposed subcontractors have submitted identical certifications for specific time periods):

Notice to prospective subcontractors of requirement for certifications of nonsegregated facilities.

A Certification of Nonsegregated Facilities must be submitted prior to the award of a subcontract exceeding $10,000 which is not exempt from the provisions of the Equal Opportunity clause. The certification may be submitted either for each subcontract or for all subcontracts during a period (i.e., quarterly, semiannually, or annually). *NOTE: The penalty for making false ... U.S.C. 1001.*

11. HANDICAPPED (FPR 1-12.1303)

The offeror certifies with respect to the Employment of the Handicapped clause as follows:

1. He ( ) has, ( ) has not previously been awarded a contract which included the clause. (If affirmative, execute 2.)

2. The time specified for contract performance ( ) exceeded 90 days, ( ) did not exceed 90 days. (If more than 90 days, execute 3.)

3. The amount of the contract was ( ) less than $500,000, ( ) more than $500,000, and he ( ) has, ( ) has not published his program for the employment of the handicapped. (If more than $50,000, execute 4.)

4. He ( ) has, ( ) has not submitted the required annual report to the Assistant Secretary of Labor for Employment Standards.

5. He ( ) has, ( ) has not made a good faith effort to effectuate and carry out his affirmative action program.

6. He will not award subcontracts to persons or concerns that have not published programs and submitted annual reports as required by the clause.

CLEAN AIR AND WATER *(Applicable if the bid or offer exceeds $100,000 or the contracting officer has determined that orders under an indefinite quantity contract in any year will exceed $100,000, or a facility to be used has been the subject of a conviction under the Clean Air Act (42 U.S.C. 1857c8(c)(1)) or the Federal Water Pollution Control Act (33 U.S.C. 1319(c)) and is listed by EPA, or is not otherwise exempt.)*

The bidder or offeror certifies as follows:

(a) Any facility to be utilized in the performance of this proposed contract ☐ has, ☐ has not, been listed on the Environmental Protection Agency List of Violating Facilities.

(b) He will promptly notify the contracting officer, prior to award of the receipt of any communication from the Director, Office of Federal Activities, Environmental Protection Agency, indicating that any facility which he proposes to use for the performance of the contract is under consideration to be listed on the EPA list of Violating Facilities.

(c) He will include substantially this certification, including this paragraph (c), in every nonexempt subcontract.

CERTIFICATION OF INDEPENDENT PRICE DETERMINATION

(a) By submission of this offer, the offeror certifies, and in the case of a joint offer, each party thereto certifies as to its own organization, that in connection with this procurement:

(1) The prices in this offer have been arrived at independently, without consultation, communication, or agreement, for the purpose of restricting competition, as to any matter relating to such prices with any other offeror or with any competitor;

(2) Unless otherwise required by law, the prices which have been quoted in this offer have not been knowingly disclosed by the offeror and will not knowingly be disclosed by the offeror prior to opening in the case of an advertised procurement or prior to award in the case of a negotiated procurement, directly or indirectly to any other offeror or to any competitor; and

(3) No attempt has been made or will be made by the offeror to induce any other person or firm to submit or not to submit an offer for that purpose of restricting competition.

(b) Each person signing this offer certifies that:

(1) He is the person in the offeror's organization responsible within that organization for the decision as to the prices being offered herein and that he has not participated, and will not participate, in any action contrary to (a)(1) through (a)(3), above; or

(2) (i) He is not the person in the offeror's organization responsible within that organization for the decision as to the prices being offered herein but that he has been authorized in writing to act as agent for the persons responsible for such decision in certifying that such persons have not participated and will not participate, in any action contrary to (a)(1) through (a)(3) above, and as their agent does hereby so certify; and (ii) he has not participated, and will not participate, in any action contrary to (a)(1) through (a)(3) above.

SPECIAL CLAUSES FOR SUBCONTRACTS

Special 8(a) Subcontracting Conditions

(1) The Small Business Administration (SBA) has entered into contract No. 17-0005-72 with the DOL, ETA, Region V to furnish the supplies, services or perform the work described therein. A copy of said contract is attached hereto and made a part hereof. The parties to such contract have agreed that SBA will subcontract all supplies, services or work required thereunder.

(2) The parties to this subcontract agree that James H. Lowry and Associates, Inc. will, for and in the stead of SBA, fulfill and perform all of the requirements of contract No. 17-0005-72 for the consideration stated herein.

(3) The subcontractor acknowledges that its representatives have read and are familiar with each and every provision of the prime contract.

(4) The subcontractor understands that the responsibility for administering this subcontract (including issuance of change orders, execution of modifications, inspection, acceptance, etc.) has been delegated by SBA to Department of Labor, Employment and Training Admin., Region V.

(5) Except where an advance payment is made by SBA, partial or progress payments under this subcontract shall be made directly to the subcontractor by the DOL, ETA, Region V.). However, the final payment under the subcontract will be made only upon the written authorization of SBA and, in the case of a construction contract, after receipt of an executed release of claims from the subcontractor.

(6) In the light of the purpose for which award is herein authorized, i.e., to assist the subcontractor toward achievement of viability, the subcontractor agrees not to subcontract any of the performance of any of the requirements of this subcontract without the prior written approval of the SBA and the designated contracting officer of DOL, ETA, Region V

(7) The 8(a) subcontractor shall have the right of appeal from decisions of the Contracting Officer cognizable under the disputes clause of said subcontract. For the purposes of this subcontract, the reference to "his duly authorized representative" in the "Disputes" clause of the subcontract shall be deemed to refer to Board of Contract Appeals of the Department of Labor.

STANDARD FORM 26, JULY 1966
GENERAL SERVICES ADMINISTRATION
FED. PROC. REG. (41CFR) 1-16.101

AWARD/CONTRACT FIR.. FIXED PRICE AND COST REIMBURSEMENT

PAGE 1 OF 199

1. CONTRACT (Proc. Inst. Ident.) NO	2. EFFECTIVE DATE	3. REQUISITION/PURCHASE REQUEST/PROJECT NO.	4. CERTIFIED FOR NATIONAL DEFENSE UNDER BDSA REG. 2 AND/OR DMS REG. 1. RATING:
17-0005-72			

5. ISSUED BY CODE
Department of Labor, Region V
Employment and Training Administration
230 S. Dearborn Street-6th Floor
Chicago, Illinois 60604

6. ADMINISTERED BY (If other than block 5) CODE

7. DELIVERY
[XX] FOB DESTINATION
[ ] OTHER (See below)

8. CONTRACTOR NAME AND ADDRESS CODE FACILITY CODE
(Street, city, county, State, and ZIP code)
Small Business Administration
Chicago District Office
219 S. Dearborn St.
Chicago, Illinois 60604

9. DISCOUNT FOR PROMPT PAYMENT
NET

10. SUBMIT INVOICES (4 copies unless otherwise specified) TO ADDRESS SHOWN IN BLOCK 11

11. SHIP TO/MARK FOR CODE
Employment and Training Admin., USDL
230 South Dearborn Street-6th Floor
ATTN: Ms. Terry Montgomery
Chicago, Illinois 60604

12. PAYMENT WILL BE MADE BY CODE
Branch of Accounting
Employment and Training Administration, USDL
230 S. Dearborn St. 6th Floor
Chicago, Illinois 60604

13. THIS PROCUREMENT WAS [ ] ADVERTISED, [XX] NEGOTIATED, PURSUANT TO:
[ ] 10 U.S.C. 2304 (a)( )
[XX] 41 U.S.C. 252 (c)(15 and 15 U.S.C. 637(a)

14. ACCOUNTING AND APPROPRIATION DATA

15. ITEM NO.	16. SUPPLIES/SERVICES	17. QUANTITY	18. UNIT	19. UNIT PRICE	20. AMOUNT
1.	On-Site Evaluation and Assessment of Prime Sponsor's MIS.	106	EA	1,550.00	164,300.00
2.	Technical Assistance Person Days	560	EA	322.89	180,818.40
3.	Travel in support of Item 2	AS NEEDED		ESTIMATED COST	38,000.00
	This contract consists of the following: 1. SF 26, 1 page and Representations, Certifications and Acknowledgements, 2 pages. 2. Statement of work, 18 pages. 3. 1980 MIS Assessment Guide, 14 pages. 4. Regional Certification Guide, 3rd draft, January 29, 1980, 44 pages. 5. Functional Management Information System Handbook, 2nd draft, 27 pages. 6. Special Clauses for prime contracts, 1 page. 7. The General Provisions, USDL Mar. 1975 ed. W/Amendments 1 & 2, 38 pages. 8. General Provisions for Cost-Reimbursement Type Supply Contracts with Amendments 1-4, applicable to item 3 only, 54 pages.				

21. TOTAL AMOUNT OF CONTRACT $383,118.40

CONTRACTING OFFICER WILL COMPLETE BLOCK 22 OR 26 AS APPLICABLE

22. [XX] CONTRACTOR'S NEGOTIATED AGREEMENT (Contractor is required to sign this document and return 4 copies to issuing office.) Contractor agrees to furnish and deliver all items or perform all the services set forth or otherwise identified above and on any continuation sheets for the consideration stated herein. The rights and obligations of the parties to this contract shall be subject to and governed by the following documents: (a) this award/contract, (b) the solicitation, if any, and (c) such provisions, representations, certifications, and specifications, as are attached or incorporated by reference herein. (Attachments are listed herein.)

26. [ ] AWARD (Contractor is not required to sign this document.) Your offer on Solicitation Number _____, including the additions or changes made by you which additions or changes are set forth in full above, is hereby accepted as to the items listed above and on any continuation sheets. This award consummates the contract which consists of the following documents: (a) the Government's solicitation and your offer, and (b) this award/contract. No further contractual document is necessary.

23. NAME OF CONTRACTOR
BY _____ (Signature of person authorized to sign)

27. UNITED STATES OF AMERICA
BY _____ (Signature of Contracting Officer)

24. NAME AND TITLE OF SIGNER (Type or print)
John E. Smith
Chicago District Director

25. DATE SIGNED
11 APR 1980

28. NAME OF CONTRACTING OFFICER (Type or print)
JOHN E. DYE

29. DATE SIGNED
4/11/80

Special 8(a) Contract Conditions

It is understood and agreed by and between the parties to this contract that:

(1) SBA certifies it is competent to perform the requirement as stated in this contract.

(2) SBA will furnish the supplies, services or perform the work required under this contract according to the specifications, drawings, terms and conditions hereof by subcontracting with an eligible concern pursuant to section 8(a) of the Small Business Act, 15 USC 637(a). Such concern shall, for and in the stead of SBA, perform and fulfill all the requirements of this contract.

(3) If SBA does not award a subcontract for all or part of the supplies, services or work, this contract shall be terminated in whole or in part without cost to either party.

(4) SBA hereby delegates to the Department of Labor, ETA, Region V the responsibility for administering the subcontract to be awarded hereunder.

(5) Payments to be made under any subcontract awarded under this contract will be made directly to the subcontractor by the procuring agency except where SBA makes an advance payment to the subcontractor, in which event the agency administering the subcontract will be specifically requested in writing to make payments directly into the Special Bank Account.

(6) The 8(a) subcontractor shall have the right of appeal from decisions of the contracting officer cognizable under the disputes clause of said subcontract.

(7) The subcontract shall include the following provision: For the purposes of this contract, the reference to "his duly authorized represententive" in the "Disputes" clause of this contract shall be deemed to refer to the Board of Contract Appeals of the Dept. of Labor.

STANDARD FORM 26, JULY 1966
GENERAL SERVICES ADMINISTRATION
FED. PROC. REG. (41CFR) 1-16.101

AWARD/CONTRACT FIRM FIXED PRICE AND COST REIMBURSEMENT

PAGE 1 OF 199

1. CONTRACT (Proc. Inst. Ident.) NO.	2. EFFECTIVE DATE	3. REQUISITION/PURCHASE REQUEST/PROJECT NO.	4. CERTIFIED FOR NATIONAL DEFENSE UNDER BDSA REG. 2 AND/OR DMS REG. 1. RATING:
17-0005-72			

5. ISSUED BY CODE
Department of Labor, Region V
Employment and Training Administration
230 S. Dearborn Street-6th Floor
Chicago, Illinois 60604

6. ADMINISTERED BY (If other than block 5) CODE

7. DELIVERY
☒ FOB DESTINATION
☐ OTHER (See below)

8. CONTRACTOR NAME AND ADDRESS CODE FACILITY CODE
(Street, city, county, State and ZIP code)
Small Business Administration
Chicago District Office
219 S. Dearborn St.
Chicago, Illinois 60604

9. DISCOUNT FOR PROMPT PAYMENT
NET

10. SUBMIT INVOICES (4 copies unless otherwise specified) TO ADDRESS SHOWN IN BLOCK 11

11. SHIP TO/MARK FOR CODE
Employment and Training Admin., USDL
230 South Dearborn Street-6th Floor
ATTN: Ms. Terry Montgomery
Chicago, Illinois 60604

12. PAYMENT WILL BE MADE BY CODE
Branch of Accounting
Employment and Training Administration, USDL
230 S. Dearborn St. 6th Floor
Chicago, Illinois 60604

13. THIS PROCUREMENT WAS ☐ ADVERTISED, ☒ NEGOTIATED, PURSUANT TO:
☐ 10 U.S.C. 2304 (a)( )
☒ 41 U.S.C. 252 (c)(15 and 15 U.S.C. 637(a)

14. ACCOUNTING AND APPROPRIATION DATA

15. ITEM NO.	16. SUPPLIES/SERVICES	17. QUANTITY	18. UNIT	19. UNIT PRICE	20. AMOUNT
1.	On-Site Evaluation and Assessment of Prime Sponsor's MIS.	106	EA	1,550.00	164,300.00
2.	Technical Assistance Person Days	560	EA	322.89	180,818.40
3.	Travel in support of Item 2	AS NEEDED		ESTIMATED COST	38,000.00
	This contract consists of the following: 1. SF 26, 1 page and Representations, Certifications and Acknowledgements, 2 pages. 2. Statement of work, 18 pages. 3. 1980 MIS Assessment Guide, 14 pages. 4. Regional Certification Guide, 3rd draft, January 29, 1980, 44 pages. 5. Functional Management Information System Handbook, 2nd draft, 27 pages. 6. Special Clauses for prime contracts, 1 page. 7. The General Provisions, USDL Mar. 1975 ed. W/Amendments 1 & 2, 38 pages. 8. General Provisions for Cost-Reimbursement Type Supply Contracts with Amendments 1-4, applicable to item 3 only, 54 pages.				

21. TOTAL AMOUNT OF CONTRACT $383,118.40

CONTRACTING OFFICER WILL COMPLETE BLOCK 22 OR 26 AS APPLICABLE

22. ☒ CONTRACTOR'S NEGOTIATED AGREEMENT (Contractor is required to sign this document and return 4 copies to issuing office.) Contractor agrees to furnish and deliver all items or perform all the services set forth or otherwise identified above and on any continuation sheets for the consideration stated herein. The rights and obligations of the parties to this contract shall be subject to and governed by the following documents: (a) this award/contract, (b) the solicitation, if any, and (c) such provisions, representations, certifications, and specifications, as are attached or incorporated by reference herein. (Attachments are listed herein.)

26. ☐ AWARD (Contractor is not required to sign this document.) Your offer on Solicitation Number _____, including the additions or changes made by you which additions or changes are set forth in full above, is hereby accepted as to the items listed above and on any continuation sheets. This award consummates the contract which consists of the following documents: (a) the Government's solicitation and your offer, and (b) this award/contract. No further contractual document is necessary.

23. NAME OF CONTRACTOR
BY _____
(Signature of person authorized to sign)

27. UNITED STATES OF AMERICA
BY John E Dye
(Signature of Contracting Officer)

24. NAME AND TITLE OF SIGNER (Type or print)	25. DATE SIGNED	28. NAME OF CONTRACTING OFFICER (Type or print)	29. DATE SIGNED
		JOHN E. DYE	4/11/80

REPRESENTATIONS *(Check or complete all applicable boxes or blocks.)* cont(t 17-0005-72 page 2

The offeror represents as part of his offer that:

SMALL BUSINESS

He ☐ is, ☐ is not, a small business concern. If offeror is a small business concern and is not the manufacturer of the supplies offered, he also represents that all supplies to be furnished hereunder ☐ will, ☐ will not, be manufacturered or produced by a small business concern in the United States, its possessions, or Puerto Rico.

MINORITY BUSINESS ENTERPRISE

He ☐ is, ☐ is not, a minority business enterprise. A minority business enterprise is defined as a "business, at least 50 percent of which is owned by minority group members or, in case of publicly-owned businesses, at least 51 percent of the stock of which is owned by minority group members." For the purpose of this definition, minority group members are Negroes, Spanish-speaking American persons, American-Orientals, American-Indians, American Eskimos, and American-Aleuts.

REGULAR DEALER — MANUFACTURER *(Applicable only to supply contracts exceeding $10,000.)*

He is a ☐ regular dealer in ☐ manufacturer of, the supplies offered.

CONTINGENT FEE

(a) He ☐ has, ☐ has not, employed or retained any company or persons *(other than a full-time bona fide employee working solely for the offeror)* to solicit or secure this contract, and (b) he ☐ has, ☐ has not, paid or agreed to pay any company or person *(other than a full-time bona fide employee working solely for the offeror)* any fee, commission, percentage, or brokerage fee contingent upon or resulting from the award of this contract; and agrees to furnish information relating to (a) and (b) above, as requested by the Contracting Officer. *(Interpretation of the representation, including the term "bona fide employee," see Code of Federal Regulations, Title 41, Subpart 1-1.5.)*

TYPE OF BUSINESS ORGANIZATION

He operates as ☐ an individual, ☐ a partnership, ☐ a nonprofit organization, ☐ a corporation, incorporated under the laws of the State of _____.

EQUAL OPPORTUNITY

(a) He ☐ has, ☐ has not, participated in a previous contract or subcontract subject either to the Equal Opportunity clause herein or the clause originally contained in section 301 of Executive Order No. 10925, or the clause contained in Section 201 of Executive Order No. 11114; that he ☐ has, ☐ has not, filed all required compliance reports, and that representations indicating submission of required compliance reports, signed by proposed subcontractors, will be obtained prior to subcontract awards. (The above representation need not be submitted in connection with contracts or subcontracts which are exempt from the equal opportunity clause.)

(b) The bidder (or offeror) represents that (1) he ☐ has developed and has on file, ☐ has not developed and does not have on file, at each establishment affirmative action programs as required by the rules and regulations of the Secretary of Labor (41 CFR 60-1 and 60-2) or (2) he ☐ has not previously had contracts subject to the written affirmative action programs requirement of the rules and regulations of the Secretary of Labor. *(The above representation shall be completed by each bidder (or offeror) whose bid (offer) is $50,000 or more and who has 50 or more employees.)*

CERTIFICATION OF NONSEGREGATED FACILITIES *(Applicable to (1) contracts, (2) subcontracts, and (3) agreements with applicants who are themselves performing federally assisted construction contracts, exceeding $10,000 which are not exempt from the provisions of the Equal Opportunity clause.)*

By the submission of this bid, the bidder, offeror, applicant, or subcontractor certifies that he does not maintain or provide for his employees any segregated facilities at any of his establishments, and that he does not permit his employees to perform their services at any location under his control, where segregated facilities are maintained. He certifies further that he will not maintain or provide for his employees any segregated facilities at any of his establishments, and that he will not permit his employees to perform their services at any location, under his control, where segregated facilities are maintained. The bidder, offeror, applicant, or subcontractor agrees that a breach of this certification is a violation of the Equal Opportunity clause in this contract. As used in this certification, the term "segregated facilities" means any waiting rooms, work areas, rest rooms and wash rooms, restaurants and other eating areas, time clocks, locker rooms and other storage or dressing areas, parking lots, drinking fountains, recreation or entertainment areas, transportation, and housing facilities provided for employees which are segregated by explicit directive or are in fact segregated on the basis of race, color, religion or national origin, because of habit, local custom, or otherwise. He further agrees that (except where he has obtained identical certifications from proposed subcontractors for specific time periods) he will obtain identical certifications from proposed subcontractors prior to the award of subcontracts exceeding $10,000 which are not exempt from the provisions of the Equal Opportunity clause; that he will retain such certifications in his files; and that he will forward the following notice to such proposed subcontractors (except where the proposed subcontractors have submitted identical certifications for specific time periods):

Notice to prospective subcontractors of requirement for certifications of nonsegregated facilities.

A Certification of Nonsegregated Facilities must be submitted prior to the award of a subcontract exceeding $10,000 which is not exempt from the provisions of the Equal Opportunity clause. The certification may be submitted either for each subcontract or for all subcontracts during a period (i.e., quarterly, semiannually, or annually). *NOTE: The penalty for making false offers is prescribed in 18 U.S.C. 1001.*

REPRESENTATIONS, CERTIFICATIONS AND ACKNOWLEDGEMENTS (continued)

11. HANDICAPPED (FPR 1-12.1303)

The offeror certifies with respect to the Employment of the Handicapped clause as follows:

1. He ( ) has, ( ) has not previously been awarded a contract which included the clause. (If affirmative, execute 2.)

2. The time specified for contract performance ( ) exceeded 90 days, ( ) did not exceed 90 days. (If more than 90 days, execute 3.)

3. The amount of the contract was ( ) less than $500,000, ( ) more than $500,000, and he ( ) has, ( ) has not published his program for the employment of the handicapped. (If more than $50,000, execute 4.)

4. He ( ) has, ( ) has not submitted the required annual report to the Assistant Secretary of Labor for Employment Standards.

5. He ( ) has, ( ) has not made a good faith effort to effectuate and carry out his affirmative action program.

6. He will not award subcontracts to persons or concerns that have not published programs and submitted annual reports as required by the clause.

CLEAN AIR AND WATER *(Applicable if the bid or offer exceeds $100,000 or the contracting officer has determined that orders under an indefinite quantity contract in any year will exceed $100,000, or a facility to be used has been the subject of a conviction under the Clean Air Act (42 U.S.C. 1857c8(c)(1)) or the Federal Water Pollution Control Act (33 U.S.C. 1319(c)) and is listed by EPA, or is not otherwise exempt.)*

The bidder or offeror certifies as follows:

(a) Any facility to be utilized in the performance of this proposed contract ☐ has, ☐ has not, been listed on the Environmental Protection Agency List of Violating Facilities.

(b) He will promptly notify the contracting officer, prior to award of the receipt of any communication from the Director, Office of Federal Activities, Environmental Protection Agency, indicating that any facility which he proposes to use for the performance of the contract is under consideration to be listed on the EPA list of Violating Facilities.

(c) He will include substantially this certification, including this paragraph (c), in every nonexempt subcontract.

CERTIFICATION OF INDEPENDENT PRICE DETERMINATION

(a) By submission of this offer, the offeror certifies, and in the case of a joint offer, each party thereto certifies as to its own organization, that in connection with this procurement:

(1) The prices in this offer have been arrived at independently, without consultation, communication, or agreement, for the purpose of restricting competition, as to any matter relating to such prices with any other offeror or with any competitor;

(2) Unless otherwise required by law, the prices which have been quoted in this offer have not been knowingly disclosed by the offeror and will not knowingly be disclosed by the offeror prior to opening in the case of an advertised procurement or prior to award in the case of a negotiated procurement, directly or indirectly to any other offeror or to any competitor; and

(3) No attempt has been made or will be made by the offeror to induce any other person or firm to submit or not to submit an offer for that purpose of restricting competition.

(b) Each person signing this offer certifies that:

(1) He is the person in the offeror's organization responsible within that organization for the decision as to the prices being offered herein and that he has not participated, and will not participate, in any action contrary to (a)(1) through (a)(3), above; or

(2) (i) He is not the person in the offeror's organization responsible within that organization for the decision as to the prices being offered herein but that he has been authorized in writing to act as agent for the persons responsible for such decision in certifying that such persons have not participated and will not participate, in any action contrary to (a)(1) through (a)(3) above, and as their agent does hereby so certify; and (ii) he has not participated, and will not participate, in any action contrary to (a)(1) through (a)(3) above.

3/10/80

MINORITY SMALL B...
REGION V S.B.A.
MAR 1 ... 1980
PM
7 8 9 10 11 12 1 2 3 4 5 6

...berley S. Boyd
Acting Director, Office of Program ...quisition

Requirement Offering Package

...ssistant Regional Administrator MSB-COD Region V
ATTN: Jess Chatnet

It is Labor's intention to procure a requirement entitled:
Functional Management Information System Handbook

in the estimated amount of $ 300,000.

The recommended 8(a) firm is James H Lowry Assoc
With this offering, the aggregate support furnished during FY 1980 now amounts to $_____.

The enclosed requirement package is submitted for your processing. If sufficient material is not included in the package, please communicate directly with the procuring agency's representative.

Please furnish the undersigned with a copy of your requirement letter to the agency.

The following National Buy Requirement Number is assigned:

7700-[illegible]-0497

for Edward Cheal
Kimberley S. Boyd
Acting Director
Office of Program Acquisition

reconciled CRI
GK
3-14-80

U. S. Department of Labor

Employment and Training Administration
230 South Dearborn Street
Chicago, Illinois 60604

March 3, 1980

Mr. Berkley Boyd
Office of Business Development
Small Business Administration
1441 L Street, N.W.
Washington, D.C. 20005

Dear Mr. Boyd:

The Regional Office of the U.S. Department of Labor, Employment and Training Administration in Chicago, Illinois, has a requirement for services to be rendered through the 8A program. The attached Statement of Work sets forth the services that will be needed.

The estimated costs of this effort is approximately $300,000. The period of performance will be approximately March 24, 1980 through March 24, 1981. The project director will be Ms. Terry Montgomery, telephone number (312)353-0813.

It is our understanding that the firm James H. Lowry & Associates, Inc., 444 N. Michigan Ave., Chicago, Illinois, 60611, is capable of performing the services. Accordingly, it is requested that SBA request a proposal from this company for these services.

If you have any questions, please contact Mr. R.C. Enburg or Terry Montgomery (312)353-1517 or (312)353-0813.

Sincerely,

C. THOMSON ROSS
Regional Administrator

Attachment

cc: Gary Peele
SBA
Chgo., Ill.

STATEMENT OF WORK

BACKGROUND

The Comprehensive Employment and Training Act of 1973 (CETA), established specifically under its titles major grants-in-aid programs to units of general local government including states, counties and municipalities, in addition to American Indian tribes, migrant farm workers and other special groups designated by Congress. It is the purpose of the act to provide job training and employment opportunities for economically disadvantaged, unemployed, and underemployed persons and to assure that training and other services lead to maximum employment opportunities and enhance self-sufficiency by establishing a flexible and decentralized system of Federal, State, and local programs. The legislation mandated that prime sponsors implement Management Information Systems which would respond to federal reporting and recordkeeping requirements and enable sponsors to manage their local programs. Sponsors had total flexibility in establishing their own systems.

The Comprehensive Employment and Training Act (CETA) Amendments of 1978 expanded significantly the recordkeeping and reporting burden on CETA prime sponsors. In addition, the legislation mandates prime sponsors to properly monitor, audit and administer their programs/subgrantees. It also places increased responsibilities on the Department of Labor (DOL) for monitoring and certifying the internal systems used by prime sponsors. Monitoring sponsors' MIS is the responsibility of DOL/ETA regional offices. Region V is the largest of the ten Regional offices and consists of six states: Illinois, Indiana, Michigan, Minnesota, Ohio, and Wisconsin. Currently, this area comprises 106 CETA prime sponsors.

DOL has undertaken a long-term program to assist prime sponsors in developing the management information system (MIS) capabilities required to meet their internal management information needs and comply with the substantially increased federal reporting requirements mandated. As part of this long range effort, a set of specifications for the minimum mandatory informational requirements for prime sponsors has been developed and is contained in the Functional Management Information System (FMIS) Handbook which establishes the minimum standard against which all CETA management information systems will be measured. The draft FMIS Handbook is included as Attachment I.

Each prime sponsor's MIS will be reviewed against the FMIS requirements, evaluated through an on-site visit, and certified by the region if it meets the minimum federal standard. The FMIS requirements are phased in through FY 1982 to give prime sponsors time to develop and implement necessary reporting procedures or systems. The draft Regional Certification Guide is included as Attachment II.

Prime Sponsor MIS environments vary widely in the degree of data processing expertise and the current use of data processing. Some prime sponsors operate completely manual systems. The long range DOL CETA MIS redesign effort encourages the installation of significantly improved automated management information

systems in most of the prime sponsors. For prime sponsors MIS's which do not meet FMIS requirements, a program of technical assistance will be available.

Every year prime sponsors undergo a formal performance assessment. The primary emphasis for the Fiscal Year 1980 assessment is the prime sponsor's performance in accomplishing major program goals established for individual titles in the sponsor's Comprehensive Employment and Training Plan (CETP) and in the CETA regulations. One of the areas to be assessed is the extent to which the MIS is used as a management tool for program operation. The assessment will be done using the 1980 MIS Assessment Guide (Attachment III).

The focus of the comparison of the sponsors' MIS against the FMIS is to determine whether the sponsor has a system which generates information to enable sponsors to manage the CETA program. The focus of the formal assessment of the MIS is to determine whether the sponsor is using the system.

A listing of the 106 prime sponsors and maps indicating the location of the sponsor sites are included as Attachment IV.

OBJECTIVES

There are two main objectives to this activity:

On-site visits to evaluate and assess the 106 prime sponsors' Management Information Systems.
On-site technical assistance to those prime sponsors most in need of upgrading efforts.

ON-SITE VISITS

The on-site visits to the 106 prime sponsor locations will include:

Evaluation

Review and evaluation of the prime sponsor's MIS.
Comparison of the actual MIS with the functional MIS requirements.
Documentation of any deficiencies between the actual and functional MIS.
Documentation of prime sponsor action plans for correcting deficiencies.
Documentation of planned changes to the MIS.
Recommendations for specific technical assistance where appropriate.

Assessment

Assessment of the sponsor's MIS in accordance with the 1980 MIS Assessment Guide.
Comparison of the MIS and the Participant Time Limitation Tracking subsystem with the description(s) contained in the CETP, Master Plan.
A narrative description of deficiencies and recommendations for corrective action.
Recommendations for improving the effectiveness and utilization of the systems.

ON-SITE TECHNICAL ASSISTANCE

The on-site technical assistance will take place after determining which of the 106 prime sponsors are most in need of assistance. The sponsors will be identified by the Regional Office Project Director. The on-site technical assistance will have two distinct phases: A. a Requirements Analysis and Cost Study and B. Implementation Assistance.

Phase A should not exceed 200 staff days and should address:

Prime Sponsor's MIS needs
Options for prototype software selection
Impact of the above options on the sponsor's staff requirements
Life cycle cost of the above options
Implementation plan

Phase B consists of on-site support in implementing the option plans which were developed in phase A. The DOL/ETA Project Director will select sponsors who will receive this in depth technical assistance. This phase shall not exceed 360 staff days.

TASKS REQUIRED

ORIENTATION

The orientation period will begin within fourteen (14) days after the award of the contract and will last approximately four (4) weeks. The orientation period will consist of: training contractor staff and four (4) on-site reviews, finalizing the schedule of on-site visits, and a briefing for Federal Representatives.

Training

The contractor Project Director and all contractor staff involved in the field work will be trained during the first week of the contract. Training will be provided by DOL/ETA Regional Office and national office staff in Chicago, Illinois. Training will be given on the Functional MIS requirements, the Regional Certification Guide and the 1980 MIS Assessment Guide. Final copies of these materials will be given to the contractor staff at this time. The training will include an in-depth presentation on the DOL/ETA national office implementation strategy for prime sponsors who must automate their management information systems.

Visits to four (4) prime sponsors selected by the regional office Project Director will immediately follow to complete the training through on-site application. The contractor should have each field person participate in no more than two of these visits. The contractor will be responsible for preparing the reports of these visits. The reports as described in the section entitled On-Site Visit Reports, must be submitted to the Regional Office Project Director prior to the commencement of the remaining on-site reviews to be done by the contractor staff. Regional office staff will review the reports and will recommend changes as appropriate. This review will serve to finalize the report format and content.

Scheduling of Remaining On-Site Visits

During the second or third week, a schedule of the remaining 102 on-site visits will be finalized in cooperation and consultation with the Regional Office Project Director. The contractor shall be responsible for making all travel arrangements for the contractor staff visits to the prime sponsor sites. The contractor will make all logistical arrangements directly with the prime sponsor staff.

Briefing of Federal Representatives

At the end of the orientation period, the contractor will participate in a one-day briefing session for regional office Federal Representatives. The contractor should prepare a two-hour presentation which will address the plan for conducting the evaluation and assessment visits, the schedule of on-site visits, contractor staff assignments, and the report of the visits.

ON-SITE VISITS

All prime sponsors shall be evaluated against the FMIS using a uniform and standard methodology as described in the Regional Certification Guide. All prime sponsors shall be assessed in accordance with the 1980 MIS Assessment Guide.

The contractor shall conduct an exit interview with each prime sponsor explaining the findings and recommendations.

The DOL/ETA Regional Office will certify prime sponsor's systems based on the data collected by the contractor staff. The regional office will also determine the assessment rating for prime sponsors for the Annual Formal Performance Assessment based on the information provided by the contractor.

It is expected that the evaluation and assessment of each prime sponsor will require an average of two days on-site. Larger prime sponsors may require up to four days on-site.

ON-SITE VISIT REPORTS

The contractor shall provide a report on each prime sponsor visited. Three copies of the report will be due to the DOL/ETA Project Director within two weeks after the site visit. The report will be divided into two sections, one containing the evaluation information and the other containing the assessment information.

The evaluation section of the report shall include a written description and narrative analysis of the prime sponsor's existing MIS, a comparison of the report generating capability of the MIS with the functional MIS requirements, a description of the validation and error correction procedures, a description of the deficiencies of the system, a description of the prime sponsor plans for correcting the deficiencies, and a description of planned changes to any of the above. Copies of all supporting documentation including the checklist used in the evaluation shall be included as part of the report. The report should include all findings and recommendations and a preliminary recommendation as to what would be required to upgrade the system to meet FMIS requirements, i.e.: whether the present system can be enhanced or modified, or whether a new system is appropriate.

The assessment section of the report shall include a completed 1980 MIS Assessment Guide and a narrative summary of all findings and recommendations.

MONTHLY BRIEFING

The contractor Project Director shall brief the Regional Office staff one day each month. The briefing will be in the regional office and will include (but not be restricted to):

Results of the past month's reviews
Plans for the coming month
Problems encountered
Comparison of schedule with planned milestones

SUMMARY REPORT OF EVALUATION EFFORT

The contractor shall provide a statistical report summarizing the entire evaluation effort no later than fifteen days after the completion of the on-site visit. The report shall include recommendations as to those sponsors needing substantial technical assistance.

ON-SITE TECHNICAL ASSISTANCE

Requirements Analysis and Cost Study (Phase A)

The Regional Office will determine which prime sponsors are to receive technical assistance. The contractor shall provide staff for technical assistance support to the prime sponsors. The on-site technical assistance shall include a requirements analysis and cost study. It is anticipated that this analysis would involve one to two weeks per prime sponsor depending on size and problems encountered. The analysis and study will address:

Prime sponsor's MIS needs
Options for prototype software selection,
Impact of options on prime sponsor staff requirements
Life cycle cost of options
Implementation plan

The technical assistance will be limited to 200 staff-days.

Implementation Assistance (Phase B)

Implementation plans developed for prime sponsors under Phase A above shall be executed for those prime sponsors selected by DOL/ETA. Technical assistance time per prime sponsor will vary depending on the complexity of the plan. The maximum effort will be 360 on-site staff-days for the remainder of the contract period.

ON-SITE TECHNICAL ASSISTANCE REPORTS

Reports are required for both the Requirements Analysis and Cost Study phase and the Implementation Assistance phase.

Requirements Analysis and Cost Study (Phase A)

The contractor shall provide a report for each prime sponsor visited. Three (3) copies of the report shall be submitted to the Regional Office Project Director within one week after the completion of each visit. The report shall include a detailed analysis of the requirements and associated costs for the prime sponsor to implement an automated MIS; a description of the options available (focusing on the prototype systems); and a detailed approach and implementation plan.

Implementation Assistance (Phase B)

The contractor shall provide a bi-weekly status report on the progress to date in implementing the plan developed during Phase A.

The contractor shall submit three (3) copies of a final narrative report within one week after the completion of each sponsor Implementation Assistance visit. This final report should include the accomplishment of the implementation plan, the tasks which were not completed, a time table for completing the implementation plan and recommendations as to further technical assistance required.

DELIVERABLES

Contractor Briefing: By the end of the orientation period, the contractor shall present a two-hour briefing to the regional staff. The briefing will cover the plan for implementation of the evaluation and assessment study, schedule of visits, staff assignments, and overview of the report.

On-Site Visit Reports. A report will be produced for each site that is evaluated and assessed. Four (4) reports for the visits conducted during the orientation period will be due prior to the start of the contractor on-site visits. The report for each of the remaining 102 sites shall be due within two weeks of the visit. The report shall include supporting material such as checklists, copies of forms, and other documentation collected. The report shall include recommendations for technical assistance.

Monthly Briefings. The contractor shall provide monthly briefings to the regional office staff. The briefing shall include (but not be limited to): Past results, plans for coming month, comparison of results with scheduled milestones.

Evaluation Summary. The contractor shall produce a report summarizing the evaluation effort. The report shall include recommendations on prime sponsors requiring technical assistance.

Prime Sponsor Implementation Plan. A report shall be produced by the contractor that shows results of the requirements analysis and cost study for each prime sponsor. Included in the report will be an implementation plan for upgrading the prime sponsor MIS to meet the functional MIS requirements.

Assistance in Implementing Plan. The contractor shall provide a bi-weekly report on the status of implementation for each prime sponsor. The contractor shall submit a final report upon completion of implementation effort for each prime sponsor.

TIMING AND PLAN OF PERFORMANCE

The contract will cover a twelve month period with the orientation session starting within 14 days and the on-site visits commencing within six weeks after award of the contract. The contractor will complete CETA prime sponsor on-site evaluation and assessment visits within 90 days of the start of the on-site visits.

The on-site Requirements Analysis and Cost Study phase will be completed within 90 days after completion of the evaluation and assessment visits. Proposers should submit a plan and timetable for carrying out all of the tasks within these timing limitations.

Execution of the Implementation Assistance phase will follow for the duration of the contract.

The on-site technical assistance under this contract may be increased an additional 300 staff/days at the discretion of the DOL/ETA Project Director.

OFFEROR'S PROPOSAL

Offeror's proposal should specify the names of staff members who will be working on this contract, include their resumes, what they will be working on, when they will be working, and what percentages of their total time will be committed to the work to be performed under this contract.

QUALIFICATIONS OF CONTRACTOR STAFF

The contractor must have at least two staff persons with an ADP background - a combination of both academic and direct data processing job experience is preferable.

The contractor staff must be knowledgeable in the CETA Amendments of 1978, the current CETA regulations and the Forms Preparation Handbook. Experience in working with prime sponsor staff and evaluating CETA management information systems is preferable.

CONTRACTOR BILLING

Billing for the on-site visits will be monthly based on the receipt of the reports for the previous month.

Billing for the remaining deliverables will be based on the number of staff/days worked.

CRITERIA FOR AWARD

Prospective suppliers are advised that the selection of an offeror for contract award is to be made after a careful evaluation of the proposals received by a panel of specialists within the Department. Each panelist will evaluate the proposals for acceptability with emphasis on the various factors enumerated below, assigning to that factor a numerical weighting within the range shown for each of these factors. The scores will then be averaged to select an offeror or develop a list of offerors.

Negotiations will be initiated, if necessary, with one or more of the offerors within the competitive range, as the situation warrants, beginning with the head of the list, i.e., the offeror with the highest score, determined by the factors shown below:

	Points
A. Supplier's collective experience as it relates to the work required by the proposed contract	1-15
B. Education and experience of supplier's key personnel as they relate to the work required by the proposed contract	1-40
C. Supplier's resources and facilities	1-15
D. Planned approach in accomplishing the proposed work and its indication of the supplier's understanding of the work required	1-30

NOTE: TOTAL ENROLLMENT ON THE FOLLOWING REPORT REPRESENTS A SUM OF ALL CUMULATIVE ENROLLMENT FIGURES REPORTED ON 9/30 PSS'S. SINCE TITLES IID AND VI WERE ZERO-BASED AS OF 4/1/80, TERMINATIONS IN THESE TITLES PRIOR TO THIS DATE WILL NOT BE INCLUDED IN THE TOTAL ENROLLMENT FIGURES.

1 PRIME SPONSORS RANKED BY STATE ON BASIS OF [illegible]
80042

ST	NAME	FY79 ENROLLMENT	ST RANK	
IL	CITY OF CHICAGO	73,993	1	
IL	STATE OF ILLINOIS	25,074	2	
IL	COOK COUNTY GOVERNMENT	13,465	3	
IL	ST CLAIR CO CONSORTIUM	4,963	4	
IL	MADISON COUNTY COMSORT	4,455	5	
IL	ROCKFORD CONSORTIUM	3,505	6	
IL	WILL GRUNDY CONSORTIUM	3,194	7	
IL	LAKE COUNTY	2,954	8	
IL	KANE DEKALB CONST	2,811	9	**
IL	SHAWNEE CONSORTIUM	2,594	10	
IL	SANGAMON CO CONSORTIUM	2,248	11	
IL	PEORIA CONSORTIUM	2,074	12	
IL	MACON COUNTY	2,049	13	
IL	CHAMPAIGN CONSORTIUM	1,888	14	
IL	ROCK ISLAND COUNTY	1,665	15	
IL	MCHENRY COUNTY MANPOWER	1,392	16	
IL	DUPAGE COUNTY	1,330	17	
IL	LASALLE COUNTY	1,263	18	
IL	TAZEWELL COUNTY	1,107	19	
IL	MCLEAN COUNTY CETA	1,042	20	
IL	KANE COUNTY	0	NEW FOR FY80	

*BASED ON CUMULATIVE ENROLLMENT REPORTED ON 9/30/79 PSS.'S
** INDICATES CONSORTIUM BROKE-UP IN FY80.

2 PRIME SPONSORS RANKED BY STATE ON BASIS OF 9/30/79 ENROLLMENT*
80042

ST	NAME	FY79 ENROLLMENT	ST RANK
IN	STATE OF INDIANA	22,131	1
IN	CITY OF INDIANAPOLIS	7,554	2
IN	CITY OF GARY	6,176	3
IN	S. W. INDIANA CONSORTIUM	4,551	4
IN	FT WAYNE CONSORTIUM	3,370	5
IN	CITY OF SOUTH BEND	2,482	6
IN	DELAWARE-BLACKFORD CONSOR	2,466	7
IN	LAKE COUNTY	1,770	8
IN	VIGO COUNTY BD OF COMM	1,470	9
IN	MADISON COUNTY	1,454	10
IN	CITY OF HAMMOND	1,410	11
IN	LAPORTE COUNTY	1,103	12
IN	ST. JOSEPH COUNTY	933	13
IN	ELKHART COUNTY	911	14
IN	TIPPECANOE COUNTY	693	15

*BASED ON CUMULATIVE ENROLLMENT REPORTED ON 9/30/79 PSS.'S
** INDICATES CONSORTIUM BROKE-UP IN FY80.

3 PRIME SPONSORS RANKED BY STATE ON BASIS OF 9/30/79 ENROLLMENT♦
80042

ST	NAME	FY79 ENROLLMENT	ST RANK
MI	CITY OF DETROIT	37,925	1
MI	STATE OF MICHIGAN-BOS	25,866	2
MI	OAKLAND COUNTY	10,333	3
MI	LANSING TRI COUNTY	9,863	4
MI	GRAND RAPIDS PLAN COUNCIL	9,263	5
MI	G L S F MANPOWER CONST	7,069	6
MI	COUNTY OF WAYNE	6,822	7
MI	JACKSON MANPOWER CONSOR	5,431	8
MI	MACOMB ACTION PROGRAM	5,261	9
MI	SAGINAW COUNTY	3,921	10
MI	BERRIEN COUNTY	3,764	11
MI	CALHOUN COUNTY	2,973	12
MI	ST CLAIR CO	2,925	13
MI	WASHTENAW CTY COMP EMPLY	2,851	14
MI	MUSKEGON CONSORTIUM	2,516	15
MI	COUNTY OF KALAMAZOO	2,485	16
MI	BAY COUNTY	2,305	17
MI	COUNTY OF MONROE	1,728	18
MI	OTTAWA COUNTY	1,725	19
MI	CITY OF WARREN	1,638	20
MI	CITY OF ANN ARBOR	1,204	21
MI	CITY OF DEARBORN	991	22
MI	CITY OF LIVONIA	596	23
MI	NORTHEAST MICH CSRT	0	New for FY80

♦BASED ON CUMULATIVE ENROLLMENT REPORTED ON 9/30/79 PSS.'S
♦♦ INDICATES CONSORTIUM BROKE-UP IN FY80.

4 PRIME SPONSORS RANKED BY STATE ON BASIS OF 9/30/79 ENROLLMENT♦
80042

ST	NAME	FY79 ENROLLMENT	ST RANK
MN	STATE OF MINNESOTA	18,200	1
MN	MINNESOTA RURAL CEP	9,552	2
MN	CITY OF MINNEAPOLIS	9,101	3
MN	CITY OF SAINT PAUL	7,930	4
MN	REGION III CONSORTIUM	3,958	5
MN	HENNEPIN COUNTY	3,268	6
MN	QUAD COUNTIES CONSORTIUM	2,851	7
MN	DULUTH CITY	1,920	8
MN	RAMSEY COUNTY	1,414	9
MN	DAKOTA COUNTY	1,383	10

♦BASED ON CUMULATIVE ENROLLMENT REPORTED ON 9/30/79 PSS.'S
♦♦ INDICATES CONSORTIUM BROKE-UP IN FY80.

5 PRIME SPONSORS RANKED BY STATE ON BASIS OF 9/30/79 ENROLLMENT♦
80042

ST	NAME	FY79 ENROLLMENT	ST RANK	
OH	CLEVELAND MANPR CONSORTIM	38,534	1	♦♦
OH	STATE OF OHIO OFFICE OF	31,552	2	
OH	TOLEDO MANPOWR CONSORTIUM	14,284	3	
OH	COLUMBUS FRANKLIN CONS	11,489	4	
OH	AKRON-SUMMIT-MEDINA	8,231	5	
OH	NORTHEASTERN OHIO CONS	7,835	6	♦♦
OH	CITY OF DAYTON	5,855	7	
OH	CANTON-STARK-WAYNE CNST.	5,098	8	
OH	CITY OF CINCINNATI	4,764	9	
OH	BUTLER COUNTY	3,239	10	
OH	MONTGOMERY-PREBLE CONSORT	3,066	11	
OH	HAMILTON COUNTY	2,729	12	
OH	CLERMONT-WARREN	2,463	13	
OH	LORAIN COUNTY	2,324	14	
OH	CLK CO BD OF COMM	2,317	15	
OH	CENTRAL OHIO CONSORTIUM	2,267	16	
OH	RICHLAND MORROW CONSORTUM	2,223	17	
OH	SCIOTO TRAINING PROGRAM	1,777	18	
OH	PORTAGE COUNTY	1,462	19	
OH	LAKE COUNTY	1,344	20	
OH	ALLEN COUNTY COMMISSIONRS	1,214	21	
OH	GREENE COUNTY	1,193	22	
OH	ASHTABULA COUNTY TNS	794	23	
OH	CITY OF CLEVELAND	0	NEW FOR FY80	
OH	CUYAHOGA-PARMA-GEAVGA CST	0	NEW FOR FY80	
OH	CITY OF YOUNGSTOWN	0	NEW FOR FY80	
OH	MAHONING COUNTY	0	NEW FOR FY80	
OH	TRUMBULL COUNTY	0	NEW FOR FY80	
OH	COLUMBIANA COUNTY	0	NEW FOR FY80	

♦BASED ON CUMULATIVE ENROLLMENT REPORTED ON 9/30/79 PSS.'S
♦♦ INDICATES CONSORTIUM BROKE-UP IN FY80.

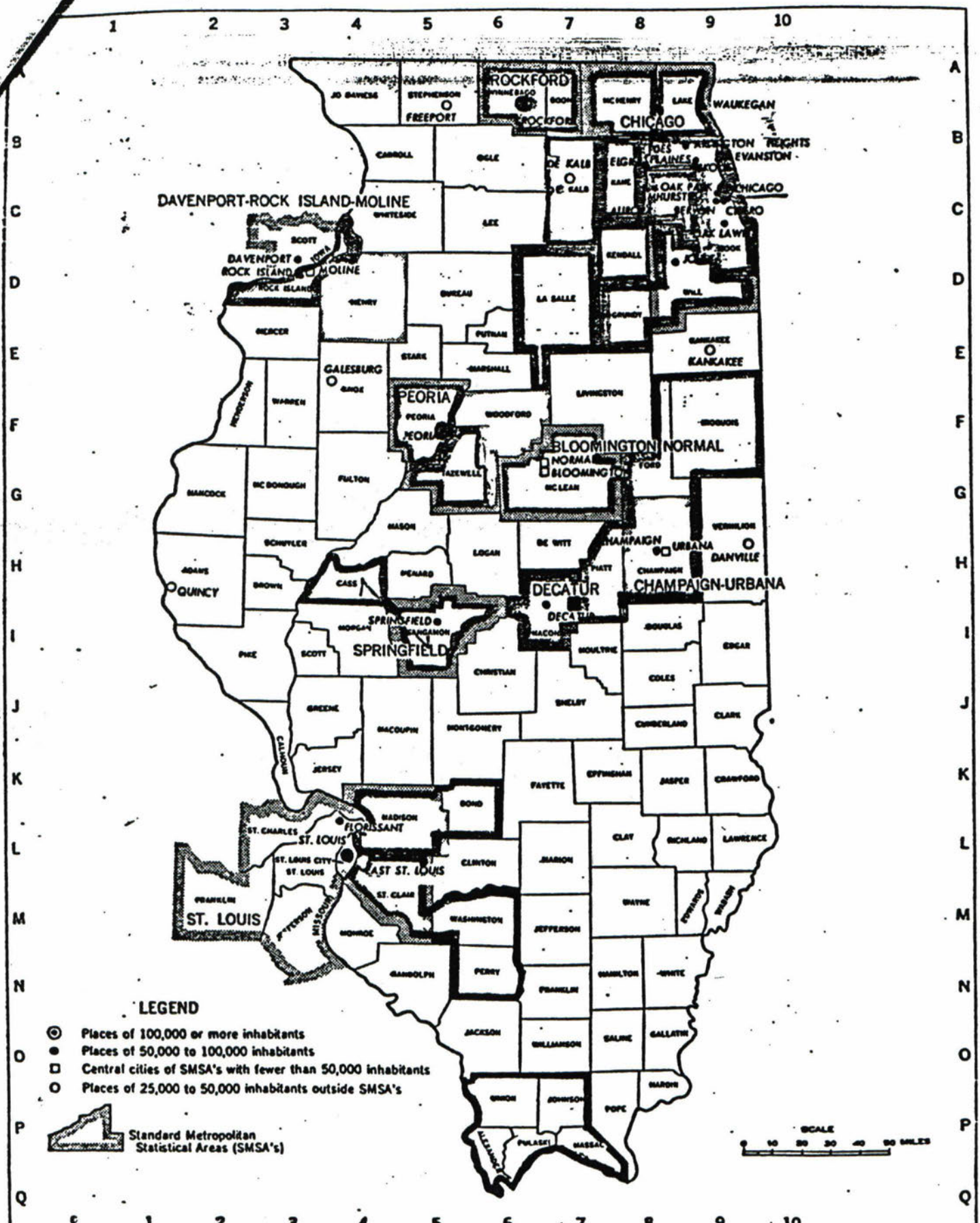
6 PRIME SPONSORS RANKED BY STATE ON BASIS OF 9/30/79 ENROLLMENT♦
80042

ST	NAME	FY79 ENROLLMENT	ST RANK
WI	STATE OF WISCONSIN	22,247	1
WI	MILWAUKEE CO	21,513	2
WI	NORTHWEST WISCONSIN CEP	5,827	3
WI	TRICO CETAC CONSORTIUM	5,350	4
WI	WINNE-FOND CETA CNST	3,669	5
WI	MADISON-DANE CONSORTIUM	3,446	6
WI	WOW CETA CONSORTIUM	2,591	7
WI	COUNTY OF ROCK	2,076	8
WI	MARATHON COUNTY	1,631	9
WI	OUTAGAMIE COUNTY	1,179	10

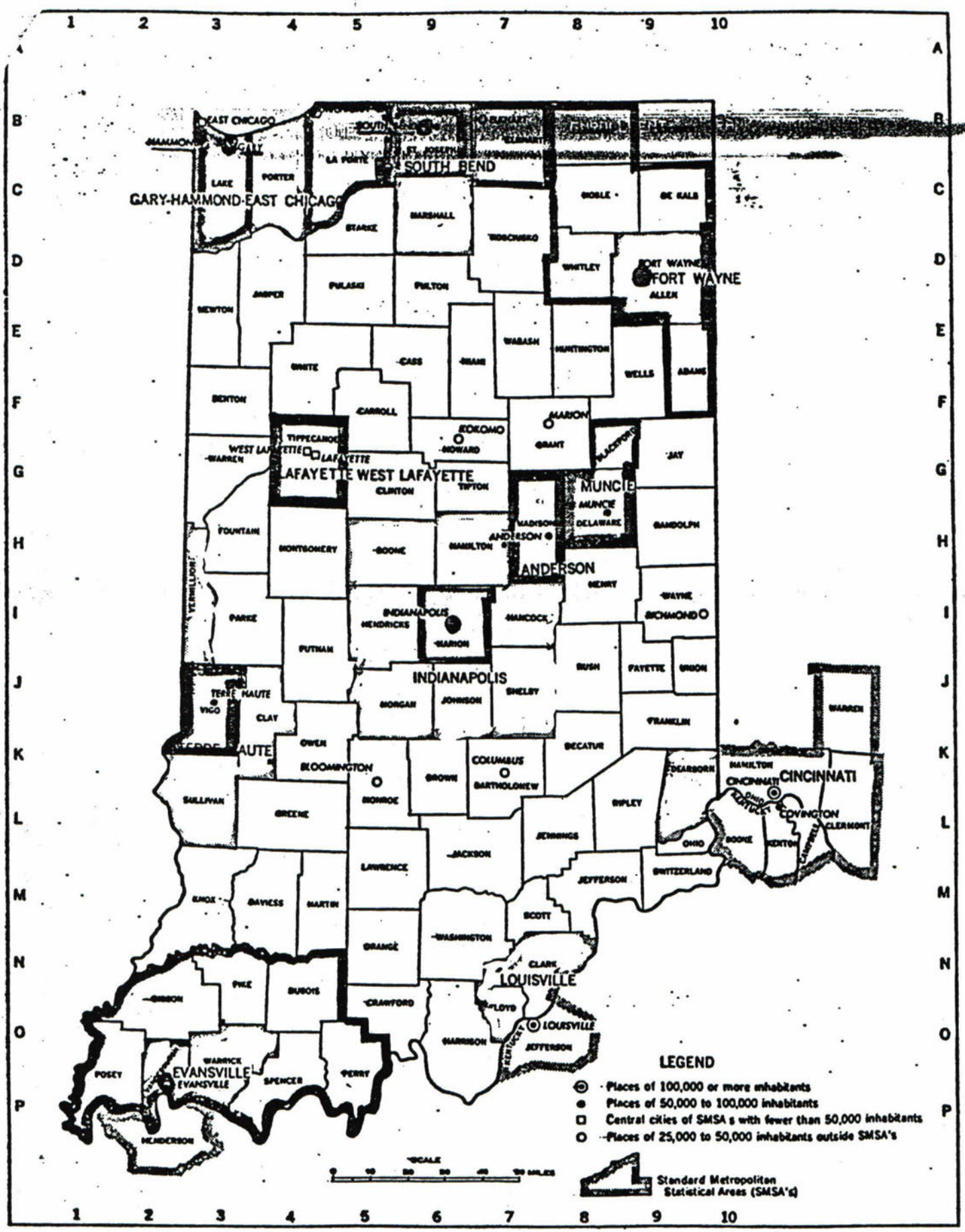
♦BASED ON CUMULATIVE ENROLLMENT REPORTED ON 9/30/79 PSS.'S
♦♦ INDICATES CONSORTIUM BROKE-UP IN FY80.

"20 1. PRIME SPONSORS

Standard Metropolitan Statistical Areas, and Selected Places

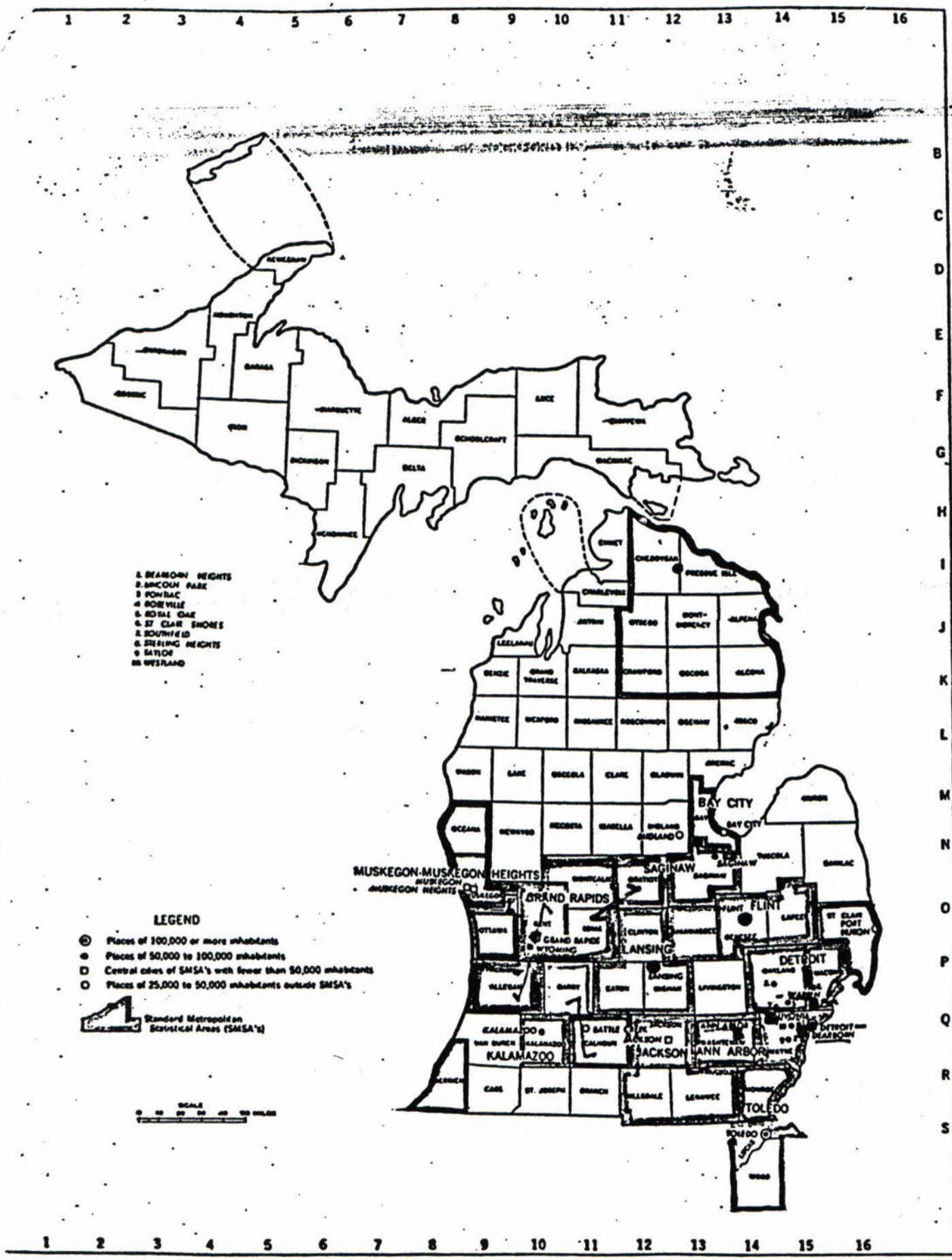


Standard Metropolitan Statistical Areas, and Selected Places



A00-5

Standard Metropolitan Statistical Areas, and Selected Places

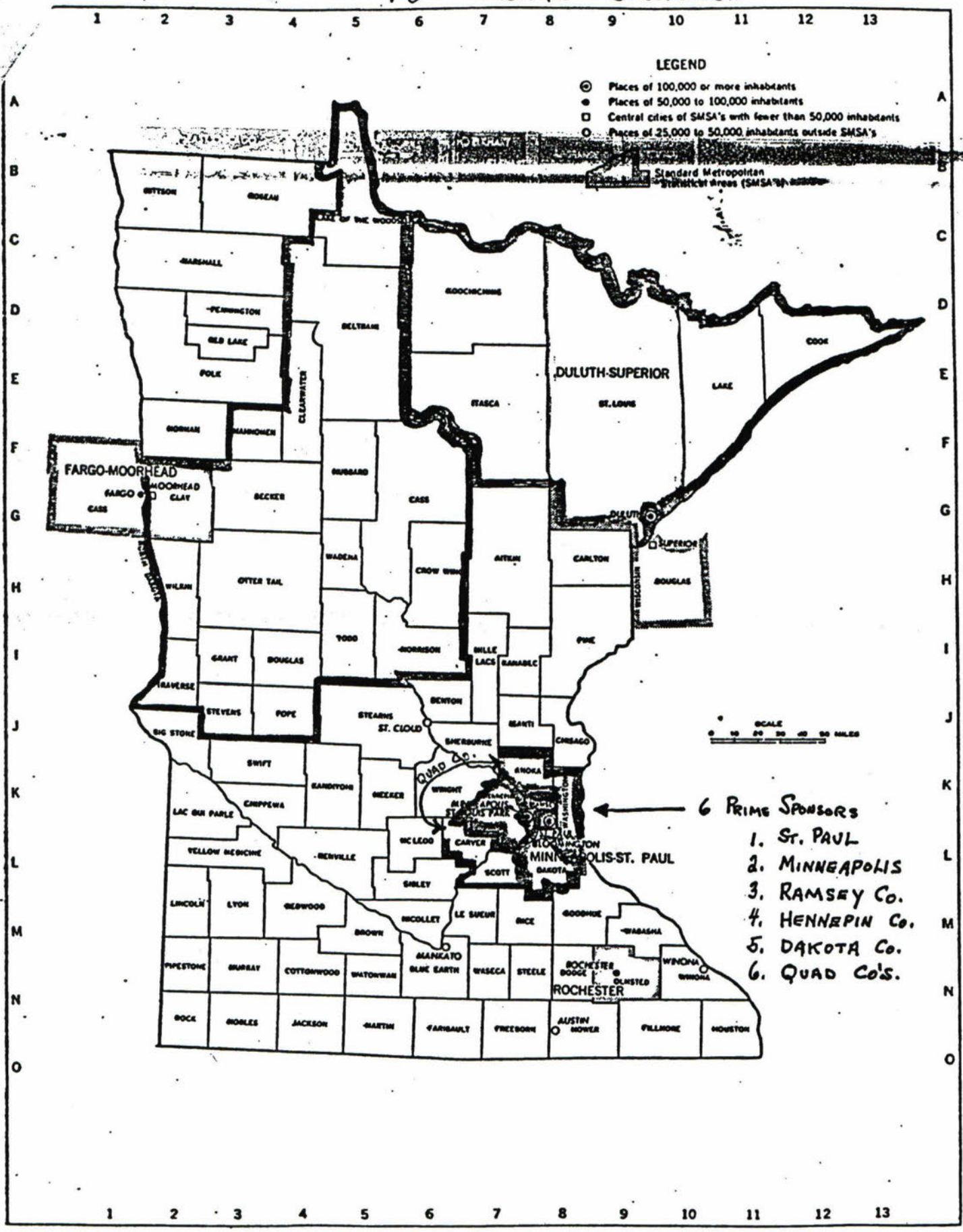


400-2

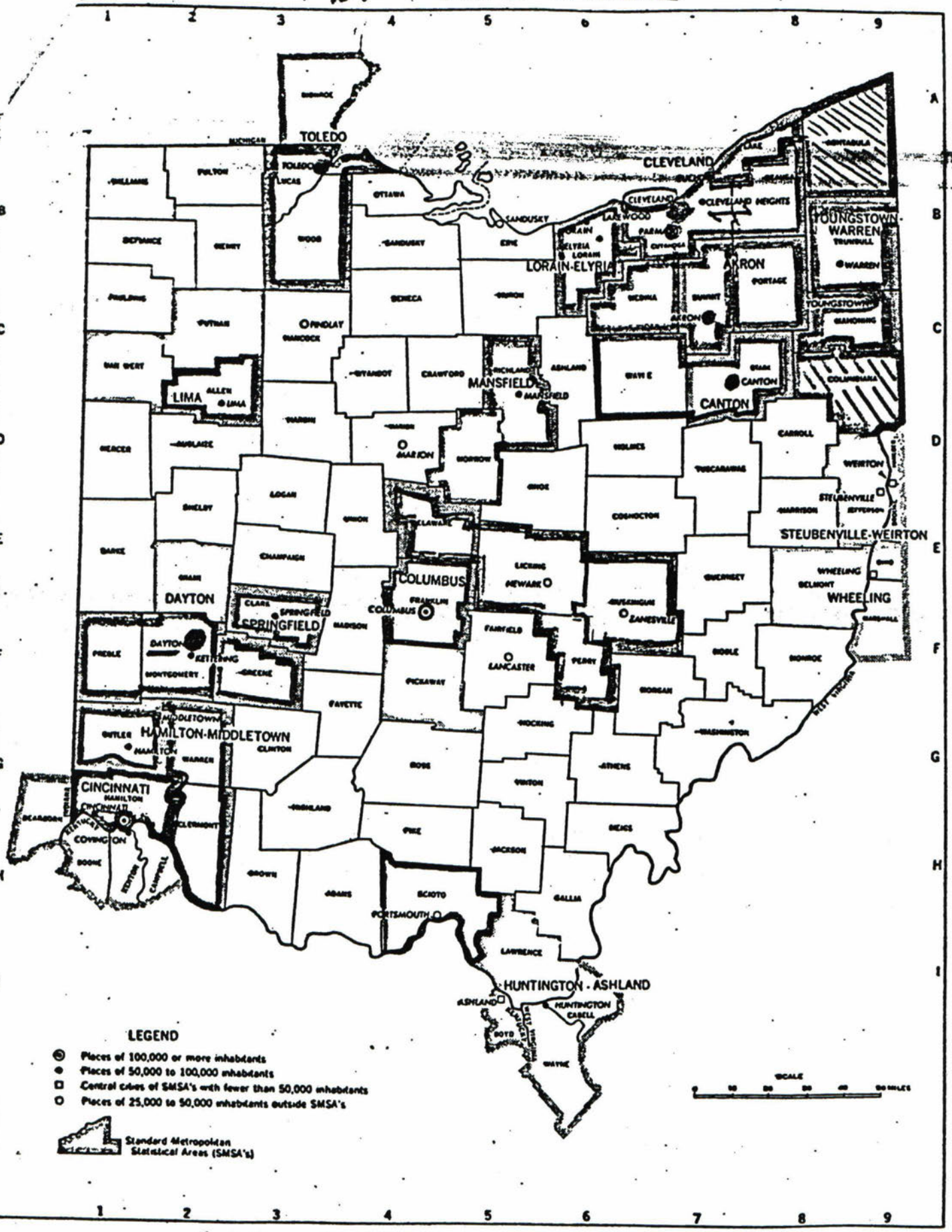
Standard Metropolitan Statistical Areas, and Selected Pla[illegible]

ESOTA

10" PRIME SPONSORS



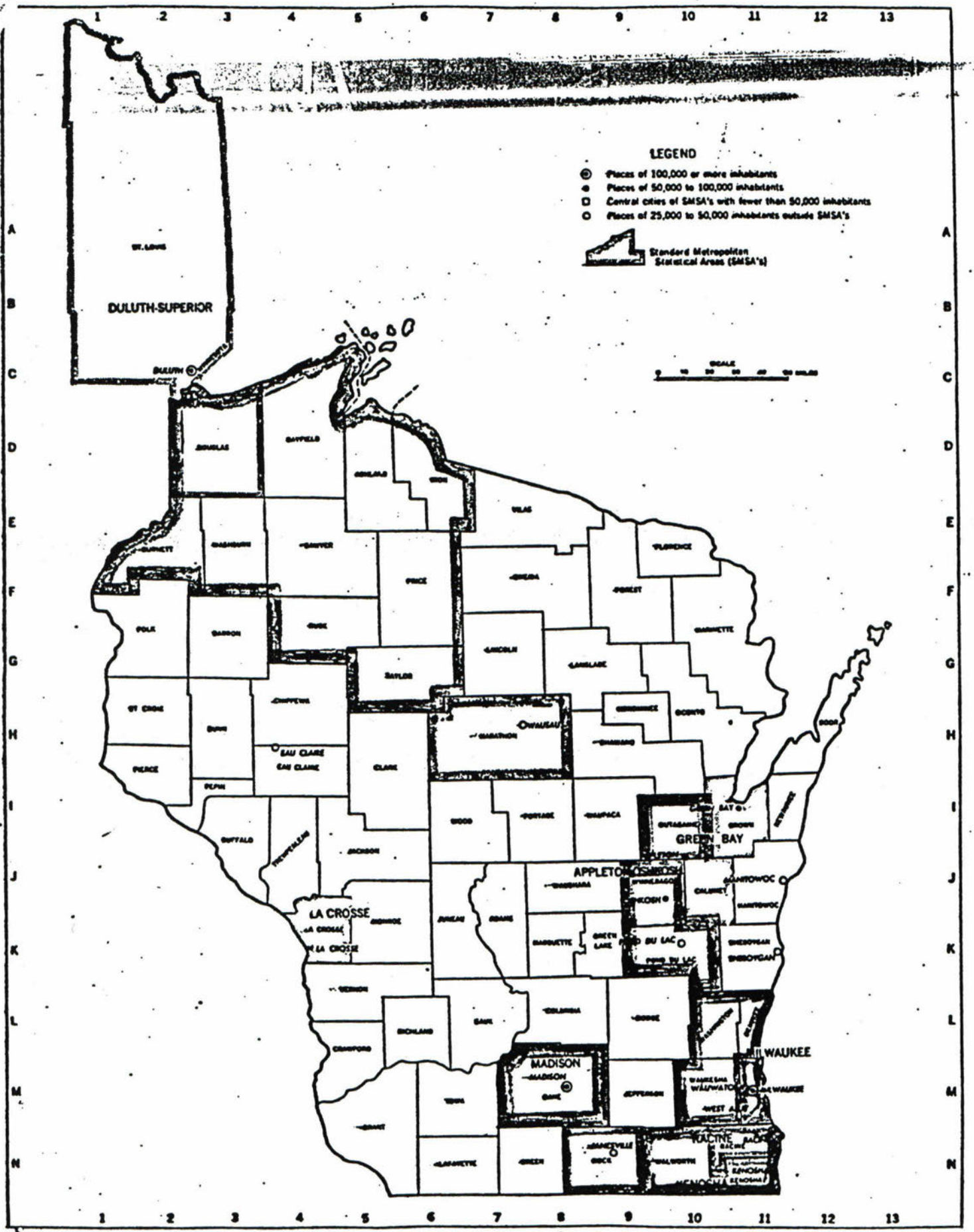
A00-4


TOLEDO
CLEVELAND
YOUNGSTOWN-WARREN
LORAIN-ELYRIA
AKRON
CANTON
MANSFIELD
LIMA
STEUBENVILLE-WEIRTON
COLUMBUS
DAYTON
SPRINGFIELD
WHEELING
HAMILTON-MIDDLETOWN
CINCINNATI
HUNTINGTON-ASHLAND
LEGEND
Places of 100,000 or more inhabitants
Places of 50,000 to 100,000 inhabitants
Central cities of SMSA's with fewer than 50,000 inhabitants
Places of 25,000 to 50,000 inhabitants outside SMSA's
Standard Metropolitan Statistical Areas (SMSA's)

A00-1

10" PRIME SENSORS

...ies, Standard Metropolitan Statistical Areas, and Selected Places



A00-IL

REQUIREMENT CONTROL SHEET

DISTRICT Chgo

DATE 3-7-80

Agency DOL/ETA Regional Office

Description of Requirement

( ) Service (non-pro)

(X) Service (professional) An analysis of present MLS of CETA prime Sponsors

( ) Manufacturing

( ) Construction

( ) Concession

Location of Work Region V

Estimated Dollar Value $300,000

Suggested Contractor James H. Lowry & Associates

DATE REQ LTR OUT 3-7-80

8(a) Commitment This Year: 500,000

8(a) Sales This Year to date:: FIGURES NOT AVAILBE

Non 8(a) Sales to Date: 629,000 10/31/79

COMMENTS

Requirement matches B/P of firm

Approved for Negotiation:

BDS: Mary Peele DATE: 3-10-80

MSB/COD: [signature] DATE: 3/11/80

IMPACT STATEMENT

To: Memorandum for File [redacted]

Subject: Determination that potential 8(a) contract requirement is suitable for acceptance by SBA pursuant to Agency policy.

1. Analyses of MIS/CETA PS (item or service) with an estimated total value of $ 300,000 has been offered by DOL/ETA (Name of Agency)

Regional Office (address) (State) (Zip) to SBA in support of the 8(a) Program.

2. It is hereby determined that the proposed procurement:

   a. Is not an excessive amount whether considered individually or collectively, in relation to the total purchases of like or similar products or services provided by the Federal Government.

   b. Has not been offered previously by public solicitation under a small business set-aside.

   c. Could not reasonably be expected to be awarded to a disadvantaged firm under conventional procurement procedures.

   d. Will not cause any other small business firm to suffer major hardship if award is made to SBA pursuant to Section 8(a) of the Small Business Act.

3. Type of Requirement:

   ☐ A. Is a construction contract and is non-recurring.

   ☒ B. Is a new requirement that has not been previously procured.

   ☐ C. Is a renewal of an existing 8(a) procurement.

   ☐ D. Is a National Buy item from SBA Central Office.

4. Facts and documentation in support of the foregoing determination are as follows:

Requirement matches BIP of firm. Firm has been previously involved in this type of project.

BDS Mary Peele DATE: 3-10-80

MSB/COD [signature] DATE: 3/11/80

JAMES H. LOWRY & ASSOCIATES
MANAGEMENT CONSULTANTS

444 NORTH MICHIGAN AVENUE
CHICAGO, ILLINOIS 60611
(312) 329-1290

2550 M STREET, N.W.
WASHINGTON, D.C. 20037
(202) 466-6840

February 27, 1980

Mr. C. Thomson Ross
Regional Administrator
U.S. Department of Labor
Employment and Training Administration
230 South Dearborn Street
Chicago, Illinois 60604

Dear Mr. Ross:

James H. Lowry & Associates submits the following information outlining its capabilities to assist your office execute its Management Information System (MIS) support activities for 1980. James H. Lowry & Associates feels uniquely qualified to assist your office execute this responsibility due to our previous experience in developing and assessing management information systems and our extensive knowledge of the CETA delivery system from the local to national level.

James H. Lowry & Associates is a team of professional management consultants who are experts in organizational planning, management information systems development, and systems analysis. James H. Lowry & Associates was organized in response to the need for small management consulting firms, especially those owned and operated by members of minority groups, that have expertise in these critically important fields.

James H. Lowry & Associates utilizes its experinece in progressive management consulting and an ever-expanding knowledge base of modern consulting techniques to resolve problems of major importance to its clients. The firm has assisted private firms, government agencies and foundations in:

- Developing management information systems to facilitate correct and timely decisions by executive officers;

- Implementing new Federal government policy in existing programs [redacted] and urban renewal;

- Measuring the effectiveness of citizen/local government interaction programs;

- Disseminating information from government agencies to private citizens; and

- Designing programs to provide human services for selected population groups.

The firm is composed of full-time professional consultants who are experienced and creative problem-solvers. These individuals are from diverse economic and racial backgrounds but have arrived at a position in their careers where they can work with anyone on a multiplicity of management issues. Each professional staff member holds an advanced degree in Business Management, Law, Public Administration, or Human Service Delivery. In addition, James H. Lowry & Associates draws upon the expertise of resource people who consult on special assignments. Any professional assigned to a firm engagement must have previously exhibited economic analysis, strategic planning, general management and interpersonal skills.

The following clients are representative of those to whom James H. Lowry & Associates has consulted:

1. Mayor's Office of Employment and Training, Chicago, Illinois

   Contact: Samuel C. Bernstein
   Assistant to the Mayor for Employment and Training
   Suite 800
   180 North LaSalle Street
   Chicago, Illinois 60602

   (312) 744-7700

   Contract price: $300,000

   Staff: (1979) 40

   Duration: (1979) 3 months

The Chicago Mayor's Office of Employment and Training (MET) is the Chicago prime sponsor for the management of the Department of Labor's Comprehensive Employment Training Act (CETA). For the past three summers, James H. Lowry & Associates has been chosen on a competitive bid basis to provide MET's Summer Youth Employment Program with Labor Market Orientation (LMO). LMO has been defined by CETA regulations as:

- Vocational exposure counseling;
- Resume preparation; and
- Job interview preparation.

During the summer of 1977, our firm designed, organized and managed a series of workshops to provide 26,000 youth with LMO. In the summer of 1978, we serviced 45,000 youth and in the summer of 1979, we serviced 35,000 youth. We achieved our program objectives during these engagements through multi-media workshops focusing on:

- The need to work;
- Motivation to achieve work-related goals;
- Labor market trends;
- Resume preparation guidelines;
- Job search methodology; and
- Job interviewing techniques.

2. Department of Labor, Office of Youth Programs, Washington, D.C.

Contact: Robert Taggart
Administrator
Office of Youth Programs
Department of Labor
601 D Street, N.W.
Washington, D.C. 20213

(202) 376-2646

Contract price $300,000

Staff: 11

Duration: 8 months

The Department of Labor - Office of Youth Programs is organzing a Knowledge Development Plan for Youth Initiatives that will provide a framework for structuring action programs, combining them with research and assessment activities, and synthesizing these lessons to help formulate youth unemployment policy

at the Federal and local levels. Four non-profit corporations were organized to assist DOL-OYP as intermediary organizations to help design, implement, and follow-through on discretionary knowledge development activities and manpower services. James H. Lowry & Associates has been chosen by DOL-OYP on a sole-source basis to conduct an evaluation of the effectiveness of the intermediary non-profit corporate knowledge development effort as compared to other delivery mechanisms in terms of cost and productivity. Over an 18 month period, working in close connection with DOL-OYP and the non-profit organizations, we will determine:

- Cost effectiveness of the non-profit corporation approach;
- Congruence of corporate missions with DOL-OYP's initial concept;
- Corporate effectiveness in designing, developing and implementing programs and in testing those programs;
- Preferability of utilizing existing intermediaries rather than ones specifically for projects; and
- The role of DOL-OYP in the management of the knowledge development effort.

3. Department of Planning, City and Community Development, Chicago, Illinois

Contact: David Larson
Department of Planning, City and Community Development
180 North LaSalle Street
Chicago, Illinois 60602

Contract: $60,000

Staff: 4

Duration: 8 months

Since 1975, major urban areas have seen separate programs such as Model Cities and Urban Renewal combined into one program known as the Community Development Block Grant (CDBG). The Department of Housing and Urban Development administers the national CDBG program, and Chicago's entitlement has always been managed by its Department of Planning, City and Community Development (DPCCD).

REGION V MIS TECHNICAL ASSISTANCE PROJECT

PERSON DAYS BY PROPOSED TEAM LEADER AND STAFF POSITIONS

	TEAM LEADERS						PROJECT STAFF							PHASE I	PHASE II
FIRM	A	B	C	D	E	F	1	2	3	4	5	ADM. & INSTR.	TRAIN-ING	TOTAL PERSON DAYS	
JAMES H. LOWRY & ASSOCIATES, INC.					40	40				62	62	10	40	254	300
THE FARGO COMPANY, INC. SUBCONTRACTOR	30	26	25	20			39	28	60			10	70	308	260
TOTAL	181						251					20	110	562	560

APPENDIX H

REGION V TECHNICAL ASSISTANCE PROJECT

[redacted]

PHASE I - TRAINING AND ON-SITE VISITS

PROFESSIONAL FEES: $166,985

Team Leader #1	(JHLA)	(60)(400) = 24,000
Team Leader #2	(JHLA)	(50)(355) = 17,750
Team Leader #3	(FARGO)	(50)(340) = 17,000
Team Leader #4	(FARGO)	(36)(310) = 11,160
Team Leader #5	(FARGO)	(35)(290) = 10,150
Team Leader #6	(FARGO)	(30)(200) = 8,400
Team Staff #1	(JHLA)	(72)(275) = 19,800
Team Staff #2	(JHLA)	(72)(250) = 18,000
Team Staff #3	(FARGO)	(49)(225) = 11,025
Team Staff #4	(FARGO)	(38)(275) = 10,450
Team Staff #5	(FARGO)	(70)(287) = 19,250

TRANSPORTATION $32,100

Travel (150 per prime sponsor)(106) = 15,900
Per Diem (324 on-site days)(50) = 16,200

OTHER COSTS $12,500

Reproduction - 2,000
Communication - 3,000
Support Staff (150)(50 days) - 7,500

TOTAL $211,185

REGION V TECHNICAL ASSISTANCE PROJECT

ESTIMATED BUDGET

PHASE II - ON-SITE TECHNICAL ASSISTANCE

PROFESSIONAL FEES:	$166,985
TRANSPORTATION	$ 38,000

Travel (150 per trip)(4 trips)(30 prime sponsors) = 18,000
Per Diem (400) days on-site (50) = 20,000

We assume that two person teams will visit 30 prime sponsors sites at least twice: once for the feasibility study and once for the implementation process.

OTHER COSTS	$ 10,520

Reproduction - 1,500
Communication - 1,500
Support Staff - ($150)(50 days) - 7,500

TOTAL	$215,485

RICHARD E. TISDALE

PRIMARY FUNCTIONAL AREAS

Systems Design & Implementation
Project Manager
Evaluation of Return on Investments
Hardware Evaluation
User Interface
Work-flow Analysis
Management Controls
Personnel/Staffing
Financial Systems
General Ledger
Accounts Payable
Payroll

POSITIONS HELD

Anacomp, Inc.
Systems Analyst

Cogna Systems Corporation
Senior Computer Consultant

MGIC, Milwaukee, Wisconsin
Senior Systems Analyst, System & Procedures

Prudential Property & Casualty Insurance Co.
Division Manager - Data Processing

SUMMARY OF RELEVANT EXPERIENCE

Mr. Tisdale has fifteen years experience in data processing in a variety of areas. He has evaluated computer needs for the client, and designed interactive (CRT) computer systems for many complex systems. Mr. Tisdale analyzes the work flow of many different processing units and establishes management controls necessary to insure efficient processing.

EXPERIENCE DETAIL

Significant accomplishments in recent years include:

Mr. Tisdale has had management responsibility for 55 people in the data processing area. He had management responsibility for an annual budget of 3/4 million dollars. He is very familiar with financial systems, especially general ledger and accounts payable systems. He designed a payroll system for a large real estate holding company.

EDUCATION

Mr. Tisdale received his B.B.S. degree from Northwestern University with a major in Accounting.

ELIZABETH A. SCHMIDT

PRIMARY FUNCTIONAL AREAS

Documentation Analyst
Systems Analysis and Design
Research Design
Statistical Analysis
Revenue Systems
Medicaid Systems
Medicare Systems
Utilization Review Systems
Programming
Project Management

POSITIONS HELD

Anacomp, Inc.
Project Manager
Senior Systems Analyst

Blue Cross/Blue Shield of Indiana
Senior Analyst/Programmer

Indiana University School of Education
Analyst/Programmer

SUMMARY OF RELEVANT EXPERIENCE

Ms. Schmidt has over 6 years in data processing. She has designed, developed and maintained large scale data processing systems. Her most recent experience was in the design of a revenue system for the State of Illinois. She has also participated in the development and functional design of a combined Medicare/Medicaid claims processing system and in the design and implementation of a system to control and report student, faculty, and placement data for administrative use.

EXPERIENCE DETAIL

Significant accomplishments include:

Project manager and analyst in the design of a business tax system for the State of Illionis Department of Revenue. The scope of the project included revised workflow, forms design, and integration of separate manual and automated processing system.

Lead analyst in the design of a combined Medicare/Medicaid claims processing system. Duties included: system coordination, resolution of design problems, development of batch applications.

Senior Analyst/Programmer in Indiana MMIS. Duties included: design of on-line elibility update, general maintenance.

Analyst on a systems study team to design a data processing system for Medicare A, Medicare B, and Medicaid claims. The study included: general design, cost reduction investigation, and formalization of a report.

Programmer on a Concurrent and Retrospective Review system designed to gather discharge data from hospitals for anticipated reporting to PSRO's.

Analyst/Programmer for the design and programming of a MARK IV information system to facilitate the handling of student records, faculty data, and placement statistics.

EDUCATION

Ms. Schmidt received her B.A. degree at Catholic University of America, Washington, D.C.; her Masters and Doctoral degrees from Indiana University majoring in Administration, Research and Statistics. She has attended courses in hardware, software and Assembler programming language.

HARDWARE

IBM 360
IBM 370/158
IBM 370/168
CDC 6600

SOFTWARE

COBOL
ALC
FORTRAN
JCL
MARK IV
TSO
SPSS
EASYTRIEVE

ARTHUR MORLEY

PRIMARY FUNCTIONAL AREAS

Government Administration
Motor Vehicle System
Revenue Systems
Professional Management
Financial Systems
Personnel Payroll Systems

POSITIONS HELD

Anacomp, Inc.
Marketing Representative

Commonwealth of Massachusetts
Bureau of Systems Development
Assistant Director, Implementation

Executive Office for Administration and Finance
Data Processing Administrator

Administration and Finance Computer Services Center
Director

Legislative Post Audit and Oversight Bureau
Project Director

Department of Corporations and Taxation
Bureau of Analysis and Processing
Assistant Chief

Department of Corporations and Taxation
Computer Systems Analyst

SUMMARY OF RELEVANT EXPERIENCE

Mr. Morley has over twenty years of Data Processing experience. He has been actively involved in the management and operations of State Government Data Centers. He has concentrated on all aspects of Data Processing from being a Programmer/Analyst early in his career to being an Assistant Director, Implementation. His areas of application expertise include Data Processing planning, personnel payroll systems, accounting systems, and revenue systems.

EXPERIENCE DETAIL

Recent significant accomplishments include:

As an Assistant Director for the Executive Office for Administration and Finance, Mr. Morley administered rules and regulations for the procurement of data processing related equipment, systems and services throughout the Commonwealth.

Assisted agencies in the definition of information processing needs. Assisted the Secretary of Administration in the establishment of data processing policy and administered established policy.

Mr. Morley established and administered rules and regulations for the procurement of data processing related equipment, systems and services throughout the Commonwealth as a Data Prep Administrator. Conducted all data processing related procurements. Assisted in the development of the organizational framework that established a basic control mechanism for the creation of management, financial and data processing systems policy.

While a Director with the Administration and Finance Computer Service Center, Mr. Morley directed activities of 94 persons engaged in systems and programming, technical support, operations and administrative functions. Annual budget was approximately $1.85 million. Equipment included 650 K Univac 70/60, 8 tape drives, 10 8440 disk spindles and 2 Communications controllers (24 lines). Major accomplishments include a total reorganization of the staff, increasing Center productivity by 13 percent, reducing expenditures by 10 percent and reducing budget requests by 16 percent.

As a Project Director at the Legislative Post Audit and Oversight Bureau, Mr. Morley organized, planned and directed the activities of project teams consisting of accounting, data processing, legal and management professionals. Provided data processing expertise and designed and implemented two informtation systems.

Mr. Morley Managed 325 employees in his position of Assistant Chief at the Bureau of Analysis and Processing and was responsible for: 1) the receipt, preparation for computer, storage and retrieval of all original tax documents; 2) receipt and control of all tax funds (approximately 1.5 billion); 3) evaluation and recommendation of hardware, software, systems development, personnel procedures standard development, and quality control. In addition, Mr. Morley managed accounting, secretarial customer and mail services; reduced overtime expenses by 75 percent and cut personnel costs by 20 percent; recommended new equipment which improved customer servicing and reduced costs by $100,000 per year.

At the Bureau of Analysis and Processing (Department of Corporations and Taxation) Mr. Morley planned, designed and implemented new computer processing and information systems. He also programmed an IBM/360/30, 40, and 1401, using BAL, COBOL and Autocoder. Designed and implemetned a new income tax system which resulted in the collection of an additional $750,000 in the first year and eliminated 75 functional positions.

EDUCATION

Mr. Morley received his B.S. Degree at the Boston University in 1962. He attended the Suffolk University Law School from 1965 to 1968.

DAVID W. MARTIKKE

PRIMARY FUNCTIONAL AREAS

Assistant Secretary for Administration and Finance

Business Tax Data Base
Financial Systems
Management Information Systems
Budgetary Control Systems
Personnel Systems
Civil Service Systems
Social Services System

POSITIONS HELD

Anacomp, Inc.
Principal Consultant
Account Representative

Commonwealth of Massachusetts
Director-Administration and Finance Computer Services Center

Price Waterhouse & Company
Consultant - MAS Staff

Itek Corporation
Analyst/Programmer

SUMMARY OF RELEVANT EXPERIENCE

Mr. Martikke has over fourteen years experience, of which eleven years was spent working with state and local governments, both as a management consultant and as the director of a state computer services center. In addition, his experience also includes analyst/ programmer responsibilities for an electronics firm. He has had direct responsibility for the design and implementation of such diverse systems as a fixed asset accounting and reporting system, a centralized on-line personnel system, a budgeting control system, and a business tax system.

EXPERIENCE DETAIL

Mr. Martikke has dealt primarily in the design and implementation of computer oriented management and financial information systems, most recently in the areas of business taxes, a social services information and referral, and financial accounting for state and local government. In recent years typical assignments have included:

Design of an integrated business tax system for state government including taxpayer registration, returns processing, and delinquency processing and reporting.

Procurement of a computer system and teleprocessing network, through competitive bidding.

On-line information and referral system to assist state management in the planning and dissemination of social services. A labor relations system to assist state management in costing out union demands during labor negotiations.

Management of a government data center including, but not limited to, computer operations, project control and total fiscal responsibility.

Civil services system to process applications, schedule examinations, score examinations, prepare certification lists and schedule appointment interviews.

On-line centralized personnel system to control positions and process appointments, transfer and terminations.

The design and implementation, including the development of a conversion plan, for a state budgetary control and appropriation accounting system.

Automated fixed asset accounting and reporting system for an electronics firm, including processing of acquisition, disposals and calculating depreciation charges to operating divisions.

EDUCATION

Mr. Martikke attended Northeastern University where he received a degree in business administration majoring in accounting. He has attended numerous conferences and seminars on financial information systems.

HARDWARE

IBM 1401
IBM 360 Systems
IBM 370 Systems
Honeywell 6000
NCR 200, 201, 8575M
RCA SPECTRA 70

SOFTWARE

OS/VS1
DOS
TDOS
VRX

LARRY J. SMITH

PRIMARY FUNCTIONAL AREAS

Facility Management
Data Encoding
Input Forms Design
Computer Output Microfiche
Source Document Microfilming
Department of Revenue Systems Design
Bureau of Motor Vehicle Systems Design

POSITIONS HELD

Anacomp, Inc.
Consultant
Regional Vice President
Director Data Base Development
Facility Manager - Revenue
Facility Manager - Bureau of Motor Vehicles
Project Manager

Electronic Data Preparation Corporation
Systems and Programming Manager
Senior Programmer
Programmer/Analyst

SUMMARY OF RELEVANT EXPERIENCE

Mr. Smith has over twelve years in working with state government data processing systems. His area of technical specialization included data entry and the document flow and design of documents to be data encoded, building and maintaining information storage and retrieval systems and the day to day operation of the total data processing function. Mr. Smith's most recent experience involves preliminary design of a business tax system providing an integrated data base for a state department of revenue including an operational accounts receivable system for delinquent taxes or late taxes involving penalty and interest. In facility management, Mr. Smith has been in charge of the total data processing function and has been responsible for the design and implementation of large state government processing systems.

EXPERIENCE DETAIL

Significant accomplishments in recent years include:

Facility Manager of a Bureau of Motor Vehicles facility when a new accounting and reporting system was designed and implemented to handle the following: Cash flow of dollars from 187 licenses branches to the state and redistribution of those collected fees to the counties source document microfilming, sequential number and data encoding on a five day turnaround of 4.7 million motor vehicle registrations, and maintaining a complete inventory of all licenses placed from the time they are printed until they are either sold and the correct fee is collected or the plate is returned for destruction.

Completed a data base study for a state department of revenue to determine the feasibility of [redacted] approach to existing data files including integrated registration of taxpayers, integrated auditing of business's, accounts receivable, and complete outline inquiry into the data base.

Worked as project manager on a state department of revenue as project manager for the preliminary design of a withholding tax processing system interfaced with a sales tax system, corporate tax system forming business data base system.

Headed a methods and procedures/user liaison group responsible for manual procedures required to operate a state revenue department business tax data base.

Facility Manager of a state revenue processing facility data encoding approximately 6,000,000 tax documents per year to maintain over 3,000,000 taxpayer master files. On line inquiry by numeric and alpha inquiry into 3,000,000 taxpayer account was provided.

Systems and Programming manager responsible for the design and implementation of an accounts receivable system handling multiple tax types with notice requests generated by computer with automatic calculation of penalty and interest and scheduled cycling from one notice to the next notice.

Programmer Analyst responsible for systems design and operation of an individual income tax system that handles over 2,000,000 tax returns each year processing refunds, remits and computer billing for additional tax, interest and/or penalty due the state.

Programmer working with a team that completely redesigned 13 major tax processing systems including retail sales tax, corporate tax, withholding tax and individual income tax.

EDUCATION

Mr. Smith received a B.S. from Indiana Central University with a major in Business Administration. He has attended industry seminars on microfilming and supervision and NCR technical courses.

HARDWARE

Univac 90/80's
IBM 360/45, DOS/TOS; 360/65, DOS/TOS
NCR C-200 BI operating system; C-201 B1 and B3 operating system, 735 magnetic tape encoders and support equipment including printers and poolers.

REGINALD C. BURTON

Reginald C. Burton is an Associate with James H. Lowry & Associates, specializing in business growth management, development financial management, and accounting procedures. Mr. Burton has gained his expertise in these fields while serving in the following positions:

President, Chicago Community Ventures, Inc., Chicago, Illinois -- where he performed all the chief executive officer functions for this venture capital company. Mr. Burton established corporate policy, developed liaison with investors and lending institutions, and supervised cash management and the hiring and training of staff members.

Global Account Officer, Bank of America, Chicago, Illinois -- where he developed over $10 million in new borrowing relationships for the bank. Mr. Burton worked with both small and Fortune 1000 companies in structuring commercial loans, letters of credit and acceptance financing, lease financing, cash management, and foreign exchange.

Account Officer, First National Bank of Chicago, Chicago, Illinois -- where he worked in the commercial lending division, serving retailers and manufacturers. In addition to his normal banking duties, Mr. Burton was assigned to provide technical assistance to companies who were having difficulties repaying their loans. His efforts led to the repayment of several millions of dollars of questionable loans.

Certified Public Accountant, Arthur Andersen & Company, Chicago, Illinois -- where he served with the commercial audit staff on audits of manufacturing companies.

In addition to his work above, Mr. Burton has taught cost accounting in the DePaul University Business School's evening program.

Mr. Burton received his B.S. in Business Administration from Roosevelt University, where he majored in Finance and Accounting. He received his M.B.A. from the University of Chicago.

Mr. Burton has been active in fundraising efforts for the Careers for Blacks in Management scholarship program at the University of Chicago's Graduate School of Business.

RICHARD J. CRAWFORD

Richard J. Crawford is an Associate with James H. Lowry & Associates, specializing in manpower development, education and training. Mr. Crawford has excellent on-the-job experience in these fields, having served in the following positions:

Specialist for Education - Youth Services, Indianapolis Division of Employment and Training -- where he was responsible for ensuring that high school drop-outs and potential dropouts received educational counseling and specialized educational services to meet identified needs. Mr. Crawford was also responsible for the supervision of an assessment program for youth entering the Youth Services Section of the Division of Employment and Training.

Coordinator for the Advisory Council, Indianapolis Division of Employment and Training -- where he helped facilitate communication between the Division of Employment and Training and the professional advisory council. Mr. Crawford was also responsible for providing assistance and information for those persons or agencies submitting proposals for funding under CETA Titles I, II, III, and IV.

Operations Assistant, Client Operations, Indianapolis Division of Employment and Training -- where he supervised the Training/Orientation Section. Mr. Crawford helped to develop programs for the World of Work Program, and orientation project designed to enable both youth and adults to better cope with their work environments. He later supervised this program.

Training Coordinator, Indianapolis Division of Employment and Training -- where he provided educational counseling and services for the staff and for program participants in the development of educational objectives. He was responsible for the development and approval of training workshops and seminars for the staff and program participants in the general area of education.

Educational Specialist - Youth Work Experience, Indianapolis Division of Employment and Training -- where he helped set up and implement educational plans and goals for high shcool drop-outs which would enable them to either return to school or to pass the GED examination. Mr. Crawford's responsibilities included basic tutoring in mathematics, reading, and history.

District Sales Manager - Consumer Products, Bell & Howell Company -- where he presented new sales programs to designated Bell & Howell dealers in Indiana, Illinois, and Kentucky. Mr. Crawford was also responsible for establishing new dealerships and training sales personnel in sales techniques.

Mr. Crawford received his B.A. in History from the University of Illinois, Chicago Circle. He has taken graduate courses in Secondary Education from Indiana University/Purdue University at Indianoplis.

PHILIP M. JACKSON

Philip M. Jackson is a consultant with [redacted] specializing in manpower development and health care service delivery. Mr. Jackson has gained his extensive expertise in these fields while serving in the following positions:

Senior Associate, Institute for Economic Development, Washington, D. C. - where he served as a consultant on a 5-month project for the Department of Labor - Office of Youth Programs. Mr. Jackson provided assistance in creating a Minority Intermediary Research Organization to provide a research capability for evaluating the Job Corps' Advanced Career Training Program.

Deputy Director, Wayne County Department of Substance Abuse Services, Detroit, Michigan - where he assisted in the policy, planning and operating responsibilities for a county agency with a staff of 47 and an annual budget of $20 million. The department handled treatment planning, funding, and licensing.

Assistant Professor, School of Social Work, Wayne State University, Detroit, Michigan - where he taught courses in health care policy and administration. Mr. Jackson also served as field instructor for masters-level students providing casework and community practice services at a drug abuse treatment agency.

Executive Director, Detroit Model Neighborhood Community Mental Health, Inc., Detroit, Michigan - where he was responsible for policy, planning, operations, and financial management of the city's first Federally-funded community mental health center, with a staff of 90 persons and an annual budget of $1.3 million.

Program Development Specialist, Detroit - Wayne County Mental Health Services Board, Detroit, Michigan - where he conceived and developed grant and other proposals for this agency responsible for the planning, development, and funding of mental health programs.

Social Work Director, Young Adult Institute, Detroit, Michigan - where he was responsible for a 60-bed inpatient mental health unit for young adults. Mr. Jackson supervised a social work staff of 6 persons.

Mr. Jackson received his B.A. in French from Colgate University. He received his M.S.W. from the University of Louisville and is currently a Ph.D. candidate in Social Welfare Studies from Columbia University.

KENNETH I. TATUM

Kenneth I. Tatum is an Associate with James H. Lowry & Associates, specializing in business and economic development, finance, and data systems design. Mr. Tatum brings extensive experience to his engagements, having served in the following positions:

Professional Staff Associate, Management Analysis Center, Inc., Washington, D.C. - where he was responsible for the direction of a number of major studies in the areas of operational planning and budgeting, performance measurement, productivity improvement, strategic planning and marketing surveys. Mr. Tatum's clients ranged from Fortune 500 firms to government agencies.

Staff Director of Budget Committee, City Council, Washington, D.C. - where he was responsible for staff work on the legislative review of the annual budget for the District of Columbia, a budget in excess of $1.5 billion. Due to the pressures of congressional submissions, Mr. Tatum's committee prepared budgets for three fiscal years for the new Home Rule Government in less than two calendar years.

Lecturer, School of Business Administration, Federal City College, Washington, D.C. - where he taught classes in algorithms and data processing math for the Department of Computer Information Science Systems.

Administrative Assistant to the Chairman of the Board, West Indies Corporation, St. Thomas, Virgin Islands - where he was responsible for the areas of financial control and general management. Mr. Tatum was also responsible for the wholesale and retail activities direction of a perfume manufacturing division with sales of $2 million.

Mr. Tatum received his B.A. in mathematics with magna cum laude honors from Tufts University. He received his M.B.A. in general management and finance from the Harvard University's Graduate School of Business.

MARY ANN DOBUCKI

PRIMARY FUNCTIONAL AREAS

Consultant Associate with James J. Dowty & Associates

Real Time Analysis and Design
Distribution Systems
Mini-Computer Systems
Revenue Systems
Programming

POSITIONS HELD

Anacomp, Inc.
Systems Analyst

Arthur Anderson and Company
Senior Analyst
Staff Analyst
Programmer

Dominick's Finer Foods
Bookkeeper

SUMMARY OF RELEVENT EXPERIENCE

Ms. Dobucki has three years in data processing. She has designed, developed, maintained, and installed mini-computer systems. Her most recent experience was in the design of a revenue system for the State of Illinois. She has also been involved in documentation procedures and course development work.

EXPERIENCE DETAIL

Significant accomplishments in recent years include:

Analyst in the design of a business tax system for the State of Illinois, Department of Revenue.

Senior analyst in the design, development, installation, maintenance, and support of a real-time, mini-computer distribution system. Duties included: system coordination, resolution of design problems, client support, course instructor.

Staff analyst in the development and programming of a real-time system. Duties included: pilot support, testing, coordination, documentation, programming.

EDUCATION

Ms. Dobucki received her B.S. degree in mathematics at Loyola University, Chicago, Illinois and her M.B.A. from Northern Illinois University, Dekalb, Illinois. She has attended professional schools in design, installation, and programming.

ROBERT J. ORR, IV

PRIMARY FUNCTIONAL AREAS

Project Management
Resource Allocation
Financial Management Systems
Revenue and Tax Systems
Time Sharing
Organization Studies
Computer Systems Analysis and Programming
Computer Simulation and Modeling
War Gaming
Microfilming Information Systems
Work-Flow-Analysis
Data Entry Procedures

POSITIONS HELD

Anacomp, Inc.
Regional Manager

Sci-Tek Associates, Inc.
Vice President

Booz, Allen Systems (BASYS)
Project Manager

Booz, Allen Applied Research
Senior Scientist

SUMMARY OF RELEVANT EXPERIENCE

Mr. Orr has over 10 years experience in information systems development. His areas of technical specialization include large scale computer based information systems, microfilm systems, and time sharing applications. Mr. Orr's most recent experience involves the management of a project to develop an integrated information system for a large state Revenue Department rating system. Mr. Orr has managed multiple system implementation efforts on large scale systems as well a being actively involved in systems analysis and programming of interactive time sharing systems. With Booz, Allen, Mr. Orr was the resident expert on microfilm information systems.

EXPERIENCE DETAIL

Significant accomplishments in recent years include:

Management of a project to design, develop and implement a modern information handling system which will consolidate the processing, storage and rtrieval of all Business taxes for a Revenue Department. Prior to this assignment, he managed the design, and implementation of Revenue systems for two other states.

Project management of an effort to develop a computer based motor vehicle insurance merit rating system. This project involved clerical procedures development as well as major automated system implementation.

Design of computer-based information system for a state government Retirement System to process high volume transactions and eliminate current backlogs.

Design and implementation of a computer system to allocate funds to State and Local governments eligible for Revenue Sharing under the Comprehensive Employement and Training Act (CETA) of 1973. The system maintains monthly unemployment data for ap- proximately two thousand local governments. Computer programs were implemented to edit, update this data base and to allocate funds according to complicated mathematical formulas defined by the authorizing legislation.

Management of a project to modify the Manpower Automated Reporting Systems (MARS) and provide technical assistance to the Office. MARS is a large scale batch-oriented system and the level of effort in maintenance and modificaion consisted of ten full time programmer/analysts.

Management of a project to reorganize the Accounting Division within the Office of the Comptroller, Employment and Training Administration. This project resulted in a major reorganization. New function definitions were written for the affected components and a work flow/clerical procedures manual was developed and implemented.

Microfilm feasibility study for records management unit of the Department of Labor.

Implementation of an on-line Mangement Information System for the Office of the Comptroller, Manpower Administration.

Development of the mathematical models for a computerized war game simulation system for the U.S. Army.

Design of implementaion of a communications information storage and retrieval system for the U.S. Army in Southeast Asia.

EDUCATION Mr. Orr received his B.S. from Middle Tennessee State University with a major in Mathematics. He obtained a Masters of Science in computer Science from the University of Missouri. Mr. Orr has attended numerous industry seminars on microfilm, time sharing and simulation.

HARDWARE

RECOMP II
CDC 3300
IBM 1620
IBM 360, 30, 40, 50, 65
IBM 370/158
DEC 10
XDS 940
Univac 1100
Univac 9080

SOFTWARE

OS/DOS/SCOPE/CALL 370
FORTRAN
PL/1
BASIC
ALGOL
Numerous Simulation Languages
Numerous Retrieval Packages

Partner Summary

Camille Dvorsky

[redacted]

Education and Affiliations

- Master of Science in Social Work, University of Texas at Austin
- Bachelor of Science in Sociology, University of Texas at Austin
- Member Academy of Certified Social Workers
- National Association of Social Workers
- American Public Welfare Association
- Phi Kappa Phi Honor Society
- Texas Public Employees Association
- Austin Society for Public Administration
- National Women's Political Caucus
- Texas United Community Services
- Industrial Relations Research Association
- Texas United Community Services
- Center for Study of Democratic Institutions
- First Baptist Church

Experience

- Partner, Dimension Associates, a female owned private consulting firm focusing on services to the public sector.

- Assistant Director, Manpower Services Division, Texas Department of Community Affairs. Administered Governor's Balance of State and State Services Comprehensive Employment and Training Act Programs ($60 million program, 180 contracts, 50 State office staff); Developed Prime Sponsor self evaluation

procedures, weekly activity reporting and implemented a modified Performance Evaluation Review Technique System (PERT); served as chairperson of Division Personnel Interview Committee; served on Agency Personnel Review Committee regarding Affirmative Action Plan, Personnel Evaluation System and staff training needs.

. Manager, Management Information/Monitoring and Evaluation, Manpower Services Division, Texas Department of Community Affairs. Managed the Development and Implementation of Computerized Management Information System and a Monitoring and Evaluation System for Governor's Balance of State and State Services Comprehensive Employment and Training Act programs ($30 program, $80,000 computer contract, 13 office staff); gave testimony to FBI, State District Judge, Attorney General, District Attorney, and Government Accounting Office regarding CETA operations; served on DOL National Performance Indicator Workgroup (two years; Ford and Carter Administration); planned and conducted state and regional conference on evaluation; served on Agency Audit Review Task Force regarding Governor's Office of Migrant Affairs Audit; served as chairperson on Agency CETA Reporting Task Force to develop fiscal reporting formats; participated on National Association of Counties Annual CETA Conference Panel on Performance Indicators; made presentations to Advisory Council Members, Elected Officials, Community Based Organizations, State Agencies, Federal Agencies and others.

. Director of Monitoring and Evaluation, Manpower Services Division, Texas Department of Community Affairs. Developed and Implemented a Monitoring and Evaluation System for Governor's Balance of State and State Services Comprehensive Employment and Training Act programs ($20 million program, 7 staff); made reports to State Manpower Services Council; developed Contractural

Performance Standards; developed CETA Participant Reporting Manual which produced operational definitions, forms and tools for eligibility determination, assessment, counseling, job development and follow-up; developed a Monitoring Guide, written methodology, data collection forms, interview questionnaires and standardized recommendation material for corrective action.

. Planner and Director of Plans, and Research, Division of Planning Coordination, Governor's Office. Gathered and developed data to aid Ancillary Manpower Planning Boards and Manpower Area Planning Councils under the Cooperative Area Manpower Planning System; Supervised policy analysis of CETA legislation and regulations; Chairperson of National Governor's Conference Task Force on Grievance Regulations for CETA; served as staff to Governor's Task Force on Youth Care and Rehabilitation; worked with all Manpower and Manpower related agencies in regard to planning and service delivery system coordination to provide services to the poor.

. Planner, Committee on Aging, Governor's Office. Developed plan for implementing Area Agencies on Aging (AAAs) and the nutrition program under the Older Americans Act Amendments; supervised the development of a computerized data bank for planning and evaluation purposes; developed evaluation model for AAAs.

. Graduate School Internship, Hogg Foundation for Mental Health. Researched, evaluated on-going projects, and recommended policy to Hogg Foundation regarding funding of Pre-school Child Mental Health projects; participated in Hogg Foundation Advisory Council Meetings; participated in Texas Association for Mental Health workshops; observed Hogg Foundation Board Meetings; observed goals for Dallas Community Organization Techniques; participated in planning for Conference of Southwest Foundation's Planning Session; studied Program Evaluation Review Techniques for managing.

. Statistician, Division of Planning Coordination, Governor's Office. Collected and analyzed statistical data for the Texas Input Output Project (static model to simulate economy of Texas)

. Internship, Travis County Juvenile Court Graduate School. Provided individual, group, and family counseling and therapy to juveniles and their families; conducted a research project on Recidivism Rates by Neighborhoods in Austin; Presented Research Findings to Citizen's Advisory Committee to Travis County Juvenile Court.

. Student Assistant and Counselor, Women's Resident Halls, University of Texas at Austin. Recommended, implemented and enforced University Rules; Developed, pretested and utilized research instrument to evaluate students' satisfaction with dormitory living.

. Assistant Chemist, Dow Chemical Company. Conducted classified Azividine Research Projects; microfilmed and keypunched material for Chlor Alkali Library.

. Receptionist, Women's Residence Halls, University of Texas. Did general typing, filing, answering telephone, and greeting the public.

. Counselor's Assistant, Counselor's Office, Angleton High School. Organized "Careers Information" for Counselor's Office; Helped students explore job information and pursue scholarships.

Publications

. Management Information Handbook, CETA Program, Texas Department of Community Affairs, Austin, Texas, 1976.

David L. Thompson
Principal Labor Economist
Manpower Research and Evaluation

EDUCATIONAL BACKGROUND

Dates	College	Major	Degree
1951-1953	Luther College, Decorah, IA	Economics	
1953-1957	University of Minnesota	Law	B.A.
1957-1959	University of Minnesota, Graduate School	Industrial Relations	

Professional Societies

American Economic Association
Industrial Relations Research Association
American Personnel and Guidance Association
International Association of Personnel in Employment Security

WORK HISTORY

1975-Present — Central States
Principal Labor Economist
Manpower Research & Evaluation

1968-1975 — North Star Research and Development Institute

1968	Economist
1971	Associate Director, Social Services
1973	Director, Manpower Research and Evaluation

North Star Research Division, Midwest Research Institute

1975	Principal Labor Economist Manpower Research and Evaluation

1963-1968 — U.S. Department of Labor

1963-1965	Employment Service Advisor, Manpower Services/Labor Mobility
1965-1966	Manpower Development Specialist, MDTA Evaluatic Labor Economist, Manpower Projections
1967-1968	Special Assistant on Title V (Work Experience and Training)
1967-1968	Chief, Program Design Group, WIN

1960-1963 — Minnesota State Department of Employment Security;
Supervisor, Occupational Information
Project Leader, Automation Manpower Services

AREAS OF RESEARCH EXPERIENCE

1. Job Placement, employability development and training programs
2. Public and subsidized employment programs
3. Management of manpower programs, management information systems for manpower programs

[redacted]

APPENDIX C

TEAM

LEADERS

PETER C. B. BYNOE

Peter C. B. Bynoe is the Vice President of James H. Lowry & Associates. In addition to his extensive marketing abilities and analytical orientation, Mr. Bynoe is an expert in business, economic and manpower development. He has directed several major assignments for James H. Lowry & Associates, including the following:

Mayor's Office of Employment and Training, Chicago, Illinois -- where he was responsible for program development, staff recruiting, and overall supervision of a team for a Labor Market Orientation program. Working under the auspices of the Mayor's Summer Youth Employment Program and the Comprehensive Employment and Training Act, Mr. Bynoe's team provided information on labor market trends, job searches, and interviewing techniques to over 100,000 economically disadvantaged young people over a three-year period.

U.S. Department of Labor, Washington, D.C. -- where he headed a study for the Office of Youth Programs (OYP). Mr. Bynoe was responsible for an assessment of four non-profit corporations which had been contracted by OYP to conduct research, demonstration, and evaluation projects under the Youth Employment and Demonstration Act of 1977. Mr. Bynoe's team of consultants determined the cost effectiveness of the non-profit corporation approach, the congruence of the corporations' missions with OYP's initial concept, and the corporations' effectiveness, organizational integrity, and capabilities.

A. Philip Randolph Educational Fund, New York, New York -- where he was responsible for supervising a consultant team providing research and design capabilities to the Educational Fund. The overall function of the study was to enable the Educational Fund to assist the U.S. Department of Labor's Out-of-School Youth Employment Project to provide manpower development services to high school dropouts in eight cities.

U.S. Department of Commerce, Washington, D.C. -- where he contributed substantial project support to the Office of the Secretary in the development of a national strategy for minority business enterprise development. Mr. Bynoe's extensive expertise in financial analysis was invaluable to the project team as they assessed existing departmental policies and projected a functional new strategy to support minority businesses in entering the mainstream of the nation's business community.

Department of Human Services, Chicago, Illinois -- where Mr. Bynoe served as project manager performing organizational and financial analyses for this $150 million human service agency.

U.S. Department of Commerce, Washington, D.C. -- where he played a lead role in assisting the Office of Minority Business Enterprise develop a framework and implementing a program to provide minority business enterprises with international business development opportunities. His work in this project included participation in an international trade conference for minority firms in Manila, Philippines.

Prior to joining James H. Lowry & Associates, Mr. Bynoe gained experience in the following positions:

Executive Trainee, Citibank, N.A., New York, New York -- where he successfully completed the Advanced Accounting Course in the Middle East, North Africa Division of the International Banking Group (IBG). As an Assistant [redacted] he assisted in the review of the IBG Financial Institutions Division 1976 Marketing Strategy. In addition, he shared responsibility for the reconcilement of the IBG head office's 1977 budget with the financial plans submitted by branches in Africa, Asia/Pacific, and Middle East/North Africa.

Summer Intern, International Banking Group, New York, New York -- where he worked in the Middle East, Africa, Europe Division, primarily dealing with the African Marketing Desk. In this capacity, he conducted an economic/political analysis of Zambia to assess Sovereign Risk and the appropriate Cross-Border Exposure Limit. He also assisted on projects in Nigeria, Gabon, Zaire, and Algeria.

Summer Associate, McKinsey and Company, Inc., Tanzania -- where he organized the new Ministry of National Culture and Youth Affairs in Dar-Es-Salaam for the Government of the United Republic of Tanzania. In undertaking and successfully completing the assignment, Mr. Bynoe enjoyed high-level government contact and autonomy in managing the assignment.

Mr. Bynoe received his B.A. cum laude from Harvard College. His graduate studies incorporated an international specialization with a finance and marketing emphasis at the Harvard Business School, where he earned his M.B.A. His law studies at the Harvard Law School, where he earned his J.D., focused on corporate planning and regulation.

Mr. Bynoe has spoken before a number of groups and organizations, including the Harvard Business School. He was voted one of the Outstanding Young Men of America in 1977. He serves on the board of directors of the Girl Scouts of America and is Secretary of the Chicago Forum.

Mr. Bynoe is skilled in 35mm photography, 16mm cinematography and videotape, and holds an FCC Third Phones license for radio broadcasting. He is proficient in French and Swahili.

ROLF K. BLANK

Rolf K. Blank is an Associate with James H. Lowry & Associates, specializing in manpower development and research systems design. Mr. Blank has acquired a solid base of experience in these fields by serving in the following positions:

Associate, Kirschner Associates, Inc., Washington, D.C. -- where he served as project director or associate project director for a number of studies, including an analysis of academic credit for work experience and transition services in the Maryland CETA-LEA programs; a study of LEA/CETA collaboration for career education under the Youth Employment and Training Program for the U.S. Office of Education; a survey of the educational needs of older citizens in the District of Columbia; and a descriptive analysis of health programs under CETA legislation for the Department of Health, Education, and Welfare and the Department of Labor. In all of these studies, Mr. Blank designed data collection instruments, developed data analysis procedures, arranged national and regional workshops, conducted surveys, and wrote case histories and final reports.

Research Associate, U.S. Office of Education, Washington, D.C. -- where he designed survey instruments, conducted an analysis of legislation and administrative regulations, and supervised field work for a national evaluation of bilingual vocational training for adults.

Research Assistant, Institute for Social Research, Tallahassee, Florida -- where he was on the staff of the Center for the Study of Education. Mr. Blank analyzed and interpreted data from a national survey of higher education faculty and institutions, leading to a number of reports on faculty teaching and research performance based on multivariate explanatory models. Mr. Blank also worked as a consultant in designing a survey instrument for a study done in conjunction with the Florida and National Science Foundations. The study involved an analysis of the patterns and frequency of usage of on-line information retrieval systems by academic and industrial scientists.

Assistant Professor, Department of Sociology, Lenoir Rhyne College, Hickory, North Carolina -- where he designed and implemented an evaluation procedure for interns in a probation/parole training program and supervised the program. Mr. Blank also taught courses in criminology, juvenile delinquency, social problems, and collective behavior.

In addition to his experience above, Mr. Blank has published numerous articles on educational and manpower development in such publications as the Journal of Higher Education and Sociological Inquiry. He has also presented papers on these subjects to the American Sociological Association and other learned societies.

Mr. Blank received his B.A. in Sociology from Luther College and his M.A. in the Sociology of Education from the University of Wisconsin at Madison. He received his Ph.D. in Sociology from Florida State University.

KARL L. LEWIN

Karl L. Lewin is a corporate consultant specializing in finance, accounting and executive search. Mr. Lewin has developed his expertise by working in the following positions:

Controller and Acting General Manager, DeLuxol Laboratories, Inc., Chicago, Illinois - where he was responsible for the financial operations of this subsidiary of Revlon. Mr. Lewin supervised the managers of the accounting, credit, purchasing and personnel sections. He was responsible for the preparation of operating budgets and capital expenditure budgets and the subsequent implementation of these budgets through the corporate budget committee. Mr. Lewin was also responsible for personnel matters, including participation in union negotiations.

Senior Financial Analyst, Exxon Corporation, New York, New York - where he performed analyses of the Exxon Chemical Company's capital budget and expenditure programs. Mr. Lewin coordinated the company's mathematics computer system operations for finances and manpower. He prepared near-term and long-range forecasts, production plans and consolidated earnings reports for the Esso Middle East operations. He audited the accounts of agents and chartered vessels in the Tanker Accounting Group. Mr. Lewin also interviewed and recruited prospective employees in a number of cities.

Financial Analyst, Revlon International, Inc., New York, New York - where he prepared monthly reviews and analyses of the financial statements and budget submissions of fourteen overseas markets. Mr. Lewin compiled statistics for periodic and special reports, as well as formulating methods for effective financial control.

Assistant Treasurer, District-Reality Title Insurance Company, Washington, D.C. - where he prepared cash flow statements, budgets, long-range forecasts, special reports and monthly financial statements. Mr. Lewin audited settlement and title insurance statements and supervised the conversion of the payroll system from manual accounting to a completely automated EDP system.

Corporate Accountant, Jamaica Industrial Development Corporation, Kingston, Jamaica, West Indies - where he prepared financial statements and monitored the expenses of the New York, Toronto and London branch offices.

Mr. Lewin received his B.S. in Business Administration from Southeastern University. He earned his M.B.A. with a concentration in Finance and Accounting from Fordham University. He is proficient in Spanish.

FARGO THOMPSON

EDUCATION:

School	Degrees & Honors	Major	Dates
Wharton School of Finance and Commerce, University of Pennsylvania	M.B.A.	Marketing/Finance	1968
University of Pennsylvania	B.A.	Architecture	1963

EMPLOYMENT EXPERIENCE:

Employer	Title	Dates
The Fargo Company, Inc.	President	3/1979-Present
Macro Systems, Inc.	Vice President	1977-1979
Technical Assistance and Training Corporation	Vice President	1974-1977
Fry Consultants, Inc.(Washington,D.C.)	Consulting Principal	1970-1974
Fry Consultants, Inc.(Chicago)	Consultant	1968-1970

CONSULTING EXPERIENCE:

Since forming The Fargo Company, Incorporated, Mr. Thompson has directed a number of projects for clients concentrating on human resource services management. He is currently working under subcontract with Consult, Ltd., in Chicago to develop a Management Effectiveness System for State Employment Security Agencies in Ohio, Illinois, Michigan, Minnesota and Wisconsin. During phase I of this project he headed a team that conducted the management effectiveness job assessment in Ohio and Michigan to pinpoint by managerial level and job category the key results areas, primary performance skill areas, essential behaviors, and necessary attributes a manager must demonstrate in order to perform effectively. Phase II, currently in process, focuses on setting management standards and establishing a managerial performance appraisal system.

Mr. Thompson is currently working with the Indianapolis Division of Employment and Training (CETA) to design, document and implement a complete and continuous financial management process comprised of a series of fiscal control subsystems. In the course of this work he:

- designed a financial management system that established necessary claims processing, general accounting, budgeting, payroll and internal audit functions within the division and the necessary interfaces with the city automated accounting system: FAMIS.
- drafted financial procedures and trained staff and contractors in the proper use of the system
- provided financial assistance in Federal report preparation, accruals and internal management financial review.

Prior to these assignments Mr. Thompson prepared and conducted three management seminars for the Work Incentive Programs (WIN) in Regions V (Chicago) and VI((Dallas) that focused on the following subjects.

- Public relations in WIN programs at the local level
- Managing the Unassigned Recipient Pool (70% of WIN registrants)
- State WIN planning for fiscal year 1980

These seminars employ the "learn by doing" principle and allow participants to actually practice techniques that have practical application on the state and local levels.

The planning seminar, conducted in Region VI, was an updated and improved version of the National Office of Work Incentive Programs in the Employment and Training Administration planning seminar that was presented to WIN staff in the other nine regions in May 1978 for fiscal year 1979 WIN planning. Mr. Thompson directed the development and conduct of this seminar while a vice president with Macro Systems, Inc.

In an earlier association with WIN, Mr. Thompson played a key role in the review and improvement of the WIN Financial Management System that included the following activities.

- Assessment of WIN program and financial management practices/requirements in selected DOL/HEW regional, state and local offices
- Development of the Financial Management chapter of the WIN Handbook
- Development of a Financial Monitoring and Evaluation Guide for WIN program managers at all levels
- Design, development and delivery of 16 WIN Financial Management Seminars for regional and state staff involved in WIN program operations.

The WIN Financial System Review followed two years of financial assistance Mr. Thompson provided to the State Employment Security Agency (SESA) Cost Accounting System. He was project director for Technical Assistance and Training Corporation's subcontract with Macro Systems to develop the following specific cost accounting-related projects.

- A Management Review of accounting system operations in eight states and documentation of problems and issues
- Recommendations for system improvements presented to ETA executive staff and the Interstate Council of Employment Security Administrators
- A new Program Activity Report for the Comprehensive Employment and Training Act/SESA contract cost information and a CETA/SESA Accounting System Guide
- A Sample Time Distribution Training Package for use by state training officers
- A Three-day Financial Management Seminar presented in the 10 regional cities for SESA and ETA regional office managers

- A Two-day Financial Management Seminar presented to SESA cost center managers in ETA Regions V and IX and the State of Maryland in ETA Region III

- A Technical Assistance Guide to be used by regional ETA officials in providing assistance to SESA's in the areas of organization policy, ADP and financial management

- A management Report Utilization Guide for use by all ETA/SESA management report users.

These extensive assignments resulted in an improved, more useful cost account system that is more accurate and timely. The output reports are easier for management to use and the level of effort required to operate the computerized system in each state has been reduced.

Earlier, as Vice President of Technical Assistance and Training Corporation, Mr. Thompson conducted the following assignments.

- For Region V (Chicago), Employment and Training Administration, he direc a technical assistance project to assist CETA prime sponsors in this six state region in improving their financial management capabilities. In the course of this assignment, Mr. Thompson directed the implementation of the following projects.

  - CETA planning workshops for prime sponsors in Michigan, Indiana and Illinois

  - Management assistance to the State of Indiana CETA prime sponsors i grant application development, subcontractor selection, and management information system design

  - A model manual CETA Financial Management System

  - 12 CETA Financial Management workshops for 70 prime sponsors

  - Financial management on-site technical assistance for 7 prime sponsc

  - Developed a standard accounting and reporting training package for the Region V training institute. An instructor's manual and visual-aids were prepared for use by regional trainers.

- For the Cincinnati (Ohio) Manpower Services Department, Mr. Thompson directed an assignment to implement an automated participant tracking management information system. Mr. Thompson directed the identification of management information needs, development of input forms and procedures manuals, training of staff responsible for form completion and for editing and processing of data, and provision of management assistance in using reports generated by the system. He also directed the implementati of this system in Nassau County, New York, and was involved in the initia phases of systems currently being implemented in St. Paul, Minnesota; Detroit, Michigan; and Indianapolis, Indiana.

- For Region III (Philadelphia), Employment and Training Administration, four separate assignments have kept Mr. Thompson involved with CETA prime sponsors in this ETA region. Specifically, he has:

  - assisted regional staff with course module development and conduct of a series of CETA implementation seminars

  - written sections of a CETA job development manual and provided training to CETA staff in its use

  - designed a regional CETA grant review system

  - developed and conducted CETA financial management workshops under the auspices of the Regional Training Center

- For DOL/Office of Community Manpower Programs, he was part of the national CETA implementation task force that developed the initial CETA federal regulations, wrote technical assistance guides, designed and conducted the six-day regional CETA Implementation Seminar.

In addition to his extensive experience with many employment and training programs and the U.S. Department of Labor, Mr. Thompson has directed three significant assignments in the Health Care Field.

- For the National Institue on Drug Abuse (NIDA) he was co-director and liaison with medical schools, public health agencies and hospitals involved in a five-part research project designed to examine the relationships between prescription use of sedative/hypnotic and stimulant drugs and drug abuse. This research included studies of drug overdose and death associated with these drugs in five cities, hyperactive children and overweight stimulant users, drug abuse program participants, sedative/hypnotic drug consumption in patients with anxiety and insomnia.

- For the Illinois State Veterans Home in Quincy, Illinois, Mr. Thompson directed a study of the hospital and extended care operations to develop an approach for maximizing third party reimbursements. This study recommended that the Veterans Home could increase their reimbursements by over 1 million from Medicare and Medicaid.

- For the HEW Secretary's Commission on Medical Malpractice, Mr. Thompson directed an evaluation of patient grievance mechanisms and ombudsmen in health care institutions and their effect on the reduction of malpractice claims. The data for this study were collected using a mail questionnaire sent to all American Hospital Association registered hospitals with over 200 beds and personal interviews with a selected sample of health care institutions.

While a consulting principal with Fry Consultants, Inc., Mr. Thompson directed or participated in several assignments:

- For the DOL/Employment and Training Administration Concentrated Employment Programs (CEP) Division, Mr. Thompson directed a two-year CEP management assistance project in Region VI (Dallas). The project's emphasis was on development of management systems in each CEP, including program planning, financial management, performance measurement and control, organization

and staffing, and contracting. In addition to this on-site work, he was a team member in the development of a comprehensive CEP management train package and was lead trainer in financial management at a combined five-region CEP management training conference (in La Jolla, California) for regional DOL Employment Service and CEP top managers.

- For the Alabama State Department of Vocational Education, Mr. Thompson was co-team leader for an organization review of this agency. The study resulted in a major restructuring of the state office organization, reducing the span of control of the Director and balancing the management emphasis on the old-line vocational education programs and new, fast-growing vocational areas of study.

- For the Huntington, West Virginia, Community Action Agency (OEO), Mr. Thompson directed an economic development project that focused on approaches for greater involvement of key community leaders and top management of local industries in economic development projects designed to become self-sufficient after an initial start-up period.

Mr. Thompson also participated in a number of private sector marketing and organization studies while with Fry. He was part of an eight-person team that assessed the General Services Administration's responsibilities under law to coordinate the management of ADP in the Federal government and recommend a reorganization plan (that was implemented) to better meet these responsibilities.

QUALIFICATIONS OF JAMES H. LOWRY & ASSOCIATES

James H. Lowry & Associates is a team of professional management consultants who are experts in manpower development. James H. Lowry & Associates was organized in response to the need for small management consulting firms, especially those owned and operated by members of minority groups, who have expertise in this critically important field.

The proper sourcing, training, development, organization, and allocation of manpower resources are critical to the profitability of individual firms as well as the overall American economy. And it has been our experience that the major issue in this sector is not only human resource utilization and productivity, but also equality of opportunity. The firm utilizes its experience in progressive management counseling and an ever-expanding knowledge base of modern consulting techniques to resolve problems of major importance in both areas.

James H. Lowry & Associates has helped private firms and government agencies:

- Recruit executive talent;
- Orient economically disadvantaged youth to the world of work;
- Develop and administer equal employment opportunity programs;
- Resolve affirmative action litigation;
- Reduce the turnover rate of minority executives;
- Improve prospective employees' perceptions of employment opportunities; and
- Increase private sector involvement in government financed manpower training programs.

The firm is composed of full-time professional consultants who are experienced and creative problem-solvers. These individuals are from diverse economic and racial backgrounds but have arrived at a position in their careers where they can work with anyone on a multiplicity of management issues. Each professional staff member holds an advanced degree in Business Management, Law, Public Administration, or Urban Planning. In addition, James H. Lowry & Associates draws upon the expertise of resource people who consult on special assignments. Any professional assigned to a firm engagement must have previously exhibited economic analysis, strategic planning, general management, and interpersonal skills.

The following clients are representative of those to whom James H. Lowry & Associates has consulted:

MAYOR'S OFFICE OF EMPLOYMENT AND TRAINING
Chicago, Illinois

The Chicago Mayor's Office of Employment and Training (MET) is the prime sponsor for the management of the Department of Labor's Comprehensive Employment & Training Act (CETA). For the past three summers, James H. Lowry & Associates has been chosen on a competitive bid basis to provide MET's Summer Program for Economically Disadvantaged Youth with Labor Market Orientation (LMO). LMO has been defined by CETA regulations as:

- Vocational exposure counseling;
- Resume preparation; and
- Job interview preparation.

During the summer of 1977, our firm designed, organized, and managed a series of workshops to provide 26,000 youths with LMO. In the summer of 1978 we serviced 45,000 youths and in the summer of 1979, we serviced 35,000 youths. We achieved our program objectives during these engagements through multi-media workshops focusing on:

- The need to work;
- Motivation to achieve work-related goals;
- Labor market trends;
- Resume preparation guidelines;
- Job search methodology; and
- Job interviewing techniques.

FEDERAL DEFENDERS YOUTH PROJECT
Chicago, Illinois

The Federal Defenders Youth Project (FDYP) is a program sponsored by the Mayor's Office of Manpower to provide juniors and seniors in high school with job experiences in the criminal justice system. For 1978 and 1979, James H. Lowry & Associates has provided all FDYP participants with career counseling and labor market orientation.

A. PHILIP RANDOLPH INSTITUTE EDUCATIONAL FUND
New York, New York

The A. Philip Randolph Institute has a non-profit subsidiary known as the Educational Fund that focuses on the delivery of manpower development services at the community-based organization level. The Educational Fund has been chosen by the Department of Labor's Office of National Projects to manage an Out-of-School Youth Employment Project for 16-21 year old high school dropouts in eight different U.S. cities. The Educational Fund has chosen James H. Lowry & Associates to provide it with the necessary research and

design capabilities to fulfill the Department of Labor's knowledge development goals.

DEPARTMENT OF LABOR [illegible]

OFFICE OF YOUTH PROGRAMS
Washington, D.C.

The Youth Employment and Demonstration Act of 1977 created the Office of Youth Programs (OYP) within the Department of Labor and authorized it to spend approximately $250 million per year on research, demonstration, and evaluation projects to find answers to the difficult questions about youth unemployment. OYP contracted with four non-profit corporations to assist it to design, implement, and manage these activities. Early in 1979, James H. Lowry & Associates was chosen on a sole-source basis to do an assessment of the relative effectiveness of the non-profit corporations in acting as intermediaries on behalf of OYP. Over an eighteen-month period, we will compare this delivery mechanism to alternative methodologies in terms of cost and productivity. Specifically, we will determine:

- Cost effectiveness of the non-profit corporation approach;
- Congruence of the intermediaries' missions with OYP's initial concept;
- Intermediary effectiveness in designing, developing, and implementing programs;
- Organizational integrity of the non-profit corporations; and
- Capabilities of non-profit corporations' staff.

DEPARTMENT OF HUMAN SERVICES
Chicago, Illinois

In December, 1976, the Department of Human Services (DHS) was established by the merger of the Department of Human Resources and Model Cities Chicago Commission on Urban Opportunities. This merger was the result of a recommendation made to the City of Chicago by James H. Lowry & Associates after an intensive study of the individual operations of both agencies in the social service area. In order to reduce administrative costs, preclude duplication of effort, and maximize the City's human services delivery, we suggested and assisted in the merger. DHS is now a $100 million operation and is responsible for the overall City of Chicago human services plan and delivery system.

Since the merger, James H. Lowry & Associates has conducted personnel audits for DHS' central office as well as field operations to:

- Streamline the overall structures of the agency to achieve maximum efficiency and effectiveness;
- Establish optimal staffing levels and job descriptions to minimize overlap of responsibility functions; and
- Pinpoint financial savings when possible and appropriate.

James H. Lowry & Associates has also been chosen by DHS to provide the agency with an organizational manual and management information system to focus and track the activities of its more than 2,000 employees.

DEPARTMENT OF PLANNING, CITY AND COMMUNITY DEVELOPMENT
Chicago, Illinois

Since 1975, major urban areas have seen separate programs such as Model Cities and Urban Renewal combined into one program known as the Community Development Block Grant (CDBG). The Department of Housing and Urban Development administers the national CDBG program, and Chicago's entitlement has always been managed by its Department of Planning, City and Community Development (DPCCD).

During the first three years of the program, Chicago received approximately $60 million per year, but its allocation rose to more than $120 million in 1979. James H. Lowry & Associates designed, developed, and implemented the Federally mandated monitoring system to keep track of these funds. Since 1977, our firm has had to update its work on this system only once.

In July, 1977, we were requested by DPCCD to design an effective Citizen Participation Model for the Chicago CDBG. The Commissioner hired James H. Lowry & Associates in response to a request by HUD that citizens be more actively involved in the decision-making process for the allocation of CDBG funds. We assisted DPCCD design the appropriate structure by:

- Reviewing and interpreting existing and proposed Federal legislation on the CDBG program;
- Establishing the basic criteria for effective citizen participation;
- Reviewing existing structures for citizen input;
- Designing models for citizen input; and
- Presenting alternatives for the City of Chicago to choose from.

We have developed affirmative action guidelines for CDBG contracting and hiring practices. Consequently, James H. Lowry & Associates

has been intimately involved in the CDBG program since its inception and fully understands the operational aspects of community development's hardware and software elements as well as its management systems requirements.

TELEVISION STATION WDTN [illegible] maximum efficiency and effectiveness
Dayton, Ohio

Our firm assisted the station's management mediate and resolve an affirmative action/equal employment opportunity problem that had advanced to the formal complaint stage. James H. Lowry & Associates developed and documented the settlement, and the potential litigants have had a productive and successful working relationship since then.

LARGE INTERNATIONAL MANAGEMENT CONSULTING FIRM
New York, New York

For the past three years, our firm has been assisting this prestigious client to increase the number of minority professionals on its consulting staff. Our services have included independently identifying candidates for the firm as well as screening candidates whom the client has identified.

THE WOODLAWN ORGANIZATION
Chicago, Illinois

The Woodlawn Organization (TWO) is one of the largest and most successful Community Development Corporations in the United States. One of the Corporation's most vital functions is the generation and management of capital. In response to this need, James H. Lowry & Associates has conducted an executive search for a chief financial officer for TWO.

INTERNATIONAL MANAGEMENT SERVICES COMPANY
New Orleans, Louisiana

In late 1977, our client assumed overall management responsibility for a major sports facility in the city of New Orleans. James H. Lowry & Associates was requested to assist the firm to mediate contractual relationships between itself and a minority vendor that had worked under the previous management team. Although a contract was never consummated between the two parties, they separated on better terms than they had met, and minority labor relations has not been an obstacle to profitable operations since then.

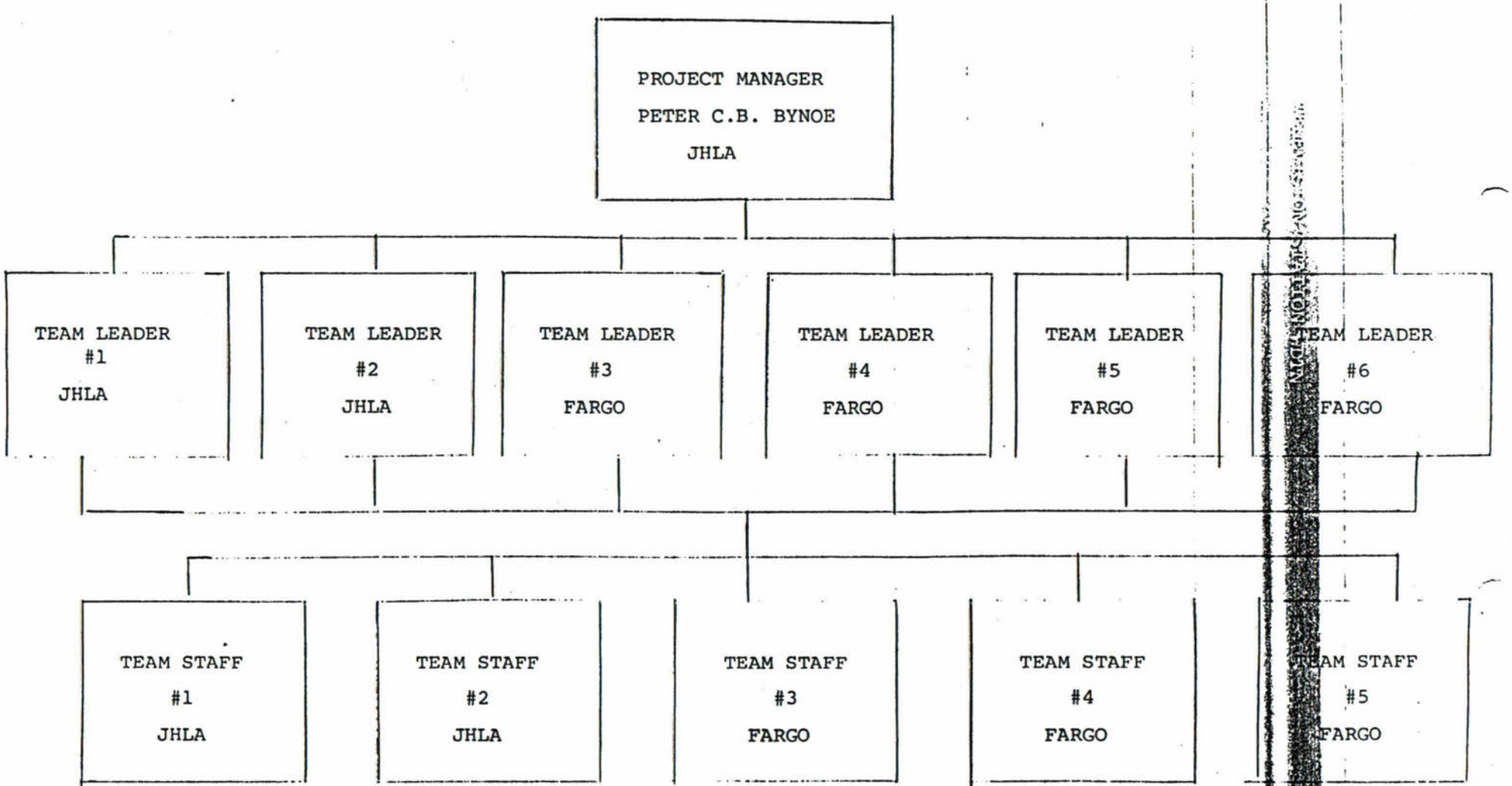
ELECTRONIC DATA PROCESSING FIRM
Chicago, Illinois

James H. Lowry & Associates has been assisting this client to identify technically-oriented minority managers for sales and systems design positions since December, 1977.

These clients are representative of the level and quality of work that James H. Lowry & Associates has performed in the area of manpower development. The firm has the capacity to undertake professional engagements for private and public sector clients in similar or ancillary practice areas. James H. Lowry & Associates also provides management consulting services to community, business, and economic development sectors.

REGION V TECHNICAL ASSISTANCE PROJECT

ORGANIZATIONAL STRUCTURE



APPENDIX B

Functional Management Information System (FMIS) Handbook. These requirements are to be phased in through FY 1982. A Regional Certification Guide has been developed for use in determining where each prime sponsor stands in terms of meeting these minimum federal standards.

Prime sponsor MIS environments vary widely in the degree of data processing expertise and the current use of data processing. Regardless, any analysis of what data they are generating and how it is being used will take a significant amount of time away from their normal operating activities. Since the two issues of certification and assessment are intricately interrelated, Region V has determined that it would like both activities to take place simultaneously at each of its 106 prime sponsors. James H. Lowry & Associates proposes to assist Region V accomplish this task.

SCOPE OF WORK AND PROGRAM OBJECTIVES

James H. Lowry & Associates proposes to achieve two major objectives in assisting Region V support its prime sponsors management information systems:

1. Conduct on-site visits to evaluate and assess the 106 prime sponsors' management information systems; and

2. Provide on-site technical assistance to those prime sponsors most in need of upgrading efforts.

Conducting On-Site Visits

During our initial visits to each prime sponsor, we will conduct two tasks:

1. Evaluation

   - Reviewing and evaluating the prime sponsor's MIS;
   - Comparing the actual MIS with the functional MIS requirements;
   - Documentating any deficiencies between the actual and functional MIS;
   - Documenting prime sponsor action plans for correcting deficiencies;

- Documenting planned changes to the MIS; and
- Recommending specific technical assistance where appropriate.

2. Assessment

- Assessing the sponsor's MIS in accordance with the 1980 MIS Assessment Guide;
- Comparing the MIS and the Participant Time Limitation Tracking sub-system with the description(s) contained in the CETP, Master Plan;
- Narratively describing deficiencies and recommending corrective action; and
- Recommending improvements in the effectiveness and utilization of the systems.

Once we have completed our on-site visits and submitted our 'on-site visit reports, we anticipate that Region V will evaluate the results of our on-site survey and classify each of the 106 prime sponsors in one of the following categories:

1. Certification issued. Sponsor meets the 1980 MIS requirements and is prepared to implement the additional 1981 requirements.

2. Conditional certification. Sponsor does not totally meet the requirements, but can meet the requirements with corrections or additions to current system.

3. New system needed. The sponsor's system is so far from compliance that it is preferable to implement an entirely new system. It is desired that sponsors use one of the prototype systems being documented by ETA. TA resources will be directed toward sponsors using prototype systems.

Based on this classification procedure, the Regional Office Project Director will identify the prime sponsors that are most in need of assistance. We assume that this group of prime sponsors will be classified in one of the latter two categories and only 30 can qualify for technical assistance. Once the focus group is chosen, James H. Lowry & Associates would be expected to provide the technical assistance.

Providing On-Site Technical Assistance

The provision of on-site technical assistance should take place in two phases:

1. Phase A

This phase should address:

- Prime Sponsor's MIS needs;
- Options for prototype software selection;
- Impact of the above options on the sponsor's staff requirements;
- Life cycle cost of the above options; and an
- Implementation plan.

2. Phase B

This phase would consist of on-site support in implementing the option plans that have been developed in Phase A. The Regional Office Project Director would be responsible for selecting sponsors to receive this in-depth technical assistance.

PROPOSED APPROACH

James H. Lowry & Associates, working closely with the Regional Office Project Director, proposes to achieve the above outlined scope of services within a 12 month time period. Fulfillment of our responsibility in a timely and comprehensive fashion should involve executing the following tasks in phases:

1. Orientation;
2. On-Site Visits;
3. On-Site Visit Reports;
4. Monthly Briefings;
5. Summary Report of Evaluation Effort;
6. On-Site Technical Assistance; and
7. On-Site Technical Assistance Reports.

Orientation

This phase will involve four specific activities:

1. In-house training;
2. On-site training;
3. Site visit scheduling; and
4. Briefing of Federal representatives.

We recommend condensing the proposed four-week training period into two weeks. In-house training, site visit scheduling and federal representative briefing should take place during one week. The on-site training should require an additional two weeks. Working closely with Region V staff and DOL training personnel, we feel that our staff could absorb the necessary data and instructions in the shortened time frame. Special emphasis would be given to finalizing the investigative instruments and scheduling on-site visits.

We feel that an integrated and condensed version of the MIS Certification Guide and MIS Assessment Guides would facilitate our on-site activities. Also the more advance notice we give the prime sponsors of our schedule and information needs, the shorter our visits should be.

On-Site Visits

Executing 106 prime sponsor site visits within a ninety-day time period will be the most difficult phase of the entire engagement. We anticipate that the evaluation and assessment activities at each prime sponsor will encompass four task days, on the average, including travel and report write-up. Larger prime sponsors may require additional time and the prime sponsors we see later in the process will be handled more efficiently. We have used four days as a standard, but would request the option to revise this as necessary, as we generate a sample of on-site experiences by which to make more accurate estimates.

On-Site Visit Reports

We expect to work on the on-site visit reports while we are on-site, to capture as much information while it is still fresh in our team members' minds. Therefore, there should be no problem in submitting these reports within two weeks of the completion of a site visit. In terms of the contents of the reports in evaluation and assessment activities, this will be structured to meet your reporting requirements, but if we condense these two instruments, the exact formats might change.

Monthly Briefing

The contractor's Project Director will plan to meet with the Regional Office staff on the 10th day of each month to brief the staff on the previous month's activities. Such briefings should be written, as well as oral, and will include, but not be limited to:

- Results of the past month's reviews;
- Plans for the coming month;
- Problems encountered; and
- Comparison of schedule with planned milestones.

Summary Report of Evaluation Reports

Within 15 days of completion of all on-site visits, James H. Lowry & Associates will provide a statistical report summarizing the entire evaluation effort. It is envisioned that such a report will excerpt relevant data from each of our on-site visit reports; summarize that data; and make recommendations as to the prime sponsors' need for substantial technical assistance

On-Site Technical Assistance

There will be two different types of technical assitance provided to prime sponsors by the contractor:

1. Requirements Analysis and Cost Study (Phase A);

This phase would involve the contractor in providing a group of prime sponsors, selected by the Regional Project Director, with specific analyses of the requirements and costs of working their management information systems into an operating mode acceptable to DOL. Such analyses will address:

- Prime sponsor's MIS needs;
- Options for prototype software selection;
- Impact of options on prime sponsor staff requirements;
- Life cycle cost of options; and
- Implementation plan.

2. Implementation Assistance (Phase B).

Based on our requirements and cost analysis of Phase A, we envision the Regional Project Officer selecting prime sponsors for whom the contractor would execute the implementation plans developed during Phase A.

On-Site Technical Assistance Reports

During Phase A of our on-site technical assistance, we would expect to submit reports on each prime sponsor visit to the Regional Office Project Director during one week after the completion of each visit.

During Phase B of the on-site technical assistance, we would anticipate submitting a bi-weekly status report on progress to-date in implementing the plan developed during Phase A for the specific prime sponsor we were working with. At the end of the Implementation Assistance visit we would submit a final narrative report including, but not limited to:

- Status of the accomplishment of the implementation plan;
- Tasks not complete;
- Timetable for completing the implementation plan; and
- Recommendations for further technical assistance.

We feel that the critical elements in accomplishing the aforementioned tasks and providing Region V with its required deliverables are the personnel that we assign to this project and their organization into a flexible and efficient team. The proposed organization of the study is detailed in the following section.

ORGANIZATION, TIMING AND FEES

Organization

This project will be managed by James H. Lowry & Associates [illegible] on the previous venture agreement with the Fargo Company. James H. Lowry & Associates has extensive experience in the manpower development area, having worked with the CETA system at the local prime sponsor, as well as national level over the past three years. A firm qualifications statement is attached as Appendix A. The Fargo Company has in-depth expertise in CETA programs and automatic data processing (ADP) systems. We feel that the two firms working together will not only complement each other, but will also have a significant effect on the management of this project. Overall project management will be the responsibility of James H. Lowry & Associates, but we will work closely with the Fargo Company throughout the project.

In an attempt to fully leverage the talents of both firms and the specific areas of expertise of each professional assigned to this project, we have organized our staff on a team basis (see Appendix B). There will be six teams, each one under the responsibility of a team leader. The resumes of our team leaders are attached as Appendix C. The team leaders will have a pool of staff members to access for their on-site visits because we feel that by pairing up our consultants we can more efficiently use their time. The resumes of available team staff are attached as Appendix D. When teams are developed before on-site visits one of our primary concerns will be ensuring that CETA experience and ADP expertise are incorporated in the team.

Timing

Having studied the statement of work for this project, we have decided that the initial on-site visits, will be the most difficult task for two reasons:

1. The logistics of covering 106 prime sponsors in ninety days; and

2. Prime sponsor resistance to our technical assistance efforts (e.g., prime sponsors who have contracted for

We feel that the general experience of our two firms in the manpower field, our specific former assignments in Region V of DOL-ETA, and the sensitivity of our staff will help us solve problem number two. However, we have put a significant amount of time into solving the problem presented by the logistical considerations which have been exacerbated by the short time frame.

Our first decision in this problem-solving process was to cluster the 106 prime sponsors into six geographical areas. (See Appendix E.) Each team leader will be assigned a cluster as his/her responsibility. Our cluster concept reduces travel costs and minimizes on-site schedule flexibility. Hopefully, some of the team leaders and staff will be stationed in the middle of their assigned clusters.

As we mentioned earlier, we assume that it will require 4 days per prime sponsor to perform the certification and assessment. This includes the write-up which will be done in a standard format with a minimum requirement for editorializing. Based on these assumptions, we estimate that six prime sponsors in a cluster can be covered by a team of two consultants over a three-week period. Two weeks would be on-site and one week back in-house for report write-ups. (See Appendix F.) Working on this two week on-site, one week in-house schedule, we feel that we can service all 106 prime sponsors over a 14-week time period. (See Appendix F.)

Based on this schedule of events, we have projected that the training and on-site visits will require approximately 562 total person-days. Once we get into the project and develop some delivery experience, these estimates may change, but for our budget projections, we will assume that the 562 person day figure is accurate. Since the statement of work allocated a minimum of

560 task days for on-site technical assistance we have incorporated that figure to generate the total task day figure of 1,122.

Fees [illegible] be managed by James H. Lowry & Associates in a joint

Attached as Appendices I and J are our budget estimates for Phases I and II of the project. We have developed our travel and expense estimates for Phase I based on the approach outlined in Appendices F and G. The Phase II professional fees are based on the same allocation of staff as Phase I because there is only a difference of two days in the total task days for each phase. Our travel and per diem estimates for Phase II are based on approximately 400 of the 560 task days being spent in the field. The budget for Phase I is $211,185, and the budget for Phase II is $215,485. Therefore, our total proposed budget is $426,670.

James H. Lowry & Associates is excited about this opportunity to work with Region V. We look forward to your positive response to our proposal

Sincerely,

Peter C.B. Bynoe
Vice President

PCBB:kb

REGION V TECHNICAL ASSISTANCE PROJECT
PHASE I BUDGET

PROFESSIONAL FEES: $142,265

James H. Lowry & Associates

Team Leader 1	- (50)	(400)	=	$20,000
Team Leader 2	- (40)	(355)	=	14,200
Team Staff 1	- (57)	(275)	=	15,675
Team Staff 2	- (57)	(250)	=	14,250
Support Staff	- (50)	(150)	=	7,500
				$71,625

Fargo Company

Team Leader 3	- (43)	(340)	=	$14,620
Team Leader 4	- (30)	(310)	=	9,300
Team Leader 5	- (29)	(290)	=	8,410
Team Leader 6	- (25)	(200)	=	5,000
Team Staff 3	- (40)	(225)	=	9,000
Team Staff 4	- (31)	(275)	=	8,525
Team Staff 5	- (55)	(287)	=	15,785
				$70,640

TRANSPORTATION: 26,500

Travel ($150 per prime sponsor) (106) = $15,900
Per Diem (212 on-site days) (50) = 10,600

OTHER COSTS: 5,000

Reproduction - $2,000
Communication - $3,000

FEE @ 7%

(.07) (70,640 + 26,500 + 5000) 7,150

TOTAL $180,915

REGION V TECHNICAL ASSISTANCE PROJECT
PHASE II BUDGET

PROFESSIONAL FEES	$168,000
James H. Lowry & Associates - (280) (300) = $84,000 Fargo Company - (280) (300) = 84,000	
TRANSPORTATION	38,000
Travel ($150 per trip)(4 trips) (30 prime sponsors) = $18,000 Per Diem (400 days) (50) = $20,000.	
OTHER COSTS	4,000
Reproduction - $2,000 Communications - $2,000	
FEE @ 7%	
(0.7) ($84,000 + $38,000 + $4,000)	8,820
TOTAL	$218,820

APPROVAL OF AWARD

SUBCONTRACT NO.	
	SB5408(a)80-C064
PRIME CONTRACT NO.	
17-0005-72	
COMPANY	TOTAL AMOUNT
James H. Lowry & Associates	$383,118.40

ITEM(S)

Analysis of present Management Information System for CETA prime sponsors

APPROVED FOR BUSINESS DEVELOPMENT

Gary Peeler — 4-10-80

BDS Signature — Date

APPROVED FOR LEGAL SUFFICIENCY as to contract only

for Michael Cole — 4-10-80

Counsel — Date

APPROVED FOR CONTRACT AWARD

Vivian Abraham — 4-10-80

Negotiator — Date

SBA FORM 1316 (4-75) REF: SOP 60 41 1A PREVIOUS EDITIONS ARE OBSOLETE

Office of Inspector General
Report of Special Agent

U.S. Department of Labor

Type of Report	City/State of Investigation	DOL Program
☐ Preliminary ☒ Final	CHICAGO, ILLINOIS	CETA
☐ Special ☐ Supplemental	Date of Report: JANUARY 14, 1981	Case Number: 50-0599-0029
Subject: JAMES H. LOWRY & ASSOCIATES	Reviewers' Initials / Date Reviewed	
Special Agent: CLARENCE A. COLLINS, JR.	Regional Office: CHICAGO RIO	

1. Your attention is invited to the previous Report of Special Agent, OIG-104, dated December 18, 1980, which provides details regarding field investigations conducted at Chicago, Illinois, through November 25, 1980.

2. Investigative efforts were continued by this office from November 26, 1980, to January 7, 1981. However, this investigation did not develop evidence of any criminality by LOWRY regarding invoices submitted under either the ETA Region V MIS Evaluation Contract or the City of Chicago Mayor's Office Labor Market Orientation Program Contract. Therefore, the Chicago RIO is closing this file.

3. The Chicago ETA Regional Administrator, THOMAS C. KOMAREK, was informed of the results of this investigation via an Investigative Memorandum dated January 14, 1981. That memorandum also provides details regarding the field investigations conducted through January 7, 1980.

Clarence A. Collins, Jr.
Special Agent

For Official Use Only
This report and attachments are the property of the Office of Inspector General, U.S. Department of Labor. Neither it nor its contents may be distributed outside this agency without headquarters approval.