



RESEARCH  
AND ENGINEERING

## THE UNDER SECRETARY OF DEFENSE

3030 DEFENSE PENTAGON  
WASHINGTON, DC 20301-3030

June 29, 2020

MEMORANDUM FOR UNDER SECRETARY OF DEFENSE FOR ACQUISITION AND  
SUSTAINMENT  
ASSISTANT SECRETARY OF DEFENSE FOR ACQUISITION  
SERVICE ACQUISITION EXECUTIVES  
COMMANDER, UNITED STATES SPECIAL OPERATIONS  
COMMAND

SUBJECT: Collecting Assistance Award Information As Required in Section 1281(d) (1) of the  
National Defense Authorization Act for Fiscal Year 2020

Section 1281(d)(1) of the National Defense Authorization Act for FY 2020 directs the Secretary of Defense to collect appropriate information about researchers funded by the Department for the purpose of maintaining necessary security controls. In compliance with this, I direct Department of Defense (DoD) grants managers and other personnel supporting the award and administration of grants, cooperative agreements, technology investment agreements, and other non-procurement transactions (collectively, “research assistance awards”) to take the following actions for all research and research-related educational activities supported by these types of DoD instruments:

- Include, as a mandatory requirement, the Research Performance Progress Report (RPPR) section titled “Participants and Other Collaborating Organizations” for all new research assistance awards issued on or after the effective date of this memorandum.
  - This reporting requirement will be included in part 5 (Financial, Programmatic, and Property Reporting), article I (Performance Management, Monitoring, and Reporting), section A, of the Component addendum to the “DoD Research and Development General Terms and Conditions” for interim and final performance reports.
- Include, as part of the prior approval documentation required for any changes in key personnel identified in award documents, the current and pending information described in section 1(a) in the attached March 20, 2019, memorandum, “Actions for the Protection of Intellectual Property, Controlled Information, Key Personnel, and Critical Technologies.”

If a research assistance award recipient fails to comply with these requirements, grants officers may apply corrective actions as prescribed in 2 CFR § 200.338. These requirements will allow the Department to understand who is working on Department funded research and whether key personnel have any inappropriate conflicts of interest. This information will, in turn, help maintain the security and integrity of the Department-funded research community.

This memorandum becomes effective 30 business days after it is signed and is effective until replaced or rescinded.

GRIFFIN.MI Digitally signed by  
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281658677 Date: 2020.06.29  
16:48:54 -04'00'  
Michael D. Griffin

Enclosure:  
As stated