

16.2.2 Protocol Deviations

Listing 3: Subject-Specific Protocol Deviations

Listing 4: Non-Subject Specific Protocol Deviations

**Listing 3:
Subject-Specific Protocol Deviations**

| Subject ID | Treatment Group | Deviation Number | Deviation | Deviation Category | Study Day | Reason for Deviation | Deviation Resulted in AE? | Deviation Resulted in Subject Termination? | Deviation Affected Product Stability? | Deviation Resolution | Comments | Deviation Severity |
|-------------------|------------------------|-------------------------|---------------------------|--------------------------------|------------------|--------------------------------|----------------------------------|---|--|---|---|---------------------------|
| COV.00090 | 250 µg (18-55 years) | 1 | Too few aliquots obtained | Protocol procedure /assessment | 1 | Subject unable to comply | No | No | No | subject instructed to eat and hydrate well before clinic visit | | Non-Major |
| COV.00090 | 250 µg (18-55 years) | 2 | Too few aliquots obtained | Protocol procedure /assessment | 36 | Other: Poor quality PBMC layer | No | No | No | Deviation not due to human error | | Non-Major |
| COV.00044 | 100 µg (18-55 years) | 1 | Too few aliquots obtained | Protocol procedure /assessment | 1 | Subject unable to comply | No | No | No | Not enough blood sample after multiple sticks. Subject will be advised to hydrate more. | | Non-Major |
| COV.00043 | 100 µg (18-55 years) | 1 | Too few aliquots obtained | Protocol procedure /assessment | 1 | Other: Poor quality PBMC layer | No | No | No | Deviation not due to human error | | Non-Major |
| COV.00043 | 100 µg (18-55 years) | 2 | Too few aliquots obtained | Protocol procedure /assessment | 28 | Other: Poor quality PBMC layer | No | No | No | Deviation not due to human error | | Non-Major |
| COV.00051 | 100 µg (18-55 years) | 1 | Too few aliquots obtained | Protocol procedure /assessment | 1 | Laboratory error | No | No | No | Rinse more CPT tubes to collect buffy coat layer | Suspected that the entire buffy coat wasn't collected | Non-Major |

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|------------|----------------------|------------------|-------------------------------------|--------------------------------|-----------|--------------------------------|---------------------------|--|---------------------------------------|---|---|--------------------|
| COV.00051 | 100 µg (18-55 years) | 2 | Too few aliquots obtained | Protocol procedure /assessment | 28 | Other: Poor quality PBMC layer | No | No | No | Deviation not due to human error | | Non-Major |
| COV.00051 | 100 µg (18-55 years) | 3 | Too few aliquots obtained | Protocol procedure /assessment | 34 | Other: Poor quality PBMC layer | No | No | No | Deviation not due to human error | | Non-Major |
| COV.00049 | 100 µg (18-55 years) | 1 | Too few aliquots obtained | Protocol procedure /assessment | 1 | Other: Poor quality PBMC layer | No | No | No | Deviation not due to human error | | Non-Major |
| COV.00049 | 100 µg (18-55 years) | 2 | Required procedure done incorrectly | Protocol procedure /assessment | 55 | Clinic error | No | No | No | Remind staff to double check the amount of blood collected. | | Non-Major |
| COV.00046 | 100 µg (18-55 years) | 1 | Too few aliquots obtained | Protocol procedure /assessment | 1 | Other: Poor quality PBMC layer | No | No | No | Deviation not due to human error | | Non-Major |
| COV.00050 | 100 µg (18-55 years) | 1 | Too few aliquots obtained | Protocol procedure /assessment | 1 | Laboratory error | No | No | No | Rinse more CPT tubes to collect buffy coat layer | Suspected that entire buffy coat wasn't collected | Non-Major |
| COV.00092 | 250 µg (18-55 years) | 1 | Too few aliquots obtained | Protocol procedure /assessment | 1 | Other: poor quality PBMC layer | No | No | No | Deviation not due to human error | | Non-Major |

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|------------|----------------------|------------------|----------------------------------|--------------------------------|-----------|---|---------------------------|--|---------------------------------------|--|---|--------------------|
| COV.00092 | 250 µg (18-55 years) | 2 | Too few aliquots obtained | Protocol procedure /assessment | 56 | Other: Poor quality PBMC layer | No | No | No | Deviation not due to human error | | Non-Major |
| COV.00092 | 250 µg (18-55 years) | 3 | Too few aliquots obtained | Protocol procedure /assessment | 116 | Other: Poor quality PBMC layer | No | No | No | Deviation not due to human error | | Non-Major |
| COV.00110 | 25 µg (56-70 years) | 1 | Too few aliquots obtained | Protocol procedure /assessment | 1 | Other: Poor quality PBMC layer | No | No | No | Deviation not due to human error | Protocol deviation originally written on version 2.0. Updated to version 3.0. | Non-Major |
| COV.00116 | 25 µg (56-70 years) | 1 | Too few aliquots obtained | Protocol procedure /assessment | 58 | Other: Poor quality PBMC layer. A lot of red cell contamination | No | No | No | Deviation not due to human error | | Non-Major |
| COV.00127 | 100 µg (56-70 years) | 1 | Missed visit/visit not conducted | Follow-up visit schedule | 2 | Subject unable to comply | No | No | No | Explained the importance of completing study visits to the subject | Once contact was made with the subject, the importance of completing each study visit within the time frame was reiterated and subject responded with an understanding. | Non-Major |

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| COV.00220 | 50 µg (18-55 years) | 1 | Out of window visit | Follow-up visit schedule | 62 | Subject illness | No | No | No | unavoidable | | Non-Major |
| COV.00048 | 100 µg (18-55 years) | 1 | Out of window visit | Follow-up visit schedule | 46 | Subject refusal | No | No | No | subjects will be reminded of importance of attending study visits within window | | Non-Major |
| COV.00048 | 100 µg (18-55 years) | 2 | Required procedure done incorrectly | Protocol procedure /assessment | 46 | Subject refusal | No | No | No | subject moved out of state unexpectedly | | Non-Major |
| COV.00048 | 100 µg (18-55 years) | 3 | Required procedure done incorrectly | Protocol procedure /assessment | 55 | Subject refusal | No | No | No | subject moved out of state unexpectedly | | Non-Major |
| COV.00048 | 100 µg (18-55 years) | 4 | Out of window visit | Follow-up visit schedule | 127 | Subject unable to comply | No | No | No | subject reminded of importance of visit windows | | Non-Major |
| COV.00093 | 250 µg (18-55 years) | 1 | Required procedure not conducted | Protocol procedure /assessment | 7 | Clinic error | Yes, unsolicited AE | No | No | Coordinator re-trained on the importance of performing required procedures | | Non-Major |

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|------------|---------------------|------------------|---|--------------------------------|-----------|--------------------------|---------------------------|--|---------------------------------------|---|---|--------------------|
| COV.00105 | 25 µg (56-70 years) | 1 | Out of window visit | Follow-up visit schedule | 61 | Subject unable to comply | No | No | N/A | explained to subject the importance of remaining compliant with study protocol. | | Non-Major |
| COV.00210 | 50 µg (18-55 years) | 1 | Required procedure done incorrectly | Protocol procedure /assessment | 44 | Subject unable to comply | No | No | No | subject reminded of visit schedule | | Non-Major |
| COV.00008 | 25 µg (18-55 years) | 1 | Other: non-required lab tests performed | Protocol procedure /assessment | 1 | Laboratory error | No | No | N/A | staff instructed to review study requirements and lab form prior to submission | lab staff did not fill out requisition form properly, so complete CBC was done rather than only study required tests. | Non-Major |

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| COV.00030 | 25 µg (18-55 years) | 1 | Required procedure done incorrectly | Protocol procedure /assessment | -14 | Laboratory error | No | No | No | Lab staff will prepare tubes prior to study visit and double-check tubes again post-draw | Incorrect tube size was used during specimen collection. As a preventative measure, lab staff will prepare blood collection tubes prior to study visits and double-check again post-draw to confirm correct tubes were used. | Non-Major |
| COV.00012 | 100 µg (18-55 years) | 1 | Other: breach of confidentiality | Protocol procedure /assessment | -4 | Clinic error | No | No | N/A | retraining of study staff | subject name was included on Quest requisition form, rather than study ID. | Major |
| COV.00031 | 25 µg (18-55 years) | 1 | Required procedure not conducted | Protocol procedure /assessment | 8 | Investigator /study decision | No | No | N/A | Pt. under quarantine due to exposure, required procedures will be completed at V5 | | Non-Major |

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|------------|----------------------|------------------|---|--------------------------------------|-----------|--------------------------|---------------------------|--|---------------------------------------|--|--|--------------------|
| COV.00031 | 25 µg (18-55 years) | 2 | Other: V4 safety labs collected out of window | Protocol procedure /assessment | 17 | Subject unable to comply | No | No | N/A | Pt. unable to comply due to quarantine. V4 safety labs drawn at V5 | | Non-Major |
| COV.00079 | 250 µg (18-55 years) | 1 | Required procedure done incorrectly | Treatment administration on schedule | 28 | Subject illness | No | No | No | Will continue to attempt to complete visits per protocol | | Non-Major |
| COV.00085 | 250 µg (18-55 years) | 1 | Required procedure done incorrectly | Protocol procedure /assessment | 1 | Laboratory error | No | No | N/A | Lab staff will use a timer for visits requiring safety labs due to their shorter clot time window. | | Non-Major |
| COV.00086 | 250 µg (18-55 years) | 1 | Required procedure done incorrectly | Protocol procedure /assessment | 113 | Clinic error | No | No | N/A | Retrained staff on importance of reviewing required procedures at the end of clinic visits. | Temperature not taken in clinic at V12 on 03Aug2020. Participant reached at home same day. Reported temp 97.6 degrees F @ 09.55. | Non-Major |

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| COV.00155 | 25 µg (≥71 years) | 1 | Too few aliquots obtained | Protocol procedure /assessment | 113 | Clinic error | No | No | N/A | Discussed with staff importance of obtaining all required blood samples at each visit. | | Non-Major |
| COV.00178 | 100 µg (≥71 years) | 1 | Too few aliquots obtained | Protocol procedure /assessment | 56 | Clinic error | No | No | N/A | Retrained staff on inventory management to ensure adequate supply of tubes | Low availability of CPT tubes resulted in 1 tube drawn for PBMCs instead of 2 at V11. | Non-Major |
| COV.00176 | 100 µg (≥71 years) | 1 | Too few aliquots obtained | Protocol procedure /assessment | 56 | Clinic error | No | No | N/A | Retrained staff on inventory management to ensure adequate supply of tubes | Low availability of CPT tubes at clinic resulted in 1 CPT tube drawn for PBMCs at V11 instead of 2. | Non-Major |
| COV.00174 | 100 µg (≥71 years) | 1 | Specimen result not obtained | Protocol procedure /assessment | 29 | Laboratory error | No | No | N/A | unavoidable | Lab unable to report due to significant platelet clumping | Non-Major |
| COV.00258 | 50 µg (18-55 years) | 1 | Required procedure done incorrectly | Protocol procedure /assessment | 34 | Laboratory error | No | No | N/A | Lab staff will use timers for all visits. | | Non-Major |

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| COV.00256 | 50 µg (18-55 years) | 1 | Out of window visit | Follow-up visit schedule | 36 | Subject unable to comply | No | No | N/A | Discussed with subject the importance of scheduled visits. | | Non-Major |

Listing 4:
Non-Subject Specific Protocol Deviations

| Study Site | Deviation Number | Deviation | Deviation Category | Reason for Deviation | Deviation Affected Product Stability? | Deviation Resolution |
|-------------------------|------------------|--|-------------------------------|---|---------------------------------------|---|
| Vaccine Research Center | 1 | Other: Personal Identifying Information disclosure | Protocol procedure/assessment | Other:Medical Secure Email Information Technology Problem | No | Email packet deleted, Effected subjects contacted, Information Technology dept. investigation ongoing, team will not use this system for group blind cc email distribution in future. |
| Emory Children's Center | 1 | Study product temperature excursion | Protocol procedure/assessment | Other:EUC -80 freezer had a malfunction. | Yes | A new -80 freezer has been purchased and in use. |

| Study Site | Deviation Number | Comments | Deviation Severity |
|-------------------------|------------------|---|--------------------|
| Vaccine Research Center | 1 | We are reporting an Unanticipated Problem of inadvertent disclosure of study participation by one subject to other study subjects via email. The UP occurred after a medically secured email sent by a study team member was used in “reply all” fashion and four trial participants inadvertently disclosed their names and email addresses to each other on June 11th, 2020. We are reporting this event as a UP because it was unexpected, related to study participation, and is a potential social risk to participants in that others became aware that they screened for a research study. We do not believe any actual material harm has occurred for participants due to this disclosure. DMID 20-0003 study participants were blind carbon copied (BCC) on a study status update email sent through a medically secure email server operated by the NIH Clinical Center. Prior to sending the email, the study team sought confirmation with the NIH Medical Records Department that this was an appropriate means of communication and would not result in disclosure of study participant’s identification. The Medical Records Department confirmed that this email would not provide study participants with access to others’ identification. Due to an IT glitch, however, a participant who screened but did not ultimately enroll in the study replied all to the email thread and included his name and information about his screening status. This email was then seen by 9 other participants on study. No other information including medical history were disclosed. Two other subjects who screened for the study and 1 who enrolled replied to the email thread indicated they believed they were included on the message in error. Their names were also disclosed as having screened for the study, however, no other information including medical history were disclosed. All subjects whose names were disclosed and who opened the email have been notified of the event and that we are reporting the event as an Unanticipated Problem. | Major |
| Emory Children's Center | 1 | The affected study product was immediately removed from EUC -80 freezer to EUH -80 freezer on April 17, 2020. The excursion was reported to DMID on April 18, 2020. DMID instructed to continue to use IP. | Non-Major |