



**Recipient Information**

**1. Recipient Name**

HAVA INC  
1960 Tremont Rd  
Charlottesville, VA 22911-8631

**2. Congressional District of Recipient**  
05

**3. Payment System Identifier (ID)**

1832158863A1

**4. Employer Identification Number (EIN)**

832158863

**5. Data Universal Numbering System (DUNS)**

117572793

**6. Recipient's Unique Entity Identifier (UEI)**

GMEGAUQWJW48

**7. Project Director or Principal Investigator**

Mr. Nick Cienski  
nickcienski85@gmail.com  
410-207-8531

**8. Authorized Official**

Dr. Bala Mulloth Ph.D  
CEO  
bmulloth@gmail.com  
â(434) 989-3355â-

**Federal Agency Information**

CDC Office of Financial Resources

**9. Awarding Agency Contact Information**

Ms. Janice Williams  
Grant Management Specialist  
ppl7@cdc.gov  
404-498-2801

**10. Program Official Contact Information**

Dr. BRIDGETTE E GARRETT  
Scientific Program Official  
NIOSH  
bgarrett@cdc.gov  
770.488.5715

**Federal Award Information**

**11. Award Number**

1 R43OH012425-01-00

**12. Unique Federal Award Identification Number (FAIN)**

R43OH012425

**13. Statutory Authority**

Sections 301 and 405 of the Public Health Service Act as amended (42 USC 241 and 284) and under Federal Regulations 42 CFR Part 52 and 45 CFR Part 75

**14. Federal Award Project Title**

Rapid Production of Metal Organic Framework - Fabrics for Air Filtration

**15. Assistance Listing Number**

93.103

**16. Assistance Listing Program Title**

Food and Drug Administration Research

**17. Award Action Type**

New

**18. Is the Award R&D?**

Yes

**Summary Federal Award Financial Information**

<b>19. Budget Period Start Date</b>	09/01/2022	<b>- End Date</b>	08/31/2023
<b>20. Total Amount of Federal Funds Obligated by this Action</b>	\$259,484.00		
20a. Direct Cost Amount	\$219,066.00		
20b. Indirect Cost Amount	\$40,418.00		
<b>21. Authorized Carryover</b>	\$0.00		
<b>22. Offset</b>	\$0.00		
<b>23. Total Amount of Federal Funds Obligated this budget period</b>	\$0.00		
<b>24. Total Approved Cost Sharing or Matching, where applicable</b>	\$0.00		
<b>25. Total Federal and Non-Federal Approved this Budget Period</b>	\$259,484.00		
<b>26. Period of Performance Start Date</b>	09/01/2022	<b>- End Date</b>	08/31/2023
<b>27. Total Amount of the Federal Award including Approved Cost Sharing or Matching this Period of Performance</b>	\$259,484.00		

**28. Authorized Treatment of Program Income**

ADDITIONAL COSTS

**29. Grants Management Officer - Signature**

Ms. Mary Pat Shanahan  
Grants Management Officer

**30. Remarks**



Award# 1 R43OH012425-01-00

FAIN# R43OH012425

Federal Award Date: 08/19/2022

<b>Recipient Information</b>	
<b>Recipient Name</b> HAVA INC 1960 Tremont Rd Charlottesville, VA 22911-8631	
<b>Congressional District of Recipient</b> 05	
<b>Payment Account Number and Type</b> 1832158863A1	
<b>Employer Identification Number (EIN) Data</b> 832158863	
<b>Universal Numbering System (DUNS)</b> 117572793	
<b>Recipient's Unique Entity Identifier (UEI)</b> GMEGAUQWJW48	
<b>31. Assistance Type</b> Formula Grant	
<b>32. Type of Award</b> Other	

<b>33. Approved Budget</b> (Excludes Direct Assistance)	
i. Financial Assistance from the Federal Awarding Agency Only	
ii. Total project costs including grant funds and all other financial participation	
<b>a. Salaries and Wages</b>	\$19,400.00
<b>b. Fringe Benefits</b>	\$0.00
<b>c. Total Personnel Costs</b>	\$19,400.00
<b>d. Equipment</b>	\$0.00
<b>e. Supplies</b>	\$35,000.00
<b>f. Travel</b>	\$4,320.00
<b>g. Construction</b>	\$0.00
<b>h. Other</b>	\$60,846.00
<b>i. Contractual</b>	\$99,500.00
<b>j. TOTAL DIRECT COSTS</b>	<b>\$219,066.00</b>
<b>k. INDIRECT COSTS</b>	<b>\$40,418.00</b>
<b>l. TOTAL APPROVED BUDGET</b>	<b>\$259,484.00</b>
<b>m. Federal Share</b>	<b>\$259,484.00</b>
<b>n. Non-Federal Share</b>	<b>\$0.00</b>

<b>34. Accounting Classification Codes</b>						
FY-ACCOUNT NO.	DOCUMENT NO.	ADMINISTRATIVE CODE	OBJECT CLASS	CFDA NO.	AMT ACTION FINANCIAL ASSISTANCE	APPROPRIATION
2-939ZUQW	22R43OH012425	SBIR	41.41	93.103	\$259,484.00	75-22-0953

# AWARD ATTACHMENTS

HAVA INC

1 R43OH012425-01-00

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1. Terms and Conditions/SBIR

## AWARD INFORMATION

**Incorporation:** In addition to the federal laws, regulations, policies, and CDC General Terms and Conditions for Research awards at <https://www.cdc.gov/grants/federalregulationspolicies/index.html>, the Centers for Disease Control and Prevention (CDC) hereby incorporates Notice of Funding Opportunity (NOFO) number **PAR21-259, entitled "PHS 2021-02 Omnibus Solicitation of the NIH, CDC, and FDA for Small Business Innovation Research Grant Applications (Parent SBIR [R43/R44] Clinical Trial Not Allowed"**, and application dated January 5, 2022, as may be amended, which are hereby made a part of this Research award hereinafter referred to as the Notice of Award (NOA).

Note: Due to grants management administration system parameters, the budget category names on Page 1 of this NOA may be altered from the budget categories submitted with the SF-424 Research and Related Budget application.

**Approved Funding:** Funding in the amount of \$259,484 is approved for the Year 01 budget period, which is July 1, 2022, through June 30, 2023. All future year funding will be based on satisfactory programmatic progress and the availability of funds.

The federal award amount is subject to adjustment based on total allowable costs incurred and/or the value of any third-party in-kind contribution when applicable.

Note: Refer to the Payment Information section for draw down and Payment Management System (PMS) subaccount information.

Recipients are to review the **Payment Management System (PMS)** Subaccount section in this document to determine the appropriate subaccount document number for the referenced Component. Program specific authorizing legislation, budgetary appropriations, or similar authority may require the creation of more than one subaccount document number per award.

**Financial Assistance Mechanism:** Grant

**Expanded Authority:** The recipient is permitted expanded authorities in the administration of the award.

Carryover of unobligated balances from one budget period to one other budget period. Unobligated funds may be used for purposes within the scope of the project as originally approved. If the GMO determines that some or all of the unobligated funds are not necessary to complete the project, the GMO may restrict the recipient's authority to automatically carry over unobligated balances in the future, use the balance to reduce or offset CDC funding for a subsequent budget period, or use a combination of these actions.

Extension of final budget period of a period of performance without additional funds up to 12 months with no change in the scope of work to ensure adequate completion of the originally approved project or program. The recipient must notify the awarding office and request an amendment in eRA Commons of the extension at least 10 days before the expiration date of the period of performance. Upon notification, the awarding office will revise the period of performance ending date and provide an acknowledgement to the recipient.

**Program Income:** Any program income generated under this grant or cooperative agreement will be used in accordance with the Addition alternative.

Addition alternative: Under this alternative, program income is added to the funds committed to the project/program and is used to further eligible project/program objectives.

Note: The disposition of program income must have written prior approval from the GMO.

## **FUNDING RESTRICTIONS AND LIMITATIONS**

**Certificate of Confidentiality:** Institutions and investigators are responsible for determining whether research they conduct is subject to Section 301(d) of the Public Health Service (PHS) Act. Section 301(d), as amended by Section 2012 of the 21st Century Cures Act, P.L. 114-255 (42 U.S.C. 241(d)), states that the Secretary shall issue Certificates of Confidentiality (Certificates) to persons engaged in biomedical, behavioral, clinical, or other research activities in which identifiable, sensitive information is collected. In furtherance of this provision, CDC supported research commenced or ongoing after December 13, 2016, in which identifiable, sensitive information is collected, as defined by Section 301(d), is deemed issued a Certificate and therefore required to protect the privacy of individuals who are subjects of such research. Certificates issued in this manner will not be issued as a separate document but are issued by application of this term and condition to this award. See Additional Requirement 36 to ensure compliance with this term and condition. The link to the full text is at: <https://www.cdc.gov/grants/additionalrequirements/ar-36.html>.

**Indirect Costs:** Indirect Costs are approved per the HHS SBIR/STTR policy directive, which allows a maximum rate of 40% of direct costs for Phase 1 awards. Recipients are reminded that only the actual indirect costs may be charged to this grant. The indirect rate must be adjusted for IR&D expenses, which are unallowable under HHS awards.

**Allowable Fee:** A Fee of **8%** is allowable and included in this award per HHS SBIR/Policy and the Program Announcement. Fee shall be drawn down from the HHS Payment Management System in increments proportionate to the drawn of funds for costs. The profit or fee applies solely to the direct recipient of the SBIR award and not to any other participant; however, in accordance with normal commercial practice, the recipient may pay a profit or fee to a contractor providing routine goods or services under the grant. The amount claimed for fee should be reported as an outlay on the Federal Financial Report (FFR).

## **REPORTING REQUIREMENTS**

**Required Disclosures for Federal Awardee Performance and Integrity Information System (FAPIIS):** Consistent with 45 CFR 75.113, applicants and recipients must disclose in a timely manner, in writing to the CDC, with a copy to the HHS Office of Inspector General (OIG), all information related to violations of federal criminal law involving fraud, bribery, or gratuity violations potentially affecting the federal award. Subrecipients must disclose, in a timely manner in writing to the prime recipient (pass through entity) and the HHS OIG, all information related to violations of federal criminal law involving fraud, bribery, or gratuity violations potentially affecting the federal award. Disclosures must be sent in writing to the CDC and to the HHS OIG at the following addresses:

Janice D. Williams, Grants Management Officer/Specialist  
Centers for Disease Control and Prevention

Office of Grants Services (OGS) – Branch II Research  
Office of Financial Resources (OFR)  
2939 Flowers Road, Room 2219.01  
Atlanta, Georgia 30341  
Fax: 770-488-8350 (Include “Mandatory Grant Disclosures” in subject line)  
Email: [ppl7@cdc.gov](mailto:ppl7@cdc.gov) (Include “Mandatory Grant Disclosures” in subject line)

AND

U.S. Department of Health and Human Services  
Office of the Inspector General  
ATTN: Mandatory Grant Disclosures, Intake Coordinator  
330 Independence Avenue, SW  
Cohen Building, Room 5527  
Washington, DC 20201

Fax: (202)-205-0604 (Include “Mandatory Grant Disclosures” in subject line) or  
Email: [MandatoryGranteeDisclosures@oig.hhs.gov](mailto:MandatoryGranteeDisclosures@oig.hhs.gov)

Recipients must include this mandatory disclosure requirement in all subawards and contracts under this award.

Failure to make required disclosures can result in any of the remedies described in 45 CFR 75.371. Remedies for noncompliance, including suspension or debarment (See 2 CFR parts 180 and 376, and 31 U.S.C. 3321).

CDC is required to report any termination of a federal award prior to the end of the period of performance due to material failure to comply with the terms and conditions of this award in the OMB-designated integrity and performance system accessible through SAM (currently FAPIIS). (45 CFR 75.372(b)) CDC must also notify the recipient if the federal award is terminated for failure to comply with the federal statutes, regulations, or terms and conditions of the federal award. (45 CFR 75.373(b))

## **PAYMENT INFORMATION**

**Payment Management System Subaccount:** Funds awarded in support of approved activities have been obligated in a newly established subaccount in the PMS, herein identified as the “P Account”. Funds must be used in support of approved activities in the NOFO and the approved application. All award funds must be tracked and reported separately.

The grant document number identified on the first page of the NOA must be known in order to draw down funds.

## **CLOSEOUT REQUIREMENTS**

**Life Cycle Certification:** Recipients for Small Business Innovation Research (SBIR) and Small Business Technology Transfer (STTR) awards must submit certifications as to whether they are in compliance with Program requirements. Phase 1 recipients shall submit a completed Life Cycle Certification at the time of final payment or disbursement from PMS. Phase 2 recipients must submit the Life Cycle Certification prior to receiving 50% of the total award and prior to final payment or

disbursement. For more information and access to SBIR/STTR forms go to:  
[https://grants.nih.gov/grants/forms/manage\\_a\\_small\\_business\\_award.htm](https://grants.nih.gov/grants/forms/manage_a_small_business_award.htm).

**Final Research Performance Progress Report:** The Final RPPR is completed and submitted to CDC by using the NIH eRA Commons system. Refer to the “NIH and Other PHS Agency RPPR Instruction Guide” at [https://grants.nih.gov/sites/default/files/rppr\\_instruction\\_guide.pdf](https://grants.nih.gov/sites/default/files/rppr_instruction_guide.pdf) for detailed instructions on completing the report, there are no forms to download, this is an online report.

**Final Federal Financial Report (FFR, SF-425):** The FFR should only include those funds authorized and expended during the performance period of this award. The Final FFR, SF-425 is required and must be submitted no later than 120 days after the period of performance end date.

Recipients with a period of performance (project period) end date on or before 9/30/2020 will submit their final FFRs 120 days after the end of the period of performance via [eRA Commons](#). Recipients with a period of performance ending after 9/30/2020 will be required to submit their final FFR through their online accounts in the Payment Management System (PMS) 120 days after the end of the period of performance. The final FFR will consolidate data reporting responsibilities to one entry point within PMS which will assist with the reconciliation of expenditures and disbursements to support the timely close-out of grants.

The final FFR must indicate the exact balance of unobligated funds and may not reflect any unliquidated obligations. Remaining unobligated funds will be de-obligated and returned to the U.S. Treasury unless a competing continuation has been awarded.

Every recipient should already have a PMS account to allow access to complete the SF-425. Additional guidance on submission of Federal Financial Reports can be found at <https://www.cdc.gov/grants/documents/change-in-federal-reporting-fy-2021-recipients.pdf>.

**Equipment and Supplies - Tangible Personal Property Report (SF-428):** A completed Tangible Personal Property Report SF-428 and Final Report SF-428B addendum must be submitted, along with any Supplemental Sheet SF-428S detailing all major equipment acquired or furnished under this project with a unit acquisition cost of \$5,000 or more.

Electronic versions of the forms can be downloaded by visiting:  
<https://www.grants.gov/web/grants/forms/post-award-reporting-forms.html#sortby=1>.

If no equipment was acquired under an award, a negative or null report is still required.

The recipient must identify each item of equipment that it wishes to retain for continued use in accordance with 45 CFR Part 75. The awarding agency may exercise its rights to require the transfer of equipment purchased under the assistance award. CDC will notify the recipient if transfer to title will be required and provide disposition instruction on all major equipment.

Equipment with a unit acquisition cost of less than \$5,000 that is no longer to be used in projects or programs currently or previously sponsored by the federal government may be retained, sold, or otherwise disposed of, with no further obligation to the federal government.

**Final Invention Statement:** A Final Invention Statement must be submitted. Electronic versions of the form can be downloaded by visiting <https://grants.nih.gov/grants/hhs568.pdf>. If no inventions were

conceived under an assistance award, a negative report is still required. This statement may be included in a cover letter.

## CDC STAFF CONTACTS

**Grants Management Specialist:** The GMS is the federal staff member responsible for the day-to-day management of grants and cooperative agreements. The GMS is the primary contact of recipients for business and administrative matters pertinent to grant awards. Many of the functions described in the GMO section are performed by the GMS, on behalf of the GMO.

**GMS Contact:**

Janice D. Williams, Grants Management Specialist  
Office of Grants Services (OGS) – Branch II Research  
Office of Financial Resources (OFR)  
Office of the Chief Operating Officer (OCOO)  
Centers for Disease Control and Prevention (CDC)  
Telephone: 404-498-2801  
Fax: 770-488-8350  
Email: [ppl7@cdc.gov](mailto:ppl7@cdc.gov)

**Grants Management Officer:** The GMO is the federal official responsible for the business and other non-programmatic aspects of grant awards. The GMO is the only official authorized to obligate federal funds and is responsible for signing the NOA, including revisions to the NOA that change the terms and conditions. The GMO serves as the counterpart to the business officer of the recipient organization.

**GMO Contact:**

Mary Pat Shanahan, Grants Management Officer  
Office of Grants Services (OGS) – Branch II Research  
Office of Financial Resources (OFR)  
Office of the Chief Operating Officer (OCOO)  
Centers for Disease Control and Prevention (CDC)  
Telephone: 412-386-4453  
Email: [mpu0@cdc.gov](mailto:mpu0@cdc.gov)

**Scientific Program Official/Project Officer:** The SPO is the federal official responsible for monitoring the programmatic, scientific, and/or technical aspects of grants and cooperative agreements, as well as contributing to the effort of the award under cooperative agreements.

**SPO Contact:**

Bridgette E. Garrett, PhD, MS  
Health Scientist/Scientific Program Official  
Centers for Disease Control and Prevention  
National Institute for Occupational Safety and Health  
Office of Extramural Programs  
770.488.5715 (Office)  
[bgarrett@cdc.gov](mailto:bgarrett@cdc.gov)