



AGGRAVATING AND MITIGATING FACTORS (FAR 9.406-1 and NCR §180.860)

YES/NO/NA

The actual or potential harm or impact that results or may result from the wrongdoing;

The frequency of incidents and/or duration of the wrongdoing;

Whether there is a pattern or prior history of wrongdoing;

Whether wrongdoing was pervasive in the organization;

The kinds of positions held by individuals involved in the wrongdoing;

Whether principals tolerated the wrongdoing;

Whether there were effective standards of conduct and internal control systems in place at the time of the misconduct;

The misconduct was brought to the attention of Commerce or another federal agency in a timely manner;

The respondent investigated the circumstances surrounding misconduct and made the result of the investigation available to the SDO;

Cooperation with the investigation;

Paid or agreed to pay full restitution, as well as any investigative or administrative costs incurred;

Took appropriate disciplinary action against the individuals responsible for the misconduct;

Implemented or agreed to implement remedial measures;

Instituted or agreed to institute new or revised review and control procedures and ethics training programs;

Whether you are or have been excluded or disqualified by an agency of the Federal Government;

Whether you have entered into an administrative agreement with a Federal agency or a State or local government;

To what extent you planned, initiated, or carried out the wrongdoing;

Has had adequate time to eliminate the circumstances within the respondent's organization that led to the misconduct; and

Recognized and understood the seriousness of the misconduct and has implemented programs to prevent recurrence.