



RESEARCH  
AND ENGINEERING

**DRAFT**

ASSISTANT SECRETARY OF DEFENSE

3030 DEFENSE PENTAGON  
WASHINGTON, DC 20301-3030

MEMORANDUM FOR SECRETARY OF THE ARMY

ATTN: DEPUTY ASSISTANT SECRETARY OF THE ARMY  
(PROCUREMENT)

ATTN: DEPUTY ASSISTANT SECRETARY OF THE ARMY  
(RESEARCH & TECHNOLOGY)

SECRETARY OF THE NAVY

ATTN: CHIEF OF NAVAL RESEARCH

SECRETARY OF THE AIR FORCE

ATTN: DEPUTY ASSISTANT SECRETARY OF THE AIR  
FORCE (CONTRACTING)

ATTN: DEPUTY ASSISTANT SECRETARY OF THE AIR  
FORCE (SCIENCE, TECHNOLOGY & ENGINEERING)

CHAIRMAN, JOINT CHIEFS OF STAFF

ATTN: COMMANDER, U.S. SPECIAL OPERATIONS  
COMMAND

DIRECTORS OF THE DEFENSE AGENCIES

DIRECTORS OF THE DOD FIELD ACTIVITIES

SUBJECT: Appropriations Act Restrictions on Grants and Cooperative Agreements

The guidance in Attachment 1 to this memorandum implements FY 2012 appropriations act provisions that restrict grant and cooperative agreement awards to corporations with recent felony convictions or unpaid Federal tax liabilities (see Attachment 2). The guidance also provides an approach that DoD Components may tailor to implement the same or similar provisions if, as anticipated, they are included in FY 2013 appropriations acts. These provisions affecting awards to corporations are relevant to DoD because many universities, university-affiliated research foundations, and other nonprofit entities to which we award grants and agreements are incorporated.

DoD Components must disseminate this guidance to all offices that make grant or cooperative agreement awards, including Technology Investment Agreements. They also must distribute it to offices with programs under which those awards are made. Please refer any questions about this matter to Dr. Mark Herbst ([mark.herbst@osd.mil](mailto:mark.herbst@osd.mil), 571-372-6547).

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Alan R. Shaffer  
Principal Deputy

Attachments: As stated

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