

National Cancer Institute
Contract Outcome Report Template (CORT) for SBIR R&D Contracts

Form is compatible with Adobe Acrobat Reader 7.0 or later. Fields with red frame are required – file cannot be saved until information is provided in all required fields. Required fields are in questions: 1 ,2 ,4 ,7 and 14.

1. General Information

Provide the following contract, contact person, and company information.

a. Contract Information

Contract number	HHSN261 C
Contract title	
Contract topic number (three digit number only)	
Contract start date	
Contract end date	
Contract phase	
Is this a direct Phase II contract?	
If this is a Phase II contract, please provide the corresponding Phase I contract number	HHSN261 C
Was this contract originally awarded as a fast-track?	
What was the total funding awarded under this contract?	

b. Contact Person

Last name	First name	Email address	Person's role

c. Company Information

Company name	
Previous company names (if the company has changed names during the contract time)	
Founded date	
Private Equity backed	
Funding total	

Is the company publicly traded?

If no, please proceed to question 2.

If yes, please provide the following information:

Ticker symbol	Exchange	IPO date	IPO amount	Market cap	Market cap date	Did SBIR-funded progress lead to the IPO?

2. Objective Descriptions and Results

List all objectives and milestones as stated in Section F of the SBIR contract along with the completion status and outcomes for each item. Outcomes should include any new products or technology resulting from the specific objective/milestone as well as lessons learned through the execution of the activity. If the objective/milestone has not been completed, please provide a brief description of the associated R&D effort performed along with any partial outcomes from the accomplished effort.

Brief objective description	List of milestones by objective	Milestone status
Objective status		
Brief technical description of objective results		

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Objective status		
Brief technical description of objective results		

3. Project Status

Choose the statement below that most accurately reflects the status of your project at the end of the contract.

3a.	Has the R&D effort of the project produced deliverables indicating progress towards a commercially viable product?			
	Technology development efforts under this contract have demonstrated progress toward a commercially and/or technically viable product <i>(please proceed to question 4)</i>	We made a significant pivot in the direction of the project funded by this contract and are pursuing a new path <i>(please answer 3b below)</i>	The project funded by this contract was abandoned <i>(please answer 3b below)</i>	
3b.	If a pivot was made in the project direction, or the project was abandoned, what important factors led to the change? Select all that apply.			
	We have identified a new market opportunity for our technology (e.g. customer segment or indication) and are pursuing this new path	Unforeseen technical challenges (e.g. vital key assays were not feasible)	Administrative challenges (e.g. supply chain issues, or an inability to access resources or facilities, etc.)	Other

4. Brief Summary of Current Project Status

Provide a brief explanation to support your project status response in question 3.

5. Publications

Provide a list of publications associated with the activities and products of this contract. For each publication, list the name of the product that is supported by this contract and associated with the publication. Only include peer-reviewed journal articles; do not include conference proceedings, abstracts, or other presentations.

Contract activity and/or product name associated with the publication	First author name (format: last name, first name)	Article author(s) associated with the company	Publication title	Journal
Publication year	PMID			

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Publication year	PMID			

6. Intellectual Property

Provide information on all intellectual property (IP) filings associated with the activities and products of this contract, including patents (filed, provisional, and issued), trademarks, copyrights, and invention reports. For each IP filing, list the name of the product that is supported by this contract and associated with the IP filing.

a. Patents

Contract activity and/or product name associated with the patent	Assignees	Inventors	Patent title	List all countries where technology was patented
Patent type				
Application number				
Application date				
Patent number				
Patent grant date				

Contract activity and/or product name associated with the patent	Assignees	Inventors	Patent title	List all countries where technology was patented
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Application number				
Application date				
Patent number				
Patent grant date				

b. Trademarks

Contract activity and/or product name associated with the trademark	Status	Trademark application (mark) number	Title	Filing date

c. Copyrights

Copyright notice	Contract activity and/or product name associated with the copyright	Copyright statement	Publication date

d. Invention Reports

Contract activity and/or product name associated with the invention report	Inventor institution	Grant # or contract # associated with the invention	Invention title	Was this invention reported to iEdison?	If invention was reported to iEdison, please provide:	
					Invention report number	Report date

7. Technology Area

Choose the technology area for your product. If your product will need regulatory approval, use the required approval path to determine the area classification for your product. Example: if you will submit a regulatory application to FDA/CDER you should choose “drug” as the technology area.

8. Regulatory Approval

List all regulatory applications and approvals that resulted from the activities and products of this contract. This may include regulatory filings, submissions, meetings, or pre-submissions with any domestic or foreign regulatory agency.

Contract activity and/or product name associated with the regulatory approval	Country	Type	Regulatory Status	Filing Date

9. Clinical Trials

List any proposed, initiated, ongoing, and/or completed clinical trials, domestic or foreign, associated with the activities and products of this contract.

Contract activity and/or product name associated with the clinical trial	Country	Trial phase/ Trial status	Clinical indication	Trial registered on clinical trials.gov?	NCT number	Other clinical trial ID	Title
		Trial phase					
		Trial phase					
		Trial phase					
		Trial phase					
		Trial phase					
		Trial phase					
		Trial phase					

10. Independent Private or Public Sector Funding

List any fundraising that the activities and products of this contract have generated or enabled. Include the distinct firms and their individual amounts contributed within a funding series if multiple funders contributed to a round. Regarding 'Investor Type,' a **Strategic Partner** is defined as: An agreement formed between a small business and large biotechnology company to bring together the competencies of each party to advance the product toward commercialization.

Contract activity and/or product name associated with the funding	Financing firm	Investor type/ Financing type	Date	Deal value	Country/State	How did the award enable this funding?
		Investor type			Country	
		Financing type			State	
		Investor type			Country	
		Financing type			State	
		Investor type			Country	
		Financing type			State	
		Investor type			Country	
		Financing type			State	
		Investor type			Country	
		Financing type			State	
		Investor type			Country	
		Financing type			State	

11. Licensing and Partnership Agreements

List any licensing or partnership agreements associated with the activities and products of this contract. This includes any in-licensing agreements of products or technologies used to develop the contract outputs in addition to any out-licensing of the contract outputs to external entities. Additionally, list any partnership agreements created to enable contract activities or as a result of the contract. Partnerships **do not** include service/product vendors used within the contract.

Contract activity and/or product name associated with the agreement	Agreement type	Licensee/ Licensor/ Partner name	Date	Brief description of agreement

12. Products

List all products developed through the activities associated with this contract. Include whether or not the product has been released and its total sales and use data, if applicable. Estimated units in use number should also include units that are provided for testing, evaluating or marketing purposes.

Product name	Is the product for sale?	Date introduced to the market	Estimated product revenue (US market)	Estimated product revenue (foreign market)	Estimated units in use on US market	Estimated units in use on foreign market	Brief description of product

13. Mergers and Acquisitions

List any major company mergers or acquisitions associated with the activities and products of this contract. Please include how the project enabled the merger/acquisition within the brief description.

Acquirer	Acquired organization	Merger or acquisition value	Status of merger or acquisition	Date (completed or anticipated)	Was the funded SBIR project the main reason for the M&A event?	Provide brief description about M&A event

14. Employees

Provide the annual data for employment supported by the SBIR contract funding as well as the total employee size of your company for each year. Include all FTE employees (W-2, 1099, postdocs, fellowship, internship, etc.).

Year	Number of full time equivalent employees directly supported by this award	Estimated number of employees attributed to all previous and current SBIR funding (from any federal agency)	Total number of full time equivalent (FTE) employees