

# **PROTOCOL DEVIATIONS AT DATABASE LOCK (29/04/2019)**

<b>Centre</b>	<b>Pt. ID</b>	<b>Category of deviation</b>	<b>Deviation short name</b>
Site 01	01-002	G – Visit Schedule/Interval	Interval between infusions not respected
Site 01	01-006	D – Study Procedures	On study frequency of QLQ not respected
Site 01	01-013	G – Visit Schedule/Interval	Interval between infusions not respected
Site 01	01-014	F – Study Treatment Dosing	Dose re-escalated after reduction
Site 01	01-014	H - Other	Use of study labelled medication on non-study patient
Site 01	01-016	F – Study Treatment Dosing	Protocol dosing schedule not respected (75% at start instead of 100%)
Site 01	01-016	G – Visit Schedule/Interval	Interval between infusions not respected
Site 01	01-016	G – Visit Schedule/Interval	Interval between tumour evaluations by imaging not respected (longer than 10 weeks). Intervals shorter than 6 weeks were not considered as deviations.
Site 01	01-017	F – Study Treatment Dosing	Dose adjustment not as per protocol
Site 01	01-018	D – Study Procedures	On study frequency of QLQ not respected
Site 01	01-018	G – Visit Schedule/Interval	Interval between lab tests not respected
Site 01	01-020	D – Study Procedures	EoT visit not done within protocol timelines
Site 01	01-020	D – Study Procedures	On study frequency of QLQ not respected
Site 01	01-020	F – Study Treatment Dosing	Dose adjustment not as per protocol
Site 01	01-021	G – Visit Schedule/Interval	Interval between infusions not respected
Site 01	01-022	D – Study Procedures	EoT visit not done within protocol timelines; pt continued after DP
Site 01	01-023	F – Study Treatment Dosing	Dose adjustment not as per protocol
Site 01	01-027	D – Study Procedures	On study frequency of QLQ not respected
Site 01	01-032	D – Study Procedures	C1D1 vital signs not done prior to infusion
Site 01	01-035	D – Study Procedures	On study frequency of QLQ not respected
Site 01	01-035	D – Study Procedures	On study frequency of QLQ not respected
Site 01	01-037	D – Study Procedures	On study frequency of QLQ not respected
Site 01	01-037	D – Study Procedures	On study frequency of QLQ not respected
Site 02	02-001	D – Study Procedures	Baseline CEA not done
Site 02	02-003	E – Serious Adverse Event Reporting	SAE not reported within requested timelines
Site 02	02-004	D – Study Procedures	On study frequency of QLQ not respected
Site 02	02-004	G – Visit Schedule/Interval	Interval between tumour evaluations by imaging not respected (longer than 10 weeks). Intervals shorter than 6 weeks were not considered as deviations.
Site 02	02-005	D – Study Procedures	On study frequency of QLQ not respected
Site 02	02-005	G – Visit Schedule/Interval	Interval between infusions not respected
Site 02	02-007	D – Study Procedures	Baseline CEA not done
Site 02	02-007	E – Serious Adverse Event Reporting	SAE not reported within requested timelines

Site 02	02-007	F – Study Treatment Dosing	Dose re-escalated after reduction
Site 02	02-007	G – Visit Schedule/Interval	Interval between infusions not respected
Site 02	02-007	G – Visit Schedule/Interval	Interval between lab tests not respected
Site 02	02-007	F – Study Treatment Dosing	Dose adjustment not as per protocol
Site 02	02-007	G – Visit Schedule/Interval	Interval between tumour evaluations by imaging not respected (longer than 10 weeks). Intervals shorter than 6 weeks were not considered as deviations.
Site 02	02-010	B – Inclusion/Exclusion Criteria	No QLQ completed. Patient not eligible for main endpoint analysis.
Site 02	02-011	D – Study Procedures	On study frequency of QLQ not respected
Site 02	02-011	G – Visit Schedule/Interval	Interval between infusions not respected
Site 02	02-011	G – Visit Schedule/Interval	Interval between tumour evaluations by imaging not respected (longer than 10 weeks). Intervals shorter than 6 weeks were not considered as deviations.
Site 02	02-013	D – Study Procedures	On study frequency of QLQ not respected
Site 02	02-013	F – Study Treatment Dosing	Dose re-escalated after reduction
Site 02	02-013	F – Study Treatment Dosing	Dose re-escalated after reduction
Site 02	02-013	F – Study Treatment Dosing	Dose adjustment not as per protocol
Site 02	02-013	F – Study Treatment Dosing	Dose adjustment not as per protocol
Site 02	02-015	D – Study Procedures	On study frequency of QLQ not respected
Site 02	02-015	D – Study Procedures	On study frequency of QLQ not respected
Site 02	02-015	G – Visit Schedule/Interval	Interval between infusions not respected
Site 02	General	D – Study Procedures	On study frequency of QLQ not respected
Site 03	03-002	D – Study Procedures	Baseline vital signs not done
Site 03	03-002	D – Study Procedures	On study frequency of QLQ not respected
Site 03	03-002	E – Serious Adverse Event Reporting	SAE not reported within requested timelines
Site 03	03-003	D – Study Procedures	Lab C1D1 not done
Site 03	03-003	E – Serious Adverse Event Reporting	SAE not reported within requested timelines
Site 03	03-004	G – Visit Schedule/Interval	Interval between infusions not respected
Site 04	04-003	G – Visit Schedule/Interval	Interval between lab tests not respected
Site 04	04-004	G – Visit Schedule/Interval	Interval between infusions not respected
Site 04	04-007	G – Visit Schedule/Interval	Interval between lab tests not respected
Site 05	05-001	A – Consent Procedures	ICF page for optional biopsy was not signed. Biopsy not taken.
Site 05	05-001	B – Inclusion/Exclusion Criteria / D – Study Procedures	Baseline coagulation not done
Site 05	05-002	D – Study Procedures	On study frequency of QLQ not respected
Site 05	05-003	A – Consent Procedures	ICF page for optional biopsy was not signed. Biopsy not taken.
Site 05	05-004	G – Visit Schedule/Interval	Interval between infusions not respected
Site 05	05-005	E – Serious Adverse Event Reporting	SAE not reported within requested timelines
Site 06	06-001	G – Visit Schedule/Interval	Interval between lab tests not respected

Site 06	06-002	E – Serious Adverse Event Reporting	SAE original source doc not available, copy available
Site 06	06-002	F – Study Treatment Dosing	Dose reduction and re-escalated after reduction
Site 06	06-002	G – Visit Schedule/Interval	Interval between lab tests not respected
Site 06	06-003	A – Consent Procedures	Copy of original signed ICF not given to patient
Site 06	06-003	E – Serious Adverse Event Reporting	SAE original source doc not available, copy available
Site 06	06-003	F – Study Treatment Dosing	Dose adjustment not as per protocol
Site 07	07-001	F – Study Treatment Dosing	Dose adjustment not as per protocol
Site 07	07-002	F – Study Treatment Dosing	Dose re-escalated after reduction
Site 07	07-004	F – Study Treatment Dosing	Per protocol dose not respected
Site 07	07-008	G – Visit Schedule/Interval	EoT visit not done within protocol timelines
Site 08	08-001	G – Visit Schedule/Interval	Interval between infusions not respected
Site 08	08-001	G – Visit Schedule/Interval	Interval between infusions not respected
Site 08	08-001	G – Visit Schedule/Interval	Interval between tumour evaluations by imaging not respected (longer than 10 weeks). Intervals shorter than 6 weeks were not considered as deviations.
Site 09	09-002	A – Consent Procedures	Original signed version of the ICF V3.0 lost, only scan available. ICF was resigned upon discovery.
Site 09	09-002	B – Inclusion/Exclusion Criteria / D – Study Procedures	Baseline urine dipstick not done
Site 09	09-002	D – Study Procedures	Baseline heart rate not done
Site 09	09-002	D – Study Procedures	On study frequency of QLQ not respected
Site 09	09-002	F – Study Treatment Dosing	Dose reduction not per protocol
Site 09	09-002	G – Visit Schedule/Interval	Interval between tumour evaluations by imaging not respected (longer than 10 weeks). Intervals shorter than 6 weeks were not considered as deviations.
Site 09	09-002	G – Visit Schedule/Interval	Interval between tumour evaluations by imaging not respected (longer than 10 weeks). Intervals shorter than 6 weeks were not considered as deviations.
Site 09	09-002	G – Visit Schedule/Interval	Interval between tumour evaluations by imaging not respected (longer than 10 weeks). Intervals shorter than 6 weeks were not considered as deviations.
Site 10	10-001	B – Inclusion/Exclusion Criteria / D – Study Procedures	Baseline urine dipstick not done
Site 10	10-001	D – Study Procedures	Baseline neutrophils not done (WBC done). WBC and neutrophils done C1D1
Site 10	10-001	D – Study Procedures	Progression TR sample not done
Site 10	10-001	E – Serious Adverse Event Reporting	SAE not reported within requested timelines
Site 10	10-003	A – Consent Procedures	ICF V3.0 not presented to patient (still on study when V3.0 was released)
Site 10	10-004	G – Visit Schedule/Interval	Interval between tumour evaluations by imaging not respected (longer than 10 weeks). Intervals shorter than 6 weeks were not considered as deviations.
Site 10	10-006	A – Consent Procedures	ICF V3.0 not presented to patient (still on study when V3.0 was released)
Site 10	10-006	G – Visit Schedule/Interval	Interval between infusions not respected
Site 10	10-007	D – Study Procedures	Progression TR sample not done

Site 11	11-004	E – Serious Adverse Event Reporting	SAE not reported within requested timelines
Site 11	11-004	F – Study Treatment Dosing	Dose adjustment not as per protocol
Site 11	11-004	G – Visit Schedule/Interval	Interval between tumour evaluations by imaging not respected (longer than 10 weeks). Intervals shorter than 6 weeks were not considered as deviations.
Site 11	11-007	E – Serious Adverse Event Reporting	SAE not reported within requested timelines
Site 11	11-007	G – Visit Schedule/Interval	Interval between tumour evaluations by imaging not respected (longer than 10 weeks). Intervals shorter than 6 weeks were not considered as deviations.
Site 11	11-008	G – Visit Schedule/Interval	Interval between tumour evaluations by imaging not respected (longer than 10 weeks). Intervals shorter than 6 weeks were not considered as deviations.
Site 11	11-009	G – Visit Schedule/Interval	Interval between infusions not respected
Site 11	11-009	G – Visit Schedule/Interval	Interval between tumour evaluations by imaging not respected (longer than 10 weeks). Intervals shorter than 6 weeks were not considered as deviations.
Site 11	11-010	F – Study Treatment Dosing	Dose adjustment not as per protocol
Site 11	11-013	D – Study Procedures	On study frequency of QLQ not respected
Site 11	11-013	D – Study Procedures	On study frequency of QLQ not respected
Site 11	11-013	G – Visit Schedule/Interval	Interval between tumour evaluations by imaging not respected (longer than 10 weeks). Intervals shorter than 6 weeks were not considered as deviations.
Site 11	11-016	G – Visit Schedule/Interval	Interval between infusions not respected
Site 11	11-019	G – Visit Schedule/Interval	Interval between infusions not respected
Site 11	11-019	G – Visit Schedule/Interval	Interval between infusions not respected
Site 11	11-020	G – Visit Schedule/Interval	Interval between infusions not respected
Site 11	11-023	G – Visit Schedule/Interval	Interval between lab tests not respected
Site 11	11-024	D – Study Procedures	On study frequency of QLQ not respected
Site 11	11-024	G – Visit Schedule/Interval	Interval between infusions not respected
Site 11	11-024	D – Study Procedures	Pt not discontinued as per protocol for patient best interest
Site 11	11-024	D – Study Procedures	EoT visit not done within protocol timelines; pt continued after DP
Site 11	11-024	G – Visit Schedule/Interval	Interval between lab tests not respected
Site 12	12-003	G – Visit Schedule/Interval	Interval between tumour evaluations by imaging not respected (longer than 10 weeks). Intervals shorter than 6 weeks were not considered as deviations.
Site 12	12-006	F – Study Treatment Dosing	Dose adjustment not as per protocol
Site 12	12-006	F – Study Treatment Dosing	Dose adjustment not as per protocol
Site 12	12-011	F – Study Treatment Dosing	Dose adjustment not as per protocol
Site 12	12-011	D – Study Procedures	On study frequency of QLQ not respected
Site 12	12-011	G – Visit Schedule/Interval	Interval between tumour evaluations by imaging not respected (longer than 10 weeks). Intervals shorter than 6 weeks were not considered as deviations.
Site 13	13-001	G – Visit Schedule/Interval	Interval between lab tests not respected

Site 13	13-001	G – Visit Schedule/Interval	Interval between tumour evaluations by imaging not respected (longer than 10 weeks). Intervals shorter than 6 weeks were not considered as deviations.
Site 13	13-003	B – Inclusion/Exclusion Criteria	Change of diagnosis to neuroendocrine tumour after treatment start. Patient not eligible.
Site 14	14-001	H - Other	Drug misuse
Site 14	14-002	B – Inclusion/Exclusion Criteria / D – Study Procedures	Baseline coagulation not done
Site 14	14-002	D – Study Procedures	C1D1 lab not done prior to infusion; Baseline lab available
Site 14	14-002	F – Study Treatment Dosing	Dose adjustment not as per protocol
Site 16	16-001	F – Study Treatment Dosing	Dose reduction not per protocol
Site 16	16-001	G – Visit Schedule/Interval	Interval between infusions not respected
Site 16	16-001	G – Visit Schedule/Interval	Interval between infusions not respected
Site 16	16-002	D – Study Procedures	Baseline vital signs not done
Site 16	16-003	D – Study Procedures	On study frequency of QLQ not respected
Site 16	16-004	E – Serious Adverse Event Reporting	SAE not reported within requested timelines
Site 16	16-005	E – Serious Adverse Event Reporting	SAE not reported within requested timelines
Site 17	17-001	F – Study Treatment Dosing	Dose re-escalated after reduction
Site 17	17-001	G – Visit Schedule/Interval	Interval between tumour evaluations by imaging not respected (longer than 10 weeks). Intervals shorter than 6 weeks were not considered as deviations.
Site 18	18-001	E – Serious Adverse Event Reporting	SAE not reported within requested timelines
Site 18	18-002	E – Serious Adverse Event Reporting	SAE not reported within requested timelines