



**PD-L1 IHC 22C3 pharmDx  
Rx Only**

**SK006**

50 tests for use with Autostainer Link 48

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## PD-L1 IHC 22C3 pharmDx

### SK006

50 tests for use with Autostainer Link 48

#### 1. Intended Use

For in vitro diagnostic use.

PD-L1 IHC 22C3 pharmDx is a qualitative immunohistochemical assay using monoclonal mouse anti-PD-L1, Clone 22C3 intended for use in the detection of PD-L1 protein in formalin-fixed, paraffin-embedded (FFPE) non-small cell lung cancer (NSCLC), esophageal squamous cell carcinoma (ESCC), cervical cancer, head and neck squamous cell carcinoma (HNSCC), and triple-negative breast cancer (TNBC) tissues using EnVision FLEX visualization system on Autostainer Link 48.

PD-L1 protein expression in NSCLC is determined by using Tumor Proportion Score (TPS), which is the percentage of viable tumor cells showing partial or complete membrane staining at any intensity.

PD-L1 protein expression in ESCC, cervical cancer, HNSCC, and TNBC is determined by using Combined Positive Score (CPS), which is the number of PD-L1 staining cells (tumor cells, lymphocytes, macrophages) divided by the total number of viable tumor cells, multiplied by 100.

PD-L1 IHC 22C3 pharmDx is indicated as an aid in identifying patients for treatment with the therapies for the indications listed in Table 1.

**Table 1. PD-L1 IHC 22C3 pharmDx companion diagnostic indications, PD-L1 expression levels, and therapies**

Tumor Indication	PD-L1 Expression Level	Therapy
NSCLC	TPS $\geq$ 1%	KEYTRUDA®*
ESCC	CPS $\geq$ 10	
Cervical Cancer	CPS $\geq$ 1	
HNSCC	CPS $\geq$ 1	
TNBC	CPS $\geq$ 10	
NSCLC	TPS $\geq$ 50%	LIBTAYO®**

\*See the KEYTRUDA® product label for specific clinical circumstances guiding PD-L1 testing.

\*\*See the LIBTAYO® product label for specific clinical circumstances guiding PD-L1 testing.

#### 2. Summary and Explanation

##### 2.1 KEYTRUDA

Binding of the PD-1 ligands, PD-L1 and PD-L2, to the PD-1 receptor found on T-cells, inhibits T-cell proliferation and cytokine production. Up-regulation of PD-1 ligands occurs in some tumors and signaling through this pathway can contribute to inhibition of active T-cell immune surveillance of tumors. KEYTRUDA is a humanized monoclonal antibody that binds to the PD-1 receptor and blocks its interaction with PD-L1 and PD-L2, releasing PD-1 pathway-mediated inhibition of the immune response, including the anti-tumor immune response.<sup>1</sup> In syngeneic mouse tumor models, blocking PD-1 activity resulted in decreased tumor growth.<sup>2</sup>

##### 2.1.1 NSCLC (KEYTRUDA)

Merck Sharp & Dohme LLC, Rahway, NJ, USA (hereinafter "MSD") sponsored clinical study, KEYNOTE-042 (KN042), investigated the clinical validity of PD-L1 IHC 22C3 pharmDx in identifying PD-L1 expressing (TPS  $\geq$  1%) previously untreated stage III NSCLC, who are not candidates for surgical resection or definitive chemoradiation, or metastatic NSCLC patients that may respond to KEYTRUDA treatment.<sup>3</sup> Refer to Section 16.3 'Clinical performance evaluation: NSCLC (KEYTRUDA)' for KN042 study details.

MSD sponsored clinical study, KEYNOTE-024 (KN024), investigated the clinical validity of PD-L1 IHC 22C3 pharmDx in identifying PD-L1 expressing (TPS  $\geq$  50%) previously untreated metastatic NSCLC patients that may respond to KEYTRUDA treatment.<sup>4</sup> Refer to Section 16.3 'Clinical performance evaluation: NSCLC (KEYTRUDA)' for KN024 study details.

MSD sponsored clinical study, KEYNOTE-010 (KN010), investigated the clinical validity of PD-L1 IHC 22C3 pharmDx in identifying PD-L1 expressing (TPS  $\geq$  1%) previously treated metastatic NSCLC patients that may respond to KEYTRUDA treatment.<sup>5</sup> Refer to Section 16.3 'Clinical performance evaluation: NSCLC (KEYTRUDA)' for KN010 study details.

##### 2.1.2 Esophageal squamous cell carcinoma (ESCC; KEYTRUDA)

MSD sponsored clinical study, KEYNOTE-181 (KN181), investigated the clinical validity of PD-L1 IHC 22C3 pharmDx in identifying PD-L1 expressing (CPS  $\geq$  10) patients with recurrent locally advanced or metastatic esophageal cancer with disease progression on or after one prior line of systemic therapy, who may respond to KEYTRUDA treatment.<sup>6</sup> Refer to Section 16.6 'Clinical performance evaluation: esophageal squamous cell carcinoma (ESCC; KEYTRUDA)' for KN181 study details.

##### 2.1.3 Cervical cancer (KEYTRUDA)

MSD sponsored clinical study, KEYNOTE-158 (KN158), investigated the clinical validity of PD-L1 IHC 22C3 pharmDx in identifying PD-L1 expressing (CPS  $\geq$  1) cervical cancer patients, with disease progression on or after chemotherapy for recurrent or metastatic disease,

that may respond to KEYTRUDA treatment.<sup>7,8</sup> Refer to Section 16.8 'Clinical performance evaluation: cervical cancer (KEYTRUDA)' for KN158 Cohort E study details.

#### 2.1.4 HNSCC (KEYTRUDA)

MSD sponsored clinical study, KEYNOTE-048 (KN048), investigated the clinical validity of PD-L1 IHC 22C3 pharmDx in identifying PD-L1 expressing (CPS  $\geq$  1) patients with metastatic or recurrent HNSCC who had not previously received systemic therapy for metastatic disease or with recurrent disease who were considered incurable by local therapies, and who may respond to KEYTRUDA treatment.<sup>9</sup> Refer to Section 16.10 'Clinical performance evaluation: HNSCC (KEYTRUDA)' for KN048 study details.

#### 2.1.5 TNBC (KEYTRUDA)

MSD sponsored clinical study, KEYNOTE-355 (KN355), investigated the clinical validity of PD-L1 IHC 22C3 pharmDx in identifying patients with PD-L1 expressing (CPS  $\geq$  10) previously untreated locally recurrent unresectable or metastatic TNBC, who may respond to KEYTRUDA treatment in combination with chemotherapy.<sup>10</sup> Refer to Section 16.12 'Clinical performance evaluation: TNBC (KEYTRUDA)' for KN355 study details.

### 2.2 LIBTAYO

LIBTAYO is a human monoclonal antibody that binds to the PD-1 receptor and blocks its interaction with PD-L1 and PD-L2, releasing PD-1 pathway-mediated inhibition of the immune response, including the anti-tumor immune response. In syngeneic mouse tumor models, blocking PD-1 activity resulted in decreased tumor growth.<sup>11</sup>

#### 2.2.1 NSCLC (LIBTAYO)

Regeneron Pharmaceuticals, Inc. sponsored clinical study, EMPOWER-Lung 1, investigated the clinical validity of PD-L1 IHC 22C3 pharmDx in identifying PD-L1 expressing (TPS  $\geq$  50%) patients with locally advanced NSCLC who are not candidates for surgical resection or definitive chemoradiation, or with metastatic NSCLC, who may respond to LIBTAYO treatment.<sup>12</sup> Refer to Section 16.4 'Clinical performance evaluation: NSCLC (LIBTAYO)' for EMPOWER-Lung 1 details.

### 3. Principle of Procedure

PD-L1 IHC 22C3 pharmDx contains the optimized reagents and protocol required to complete an IHC staining procedure of FFPE specimens using Autostainer Link 48. Following incubation with the primary monoclonal antibody to PD-L1 or the Negative Control Reagent (NCR), specimens are incubated with a Linker antibody specific to the host species of the primary antibody, and then are incubated with a ready-to-use visualization reagent consisting of secondary antibody molecules and horseradish peroxidase molecules coupled to a dextran polymer backbone. The enzymatic conversion of the subsequently added chromogen results in precipitation of a visible reaction product at the site of antigen. The color of the chromogenic reaction is modified by a chromogen enhancement reagent. The specimen may then be counterstained and coverslipped. Results are interpreted using a light microscope.

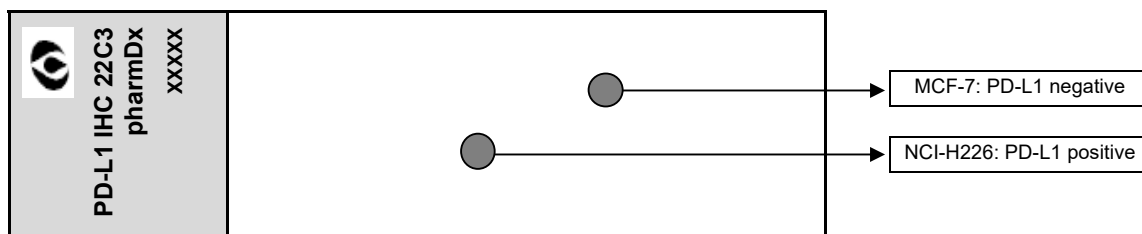
### 4. Materials Provided

Each kit includes 19.5 mL of PD-L1 primary antibody (approximately 3  $\mu$ g/mL protein concentration) and contains the reagents necessary to perform 50 tests in up to 15 individual runs. The materials listed in this section are sufficient for 50 tests (50 slides incubated with primary antibody to PD-L1 and 50 slides incubated with the corresponding NCR; 100 slides in total). The number of tests is based on the use of 2 x 150  $\mu$ L per slide of each reagent except DAB+ and Envision FLEX Target Retrieval Solution. For larger tissue sections three drop zones (3 x 150  $\mu$ L) per slide may be warranted. Note that this will reduce the total number of tests per kit.

The kit provides materials sufficient for a maximum of 15 individual staining runs.

<i>Quantity</i>	<i>Description</i>
1 x 34.5 mL	<b>Peroxidase-Blocking Reagent</b> <b>PEROXIDASE-BLOCKING REAGENT</b> Buffered solution containing hydrogen peroxide, detergent, and 0.015 mol/L sodium azide.
1 x 19.5 mL	<b>Primary Antibody: Monoclonal Mouse Anti-PD-L1, Clone 22C3</b> <b>MONOCLONAL MOUSE ANTI-PD-L1 CLONE 22C3</b> Monoclonal mouse (IgG <sub>1</sub> ) anti-PD-L1 in a buffered solution, containing stabilizing protein, and 0.015 mol/L sodium azide.
1 x 15 mL	<b>Negative Control Reagent</b> <b>NEGATIVE CONTROL REAGENT</b> Monoclonal mouse control IgG <sub>1</sub> antibody in a buffered solution, containing stabilizing protein, and 0.015 mol/L sodium azide.
1 x 34.5 mL	<b>Mouse LINKER</b> <b>LINKER, ANTI-MOUSE</b> Rabbit secondary antibody against mouse immunoglobulins in a buffered solution containing stabilizing protein and 0.015 mol/L sodium azide.
1 x 34.5 mL	<b>Visualization Reagent-HRP</b>

Quantity	Description
	<b>VISUALIZATION REAGENT-HRP</b> Dextran coupled with peroxidase molecules and goat secondary antibody molecules against rabbit and mouse immunoglobulins in a buffered solution containing stabilizing protein and an antimicrobial agent.
15 x 7.2 mL	<b>DAB+ Substrate Buffer</b> <b>DAB+ SUBSTRATE BUFFER</b> Buffered solution, containing hydrogen peroxide and an antimicrobial agent.
1 x 5 mL	<b>DAB+ Chromogen</b> <b>DAB+ CHROMOGEN</b> 3,3'-diaminobenzidine tetrahydrochloride in organic solvent.
1 x 34.5 mL	<b>DAB Enhancer</b> <b>DAB ENHANCER</b> Cupric sulfate in water.
6 x 30 mL	<b>EnVision FLEX Target Retrieval Solution, Low pH (50x)</b> <b>EnVision FLEX TARGET RETRIEVAL SOLUTION LOW pH (50X)</b> Buffered solution, pH 6.1, containing detergent and an antimicrobial agent.
15 slides	<b>PD-L1 IHC 22C3 pharmDx Control Slides</b> <b>CONTROL SLIDES</b> Each slide contains sections of two pelleted, FFPE cell lines: NCI-H226* with moderate PD-L1 protein expression and MCF-7 with negative PD-L1 protein expression.



\*Dr. AF Gazdar and Dr. JD Minna at NIH are acknowledged for their contribution in developing NCI-H226 (ATCC Number: CRL-5826).<sup>13</sup>

**Note:** All reagents included are formulated specifically for use with this kit. In order for the test to perform as specified, no substitutions, other than EnVision FLEX Target Retrieval Solution, Low pH (50x) (Code K8005) can be made. PD-L1 IHC 22C3 pharmDx has been tailored for use with Autostainer Link 48. Please refer to the User Guides for your Autostainer Link 48 and PT Link for further information.

## 5. Materials Required, but Not Supplied

PT Link Pre-treatment Module (Code PT100/PT101/PT200)  
Autostainer Link 48 (Code AS480)  
EnVision FLEX Wash Buffer (20x) (Code K8007)  
Hematoxylin (Code K8008)  
Distilled or deionized water (reagent-grade water)\*  
Timer  
Positive and negative tissues to use as process controls (see 'Quality Control' Section 11)  
Microscope slides: FLEX IHC Microscope Slides (Code K8020) or Superfrost Plus slides  
Coverslips  
Non-aqueous permanent mounting medium and ancillary reagents required for mounting coverslips  
Light microscope (4x–40x objective magnification)  
pH meter (calibrated per manufacturer's recommendation)

\*Note: Not all sources of distilled or de-ionized water may be of sufficient quality for IHC reagent preparation. Agilent recommends reagent-grade distilled or de-ionized water [corresponding to Clinical Laboratory Reagent Water (CLRW) standard as specified by CLSI<sup>14</sup>], or water similar in quality to be used for reagent preparation.

## 6. Precautions

1. For in vitro diagnostic use.
2. For professional users.

3. This product contains sodium azide (NaN<sub>3</sub>), a chemical highly toxic in pure form. At product concentrations, though not classified as hazardous, NaN<sub>3</sub> may react with lead and copper plumbing to form highly explosive build-ups of metal azides. Upon disposal, flush with large volumes of water to prevent metal azide build-up in plumbing.<sup>15</sup>
4. Primary Antibody, Negative Control Reagent, Linker, and Visualization Reagent contain material of animal origin.
5. Specimens, before and after fixation, and all materials exposed to them, should be handled as if capable of transmitting infection, and disposed of with proper precautions.<sup>16</sup>
6. Incubation times, temperatures, or methods other than those specified may give erroneous results.
7. Reagents have been optimally diluted. Further dilution may result in loss of antigen staining.
8. The Visualization Reagent, Liquid DAB+ chromogen and prepared DAB+ Substrate-Chromogen solution may be affected adversely if exposed to excessive light levels. Do not store system components or perform staining in strong light, such as direct sunlight.
9. Paraffin residuals may lead to false negative results.
10. Use of reagent volumes other than recommended may result in loss of visible PD-L1 immunoreactivity.
11. Results from a small study showed a similar dynamic range of PD-L1 expression in primary and metastatic NSCLC specimen pairs. It is possible there may be differences in PD-L1 expression in primary tumors versus metastatic sites in the same patient.
12. Large tissue sections may require 3x150 µl of reagent.
13. As a general rule, persons under 18 years of age are not allowed to work with this product. Users must be carefully instructed in the proper work procedures, the dangerous properties of the product and the necessary safety instructions. Please refer to Safety Data Sheet (SDS) for additional information.
14. Wear appropriate Personal Protective Equipment to avoid contact with eyes and skin.
15. Unused solution should be disposed of according to local, State and Federal regulations.
16. Hazard information is available in the GHS insert contained within the product package. Safety Data Sheets are available on [www.agilent.com](http://www.agilent.com) or on request.
17. For countries outside of the United States, see the local KEYTRUDA product label for approved indications and expression cutoff values to guide therapy.

## 7. Storage

Store all components of PD-L1 IHC 22C3 pharmDx, including Control Slides, in the dark at 2-8 °C when not in use on Autostainer Link 48.

**Do not use the kit after the expiration date printed on the outside of the kit box.** If reagents are stored under any conditions other than those specified in this package insert, they must be validated by the user.

There are no obvious signs to indicate instability of this product, therefore, positive and negative controls should be run simultaneously with patient specimens.

## 8. Specimen Preparation

Tissue specimens must be handled to preserve the tissue for IHC staining. Standard methods of tissue processing should be used for all specimens.

### 8.1 Paraffin-embedded specimens

FFPE tissue specimens are suitable for use. Alternative fixatives have not been validated and may give erroneous results. Fixation time for 12-72 hours in 10% neutral buffered formalin (NBF) is recommended, however, a study with limited samples showed fixation times of 4-168 hours in 10% NBF did not systematically alter PD-L1 detection. Fixation times of ≤3 hours may result in variable PD-L1 detection. Specimens should be blocked into a thickness of 3 or 4 mm, fixed in formalin and dehydrated and cleared in a series of alcohols and xylene, followed by infiltration with melted paraffin. The paraffin temperature should not exceed 60 °C. NSCLC FFPE tissue blocks which are 5 years or older may result in a loss of PD-L1 immunoreactivity.

Tissue specimens should be cut into sections of 4-5 µm. After sectioning, tissues should be mounted on FLEX IHC microscope slides (Code K8020) or Superfrost Plus slides and then placed in a 58 ± 2 °C oven for 1 hour.

### 8.2 Cut section storage recommendation

To preserve antigenicity, tissue sections, once mounted on slides, should be held in the dark at 2-8 °C (preferred), or at room temperature up to 25 °C. Slide storage and handling conditions should not exceed 25 °C at any point post-mounting to ensure tissue integrity and antigenicity.

#### 8.2.1 NSCLC cut section storage recommendation

Cut sections must be stained within 6 months when stored at 2-8 °C (preferred), or at 25 °C.

#### 8.2.2 ESCC cut section storage recommendation

Cut sections must be stained within 4.5 months when stored at 2-8 °C (preferred), or within 1 month when stored at 25 °C.

#### 8.2.3 Cervical cancer cut section storage recommendation

Cut sections must be stained within 2 months when stored at 2-8 °C (preferred), or within 1 month when stored at 25 °C.

#### 8.2.4 HNSCC cut section storage recommendation

Cut sections must be stained within 6 months when stored at 2-8 °C (preferred), or within 4 months when stored at 25 °C.

#### 8.2.5 TNBC cut section storage recommendation

Cut sections must be stained within 7.5 months when stored at 2-8 °C (preferred), or within 4 months when stored at 25 °C.

## 9. Reagent Preparation

The following reagents must be prepared prior to staining:

### EnVision FLEX Target Retrieval Solution, Low pH (50x)

Prepare a sufficient quantity of EnVision FLEX Target Retrieval Solution, Low pH (1x working solution) by diluting EnVision FLEX Target Retrieval Solution, Low pH (50x) 1:50 using distilled or deionized water; the pH of 1x EnVision FLEX Target Retrieval Solution must be  $6.1 \pm 0.2$ . Do not modify the pH of 1x EnVision FLEX Target Retrieval Solution after preparation under any circumstance. If a problem is suspected with the EnVision FLEX Target Retrieval Solution pH, please refer to Section 17 'Troubleshooting' for more information. One 30 mL bottle of EnVision FLEX Target Retrieval Solution, Low pH (50x) diluted 1:50 will provide 1.5 L of 1x reagent, sufficient to fill one PT Link tank which will treat up to 24 slides per use. Discard 1x EnVision FLEX Target Retrieval Solution after three uses and do not use after 5 days following dilution. Note, the EnVision FLEX Target Retrieval Solution, low pH (50x) is a red colored solution. Please refer to Section 15.2 'Product Specific Limitations' for EnVision FLEX Target Retrieval Solution limitations in ESCC specimens.

Additional EnVision FLEX Target Retrieval Solution, Low pH (50x) if required, is available as Code K8005.

### EnVision FLEX Wash Buffer (20x)

Prepare a sufficient quantity of 1x EnVision FLEX Wash Buffer by diluting EnVision FLEX Wash Buffer (20x) 1:20 using distilled or deionized water for the wash steps. Store unused 1x EnVision FLEX Wash Buffer at 2-8 °C for no more than 1 month. Discard EnVision FLEX Wash Buffer if cloudy in appearance. Refer to the User Guide for your Autostainer Link 48 for further information.

EnVision FLEX Wash Buffer (20x) is available as Code K8007.

### DAB+ Substrate-Chromogen Solution

This solution should be mixed thoroughly prior to use. Any precipitate developing in the solution does not affect staining quality.

To prepare DAB+ Substrate-Chromogen Solution, add one drop of Liquid DAB+ Chromogen per mL of DAB+ Substrate Buffer and mix.\* Prepared DAB+ Substrate-Chromogen Solution is stable for 5 days if stored in the dark at 2-8 °C.

#### Important Notes:

- **\*If using an entire bottle of DAB+ Substrate Buffer, add nine drops of DAB+ chromogen.** Although the label states 7.2 mL, this is the useable volume and does not account for the "dead volume" (1.8 mL) in the bottle.
- The color of the Liquid DAB+ Chromogen in the bottle may vary from clear to lavender-brown. This will not affect the performance of this product. Dilute per the guidelines in this section. Addition of excess Liquid DAB+ Chromogen to the DAB+ Substrate Buffer will result in deterioration of the positive signal.

## 10. Staining Procedure on the Autostainer Link 48 Solution

### Procedural Notes

The user should read these instructions carefully and become familiar with all components and instrumentation prior to use (see Section 6, 'Precautions').

All reagents should be equilibrated to room temperature (20-25 °C) prior to immunostaining. Likewise, all incubations should be performed at room temperature.

Do not allow tissue sections to dry during the staining procedure. Dried tissue sections may display increased nonspecific staining.

All of the required steps and incubation times for staining are preprogrammed in the DakoLink software. Please refer to the User Guides for Autostainer Link 48 and PT Link for further information on programming protocols and loading slides and reagents.

**Note:** The reagents and instructions supplied in this system have been designed for optimal performance when used with the recommended reagents and materials. Further dilution of the reagents or alteration of incubation times or temperatures may give erroneous or discordant results.

### Staining Protocol

Please select the PD-L1 IHC 22C3 pharmDx staining protocol from the options in the DakoLink drop down menu.

All of the required steps and incubation times for staining are preprogrammed in the Autostainer Link 48. If the appropriate PD-L1 IHC 22C3 pharmDx protocols are not on your server, please contact your local Technical Service Representative or Agilent Pathology Support to obtain the protocols.

### Step 1: Deparaffinization, Rehydration and Target Retrieval (3-in-1) Procedure (specimen pre-treatment)

*For details, please refer to the PT Link User Guide.*

Set PT Link (Code PT100/PT101/PT200) Preheat and Cool to 65 °C. Set Heat to 97 °C for 20 minutes.

- ▶ Fill PT Link tanks with 1.5 L per tank of EnVision FLEX Target Retrieval Solution, Low pH, 1x working solution to cover the tissue sections.
- ▶ Preheat the 1x EnVision FLEX Target Retrieval Solution to 65 °C.
- ▶ Immerse Autostainer racks containing mounted, FFPE tissue sections into the pre-heated 1x EnVision FLEX Target Retrieval Solution, Low pH, (working solution) in PT Link tank. Incubate for 20 minutes at 97 °C.
- ▶ When target retrieval incubation has been completed and the temperature has cooled to 65 °C, remove each Autostainer slide rack with the slides from the PT Link tank and **immediately** place the Autostainer rack with slides into a tank (e.g., PT Link Rinse Station, Code PT109) containing diluted (1x), room temperature EnVision FLEX Wash Buffer (Code K8007).
- ▶ Incubate slides in diluted (1x), room temperature EnVision FLEX Wash Buffer for 5 minutes.

### Step 2: Staining Procedure

After deparaffinization, rehydration and target retrieval (3-in-1) procedure (specimen pre-treatment), the Autostainer racks with slides are placed on Autostainer Link 48. The instrument will perform the staining process by applying the appropriate reagent, monitoring the incubation time and rinsing slides between reagents. The reagent times are preprogrammed in the DakoLink software.

### Step 3: Counterstain

Slides should be counterstained for 5 minutes with Hematoxylin (Link) (Code K8008). The Hematoxylin incubation time is preprogrammed in the protocol.

#### Step 4: Mounting

Non-aqueous, permanent mounting medium is required.

**Note:** Some fading of stained slides may occur, depending on several factors including, but not limited to, counterstaining, mounting materials and methods, and slide storage conditions. To minimize fading, store slides in the dark at room temperature (20-25 °C).

### 11. Quality Control

Reagents in PD-L1 IHC 22C3 pharmDx have been quality controlled by immunohistochemistry using the target retrieval and staining procedures outlined in Section 10 'Staining Procedure on the Autostainer Link 48 Solution'. Deviations in the recommended procedures for tissue fixation, processing and embedding in the user's laboratory may produce significant variability in results. Quality controls should be included in each staining run. These quality controls are specified in Table 11 and include: a lab-supplied H&E stained patient tissue specimen; kit-supplied Control Cell Line Slide; and lab-supplied positive and negative control tissues.<sup>17</sup> Consult the guidelines of the College of American Pathologists (CAP) Accreditation Program for Immunohistochemistry<sup>18</sup>; see also CLSI Quality Assurance for Immunocytochemistry, Approved Guideline<sup>19</sup> for additional information.

### 12. Assay Verification

Prior to initial use of a staining system in a diagnostic procedure, the user should verify the assay's performance by testing it on a series of lab-supplied tissues with known IHC performance characteristics representing known positive and negative tissues. Refer to the quality control procedures outlined in Section 11 'Quality Control'. These quality control procedures should be repeated for each new antibody lot, or whenever there is a change in assay parameters. Troubleshooting options for potential problems, their causes and suggested corrective actions are outlined in Table 42.

### 13. Staining and Scoring Interpretation

#### 13.1 NSCLC – PD-L1 expression determined by Tumor Proportion Score

All viable tumor cells on the entire tissue section must be evaluated and included in the PD-L1 scoring assessment. A minimum of 100 viable tumor cells must be present in the PD-L1 stained slide for the specimen to be considered adequate for PD-L1 evaluation.

Slide evaluation should be performed by a pathologist using a light microscope. For evaluation of the immunohistochemical staining and scoring, an objective of 10-40x magnification is appropriate. Any perceptible membrane staining of tumor cells should be included in the scoring.

PD-L1 protein expression is determined by using TPS, which is the percentage of viable tumor cells showing partial or complete membrane staining at any intensity.

$$TPS (\%) = \frac{\# \text{ PD-L1 staining cells (tumor cells)}}{\text{Total \# of viable tumor cells}} \times 100$$

Score partial or complete cell membrane staining ( $\geq 1+$ ) that is perceived distinct from cytoplasmic staining. Cytoplasmic staining should be considered non-specific staining and is excluded in the assessment of staining intensity. Normal cells and tumor-associated immune cells such as infiltrating lymphocytes or macrophages **should not** be included in the scoring for the determination of PD-L1 expression level.

Table 2 provides details about which tissue elements are included in and excluded from determining the TPS.

**Table 2. TPS inclusion/exclusion criteria for NSCLC**

Tissue Elements	Included in TPS Scoring for NSCLC	Excluded from TPS Scoring for NSCLC
<b>Tumor Cells</b>	<ul style="list-style-type: none"> <li>Convincing partial or complete cell membrane staining (at any intensity) of viable tumor cells</li> </ul>	<ul style="list-style-type: none"> <li>Exclude any cytoplasmic staining</li> </ul>
<b>Immune Cells</b>	<ul style="list-style-type: none"> <li>Not included</li> </ul>	Exclude any staining of immune cells, such as: <ul style="list-style-type: none"> <li>Mononuclear inflammatory cells (large lymphocytes, monocytes, pulmonary macrophages)</li> <li>Plasma cells</li> <li>Neutrophils</li> </ul>
<b>Other</b>	<ul style="list-style-type: none"> <li>Not included</li> </ul>	Exclude any staining of: <ul style="list-style-type: none"> <li>Normal cells adjacent to tumor cells</li> <li>Stromal cells (fibroblasts)</li> <li>Necrotic cells and/or cellular debris</li> <li>Anthraxotic pigment</li> </ul>

For each staining run, slides should be examined in the order presented in Table 11 (Section 14) to determine the validity of the staining run and enable assessment of the staining of the sample tissue. Examine patient specimens stained with PD-L1 and the NCR from PD-L1 IHC 22C3 pharmDx when evaluating PD-L1 expression. Specimens stained with NCR must have 0 specific staining and  $\leq 1+$  non-specific staining.

The specimen should be evaluated for categories of PD-L1 expression per the table below. For treatment eligibility, refer to Section 1 'Intended Use'.

Tumor Proportion Score			
PD-L1 Expression Levels	TPS < 1%	TPS ≥ 1%	TPS ≥ 50%

Refer to PD-L1 IHC 22C3 pharmDx NSCLC Interpretation Manual for additional guidance.

### 13.2 ESCC, cervical cancer, HNSCC, TNBC – PD-L1 expression determined by Combined Positive Score

All viable tumor cells on the entire tissue section must be evaluated and included in PD-L1 expression assessment.

PD-L1 expression is determined by CPS, which is the number of PD-L1 staining cells (tumor cells, lymphocytes, macrophages) divided by the total number of viable tumor cells, multiplied by 100. Distinction of viable tumor cells, lymphocytes, and macrophages is essential for accurate denominator estimation. Although the result of the calculation can exceed 100, the maximum score is defined as CPS 100. CPS is defined as follows:

$$\text{CPS} = \frac{\# \text{ PD-L1 staining cells (tumor cells, lymphocytes, macrophages)}}{\text{Total \# of viable tumor cells}} \times 100$$

Slide evaluation must be performed by a pathologist using a light microscope. For evaluation of the immunohistochemical staining, an objective of 10-20x magnification is appropriate. For determination of PD-L1 expression, an objective of 20x magnification is required.

By definition, PD-L1 staining cells are:

- Tumor cells with convincing partial or complete linear membrane staining (at any intensity) that is perceived distinct from cytoplasmic staining and
- Lymphocytes and macrophages (mononuclear inflammatory cells, MICs) within the tumor nests and/or adjacent supporting stroma with convincing membrane and/or cytoplasmic staining (at any intensity). MICs must be directly associated with the response against the tumor.

For each staining run, slides should be examined in the order presented in Table 11 (Section 14) to determine the validity of the staining run and enable assessment of the staining of the sample tissue. Examine patient specimens stained with PD-L1 and the NCR from PD-L1 IHC 22C3 pharmDx when evaluating PD-L1 expression. Specimens stained with NCR must have 0 specific staining and ≤ 1+ nonspecific staining.

Refer to sections 13.2.1 to 13.2.4 for tumor indication-specific information.

#### 13.2.1 ESCC – CPS interpretation

A minimum of 100 viable tumor cells must be present in the PD-L1 stained slide for the specimen to be considered adequate for PD-L1 evaluation.

Tables 3 and 4 provide details about which tissue elements are included in and excluded from the CPS numerator and denominator, respectively, in ESCC.

**Table 3. CPS numerator inclusion/exclusion criteria for ESCC**

Tissue Elements	Included in the Numerator	Excluded from the Numerator
<b>Tumor cells</b>	<ul style="list-style-type: none"> <li>• Convincing partial or complete linear membrane staining (at any intensity) of viable invasive tumor cells</li> </ul>	<ul style="list-style-type: none"> <li>• Non-staining tumor cells</li> <li>• Tumor cells with only cytoplasmic staining</li> <li>• Non-invasive neoplasia (including carcinoma in situ)</li> </ul>
<b>Immune cells</b>	<ul style="list-style-type: none"> <li>• Membrane and/or cytoplasmic* staining (at any intensity) of mononuclear inflammatory cells (MICs) within tumor nests and adjacent supporting stroma**, such as: <ul style="list-style-type: none"> <li>○ Lymphocytes (including lymphocyte aggregates)</li> <li>○ Macrophages***</li> </ul> </li> <li>• Only MICs directly associated with the response to the tumor are scored.</li> </ul>	<ul style="list-style-type: none"> <li>• Non-staining MICs</li> <li>• MICs associated with non-invasive neoplasia (including carcinoma in situ)</li> <li>• MICs associated with benign structures</li> <li>• MICs (including lymphoid aggregates) not directly associated with the response to the tumor</li> <li>• Neutrophils, eosinophils and plasma cells</li> </ul>
<b>Other Cells</b>	<ul style="list-style-type: none"> <li>• Not included</li> </ul>	<ul style="list-style-type: none"> <li>• Benign epithelial cells</li> <li>• Stromal cells (including fibroblasts)</li> <li>• Necrotic cells and/or cellular debris</li> </ul>

\*In MICs membrane and cytoplasmic staining are often indistinguishable due to a high nuclear to cytoplasmic ratio. Therefore, membrane and/or cytoplasmic staining of MICs is included in the score.

\*\*Adjacent MICs are defined as being within the same 20x field as the tumor. However, MICs that are NOT directly associated with the response against the tumor should be excluded.

\*\*\*Macrophages and histiocytes are considered the same cells.

**Table 4. CPS denominator inclusion/exclusion criteria for ESCC**

Tissue Elements	Included in the Denominator	Excluded from the Denominator
<b>Tumor Cells</b>	<ul style="list-style-type: none"> <li>All viable invasive tumor cells</li> </ul>	<ul style="list-style-type: none"> <li>Non-viable tumor cells</li> <li>Non-invasive neoplasia (including carcinoma in situ)</li> </ul>
<b>Immune Cells</b>	<ul style="list-style-type: none"> <li>Not included</li> </ul>	<ul style="list-style-type: none"> <li>All immune cells</li> </ul>
<b>Other Cells</b>	<ul style="list-style-type: none"> <li>Not included</li> </ul>	<ul style="list-style-type: none"> <li>Benign cells</li> <li>Stromal cells (including fibroblasts)</li> <li>Necrotic cells and/or cellular debris</li> </ul>

The specimen should be considered to have PD-L1 expression if CPS ≥ 10.

Refer to PD-L1 IHC 22C3 pharmDx ESCC Interpretation Manual for additional guidance.

**13.2.2 Cervical cancer – CPS interpretation**

A minimum of 100 viable tumor cells must be present in the PD-L1 stained slide for the specimen to be considered adequate for PD-L1 evaluation.

Tables 5 and 6 provide details about which tissue elements are included in and excluded from the CPS numerator and denominator, respectively, in cervical cancer.

**Table 5. CPS numerator inclusion/exclusion criteria for cervical cancer**

Tissue Elements	Included in the Numerator	Excluded from the Numerator
<b>Tumor Cells</b>	<ul style="list-style-type: none"> <li>Convincing partial or complete linear membrane staining (at any intensity) of viable invasive cervical tumor cells</li> </ul>	<ul style="list-style-type: none"> <li>Non-staining tumor cells</li> <li>Tumor cells with only cytoplasmic staining</li> </ul>
<b>Immune Cells</b>	<ul style="list-style-type: none"> <li>Membrane and/or cytoplasmic* staining (at any intensity) of mononuclear inflammatory cells (MICs) within tumor nests and adjacent supporting stroma**:                             <ul style="list-style-type: none"> <li>Lymphocytes (including lymphocyte aggregates)</li> <li>Macrophages***</li> </ul> </li> <li>Only MICs directly associated with the response to the tumor are scored.</li> </ul>	<ul style="list-style-type: none"> <li>Non-staining MICs</li> <li>MICs associated with cervical intraepithelial neoplasia (CIN I-III)</li> <li>MICs associated with benign cells including squamous or glandular mucosa, cervical polyps, and microglandular hyperplasia</li> <li>MICs (including lymphoid aggregates) associated with ulcers, and other processes not associated with the tumor such as cervicitis</li> <li>Neutrophils, eosinophils and plasma cells</li> </ul>
<b>Other Cells</b>	<ul style="list-style-type: none"> <li>Not included</li> </ul>	<ul style="list-style-type: none"> <li>CIN I-III</li> <li>Benign cells including squamous or glandular mucosa, cervical polyps, and microglandular hyperplasia</li> <li>Stromal cells (including fibroblasts)</li> <li>Necrotic cells and/or cellular debris</li> </ul>

\*In MICs membrane and cytoplasmic staining are often indistinguishable due to high nuclear to cytoplasmic ratio. Therefore, membrane and/or cytoplasmic staining of MICs is included in the CPS numerator.

\*\*Adjacent MICs are defined as being within the same 20x field as the tumor. However, MICs that are NOT directly associated with the response to the tumor should be excluded.

\*\*\*Macrophages and histiocytes are considered the same cells.

**Table 6. CPS denominator inclusion/exclusion criteria for cervical cancer**

Tissue Elements	Included in the Denominator	Excluded from the Denominator
<b>Tumor Cells</b>	<ul style="list-style-type: none"> <li>All viable invasive tumor cells</li> </ul>	<ul style="list-style-type: none"> <li>Any necrotic or non-viable tumor cells</li> </ul>
<b>Immune Cells</b>	<ul style="list-style-type: none"> <li>Not included</li> </ul>	<ul style="list-style-type: none"> <li>All immune cells of any type</li> </ul>
<b>Other Cells</b>	<ul style="list-style-type: none"> <li>Not included</li> </ul>	<ul style="list-style-type: none"> <li>CIN I-III</li> <li>Benign cells including squamous or glandular mucosa, cervical polyps and microglandular hyperplasia</li> <li>Stromal cells (including fibroblasts)</li> <li>Necrotic cells and/or cellular debris</li> </ul>

For cervical cancer, NSCLC tissue with its corresponding TPS scoring algorithm may be used as a positive and/or negative control if no cervical control tissue is available.

The specimen should be considered to have PD-L1 expression if CPS ≥ 1.

Combined Positive Score		
<b>PD-L1 Expression Level</b>	CPS < 1	CPS ≥ 1

Combined Positive Score		
PD-L1 Expression Status	No PD-L1 Expression	PD-L1 Expression

Refer to PD-L1 IHC 22C3 pharmDx cervical cancer Interpretation Manual for additional guidance.

### 13.2.3 HNSCC – CPS interpretation

A minimum of 100 viable tumor cells must be present in the PD-L1 stained slide for the specimen to be considered adequate for PD-L1 evaluation.

Tables 7 and 8 provide details about which tissue elements are included in and excluded from the CPS numerator and denominator, respectively, in HNSCC.

**Table 7. CPS numerator inclusion/exclusion criteria for HNSCC**

Tissue Elements	Included in the Numerator	Excluded from the Numerator
<b>Tumor Cells</b>	<ul style="list-style-type: none"> <li>Convincing partial or complete linear membrane staining (at any intensity) of viable invasive tumor cells</li> </ul>	<ul style="list-style-type: none"> <li>Non-staining tumor cells</li> <li>Tumor cells with only cytoplasmic staining</li> </ul>
<b>Immune Cells</b>	<ul style="list-style-type: none"> <li>Membrane and/or cytoplasmic* staining (at any intensity) of mononuclear inflammatory cells (MICs) within tumor nests and adjacent supporting stroma** <ul style="list-style-type: none"> <li>Lymphocytes (including lymphocyte aggregates)</li> <li>Macrophages***</li> </ul> </li> <li>Only MICs directly associated with the response to the tumor are scored.</li> </ul>	<ul style="list-style-type: none"> <li>Non-staining MICs</li> <li>MICs (including lymphoid aggregates) associated with ulcers or other inflammatory processes</li> <li>MICs associated with carcinoma in situ</li> <li>MICs associated with benign structures</li> <li>Neutrophils, eosinophils and plasma cells</li> </ul>
<b>Other Cells</b>	<ul style="list-style-type: none"> <li>Not included</li> </ul>	<ul style="list-style-type: none"> <li>Carcinoma in situ</li> <li>Benign cells</li> <li>Stromal cells (including fibroblasts)</li> <li>Necrotic cells and/or cellular debris</li> </ul>

\*In MICs, membrane and cytoplasmic staining are often indistinguishable due to high nuclear to cytoplasmic ratio. Therefore, membrane and/or cytoplasmic staining of MICs is included in the score.

\*\*Adjacent MICs are defined as being within the same 20x field as the tumor. However, MICs that are NOT directly associated with the response to the tumor should be excluded.

\*\*\*Macrophages and histiocytes are considered the same cells.

**Table 8. CPS denominator inclusion/exclusion criteria for HNSCC**

Tissue Elements	Included in the Denominator	Excluded from the Denominator
<b>Tumor Cells</b>	<ul style="list-style-type: none"> <li>All viable invasive tumor cells</li> </ul>	<ul style="list-style-type: none"> <li>Any necrotic or non-viable tumor cells</li> </ul>
<b>Immune Cells</b>	<ul style="list-style-type: none"> <li>Not included</li> </ul>	<ul style="list-style-type: none"> <li>All immune cells of any type</li> </ul>
<b>Other Cells</b>	<ul style="list-style-type: none"> <li>Not included</li> </ul>	<ul style="list-style-type: none"> <li>Carcinoma in situ</li> <li>Benign cells</li> <li>Stromal cells (including fibroblasts)</li> <li>Necrotic cells and/or cellular debris</li> </ul>

The specimen should be considered to have PD-L1 expression if CPS  $\geq$  1.

Combined Positive Score			
PD-L1 Expression Levels	CPS < 1	CPS $\geq$ 1	CPS $\geq$ 20

Refer to PD-L1 IHC 22C3 pharmDx HNSCC Interpretation Manual for additional guidance.

### 13.2.4 TNBC – CPS interpretation

A minimum of 100 viable tumor cells must be present in the PD-L1 stained slide for the specimen to be considered adequate for PD-L1 evaluation.

Tables 9 and 10 provide details about which tissue elements are included in and excluded from the CPS numerator and denominator, respectively, in TNBC.

**Table 9. CPS numerator inclusion/exclusion criteria for TNBC**

Tissue Elements	Included in the Numerator	Excluded from the Numerator
<b>Tumor Cells</b>	<ul style="list-style-type: none"> <li>Convincing partial or complete linear membrane staining (at any intensity) of viable invasive tumor cells</li> </ul>	<ul style="list-style-type: none"> <li>Non-staining tumor cells</li> <li>Tumor cells with only cytoplasmic staining</li> <li>Carcinoma in situ (DCIS and LCIS)</li> </ul>
<b>Immune Cells</b>	<ul style="list-style-type: none"> <li>Membrane and/or cytoplasmic* staining (at any intensity) of mononuclear inflammatory cells (MICs) within tumor nests and adjacent supporting stroma**:                             <ul style="list-style-type: none"> <li>Lymphocytes (including lymphocyte aggregates)</li> <li>Macrophages***</li> </ul> </li> <li>Only MICs directly associated with the response to the tumor are scored.</li> </ul>	<ul style="list-style-type: none"> <li>Non-staining MICs</li> <li>MICs associated with DCIS and LCIS</li> <li>MICs associated with benign structures</li> <li>MICs (including lymphoid aggregates) not directly associated with the response to the tumor</li> <li>Neutrophils, eosinophils, and plasma cells</li> </ul>
<b>Other Cells</b>	<ul style="list-style-type: none"> <li>Not included</li> </ul>	<ul style="list-style-type: none"> <li>Benign epithelial cells</li> <li>Stromal cells (including fibroblasts)</li> <li>Necrotic cells and/or cellular debris</li> </ul>

\*In MICs, membrane and cytoplasmic staining are often indistinguishable due to high nuclear to cytoplasmic ratio. Therefore, membrane and/or cytoplasmic staining of MICs are included in the score.

\*\*Adjacent MICs are defined as being within the same 20x field as the tumor. However, MICs that are NOT directly associated with the response against the tumor should be excluded.

\*\*\*Macrophages and histiocytes are considered the same cells.

**Table 10. CPS denominator inclusion/exclusion criteria for TNBC**

Tissue Elements	Included in the Denominator	Excluded from the Denominator
<b>Tumor Cells</b>	<ul style="list-style-type: none"> <li>All viable invasive tumor cells</li> </ul>	<ul style="list-style-type: none"> <li>Non-viable tumor cells</li> <li>Carcinoma in situ (DCIS and LCIS)</li> </ul>
<b>Immune Cells</b>	<ul style="list-style-type: none"> <li>Not included</li> </ul>	<ul style="list-style-type: none"> <li>All immune cells</li> </ul>
<b>Other Cells</b>	<ul style="list-style-type: none"> <li>Not included</li> </ul>	<ul style="list-style-type: none"> <li>Benign Cells</li> <li>Stromal cells (including fibroblasts)</li> <li>Necrotic cells and/or cellular debris</li> </ul>

The specimen should be considered to have PD-L1 expression if CPS  $\geq$  10.

Refer to PD-L1 IHC 22C3 pharmDx TNBC Interpretation Manual for additional guidance.

#### 14. Slide Evaluation

**Table 11. Recommended order of slide evaluation**

Specimens	Rationale	Requirements
1. H&E (Lab-supplied)	A hematoxylin and eosin (H&E) stain of the tissue specimen is evaluated first to assess tissue histology and preservation quality.	The PD-L1 IHC 22C3 pharmDx and H&E stain should be performed on serial sections from the same paraffin block of the specimen.  Tissue specimens should be intact, well preserved, and should confirm tumor indication.
2. Control Cell Line Slide (Supplied with kit)	The Control Cell Line Slide stained with the PD-L1 primary antibody from PD-L1 IHC 22C3 pharmDx should be examined to ascertain that all reagents are functioning properly.  The Control Cell Line Slide contains the PD-L1-positive cell line pellet and PD-L1-negative cell line pellet.	One Control Cell Line Slide should be stained with the PD-L1 Primary Antibody in each staining run.  <i>NCI-H226 (PD-L1-positive control cell line) acceptance criteria:</i> <ul style="list-style-type: none"> <li>Cell membrane staining of <math>\geq</math> 70% of cells.</li> <li><math>\geq</math> 2+ average staining intensity.</li> <li>Nonspecific staining &lt; 1+ intensity.</li> </ul> <i>MCF-7 (PD-L1-negative control cell line) acceptance criteria:</i> <ul style="list-style-type: none"> <li>No specific staining.</li> <li>Nonspecific staining &lt; 1+ intensity. Note that staining of a few cells in the MCF-7 cell pellet may occasionally be observed. The following acceptance criteria are applicable: the presence of <math>\leq</math> 10 total cells with distinct plasma membrane staining, or cytoplasmic staining with <math>\geq</math> 1+ intensity within the boundaries of the MCF-7 cell pellet are acceptable.</li> </ul> If either of the Control Cell Lines does not meet these criteria, all results with the patient specimens should be considered invalid.
3. Positive Control Tissue Slides (Lab-supplied)	The Positive Control Tissue Slides stained with both PD-L1 primary antibody and Negative Control Reagent should be examined next. These slides verify that the fixation method and epitope retrieval process are effective. Known positive tissue controls should only be utilized for monitoring the correct performance of processed tissues and test reagents, NOT as	Controls should be biopsy/surgical specimens of the same tumor indication as the patient specimen, fixed, processed and embedded as soon as possible in the same manner as the patient sample(s). Use well-preserved specimens for interpretation of staining results as necrotic or degenerated cells often demonstrate nonspecific staining.  The tissues selected for use as the positive tissue controls should give weak to moderate positive staining when stained with PD-L1 to aid in detection of subtle changes in assay sensitivity.  Two positive tissue control slides should be included in each staining run.

Specimens	Rationale	Requirements
	an aid in formulating a specific diagnosis of patient samples.	<p><b>Slide stained with PD-L1:</b> Presence of brown plasma membrane staining should be observed. Nonspecific staining should be <math>\leq 1+</math>.</p> <p><b>Slide stained with Negative Control Reagent:</b> No membrane staining. Nonspecific staining should be <math>\leq 1+</math>.</p> <p>If the positive tissue controls fail to demonstrate appropriate positive staining, results with the test specimens should be considered invalid.</p> <p>See section 13.2.2 for additional guidance on control tissue related to cervical cancer.</p>
4. Negative Control Tissue Slides  (Lab-supplied)	The Negative Control Tissue Slides (known to be PD-L1 negative) stained with both PD-L1 primary antibody and Negative Control Reagent should be examined next to verify the specificity of the labeling of the target antigen by the primary antibody. Alternatively, negative portions of the Positive Control Tissue may serve as the Negative Control Tissue, but this should be verified by the user.	<p>Controls should be biopsy/surgical specimens of the same tumor indication as the patient specimen, fixed, processed and embedded as soon as possible in the same manner as the patient sample(s).</p> <p>Two negative tissue control slides should be included in each staining run.</p> <p><b>Slide stained with PD-L1:</b> No membrane staining in tumor cells. Nonspecific staining should be <math>\leq 1+</math>.</p> <p><b>Slide stained with Negative Control Reagent:</b> No membrane staining. Nonspecific staining should be <math>\leq 1+</math>.</p> <p>If specific cell membrane staining occurs in the Negative Control Tissue Slides, results with the patient specimen should be considered invalid.</p> <p>See section 13.2.2 for additional guidance on control tissue related to cervical cancer.</p>
5. Tonsil Control Tissue (optional)  (Lab-supplied)	Use human tonsil tissue fixed, processed and embedded in a manner similar to the patient sample(s) as an additional control material to verify sensitivity, specificity and nonspecific background staining of the assay.	Strong positive staining should be detected in portions of the crypt epithelium and weak to moderate staining of the follicular macrophages in the germinal centers. Negative staining should be observed in endothelium, fibroblasts as well as surface epithelium.
6. Patient tissue slide stained using the Negative Control Reagent	Examine patient specimens stained with the Negative Control Reagent from PD-L1 IHC 22C3 pharmDx. Negative Control Reagent is used in place of the primary antibody and aids in interpretation of specific staining at the antigen site.	Absence of cell membrane staining verifies the specific labeling of the target antigen by the primary antibody. Nonspecific staining should be $\leq 1+$ .
7. Patient tissue slide stained using the PD-L1 primary antibody	Examine the entire slide of the patient specimens stained with the PD-L1 primary antibody from PD-L1 IHC 22C3 pharmDx last. Refer to Summary and Explanation, Limitations, and Performance Characteristics for specific information regarding PD-L1 IHC 22C3 pharmDx immunoreactivity.	<p>Positive staining intensity should be assessed within the context of any nonspecific background staining observed on the patient's Negative Control Reagent slide in the same run.</p> <p>As with any immunohistochemical test, a negative result means that the antigen was not detected, not necessarily that the antigen was absent in the cells/tissue assayed.</p> <p>All viable tumor cells on the entire PD-L1 stained patient slide must be evaluated and included in the PD-L1 scoring assessment. A minimum of 100 viable tumor cells must be present for the specimen to be considered adequate for PD-L1 evaluation.</p> <p>Refer to Section 13 for scoring interpretation guidelines in PD-L1 expression.</p>

## 15. Limitations

### 15.1 General limitations

- For prescription use only.
- Immunohistochemistry is a multi-step diagnostic process that requires specialized training in the selection of the appropriate reagents; tissue selection, fixation, and processing; preparation of the immunohistochemistry slide; and interpretation of the staining results.
- Tissue staining is dependent on the handling and processing of the tissue prior to staining. Improper fixation, freezing, thawing, washing, drying, heating, sectioning, or contamination with other tissues or fluids may produce artifacts, antibody trapping, or false-negative results. Inconsistent results may be due to variations in fixation and embedding methods, or to inherent irregularities within the tissue.
- Excessive or incomplete counterstaining may compromise proper interpretation of results.
- The clinical interpretation of any PD-L1 staining must be evaluated within the context of clinical presentation, morphology and other histopathological criteria. The clinical interpretation of any staining, or its absence, must be complemented by morphological studies and proper controls as well as other diagnostic tests. It is the responsibility of a qualified pathologist, who is familiar with the antibodies, reagents and methods used, to interpret the stained preparation. Staining must be performed in a certified, licensed laboratory under the supervision of a pathologist who is responsible for reviewing the stained slides and assuring the adequacy of positive and negative controls.
- Tissues from persons infected with hepatitis B virus and containing hepatitis B surface antigen (HBsAg) may exhibit nonspecific staining with horseradish peroxidase.<sup>20</sup>

7. Reagents may demonstrate unexpected reactions in previously untested tissue types. The possibility of unexpected reactions even in tested tissue types cannot be completely eliminated due to biological variability of antigen expression in neoplasms, or other pathological tissues. Contact Agilent Pathology Support with documented unexpected reactions.
8. False-positive results may be seen due to nonimmunological binding of proteins or substrate reaction products. They may also be caused by pseudoperoxidase activity (erythrocytes) and endogenous peroxidase activity (cytochrome C).<sup>17</sup>
9. The reagents and instructions supplied in this system have been designed for optimal performance. Further dilution of the reagents or alteration of incubation times or temperatures may give erroneous or discordant results.

## 15.2 Product-specific limitations

1. False-negative results could be caused by degradation of the antigen in the tissues over time. Specimens should be stained within the cut section storage recommendations (refer to Section 8.2).
2. For optimal and reproducible results, the PD-L1 protein requires target retrieval pre-treatment when tissues are routinely fixed (neutral buffered formalin) and paraffin embedded.
3. Do not substitute reagents from different lot numbers of this product, or from kits of other manufacturers. The only exception is the EnVision FLEX Target Retrieval Solution, Low pH (50x), which, if required, is available as Code K8005.
4. Stained control cell lines should be used only for validation of the staining run and should not be used to score the staining reaction in tissue sections.
5. Use of PD-L1 IHC 22C3 pharmDx on tissues with fixatives other than formalin has not been validated.
6. Use of PD-L1 IHC 22C3 pharmDx on fine needle aspirates has not been validated.
7. Use of PD-L1 IHC 22C3 pharmDx on decalcified tissues has not been validated.
8. Clinicians should use caution when interpreting test results at the CPS  $\geq$  20 cutoff, because PD-L1 IHC 22C3 pharmDx failed to meet pre-specified acceptance criteria for positive percent agreement in two independent inter-site reproducibility studies and overall percent agreement in one inter-site reproducibility study conducted on HNSCC specimens at the CPS  $\geq$  20 cutoff. All pre-specified acceptance criteria were met in the independent inter-site reproducibility study conducted on HNSCC specimens at the CPS  $\geq$  1 cutoff.
9. Laboratories should pay particular attention to the pH of the Target Retrieval Solution for pre-treatment of ESCC specimens as pH 5.9 may affect PD-L1 staining performance.
10. The studies carried out to assess TRS use up to 3 times in esophageal cancer did not meet acceptance criteria for qualitative evaluation of PD-L1 expression status, therefore TRS reuse is not recommended for ESCC specimens.

## 16. Performance Evaluation

### 16.1 Non-clinical performance evaluation: normal and neoplastic tissues

Normal tissues: Table 12 summarizes monoclonal mouse anti-PD-L1, Clone 22C3, immunoreactivity on the recommended panel of normal tissues. Plasma membrane staining was observed on immune cells and cells of epithelial origin. Cytoplasmic staining was noted in some cell types but was not recorded as positive staining. All tissues were FFPE and stained with PD-L1 IHC 22C3 pharmDx according to the instructions in this package insert. There were no unexpected results observed in cell types or tissue types tested. The observed staining was consistent with the reported literature for PD-L1 IHC expression in normal tissues.<sup>21,23</sup>

**Table 12. Summary of PD-L1 IHC 22C3 pharmDx normal tissue reactivity**

Tissue Type (# tested)	Positive Plasma Membrane Staining: Tissue Elements	Positive Cytoplasmic Staining: Tissue Elements	Nonspecific Staining
Adrenal (3)	0/3	1/3 Medullary cells	0/3
Bladder (3)	0/3	0/3	0/3
Bone marrow (3)	3/3 Megakaryocytes	3/3 Megakaryocytes	0/3
Breast (3)	0/3	0/3	0/3
Cerebellum (3)	0/3	0/3	0/3
Cerebrum (3)	0/3	0/3	0/3
Cervix (3)	1/3 Epithelium	0/3	0/3
Colon (3)	2/3 Macrophages	0/3	0/3
Esophagus (3)	0/3	0/3	0/3
Kidney (3)	1/3 Tubular epithelium	0/3	0/3
Liver (3)	1/3 Macrophages 1/3 Hepatocytes	0/3	0/3
Lung (3)	3/3 Alveolar macrophages	0/3	0/3
Mesothelial cells (3)	0/3	0/3	0/3
Muscle, cardiac (3)	0/3	0/3	0/3
Muscle, skeletal (3)	0/3	0/3	0/3
Nerve, peripheral (3)	0/3	1/3 Connective tissue/vessels	0/3
Ovary (3)	0/3	0/3	0/3
Pancreas (3)	0/3	0/3	0/3
Parathyroid (3)	1/3 Glandular epithelium	0/3	0/3
Pituitary (3)	1/3 Anterior hypophysis 1/3 Posterior hypophysis	1/3 Anterior hypophysis 1/3 Posterior hypophysis	0/3
Prostate (3)	3/3 Epithelium	0/3	0/3
Salivary gland (3)	0/3	0/3	0/3
Skin (3)	0/3	0/3	0/3
Small intestine (3)	0/3	0/3	0/3
Spleen (3)	2/3 Macrophages	0/3	0/3
Stomach (3)	2/3 Lymphocytes 1/3 Gastric glands	1/3 Gastric glands	0/3
Testis (3)	0/3	0/3	0/3
Thymus (3)	3/3 Medullary epithelium	0/3	0/3
Thyroid (3)	0/3	0/3	0/3

Tissue Type (# tested)	Positive Plasma Membrane Staining: Tissue Elements	Positive Cytoplasmic Staining: Tissue Elements	Nonspecific Staining
Tonsil (3)	3/3 Crypt epithelium 2/3 Germinal center (macrophages)	0/3	0/3
Uterus (3)	0/3	0/3	0/3

**Neoplastic tissues:** Table 13 summarizes monoclonal mouse anti-PD-L1, Clone 22C3, immunoreactivity on a panel of neoplastic tissues. Plasma membrane staining was observed on immune cells and cells of epithelial origin. Cytoplasmic staining was noted in some cell types but was not recorded as positive staining. All tissues were FFPE and stained with PD-L1 IHC 22C3 pharmDx according to the instructions in this package insert. There were no unexpected results observed in the tumor specimens tested. The observed staining was consistent with the reported literature for PD-L1 IHC expression in neoplastic tissues.<sup>21-24</sup>

**Table 13. Summary of PD-L1 IHC 22C3 pharmDx neoplastic tissue reactivity**

Tumor Type	Location	PD-L1 positive/total N=159
Adenocarcinoma	Appendix	0/1
	Breast, DCIS	0/2
	Breast, invasive ductal	0/7
	Breast, invasive ductal metastatic to lymph node	0/1
	Cervix, endocervical type	0/1
	Colon	0/5
	Colon, metastatic to liver	0/1
	Colon, mucinous	0/1
	Esophagus	0/1
	Gallbladder	1/5
	GI, metastatic to lung	0/1
	Head & neck, hard palate	0/1
	Lung	1/4
	Ovary	0/1
	Ovary, endometrioid	0/1
	Ovary, mucinous	0/1
	Ovary, serous	0/1
	Pancreas	0/2
	Pancreas, ductal	0/3
	Prostate	0/5
	Rectum	0/4
	Salivary/parotid gland	0/2
	Small intestine	0/2
	Stomach	0/6
	Stomach, mucinous	0/1
	Thyroid, follicular	0/1
Thyroid, follicular-papillary	0/1	
Thyroid, papillary	0/3	
Uterus, clear cell	0/1	
Uterus, endometrium	0/3	
Adrenocortical carcinoma	Adrenal	0/1
Astrocytoma	Cerebrum	0/3
Basal cell carcinoma	Skin	0/1
Carcinoma	Nasopharyngeal, NPC	0/1
Chondrosarcoma	Bone	0/1
Chordoma	Pelvic cavity	0/1
Embryonal carcinoma	Testis	0/1
Ependymoma	Brain	0/1
Glioblastoma	Brain	0/1
Hepatoblastoma	Liver	0/1
Hepatocellular carcinoma	Liver	0/5
Islet cell tumor	Pancreas	0/1
Interstitialoma	Colon	0/1
	Rectum	0/1
	Small intestine	0/1
Leiomyosarcoma	Soft tissue, chest wall	0/1
	Bladder	0/1
Lymphoma		
Anaplastic large cell	Lymph node	0/1
Diffuse B-cell	Lymph node	0/4
Hodgkin	Lymph node	2/2
Non-Hodgkin	Lymph node	1/1
Medulloblastoma	Brain	0/1
Medullary carcinoma	Thyroid	0/1
Melanoma	Rectum	0/1
	Nasal cavity	0/1
Meningioma	Brain	0/2
Mesothelioma	Peritoneum	0/1
Neuroblastoma	Retroperitoneum	0/1

Tumor Type	Location	PD-L1 positive/total N=159
Neurofibroma	Soft tissue, lower back	0/1
Osteosarcoma	Bone	0/2
Pheochromocytoma	Adrenal	0/1
Primitive neuroectodermal tumor (PNET)	Retroperitoneum	0/1
Renal cell carcinoma		
Papillary	Kidney	0/1
Clear cell	Kidney	0/6
Rhabdomyosarcoma	Soft tissue, embryonal	0/1
	Prostate	0/1
	Retroperitoneum	0/1
Seminoma	Testis	0/2
Signet ring cell carcinoma	Metastatic colon signet ring cell carcinoma to ovary	0/1
	Colon	0/1
Small cell carcinoma	Lung	0/1
Spermatocytoma	Testis	0/2
Squamous cell carcinoma	Metastatic esophageal squamous cell carcinoma to lymph node	0/1
	Cervix	2/5
	Esophagus	0/7
	Head & neck	0/2
	Lung	1/2
	Skin	0/2
	Uterus	0/1
Synovial sarcoma	Pelvic cavity	0/1
Thymoma	Mediastinum	1/1
Transitional cell carcinoma	Bladder	0/6
	Kidney	0/1

## 16.2 Non-clinical performance evaluation: NSCLC

### Analytical sensitivity/specificity: NSCLC

Analytical sensitivity of PD-L1 IHC 22C3 pharmDx was tested on 127 unique cases of NSCLC FFPE specimens staged I to IV using a manufactured production lot. Assessment of PD-L1 expression demonstrated staining across a range of 0-100.0% positive tumor cells and 0-3 staining intensity.

### Precision: NSCLC

The precision of PD-L1 IHC 22C3 pharmDx was evaluated at Agilent. Average negative percent agreement (ANA), average positive percent agreement (APA), and overall percent agreement (OA) were computed with corresponding two-sided 95% percentile bootstrap confidence intervals for the TPS  $\geq$  1% cutoff and TPS  $\geq$  50% cutoff. For studies which resulted in 100.0% agreement, negative percent agreement (NPA), positive percent agreement (PPA), and overall percent agreement (OA) were computed with corresponding two-sided 95% Wilson score confidence intervals for the TPS  $\geq$  1% cutoff and TPS  $\geq$  50% cutoff.

**Table 14. Precision of PD-L1 IHC 22C3 pharmDx tested at one site (TPS  $\geq$  1%)**

Precision Study	Diagnostic Cutoff	Study Design	% Agreement (95% CI)
Inter-instrument	TPS $\geq$ 1%	All 24 NSCLC specimens (12 PD-L1-negative and 12 PD-L1-positive) with a range of PD-L1 IHC expression were tested using 6 Autostainer Link 48 instruments.	NPA 100.0% (94.0-100.0%) PPA 100.0% (94.0-100.0%) OA 100.0% (96.9-100.0%)
Inter-operator	TPS $\geq$ 1%	All 24 NSCLC specimens (12 PD-L1-negative and 12 PD-L1-positive) with a range of PD-L1 IHC expression were tested by 6 analysts using 1 Autostainer Link 48 instrument.	NPA 100.0% (93.9-100.0%) PPA 100.0% (94.0-100.0%) OA 100.0% (96.9-100.0%)
Inter-day	TPS $\geq$ 1%	All 24 NSCLC specimens (12 PD-L1-negative and 12 PD-L1-positive) with a range of PD-L1 IHC expression were tested on 6 non-consecutive days using the Autostainer Link 48 instrument.	NPA 100.0% (94.0-100.0%) PPA 100.0% (94.0-100.0%) OA 100.0% (96.9-100.0%)
Inter-lot	TPS $\geq$ 1%	All 24 NSCLC specimens (13 PD-L1-negative and 11 PD-L1-positive) with a range of PD-L1 IHC expression were tested with 3 replicates and 3 reagent lots using the Autostainer Link 48 instrument.	ANA 98.3% (95.9-100.0%) APA 97.9% (94.6-100.0%) OA 98.1% (95.3-100.0%)
Intra-run (Repeatability)	TPS $\geq$ 1%	All 24 NSCLC specimens (12 PD-L1-negative and 12 PD-L1-positive) with a range of PD-L1 IHC expression were tested with 6 replicates within a run using the Autostainer Link 48 instrument.	NPA 100.0% (94.0-100.0%) PPA 100.0% (93.8-100.0%) OA 100.0% (96.8-100.0%)

NPA=Negative Percent Agreement; PPA=Positive Percent Agreement; OA=Overall Percent Agreement  
ANA=Average Negative Percent Agreement; APA=Average Positive Percent Agreement; TPS=Tumor Proportion Score

**Table 15. Precision of PD-L1 IHC 22C3 pharmDx tested at one site (TPS ≥ 50%)**

Precision Study	Diagnostic Cutoff	Study Design	% Agreement (95% CI)
Inter-instrument	TPS ≥ 50%	All 16 NSCLC specimens (10 PD-L1-negative and 6 PD-L1-positive) with a range of PD-L1 IHC expression were tested using 6 Autostainer Link 48 instruments.	NPA 100.0% (92.9-100.0%) PPA 100.0% (88.6-100.0%) OA 100.0% (95.4-100.0%)
Inter-operator	TPS ≥ 50%	All 16 NSCLC specimens (10 PD-L1-negative and 6 PD-L1-positive) with a range of PD-L1 IHC expression were tested by 6 analysts using 1 Autostainer Link 48 instrument.	NPA 100.0% (92.7-100.0%) PPA 100.0% (88.6-100.0%) OA 100.0% (95.4-100.0%)
Inter-day	TPS ≥ 50%	All 16 NSCLC specimens (10 PD-L1-negative and 6 PD-L1-positive) with a range of PD-L1 IHC expression were tested on 6 non-consecutive days using the Autostainer Link 48 instrument.	NPA 100.0% (92.9-100.0%) PPA 100.0% (88.6-100.0%) OA 100.0% (95.4-100.0%)
Inter-lot	TPS ≥ 50%	All 16 NSCLC specimens (8 PD-L1-negative and 8 PD-L1-positive) with a range of PD-L1 IHC expression were tested with 3 replicates and 3 reagent lots using the Autostainer Link 48 instrument.	NPA 100.0% (92.6-100.0%) PPA 100.0% (92.6-100.0%) OA 100.0% (96.2-100.0%)
Intra-run (Repeatability)	TPS ≥ 50%	All 16 NSCLC specimens (10 PD-L1-negative and 6 PD-L1-positive) with a range of PD-L1 IHC expression were tested with 6 replicates within a run using the Autostainer Link 48 instrument.	NPA 100.0% (92.9-100.0%) PPA 100.0% (88.6-100.0%) OA 100.0% (95.4-100.0%)
Intra-day	TPS ≥ 50%	All 16 NSCLC specimens (10 PD-L1-negative and 6 PD-L1-positive) with a range of PD-L1 IHC expression were tested on 2 runs within a day, repeated over 3 days, using the Autostainer Link 48 instrument.	NPA 100.0% (88.3-100.0%) PPA 100.0% (82.4-100.0%) OA 100.0% (92.4-100.0%)

NPA=Negative Percent Agreement; PPA=Positive Percent Agreement; OA=Overall Percent Agreement; TPS=Tumor Proportion Score

**External reproducibility: NSCLC**

The reproducibility of PD-L1 IHC 22C3 pharmDx was evaluated at three external testing sites. Average agreements were calculated since no natural reference exists in reproducibility parameters such as site and observer. Average negative percent agreement (ANA), average positive percent agreement (APA), and overall percent agreement (OA) were computed with corresponding two-sided 95% percentile bootstrap confidence intervals for the TPS ≥ 1% cutoff and TPS ≥ 50% cutoff.

**Table 16. Reproducibility of PD-L1 IHC 22C3 pharmDx tested at three external sites (TPS ≥ 1%)**

Reproducibility Study	Diagnostic Cutoff	Study Design	% Agreement (95% CI)
Inter-site	TPS ≥ 1%	All 36 NSCLC specimens (16 PD-L1-negative and 20 PD-L1-positive) with a range of PD-L1 IHC expression were tested on 5 non-consecutive days. Inter-site analysis was performed between 3 sites on a total of 2700 pair-wise comparisons.	ANA 94.8% (90.3-98.4%) APA 95.5% (91.2-98.7%) OA 95.2% (90.8-98.6%)
Intra-site	TPS ≥ 1%	All 36 NSCLC specimens (16 PD-L1-negative and 20 PD-L1-positive) with a range of PD-L1 IHC expression were tested on 5 non-consecutive days at each of 3 study sites. Intra-site analysis was performed for 3 sites on a total of 1080 pair-wise comparisons.	ANA 96.2% (94.1-97.5%) APA 96.7% (95.0-97.9%) OA 96.5% (95.2-97.4%)
Inter-observer	TPS ≥ 1%	All 62 NSCLC specimens (28 PD-L1-negative and 34 PD-L1-positive) with a range of PD-L1 IHC expression, stained with PD-L1 IHC 22C3 pharmDx, were scored by 3 pathologists, 1 at each of 3 study sites, on 3 non-consecutive days. Inter-observer analysis was performed between 3 sites on a total of 1674 pair-wise comparisons.	ANA 85.8% (79.3-91.8%) APA 88.2% (82.2-93.3%) OA 87.1% (81.0-92.6%)
Intra-observer	TPS ≥ 1%	All 62 NSCLC specimens (28 PD-L1-negative and 34 PD-L1-positive) with a range of PD-L1 IHC expression, stained with PD-L1 IHC 22C3 pharmDx, were scored by 3 pathologists, 1 at each of 3 study sites, on 3 non-consecutive days. Intra-observer analysis was performed for 3 sites on a total of 558 pair-wise comparisons.	ANA 93.7% (90.0-96.1%) APA 94.8% (91.6-96.7%) OA 94.3% (92.0-95.9%)

ANA=Average Negative Percent Agreement; APA=Average Positive Percent Agreement; OA=Overall Percent Agreement; TPS=Tumor Proportion Score

**Table 17. Reproducibility of PD-L1 IHC 22C3 pharmDx tested at three external sites (TPS ≥ 50%)**

Reproducibility Study	Diagnostic Cutoff	Study Design	% Agreement (95% CI)
Inter-site	TPS ≥ 50%	All 36 NSCLC specimens (21 PD-L1-negative and 15 PD-L1-positive) with a range of PD-L1 IHC expression were tested on 5 non-consecutive days. Inter-site analysis was performed between 3 sites on a total of 2700 pair-wise comparisons.	ANA 90.3% (84.4-95.2%) APA 85.2% (75.6-92.9%) OA 88.3% (81.4-94.3%)

Reproducibility Study	Diagnostic Cutoff	Study Design	% Agreement (95% CI)
Intra-site	TPS $\geq$ 50%	All 36 NSCLC specimens (21 PD-L1-negative and 15 PD-L1-positive) with a range of PD-L1 IHC expression were tested on 5 non-consecutive days at each of 3 study sites. Intra-site analysis was performed for 3 sites on a total of 1080 pair-wise comparisons.	ANA 91.9% (88.8-94.8%) APA 87.6% (82.5-92.2%) OA 90.2% (86.3-93.7%)
Inter-observer	TPS $\geq$ 50%	All 62 NSCLC specimens (30 PD-L1-negative and 32 PD-L1-positive) with a range of PD-L1 IHC expression, stained with PD-L1 IHC 22C3 pharmDx, were scored by 3 pathologists, 1 at each of 3 study sites, on 3 non-consecutive days. Inter-observer analysis was performed between 3 sites on a total of 1674 pair-wise comparisons.	ANA 92.6% (87.8-96.7%) APA 92.8% (88.1-96.8%) OA 92.7% (88.1-96.8%)
Intra-observer	TPS $\geq$ 50%	All 62 NSCLC specimens (30 PD-L1-negative and 32 PD-L1-positive) with a range of PD-L1 IHC expression, stained with PD-L1 IHC 22C3 pharmDx, were scored by 3 pathologists, 1 at each of 3 study sites, on 3 non-consecutive days. Intra-observer analysis was performed for 3 sites on a total of 558 pair-wise comparisons.	ANA 96.4% (94.0-98.5%) APA 96.5% (94.3-98.6%) OA 96.4% (94.3-98.6%)

ANA=Average Negative Percent Agreement; APA=Average Positive Percent Agreement; OA=Overall Percent Agreement; TPS=Tumor Proportion Score

### 16.3 Clinical performance evaluation: NSCLC (KEYTRUDA)

#### KN042: First-line treatment of metastatic NSCLC as a single agent

The efficacy of KEYTRUDA was investigated in KEYNOTE-042 (NCT02220894), a randomized, multicenter, open-label, active-controlled trial conducted in 1274 patients with stage III NSCLC, who were not candidates for surgical resection or definitive chemoradiation, or metastatic NSCLC, whose tumors expressed PD-L1 (TPS  $\geq$  1%) by an immunohistochemistry assay using PD-L1 IHC 22C3 pharmDx, and who had not received prior systemic treatment for metastatic NSCLC.<sup>3</sup> Patients with EGFR or ALK genomic tumor aberrations; autoimmune disease that required systemic therapy within 2 years of treatment; a medical condition that required immunosuppression; or who had received more than 30 Gy of radiation in the thoracic region within the prior 26 weeks of initiation of study were ineligible. Randomization was stratified by ECOG performance status (0 vs. 1), histology (squamous vs. nonsquamous), geographic region (East Asia vs. non-East Asia), and PD-L1 expression (TPS  $\geq$  50% vs. TPS 1 to 49%). Patients were randomized (1:1) to receive KEYTRUDA 200 mg intravenously every 3 weeks or investigator's choice of either of the following platinum-containing chemotherapy regimens:

- Pemetrexed 500 mg/m<sup>2</sup> every 3 weeks and carboplatin AUC 5 to 6 mg/mL/min every 3 weeks on Day 1 for a maximum of 6 cycles followed by optional pemetrexed 500 mg/m<sup>2</sup> every 3 weeks for patients with nonsquamous histologies;
- Paclitaxel 200 mg/m<sup>2</sup> every 3 weeks and carboplatin AUC 5 to 6 mg/mL/min every 3 weeks on Day 1 for a maximum of 6 cycles followed by optional pemetrexed 500 mg/m<sup>2</sup> every 3 weeks for patients with nonsquamous histologies.

Treatment with KEYTRUDA continued until RECIST v1.1 (modified to follow a maximum of 10 target lesions and a maximum of 5 target lesions per organ)-defined progression of disease, unacceptable toxicity, or a maximum of 24 months. Administration of KEYTRUDA was permitted beyond RECIST-defined disease progression if the patient was clinically stable and deriving clinical benefit as determined by the investigator. Treatment with KEYTRUDA could be reinitiated at the time of subsequent disease progression and administered for up to 12 months. Assessment of tumor status was performed every 9 weeks. The main efficacy outcome measure was OS. Additional efficacy outcome measures were PFS and ORR as assessed by a BICR review according to RECIST v1.1, modified to follow a maximum of 10 target lesions and a maximum of 5 target lesions per organ.

The study population characteristics were: median age of 63 years (range: 25 to 90), 45% age 65 or older; 71% male; 64% White, 30% Asian, and 2% Black. Nineteen percent were Hispanic or Latino. Sixty-nine percent had ECOG performance status of 1; 39% with squamous and 61% with nonsquamous histology; 87% with M1 disease and 13% with Stage IIIA (2%) or Stage IIIB (11%) who were not candidates for surgical resection or definitive chemoradiation per investigator assessment; and 5% with treated brain metastases at baseline. Forty-seven percent of patients had TPS  $\geq$  50% NSCLC and 53% had TPS 1 to 49% NSCLC.

The trial demonstrated a statistically significant improvement in OS for patients randomized to KEYTRUDA as compared with chemotherapy. Table 18 and Figure 1 summarize the efficacy results in the subgroup of patients with TPS  $\geq$  50% and in all randomized patients with TPS  $\geq$  1%.

**Table 18. Efficacy results of all randomized patients (TPS ≥ 1% and TPS ≥ 50%) in KEYNOTE-042**

Endpoint	TPS ≥ 1%		TPS ≥ 50%	
	KEYTRUDA 200 mg every 3 weeks n=637	Chemotherapy n=637	KEYTRUDA 200 mg every 3 weeks n=299	Chemotherapy n=300
<b>OS</b>				
Number of events (%)	371 (58%)	438 (69%)	157 (53%)	199 (66%)
Median in months (95% CI)	16.7 (13.9, 19.7)	12.1 (11.3, 13.3)	20.0 (15.4, 24.9)	12.2 (10.4, 14.2)
Hazard ratio* (95% CI)	0.81 (0.71, 0.93)		0.69 (0.56, 0.85)	
p-Value†	0.0036		0.0006	
<b>PFS</b>				
Number of events (%)	507 (80%)	506 (79%)	221 (74%)	233 (78%)
Median in months (95% CI)	5.4 (4.3, 6.2)	6.5 (6.3, 7.0)	7.1 (5.9, 9.0)	6.4 (6.1, 6.9)
Hazard ratio*‡ (95% CI)	1.07 (0.94, 1.21)		0.81 (0.67, 0.99)	
p-Value†	- ‡		NS§	
<b>Objective Response Rate</b>				
ORR‡ (95% CI)	27% (24, 31)	27% (23, 30)	39% (33.9, 45.3)	32% (26.8, 37.6)
Complete response rate	0.5%	0.5%	0.7%	0.3%
Partial response rate	27%	26%	39%	32%
<b>Duration of Response</b>				
% with duration ≥ 12 months¶	47%	16%	42%	17%
% with duration ≥ 18 months¶	26%	6%	25%	5%

\* Based on the stratified Cox proportional hazard model

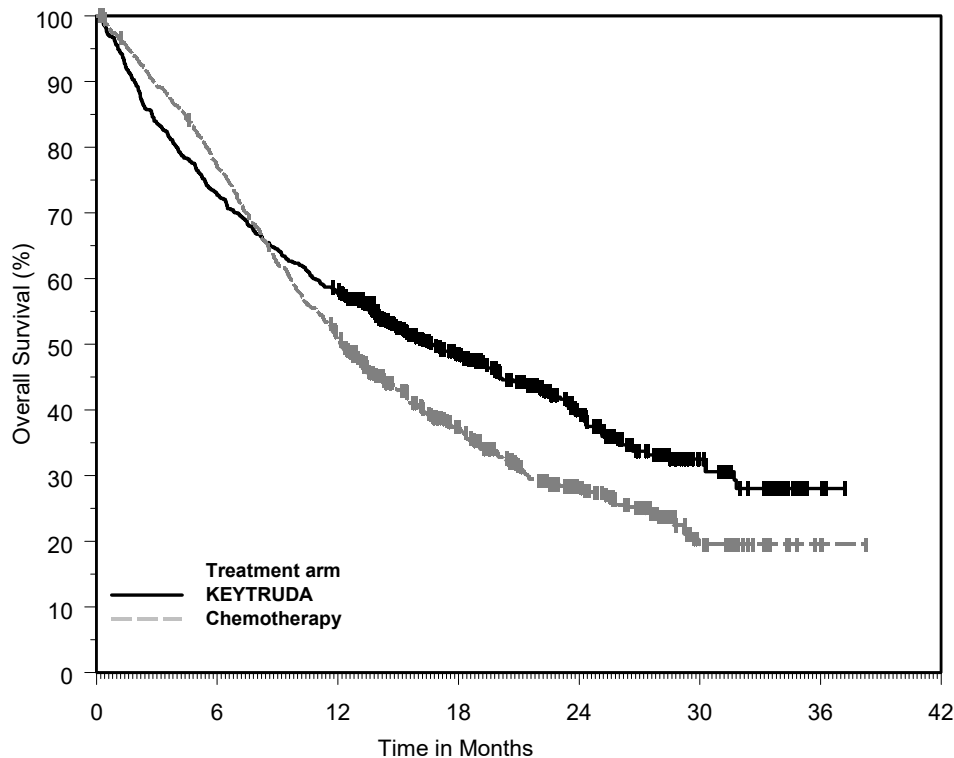
† Based on a stratified log-rank test; compared to a p-Value boundary of 0.0291

‡ Not evaluated for statistical significance as a result of the sequential testing procedure for the secondary endpoints

§ Not significant compared to a p-Value boundary of 0.0291

¶ Based on observed duration of response

In a pre-specified exploratory subgroup analysis for patients with TPS 1-49% NSCLC, the median OS was 13.4 months (95% CI: 10.7, 18.2) for the pembrolizumab group and 12.1 months (95% CI: 11.0, 14.0) in the chemotherapy group, with an HR of 0.92 (95% CI: 0.77, 1.11).



Number at Risk	0	6	12	18	24	30	36	42
KEYTRUDA:	637	463	365	214	112	35	2	0
Chemotherapy:	637	485	316	166	88	24	1	0

**Figure 1. Kaplan-Meier curve for overall survival in all randomized patients in KEYNOTE-042 (TPS ≥ 1%)**

**KEYNOTE-024: Controlled trial of first-line treatment of patients with NSCLC**

The efficacy of KEYTRUDA was investigated in Trial 24, a randomized (1:1), open-label, multicenter, controlled trial.<sup>4</sup> Key eligibility criteria were metastatic NSCLC, PD-L1 expression Tumor Proportion Score (TPS) of 50% or greater by an immunohistochemistry assay using PD-L1 IHC 22C3 pharmDx, and no prior systemic treatment for metastatic NSCLC. Patients with EGFR or ALK genomic tumor aberrations; autoimmune disease that required systemic therapy within 2 years of treatment; a medical condition that required immunosuppression; or who had received more than 30 Gy of thoracic radiation within the prior 26 weeks were ineligible. Patients were randomized to receive KEYTRUDA 200 mg every 3 weeks (n=154) or investigator's choice platinum-containing chemotherapy (n=151; including pemetrexed + carboplatin, pemetrexed + cisplatin, gemcitabine + cisplatin, gemcitabine + carboplatin, or paclitaxel + carboplatin. Non-squamous patients could receive pemetrexed maintenance). Patients were treated with KEYTRUDA until unacceptable toxicity or disease progression, or up to 35 administrations. Subsequent disease progression could be retreated for up to 1 additional year. Treatment could continue beyond disease progression if the patient was clinically stable and was considered to be deriving clinical benefit by the investigator. Assessment of tumor status was performed every 9 weeks. Patients on chemotherapy who experienced progression of disease were offered KEYTRUDA.

Among the 305 patients in Trial 24, baseline characteristics were: median age 65 years (54% age 65 or older); 61% male; 82% White and 15% Asian; and 35% and 65% with an ECOG performance status 0 and 1, respectively. Disease characteristics were squamous (18%) and non-squamous (82%); M1 (99%); and brain metastases (9%).

The major efficacy outcome measure was progression-free survival (PFS) as assessed by blinded independent central review (BICR) using Response Evaluation Criteria on Solid Tumors Version 1.1 (RECIST 1.1). Additional efficacy outcome measures were overall survival (OS) and objective response rate (ORR) as assessed by BICR using RECIST 1.1. Table 19 summarizes key efficacy measures for the entire intent to treat (ITT) population.

**Table 19. Efficacy results in Trial 24**

Endpoint	KEYTRUDA 200 mg every 3 weeks n=154	Chemotherapy n=151
PFS*		
Number (%) of patients with event	73 (47%)	116 (77%)
Hazard ratio <sup>†</sup> (95% CI)	0.50 (0.37, 0.68)	---
p-Value <sup>‡</sup>	<0.001	---
Median in months (95% CI)	10.3 (6.7, NA)	6.0 (4.2, 6.2)
OS		
Number (%) of patients with event	44 (29%)	64 (42%)
Hazard ratio <sup>†</sup> (95% CI)	0.60 (0.41, 0.89)	---
p-Value <sup>‡</sup>	0.005	---
Median in months (95% CI)	Not reached (NA, NA)	Not reached (9.4, NA)
Objective Response Rate*		
ORR % (95% CI)	45% (37, 53)	28% (21, 36)
Complete response %	4%	1%
Partial response %	41%	27%

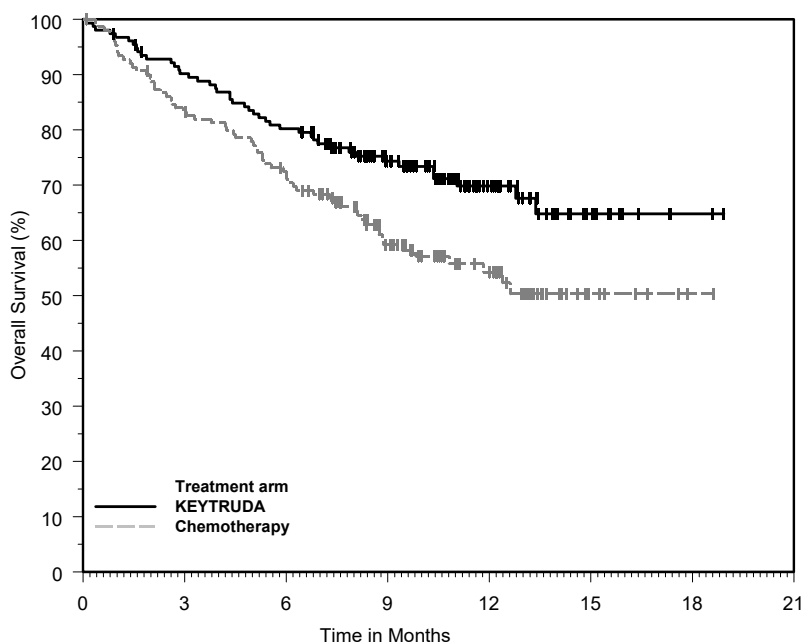
\* Assessed by BICR using RECIST 1.1

<sup>†</sup> Hazard ratio (KEYTRUDA compared to chemotherapy) based on the stratified Cox proportional hazard model

<sup>‡</sup> Based on stratified Log rank test

NA = not available

Among the 69 patients randomized to KEYTRUDA 200 mg with an objective response, response durations ranged from 1.9+ to 14.5+ months. Eighty-eight percent of these responders had a response duration of 6 months or longer (based on Kaplan-Meier estimation; Figure 2).



**Figure 2. Kaplan-Meier curve for overall survival in Trial 24**

*KEYNOTE-010: Controlled trial of NSCLC patients previously treated with chemotherapy*

The efficacy of KEYTRUDA was investigated in Trial 10, a randomized (1:1), open-label, multicenter, controlled trial.<sup>5</sup> Key eligibility criteria were advanced NSCLC that had progressed following platinum-containing chemotherapy, and if appropriate, targeted therapy for ALK or EGFR mutations, and PD-L1 expression Tumor Proportion Score (TPS) of 1% or greater by a Clinical Trial Assay (CTA) version of PD-L1 IHC 22C3 pharmDx. Forty-four and 56 percent of patients were enrolled based on testing of an archival tumor sample or a new tumor sample, respectively. Patients with autoimmune disease; a medical condition that required immunosuppression; or who had received more than 30 Gy of thoracic radiation within the prior 26 weeks were ineligible. Patients were randomized (1:1:1) to receive 2 mg/kg (n=344) or 10 mg/kg (n=346) of KEYTRUDA every 3 weeks or 75 mg/m<sup>2</sup> of docetaxel every 3 weeks (n=343). Patients were treated with KEYTRUDA until unacceptable toxicity or disease progression that was symptomatic, was rapidly progressive, required urgent intervention, occurred with a decline in performance status, or was confirmed at 4 to 6 weeks with repeat imaging. Patients without disease progression were treated for up to 24 months or 35 administrations, whichever was longer. Subsequent disease progression could be retreated for up to 1 additional year. Assessment of tumor status was performed every 9 weeks. The primary efficacy outcome measures were OS and PFS as assessed by BICR using RECIST 1.1.

Based on the CTA, a total of 1,033 NSCLC patients were randomized in the study. To evaluate the clinical utility of PD-L1 IHC 22C3 pharmDx, archived clinical study samples were retrospectively tested at a USA-based reference laboratory with PD-L1 IHC 22C3 pharmDx. Out of the 1,033 patients, tumor tissue from 529 patients was retrospectively tested with PD-L1 IHC 22C3 pharmDx. Specimens from 413 patients had PD-L1 expression ( $\geq 1\%$  of viable tumor cells exhibiting membrane staining at any intensity) and samples from 94 patients did not have PD-L1 expression ( $< 1\%$  of viable tumor cells exhibiting membrane staining at any intensity). Within these 413 patients with PD-L1 expression, specimens from 163 patients had high PD-L1 expression ( $\geq 50\%$  of viable tumor cells exhibiting membrane staining at any intensity).

The level of agreement achieved between the CTA and PD-L1 IHC 22C3 pharmDx is shown in Table 20.

**Table 20. CTA vs. PD-L1 IHC 22C3 pharmDx agreement**

Agreement Rates	PD-L1 Cutoff	Negative Percent Agreement (95% Confidence Interval (CI))	Positive Percent Agreement (95% Confidence Interval (CI))
CTA vs. PD-L1 IHC 22C3 pharmDx	TPS $\geq 1\%$	94.5% [91.4%-96.6%]	80.0% [76.9%-82.8%]
	TPS $\geq 50\%$	98.3% [97.1%-99.0%]	73.2% [67.9%-77.9%]

Among randomized patients having PD-L1 expression by PD-L1 IHC 22C3 pharmDx, the demographic and other baseline characteristics were well balanced between the treatment arms. The median age was 63 years (44% age 65 or older). The majority of patients were white (77%) and male (58%); baseline ECOG performance status was 0 (29%) or 1 (71%). Seventy-eight percent (78%) of patients were former/current smokers. Twenty-two percent (22%) of patients had squamous histology and 69% had non-squamous histology. The baseline and demographic characteristics were similarly well balanced across pembrolizumab and docetaxel arms in the overall clinical study.

Efficacy results are summarized in Tables 21 and 22. KEYTRUDA demonstrated durable clinical benefit in NSCLC patients with PD-L1 expression (TPS  $\geq 1\%$ ), which was enhanced in patients with high PD-L1 expression (TPS  $\geq 50\%$ ), as determined by PD-L1 IHC 22C3 pharmDx. The magnitude of benefit was comparable to that in the overall clinical trial. Tables 21 and 22 summarize key efficacy measures in the overall population with PD-L1 expression (TPS  $\geq 1\%$ ) and in the high PD-L1 expression (TPS  $\geq 50\%$ ) subset for the overall clinical study (TPS  $\geq 1\%$  by CTA) and in the population with PD-L1 expression by PD-L1 IHC 22C3 pharmDx. The Kaplan-Meier curve for OS (TPS  $\geq 1\%$ ), as determined by PD-L1 IHC 22C3 pharmDx, is shown in Figure 3. Efficacy results were similar for the 2 mg/kg and 10 mg/kg KEYTRUDA arms.

**Table 21. Response to KEYTRUDA in previously treated NSCLC patients: overall clinical trial and patients with PD-L1 expression, TPS ≥ 1%, as determined by PD-L1 IHC 22C3 pharmDx**

Endpoint	KEYTRUDA 2 mg/kg every 3 weeks		KEYTRUDA 10 mg/kg every 3 weeks		Docetaxel 75 mg/m <sup>2</sup> every 3 weeks	
	Clinical Trial	PD-L1 IHC 22C3 pharmDx	Clinical Trial	PD-L1 IHC 22C3 pharmDx	Clinical Trial	PD-L1 IHC 22C3 pharmDx
Number of patients	344	140	346	142	343	131
<b>OS</b>						
Deaths (%)	172 (50%)	59 (42%)	156 (45%)	59 (42%)	193 (56%)	67 (51%)
Hazard ratio* (95% CI)	0.71 (0.58, 0.88)	0.54 (0.37, 0.78)	0.61 (0.49, 0.75)	0.57 (0.39, 0.82)	---	---
p-Value <sup>†</sup>	<0.001	<0.001	<0.001	0.00115	---	---
Median in months (95% CI)	10.4 (9.4, 11.9)	11.8 (9.6, NA)	12.7 (10.0, 17.3)	12.0 (8.7, NA)	8.5 (7.5, 9.8)	7.5 (6.3, 9.9)
<b>PFS<sup>‡</sup></b>						
Events (%)	266 (77%)	97 (63%)	255 (74%)	103 (73%)	257 (75%)	94 (72%)
Hazard ratio* (95% CI)	0.88 (0.73, 1.04)	0.68 (0.50, 0.92)	0.79 (0.66, 0.94)	0.79 (0.59, 1.06)	---	---
p-Value <sup>†</sup>	0.068	0.00578	0.005	0.05767	---	---
Median in months (95% CI)	3.9 (3.1, 4.1)	4.9 (4.1, 6.2)	4.0 (2.6, 4.3)	4.0 (2.2, 4.6)	4.0 (3.1, 4.2)	3.8 (2.2, 4.2)
<b>Overall response rate<sup>§</sup></b>						
ORR % <sup>§</sup> (95% CI)	18% (14, 23)	24% (17, 32)	18% (15, 23)	20% (14, 28)	9% (7, 13)	5% (2, 11)

\* Hazard ratio (KEYTRUDA compared to docetaxel) based on the stratified Cox proportional hazard model

† Based on stratified Log rank test

‡ Assessed by BICR using RECIST 1.1

§ All responses were partial responses

**Table 22. Response to KEYTRUDA in previously treated NSCLC patients: overall clinical trial and patients with PD-L1 high expression, TPS ≥ 50%, as determined by PD-L1 IHC 22C3 pharmDx**

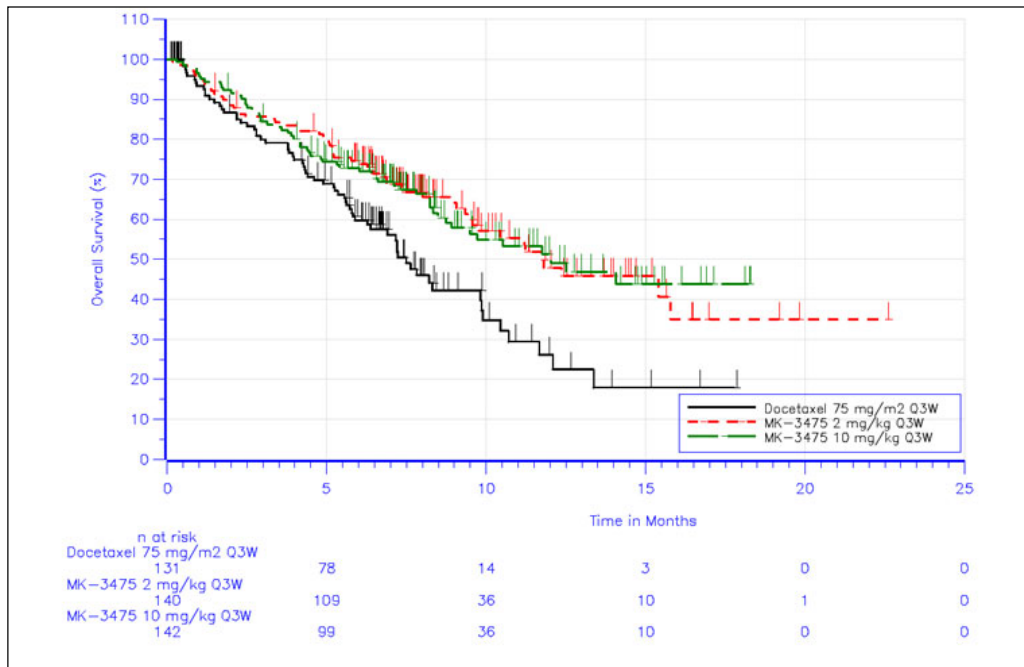
Endpoint	KEYTRUDA 2 mg/kg every 3 weeks		KEYTRUDA 10 mg/kg every 3 weeks		Docetaxel 75 mg/m <sup>2</sup> every 3 weeks	
	Clinical Trial	PD-L1 IHC 22C3 pharmDx	Clinical Trial	PD-L1 IHC 22C3 pharmDx	Clinical Trial	PD-L1 IHC 22C3 pharmDx
Number of patients	139	56	151	60	152	47
<b>OS</b>						
Deaths (%)	58 (42%)	18 (32%)	60 (40%)	19 (32%)	86 (57%)	25 (53%)
Hazard ratio* (95% CI)	0.54 (0.38, 0.77)	0.45 (0.24, 0.84)	0.50 (0.36, 0.70)	0.29 (0.15, 0.56)	---	---
p-Value†	<0.001	0.00541	<0.001	<0.001	---	---
Median in months (95% CI)	14.9 (10.4, NA)	Not reached (9.3, NA)	17.3 (11.8, NA)	Not reached (8.3, NA)	8.2 (6.4, 10.7)	7.2 (4.4, 8.3)
<b>PFS‡</b>						
Events (%)	89 (64%)	33 (59%)	97 (64%)	34 (57%)	118 (78%)	33 (70%)
Hazard ratio* (95% CI)	0.58 (0.43, 0.77)	0.47 (0.28, 0.80)	0.59 (0.45, 0.78)	0.41 (0.24, 0.70)	---	---
p-Value†	<0.001	0.00221	<0.001	<0.001	---	---
Median in months (95% CI)	5.2 (4.0, 6.5)	5.9 (4.2, 9.0)	5.2 (4.1, 8.1)	4.8 (2.8, NA)	4.1 (3.6, 4.3)	3.9 (2.0, 4.3)
<b>Overall response rate ‡</b>						
ORR %§ (95% CI)	30% (23, 39)	37% (25, 52)	29% (22, 37)	28% (18, 41)	8% (4, 13)	4% (1, 15)

\* Hazard ratio (KEYTRUDA compared to docetaxel) based on the stratified Cox proportional hazard model

† Based on stratified Log rank test

‡ Assessed by BICR using RECIST 1.1

§ All responses were partial responses



**Figure 3. Kaplan-Meier curve for overall survival by treatment arm (TPS ≥ 1% by PD-L1 IHC 22C3 pharmDx, intent to treat population)**

Additional robustness analyses were conducted to consider the potential impact of missing data arising from patients with PD-L1 expression (TPS ≥ 1%) by PD-L1 IHC 22C3 pharmDx, but who may have had no PD-L1 expression (TPS < 1%) by the CTA. Patients with such test results are part of the intended use/ intent to diagnose (ITD)/ population of PD-L1 IHC 22C3 pharmDx; however, they were excluded from the clinical trial due to no PD-L1 expression upon CTA screening. To account for these missing data, a sensitivity analysis was conducted to understand the plausible range for the hazard ratio (HR) estimated based on PD-L1 IHC 22C3 pharmDx in the TPS ≥ 1% and TPS ≥ 50% subpopulations under an ITD framework to verify the consistency with the observed HR based on enrollment with the CTA. The HR sensitivity analysis results showed that the HR estimates are robust to any assumed attenuation of the treatment effect under the ITD framework.

#### 16.4 Clinical performance evaluation: NSCLC (LIBTAYO)

*Regeneron EMPOWER-Lung 1: First-line treatment of locally advanced NSCLC in patients who are not candidates for surgical resection or definitive chemoradiation, or metastatic NSCLC*

The efficacy of LIBTAYO in patients with locally advanced NSCLC who were not candidates for surgical resection or definitive chemoradiation, or with metastatic NSCLC was evaluated in a randomized, open-label, multi-center trial: EMPOWER-Lung 1 (NCT03088540).<sup>12</sup>

The trial was designed to enroll patients with tumor PD-L1 expression of TPS  $\geq$  50%. A total of 710 patients (Intent-To-Treat [ITT] population) were enrolled, and an analysis was performed on a population (n=563) who had PD-L1 expression of TPS  $\geq$  50% using PD-L1 IHC 22C3 pharmDx according to the approved labeling.

Patients with EGFR, ALK or ROS1 genomic tumor aberrations; a medical condition that required systemic immunosuppression; autoimmune disease that required systemic therapy within 2 years of treatment; or who had never smoked were ineligible. Patients with a history of brain metastases were eligible if they had been adequately treated and had neurologically returned to baseline for at least 2 weeks prior to randomization.

Randomization was stratified by histology (non-squamous vs squamous) and geographic region (Europe vs Asia vs Rest of world). Patients were randomized (1:1) to receive LIBTAYO 350 mg intravenously (IV) every 3 weeks for up to 108 weeks or a platinum-doublet chemotherapy regimen for 4 to 6 cycles followed by optional pemetrexed maintenance for patients with non-squamous histology who received a pemetrexed containing regimen.

Treatment with LIBTAYO continued until RECIST 1.1-defined progressive disease, unacceptable toxicity, or up to 108 weeks. Patients who experienced IRC-assessed RECIST 1.1-defined progressive disease on LIBTAYO therapy were permitted to continue treatment with LIBTAYO (up to an additional 108 weeks) with the addition of 4 cycles of histology-specific chemotherapy until further progression was observed. Of the 150 patients in the population with TPS  $\geq$  50% randomized to receive chemotherapy who had IRC-assessed RECIST 1.1-defined disease progression, 107 (71.3%) patients crossed over to treatment with LIBTAYO. Assessment of tumor status was performed every 9 weeks. The major efficacy outcome measures were overall survival (OS) and progression-free survival (PFS). An additional efficacy outcome measure was overall response rate (ORR).

The study population characteristics of patients with PD-L1 expression of TPS  $\geq$  50% are included in Table 23.

**Table 23: Summary of baseline patient and disease characteristics in the population with TPS  $\geq$  50%**

	LIBTAYO N=283	Chemotherapy N=280
<b>Patient Characteristics</b>		
Median Age, Years (min, max)	63 (31, 79)	64 (40, 84)
Age < 65 Years, n (%)	157 (55)	147 (53)
Age $\geq$ 65 Years, n (%)	126 (45)	133 (48)
Gender: Male n (%)	248 (88)	231 (83)
Race: White n (%)	243 (86)	240 (86)
<b>ECOG Performance Status n (%)</b>		
0	77 (27)	75 (27)
1	206 (73)	205 (73)
History of brain metastasis (%)	12	12
<b>Disease Characteristics</b>		
<b>Extent of Disease n (%)</b>		
Locally Advanced	45 (16)	42 (15)
Metastatic	238 (84)	238 (85)
<b>Histological Subtype n (%)</b>		
Squamous	122 (43)	121 (43)
Non-squamous	161 (57)	159 (57)

In the ITT population, baseline patient and disease characteristics were consistent with those in the population with TPS  $\geq$  50%.

In the population with TPS  $\geq$  50%, the trial demonstrated statistically significant improvement in OS and PFS for patients randomized to LIBTAYO as compared with chemotherapy. Results were similar to the efficacy results for the ITT population.

Efficacy results for the population with PD-L1 expression of TPS  $\geq$  50% are presented in Table 24 and in Figure 4.

**Table 24: Efficacy results from EMPOWER-Lung 1 in non-small cell lung cancer**

Endpoints	TPS ≥ 50% Population (N=563)	
	LIBTAYO 350 mg every 3 weeks n=283	Chemotherapy n=280
<b>Overall Survival</b>		
Number of deaths (%)	70 (24.7)	105 (37.5)
Median in months (95% CI) <sup>a</sup>	NR (17.9, NE)	14.2 (11.2, 17.5)
Hazard ratio (95% CI) <sup>b</sup>	0.57 (0.42, 0.77)	
p-Value	0.0002	
<b>Progression-free Survival per BICR</b>		
Number of events (%)	147 (51.9)	197 (70.4)
Median in months (95% CI) <sup>a</sup>	8.2 (6.1, 8.8)	5.7 (4.5, 6.2)
Hazard ratio (95% CI) <sup>b</sup>	0.54 (0.43, 0.68)	
p-Value	<0.0001	
<b>Overall Response Rate per BICR (%)<sup>c, d</sup></b>		
ORR (95% CI)	39.2 (33.5, 45.2)	20.4 (15.8, 25.6)
Complete response (CR) rate	2.1	1.1
Partial response (PR) rate	37.1	19.3
<b>Duration of Response per BICR<sup>c</sup></b>		
Median in months (range)	16.7 (1.9+, 23.3+)	6.0 (1.3+, 14.5+)

BICR: blinded independent central review; CI: confidence interval; NE: Not evaluable; NR: Not reached

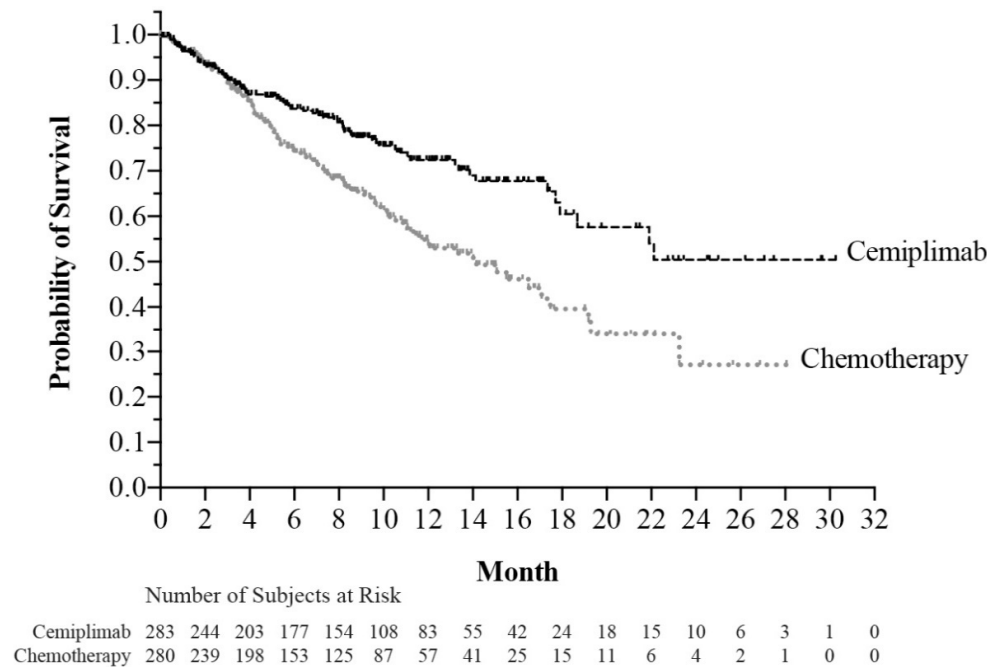
+ : Ongoing response

<sup>a</sup> Based on Kaplan-Meier method

<sup>b</sup> Based on stratified proportional hazards model

<sup>c</sup> Not a pre-specified endpoint

<sup>d</sup> Clopper-Pearson exact confidence interval



**Figure 4: Kaplan-Meier curve for OS in the TPS ≥ 50% population**

### 16.5 Non-clinical performance evaluation: esophageal cancer

The non-clinical studies were performed on FFPE esophageal cancer specimens (studies were conducted with both squamous and adenocarcinoma specimens).

#### Analytical sensitivity/specificity: esophageal cancer

Analytical sensitivity of PD-L1 IHC 22C3 pharmDx was tested on 100 FFPE esophageal cancer specimens. Assessment of PD-L1 expression demonstrated staining across a range of CPS 0-100, where 34% of the specimens had PD-L1 expression with a CPS ≥ 10. Two specimens were not evaluable due to containing fewer than 100 viable tumor cells.

#### Precision: esophageal cancer

The precision of PD-L1 IHC 22C3 pharmDx was evaluated at Agilent. Inter-operator, inter-instrument, inter-day, and inter-lot were tested in combined precision. For the precision studies, negative percent agreement (NPA), positive percent agreement (PPA), and overall

percent agreement (OA) were computed with corresponding two-sided 95% percentile bootstrap confidence intervals for the CPS  $\geq$  10 cutoff as shown in Table 25.

**Table 25. Precision of PD-L1 IHC 22C3 pharmDx in esophageal cancer, tested at one site (CPS  $\geq$  10)**

Precision Study	Diagnostic Cutoff	Study Design	% Agreement (95% CI)
Combined Precision (Inter-Operator, Inter-Instrument, Inter-Day, and Inter-Lot as combined variables)	CPS $\geq$ 10	All 32 esophageal cancer specimens (15 PD-L1-negative and 17 PD-L1-positive) with a range of PD-L1 IHC expression were tested by 3 operators, using 3 Autostainer Link 48 instruments, over 3 non-consecutive days, using 3 reagent lots.	NPA 97.8% (93.3-100.0%) PPA 98.0% (94.1-100.0%) OA 97.9% (94.8-100.0%)
Intra-run precision (Repeatability)	CPS $\geq$ 10	All 32 esophageal cancer specimens (21 PD-L1-negative and 11 PD-L1-positive) with a range of PD-L1 IHC expression were tested with 5 replicates within a run using the Autostainer Link 48 instrument.	NPA 98.1% (95.2-100.0%) PPA 92.7% (83.6-100.0%) OA 96.2% (93.1-98.8%)
Inter-observer precision	CPS $\geq$ 10	All 59 esophageal cancer specimens (28 PD-L1-negative and 31 PD-L1-positive) with a range of PD-L1 IHC expression, stained with PD-L1 IHC 22C3 pharmDx, were scored by 3 pathologists over 3 non-consecutive days.	NPA 95.1% (90.5-98.8%) PPA 92.4% (87.5-96.8%) OA 93.7% (90.3-96.8%)
Intra-observer precision	CPS $\geq$ 10	All 60 esophageal cancer specimens (29 PD-L1-negative and 31 PD-L1-positive) with a range of PD-L1 IHC expression, stained with PD-L1 IHC 22C3 pharmDx, were scored by 3 pathologists over 3 non-consecutive days.	NPA 96.2% (93.4-98.8%) PPA 98.5% (96.5-100.0%) OA 97.3% (95.6-98.9%)

NPA=Negative Percent Agreement; PPA=Positive Percent Agreement; OA=Overall Percent Agreement; CPS=Combined Positive Score

#### External reproducibility: esophageal cancer

The reproducibility of PD-L1 IHC 22C3 pharmDx was evaluated at three external sites using esophageal cancer specimens. Negative percent agreement (NPA), positive percent agreement (PPA) and overall percent agreement (OA) were computed with corresponding two-sided 95% percentile bootstrap confidence intervals for the CPS  $\geq$  10 cutoff.

**Table 26. Reproducibility of PD-L1 IHC 22C3 pharmDx in esophageal cancer, tested at three external sites (CPS  $\geq$  10)**

Reproducibility Study	Diagnostic Cutoff	Study Design	% Agreement (95% CI)
Inter-Site	CPS $\geq$ 10	All 36 esophageal cancer specimens (23 PD-L1-negative and 13 PD-L1-positive) with a range of PD-L1 IHC expression were tested on 5 non-consecutive days. Inter-site analysis was performed between 3 sites on a total of 540 comparisons to majority call.	NPA 99.7% (99.1-100.0%) PPA 99.0% (96.9-100.0%) OA 99.4% (98.5-100.0%)
Intra-Site	CPS $\geq$ 10	All 36 esophageal cancer specimens (23 PD-L1-negative and 13 PD-L1-positive) with a range of PD-L1 IHC expression were tested on 5 non-consecutive days. Intra-site analysis was performed for 3 sites on a total of 540 comparisons to majority call.	NPA 99.7% (99.1-100.0%) PPA 99.0% (96.9-100.0%) OA 99.4% (98.5-100.0%)
Inter-observer	CPS $\geq$ 10	All 60 esophageal cancer specimens (31 PD-L1-negative and 29 PD-L1 positive) with a range of PD-L1 IHC expression, stained with PD-L1 IHC 22C3 pharmDx, were scored by 3 pathologists, 1 at each of 3 study sites, on 3 non-consecutive days. Inter-observer analysis was performed between 3 sites on a total of 540 comparisons to majority call.	NPA 97.1% (94.3-99.3%) PPA 87.4% (81.6-92.7%) OA 92.4% (89.3-95.4%)
Intra-observer	CPS $\geq$ 10	All 60 esophageal cancer specimens (31 PD-L1-negative and 29 PD-L1-positive) with a range of PD-L1 IHC expression, stained with PD-L1 IHC 22C3 pharmDx, were scored by 3 pathologists, 1 at each of 3 study sites, on 3 non-consecutive days. Intra-observer analysis was performed for 3 sites on a total of 540 comparisons to majority call.	NPA 97.1% (95.2-98.7%) PPA 97.0% (94.8-98.8%) OA 97.0% (95.6-98.3%)

NPA=Negative Percent Agreement; PPA=Positive Percent Agreement; OA=Overall Percent Agreement; CPS=Combined Positive Score

## 16.6 Clinical performance evaluation: esophageal squamous cell carcinoma (ESCC; KEYTRUDA)

The efficacy of KEYTRUDA was investigated in KEYNOTE-181 (NCT02564263), a multicenter, randomized, open-label, active-controlled trial that enrolled 628 patients with recurrent locally advanced or metastatic esophageal cancer who progressed on or after one prior line of systemic treatment for advanced disease.<sup>6</sup> Patients with HER2/neu positive esophageal cancer were required to have received treatment with approved HER2/neu targeted therapy. All patients were required to have tumor specimens for PD-L1 testing at a central laboratory; PD-L1 status was determined using PD-L1 IHC 22C3 pharmDx. Patients with a history of non-infectious pneumonitis that required steroids or current pneumonitis, active autoimmune disease, or a medical condition that required immunosuppression were ineligible.

Patients were randomized (1:1) to receive either KEYTRUDA 200 mg every 3 weeks or investigator's choice of any of the following chemotherapy regimens, all given intravenously: paclitaxel 80-100 mg/m<sup>2</sup> on Days 1, 8, and 15 of every 4-week cycle, docetaxel 75 mg/m<sup>2</sup> every 3 weeks, or irinotecan 180 mg/m<sup>2</sup> every 2 weeks. Randomization was stratified by tumor histology (esophageal squamous cell carcinoma [ESCC] vs. esophageal adenocarcinoma [EAC]/Siewert type I EAC of the gastroesophageal junction [GEJ]), and geographic region (Asia vs. ex-Asia). Treatment with KEYTRUDA or chemotherapy continued until unacceptable toxicity or disease progression. Patients randomized to KEYTRUDA were permitted to continue beyond the first RECIST v1.1 (modified to follow a maximum of 10 target lesions and a maximum of 5 target lesions per organ)-defined disease progression if clinically stable until the first radiographic evidence of disease progression was confirmed at least 4 weeks later with repeat imaging. Patients treated with KEYTRUDA without disease progression could be treated for up to 24 months. Assessment of tumor status was performed every 9 weeks. The major efficacy outcome

measure was OS evaluated in the following co-primary populations: patients with ESCC, patients with tumors expressing PD-L1 CPS  $\geq$  10, and all randomized patients. Additional efficacy outcome measures were PFS, ORR, and DoR, according to RECIST v1.1, modified to follow a maximum of 10 target lesions and a maximum of 5 target lesions per organ, as assessed by BICR.

A total of 628 patients were enrolled and randomized to KEYTRUDA (n=314) or investigator's treatment of choice (n=314). Of these 628 patients, 167 (27%) had ESCC that expressed PD L1 with a CPS  $\geq$  10. Of these 167 patients, 85 patients were randomized to KEYTRUDA and 82 patients to investigator's treatment of choice [paclitaxel (n=50), docetaxel (n=19), or irinotecan (n=13)]. The baseline characteristics of these 167 patients were: median age of 65 years (range: 33 to 80), 51% age 65 or older; 84% male; 32% White and 68% Asian; 38% had an ECOG PS of 0 and 62% had an ECOG PS of 1. Ninety percent had M1 disease and 10% had M0 disease. Prior to enrollment, 99% of patients had received platinum-based treatment, and 84% had also received treatment with a fluoropyrimidine. Thirty-three percent of patients received prior treatment with a taxane.

The observed OS hazard ratio was 0.77 (95% CI: 0.63, 0.96) in patients with ESCC, 0.70 (95% CI: 0.52, 0.94) in patients with tumors expressing PD-L1 CPS  $\geq$  10, and 0.89 (95% CI: 0.75, 1.05) in all randomized patients. On further examination patients whose ESCC tumors expressed PD-L1 (CPS  $\geq$  10), an improvement in OS was observed among patients randomized to KEYTRUDA as compared with chemotherapy (hazard ratio of 0.64, 95% CI: 0.46, 0.90).

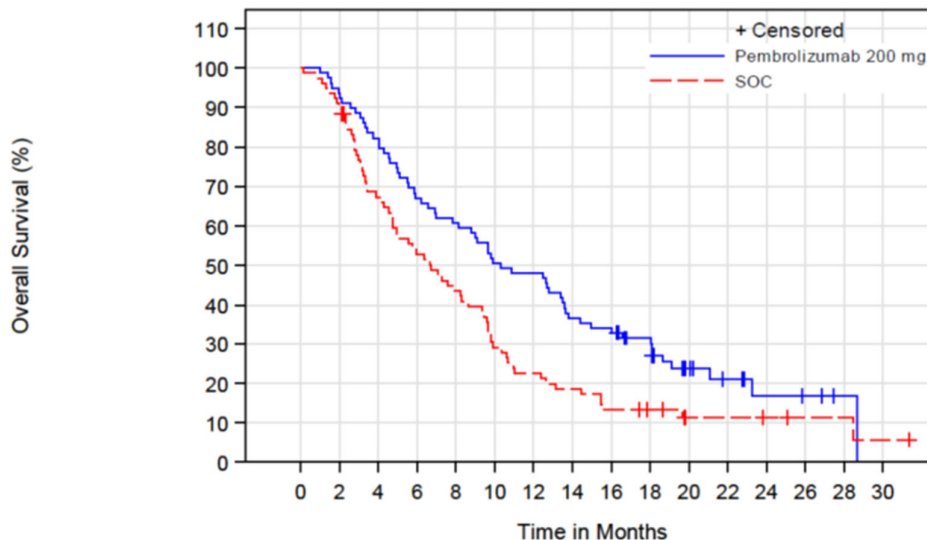
Ten (10) of the 167 ESCC participants with tumors expressing PD-L1 CPS  $\geq$  10 had specimens stained outside the stability window. These 10 participants have been excluded from the efficacy results summarized in Table 27 and the Kaplan-Meier curve for OS shown in Figure 5. The efficacy results for the population excluding the 10 participants with specimens outside the stability window are consistent with the efficacy conclusions detailed above.

**Table 27. Efficacy results in patients with recurrent or metastatic ESCC (CPS  $\geq$  10) in KEYNOTE-181 (excluding 10 participants with specimens outside the stability window)**

Endpoint	KEYTRUDA 200 mg every 3 weeks n=79	Chemotherapy n=78
<b>OS</b>		
Number (%) of patients with event	62 (78.5)	68 (87.2)
Median in months (95% CI)	10.3 (7.8, 13.6)	6.7 (4.8, 9.3)
Hazard ratio* (95% CI)	0.63 (0.45, 0.90)	
<b>PFS (BCS per RECIST 1.1)</b>		
Number (%) of patients with event	70 (88.6)	72 (92.3)
Median in months (95% CI)	3.2 (2.1, 4.3)	2.6 (2.1, 3.7)
Median follow-up (95% CI), months	3.2 (2.1, 4.4)	2.8 (2.1, 4.0)
Hazard ratio* (95% CI)	0.67 (0.48, 0.95)	
Objective Response Rate		
ORR (95% CI)	21.5 (13.1, 32.2)	7.7 (2.9, 16.0)
Number (%) of complete responses	3 (3.8)	1 (1.3)
Number (%) of partial responses	14 (17.7)	5 (6.4)
Median duration of response in months (range)	10.3 (2.8, 18.8+)	7.7 (4.3, 16.8+)

Cox proportional hazards model stratified by geographic region (Asia vs ex-Asia)

"+" indicates there is no progressive disease by the time of last disease assessment.



**Number of subjects at risk**

Pembrolizumab 200 mg	79	74	65	53	48	40	38	29	27	21	11	7	4	3	1	0
SOC	78	70	51	40	33	22	17	14	10	8	4	4	3	2	2	1

**Figure 5. Kaplan-Meier curve for overall survival in KEYNOTE-181 (ESCC CPS  $\geq$  10) (excluding 10 participants with specimens outside the stability window)**

### 16.7 Non-clinical performance evaluation: cervical cancer including combined squamous cancers

Non-clinical studies were performed on PD-L1 IHC 22C3 pharmDx on FFPE human cervical cancer tissue specimens. Squamous cell (SQ) cancers from vulva, anal and salivary gland were also included in these non-clinical study sample sets to supplement the SQ cervical cancer. These supplemental cancer types were also included in the MSD study KEYNOTE-158. The non-clinical studies consisted of analytical validation, stability and external reproducibility studies.

#### Analytical sensitivity/specificity: cervical cancer

Sensitivity of PD-L1 IHC 22C3 pharmDx was analyzed on 100 FFPE cervical cancer specimens (stage I to IV). Assessment of PD-L1 expression demonstrated staining across a range of CPS 0-100. Approximately 74% of cervical cancer specimens had PD-L1 expression, with expression defined by CPS  $\geq$  1.

#### Precision: cervical cancer including squamous cell cancers

The precision of PD-L1 IHC 22C3 pharmDx in cervical cancers were evaluated at Agilent using squamous cell (SQ) cancers from cervical, vulva, anal and salivary gland. Inter-instrument, inter-operator, inter-lot, and inter-day were tested in combined precision. Repeatability was tested in intra-run precision. Inter- and intra-observer precision were also assessed. Negative percent agreement (NPA), positive percent agreement (PPA), and overall percent agreement (OA) were calculated with two-sided 95% Wilson score confidence intervals for the CPS  $\geq$  1 cutoff.

**Table 28. Precision of PD-L1 IHC 22C3 pharmDx in cervical cancer including squamous cell cancers, tested at one site (CPS  $\geq$  1)**

Precision Study	Diagnostic Cutoff	Study Design	% Agreement (95% CI)
Squamous Cell Histological Subgroup Combined Precision (inter-instrument, inter-operator, inter-lot, inter-day)	CPS $\geq$ 1	All 36 squamous cell cancer specimens (17 PD-L1 negative and 19 PD-L1-positive; 24 cervical cancer (13 PD-L1 negative and 11 PD-L1 positive)) with a range of PD-L1 expression were tested using 3 Autostainer Link 48 instruments, 4 operators, 3 reagent lots, over 3 non-consecutive days.	NPA 100.0% (94.9-100.0%) PPA 98.9% (93.9-99.8%) OA 99.4% (96.5-99.9%)
Squamous Cell Histological Subgroup Intra-run precision (Repeatability)	CPS $\geq$ 1	All 24 squamous cell cancer specimens (12 PD-L1-negative and 12 PD-L1-positive; 18 cervical cancer (12 PD-L1 negative and 6 PD-L1 positive)) with a range of PD-L1 IHC expression were tested with 5 replicates within a run using the Autostainer Link 48 instrument.	NPA 100.0% (93.8-100.0%) PPA 98.3% (91.1-99.7%) OA 99.2% (95.4-99.9%)
Squamous Cell Histological Subgroup Inter-observer precision	CPS $\geq$ 1	All 52 squamous cell cancer specimens (22 PD-L1 negative and 30 PD-L1 positive) with a range of PD-L1 IHC expression, stained with PD-L1 IHC 22C3 pharmDx, were scored by 3 pathologists over 3 non-consecutive days.	NPA 98.4% (95.5-99.5%) PPA 98.9% (96.8-99.6%) OA 98.7% (97.2-99.4%)
Squamous Cell Histological Subgroup Intra-observer precision	CPS $\geq$ 1	All 52 squamous cell cancer specimens (22 PD-L1 negative and 30 PD-L1 positive) with a range of PD-L1 IHC expression, stained with PD-L1 IHC 22C3 pharmDx, were scored by 3 pathologists over 3 non-consecutive days.	NPA 97.9% (94.8-99.2%) PPA 99.6% (97.9-99.9%) OA 98.9% (97.5-99.5%)

NPA=Negative Percent Agreement; PPA=Positive Percent Agreement; OA=Overall Percent Agreement; CPS=Combined Positive Score

#### Precision: cervical cancer

The precision of PD-L1 IHC 22C3 pharmDx in cervical cancer was evaluated at Agilent. Inter-instrument, inter-operator, inter-lot, and inter-day were tested in combined precision. Repeatability was tested in intra-run precision. Inter- and intra-observer precision were also assessed. Negative percent agreement (NPA), positive percent agreement (PPA), and overall percent agreement (OA) were calculated with two-sided 95% Wilson Score confidence intervals for the CPS  $\geq$  1 cutoff.

**Table 29. Precision of PD-L1 IHC 22C3 pharmDx in cervical cancer, tested at one site (CPS  $\geq$  1)**

Precision Study	Diagnostic Cutoff	Study Design	% Agreement (95% CI)
Cervical Cancer Combined Precision (inter-instrument, inter-operator, inter-lot, inter-day)	CPS $\geq$ 1	All 24 cervical cancer specimens (13 PD-L1 negative and 11 PD-L1-positive) with a range of PD-L1 expression were tested using 3 Autostainer Link 48 instruments, 4 operators, 3 reagent lots, over 3 non-consecutive days.	NPA 100.0% (92.4-100.0%) PPA 97.6% (87.4-99.6%) OA 98.9% (93.8-99.8%)
Cervical Cancer Intra-run precision (Repeatability)	CPS $\geq$ 1	All 18 cervical cancer specimens (12 PD-L1-negative and 6 PD-L1-positive) with a range of PD-L1 IHC expression were tested with 5 replicates within a run using the Autostainer Link 48 instrument.	NPA 100.0% (93.8-100.0%) PPA 100.0% (88.6-100.0%) OA 100.0% (95.8-100.0%)
Cervical Cancer Inter-observer precision	CPS $\geq$ 1	All 21 cervical cancer specimens (8 PD-L1 negative and 13 PD-L1 positive) with a range of PD-L1 IHC expression, stained with PD-L1 IHC 22C3 pharmDx, were scored by 3 pathologists over 3 non-consecutive days.	NPA 100.0% (94.9-100.0%) PPA 99.1% (95.3-99.8%) OA 99.5% (97.1-99.9%)

Precision Study	Diagnostic Cutoff	Study Design	% Agreement (95% CI)
Cervical Cancer Intra-observer precision	CPS $\geq$ 1	All 21 cervical cancer specimens (8 PD-L1 negative and 13 PD-L1 positive) with a range of PD-L1 IHC expression, stained with PD-L1 IHC 22C3 pharmDx, were scored by 3 pathologists over 3 non-consecutive days.	NPA 100.0% (94.9-100.0%) PPA 99.1% (95.3-99.8%) OA 99.5% (97.1-99.9%)

NPA=Negative Percent Agreement; PPA=Positive Percent Agreement; OA=Overall Percent Agreement; CPS=Combined Positive Score

**External reproducibility: cervical cancer including squamous cell cancers**

The reproducibility of PD-L1 IHC 22C3 pharmDx was evaluated at three external sites using squamous cell cancers (SQ) from cervical, vulva, anal and salivary gland. Negative percent agreement (NPA), positive percent agreement (PPA), and overall percent agreement (OA) were computed with two-sided 95% Wilson score confidence intervals for the CPS  $\geq$  1 cutoff.

**Table 30. Reproducibility of PD-L1 IHC 22C3 pharmDx in cervical cancer including squamous cell cancers, tested at three external sites (CPS  $\geq$  1)**

Reproducibility Study	Diagnostic Cutoff	Study Design	% Agreement (95% CI)
Inter-site	CPS $\geq$ 1	All 40 squamous cell cancer specimens (20 PD-L1 negative and 20 PD-L1 positive; n=25 cervical cancer) with a range of PD-L1 IHC expression were tested on 5 non-consecutive days. Inter-site analysis was performed between 3 sites on a total of 600 comparisons to majority call.	NPA 96.7% (94.0-98.2%) PPA 98.3% (96.2-99.3%) OA 97.5% (95.9-98.5%)
Intra-site	CPS $\geq$ 1	All 40 squamous cell cancer specimens (20 PD-L1 negative and 20 PD-L1 positive; n=25 cervical cancer) with a range of PD-L1 IHC expression were tested on 5 non-consecutive days. Intra-site analysis was performed for 3 sites on a total of 600 comparisons to majority call.	NPA 98.3% (96.1-99.3%) PPA 98.4% (96.2-99.3%) OA 98.3% (97.0-99.1%)
Inter-observer	CPS $\geq$ 1	All 49 squamous cell cancer specimens (23 PD-L1 negative and 26 PD-L1 positive; n=34 cervical cancer) with a range of PD-L1 IHC expression, stained with PD-L1 IHC 22C3 pharmDx, were scored by 3 pathologists, 1 at each of 3 study sites, on 3 non-consecutive days. Inter-observer analysis was performed between 3 sites on a total of 441 comparisons to majority call.	NPA 96.1% (92.6-98.0%) PPA 99.1% (96.9-99.8%) OA 97.7% (95.9-98.8%)
Intra-observer	CPS $\geq$ 1	All 49 squamous cell cancer specimens (23 PD-L1 negative and 26 PD-L1 positive; n=34 cervical cancer) with a range of PD-L1 IHC expression, stained with PD-L1 IHC 22C3 pharmDx, were scored by 3 pathologists, 1 at each of 3 study sites, on 3 non-consecutive days. Intra-observer analysis was performed for 3 sites on a total of 441 comparisons to majority call.	NPA 97.5% (94.4-98.9%) PPA 99.2% (97.0-99.8%) OA 98.4% (96.8-99.2%)

NPA=Negative Percent Agreement; PPA=Positive Percent Agreement; OA=Overall Percent Agreement; CPS=Combined Positive Score

**External reproducibility: cervical cancer**

The reproducibility of PD-L1 IHC 22C3 pharmDx was evaluated at three external sites. Negative percent agreement (NPA), positive percent agreement (PPA), and overall percent agreement (OA) were computed with two-sided 95% Wilson score confidence intervals for the CPS  $\geq$  1 cutoff.

**Table 31. Reproducibility of PD-L1 IHC 22C3 pharmDx in cervical cancer, tested at three external sites (CPS  $\geq$  1)**

Reproducibility Study	Diagnostic Cutoff	Study Design	% Agreement (95% CI)
Inter-site	CPS $\geq$ 1	All 25 cervical cancer specimens (13 PD-L1 negative and 12 PD-L1 positive) with a range of PD-L1 IHC expression were tested on 5 non-consecutive days. Inter-site analysis was performed between 3 sites on a total of 375 comparisons to majority call.	NPA 98.5% (95.6-99.5%) PPA 98.3% (95.2-99.4%) OA 98.4% (96.6-99.3%)

Reproducibility Study	Diagnostic Cutoff	Study Design	% Agreement (95% CI)
Intra-site	CPS $\geq$ 1	All 25 cervical cancer specimens (13 PD-L1 negative and 12 PD-L1 positive) with a range of PD-L1 IHC expression were tested on 5 non-consecutive days. Intra-site analysis was performed for 3 sites on a total of 375 comparisons to majority call.	NPA 98.5% (95.6-99.5%) PPA 98.3% (95.2-99.4%) OA 98.4% (96.6-99.3%)
Inter-observer	CPS $\geq$ 1	All 34 cervical cancer specimens (16 PD-L1 negative and 18 PD-L1 positive) with a range of PD-L1 IHC expression, stained with PD-L1 IHC 22C3 pharmDx, were scored by 3 pathologists, 1 at each of 3 study sites, on 3 non-consecutive days. Inter-observer analysis was performed between 3 sites on a total of 306 comparisons to majority call.	NPA 97.2% (93.1-98.9%) PPA 98.8% (95.6-99.7%) OA 98.0% (95.8-99.1%)
Intra-observer	CPS $\geq$ 1	All 34 cervical cancer specimens (16 PD-L1 negative and 18 PD-L1 positive) with a range of PD-L1 IHC expression, stained with PD-L1 IHC 22C3 pharmDx, were scored by 3 pathologists, 1 at each of 3 study sites, on 3 non-consecutive days. Intra-observer analysis was performed for 3 sites on a total of 306 comparisons to majority call.	NPA 97.9% (94.1-99.3%) PPA 99.4% (96.6-99.9%) OA 98.7% (96.7-99.5%)

NPA=Negative Percent Agreement; PPA=Positive Percent Agreement; OA=Overall Percent Agreement; CPS=Combined Positive Score

### 16.8 Clinical performance evaluation: cervical cancer (KEYTRUDA)

The efficacy of KEYTRUDA was investigated in 98 patients with recurrent or metastatic cervical cancer enrolled in a single cohort (Cohort E) in Study KEYNOTE-158 (NCT02628067), a multicenter, non-randomized, open-label, multi-cohort trial.<sup>7,8</sup> The trial excluded patients with autoimmune disease or a medical condition that required immunosuppression.

Patients were treated with KEYTRUDA intravenously at a dose of 200 mg every 3 weeks until unacceptable toxicity or documented disease progression. Patients with initial radiographic disease progression could receive additional doses of treatment during confirmation of progression unless disease progression was symptomatic, was rapidly progressive, required urgent intervention, or occurred with a decline in performance status. Patients without disease progression could be treated for up to 24 months. Assessment of tumor status was performed every 9 weeks for the first 12 months, and every 12 weeks thereafter. The major efficacy outcome measures were ORR according to RECIST 1.1, as assessed by blinded independent central review, and duration of response.

Among the 98 patients in Cohort E, 77 (79%) had tumors that expressed PD-L1 with a CPS  $\geq$  1 and received at least one line of chemotherapy in the metastatic setting. PD-L1 status was determined using PD-L1 IHC 22C3 pharmDx. The baseline characteristics of these 77 patients were: median age was 45 years (range: 27 to 75 years); 81% were White, 14% Asian, 3% Black; ECOG PS was 0 (32%) or 1 (68%); 92% had squamous cell carcinoma, 6% adenocarcinoma, and 1% adenosquamous histology; 95% had M1 disease and 5% had recurrent disease; 35% had one and 65% had two or more prior lines of therapy in the recurrent or metastatic setting.

No responses were observed in patients whose tumors did not have PD-L1 expression (CPS < 1).

Efficacy results are summarized in Table 32.

**Table 32. Efficacy results in cohort E of KEYNOTE-158 (CPS  $\geq$  1)**

Endpoint	n=77*
Objective response rate	
ORR (95% CI)	14.3% (7.4, 24.1)
Complete response rate	2.6%
Partial response rate	11.7%
Response duration	
Median in months (range)	NR (4.1, 18.6+) <sup>†</sup>
% with duration $\geq$ 6 months	91%

\*Median follow-up time of 11.7 months (range 0.6 to 22.7 months)

<sup>†</sup>Based on patients (n=11) with a response by independent review

+Denotes ongoing

NR = not reached

### 16.9 Non-clinical performance evaluation: HNSCC

The non-clinical studies were performed on FFPE HNSCC specimens.

#### Analytical sensitivity/specificity: HNSCC

Analytical sensitivity of PD-L1 IHC 22C3 pharmDx was tested on 112 FFPE HNSCC specimens (staged I to IV) using a manufactured production lot. Assessment of PD-L1 expression demonstrated staining across a range of CPS 0-100, where 72% of the specimens had PD-L1 expression with a CPS  $\geq$  1 and 45% of the specimens had PD-L1 expression with a CPS  $\geq$  20.

#### Precision: HNSCC

The precision of PD-L1 IHC 22C3 pharmDx was evaluated at Agilent. Inter-operator, inter-instrument, inter-day, and inter-lot were tested in combined precision. For the precision studies, negative percent agreement (NPA), positive percent agreement (PPA), and overall

percent agreement (OA) were computed with corresponding two-sided 95% bootstrap confidence intervals for the CPS  $\geq$  1 cutoff and the CPS  $\geq$  20 cutoff as shown in Tables 33 and 34 respectively.

**Table 33. Precision of PD-L1 IHC 22C3 pharmDx in HNSCC, tested at one site (CPS  $\geq$  1)**

Precision Study	Diagnostic Cutoff	Study Design	% Agreement (95% CI)
Combined Precision* (Inter-Operator, Inter-Instrument, Inter-Day, and Inter-Lot as combined variables)	CPS $\geq$ 1	All 34 HNSCC specimens (12 PD-L1-negative and 22 PD-L1-positive) with a range of PD-L1 IHC expression were tested by 5 operators, using 5 Autostainer Link 48 instruments, over 5 days, using 5 reagent lots.	NPA 100.0% (94.0-100.0%)* PPA 99.1% (97.3-100.0%) OA 99.4% (98.2-100.0%)
Intra-run precision (Repeatability)	CPS $\geq$ 1	All 34 HNSCC specimens (16 PD-L1-negative and 18 PD-L1-positive) with a range of PD-L1 IHC expression were tested with 5 replicates within a run using the Autostainer Link 48 instrument.	NPA 98.8% (96.2-100.0%) PPA 97.8% (94.4-100.0%) OA 98.2% (95.9-100.0%)
Inter-observer precision	CPS $\geq$ 1	All 24 HNSCC specimens (11 PD-L1-negative and 13 PD-L1-positive) with a range of PD-L1 IHC expression, stained with PD-L1 IHC 22C3 pharmDx, were scored by 3 pathologists over 3 non-consecutive days with a minimum 2-week washout period in between each read.	NPA 88.9% (78.8-98.0%) PPA 99.1% (97.4-100.0%) OA 94.4% (89.8-98.6%)
Intra-observer precision	CPS $\geq$ 1	All 24 HNSCC specimens (11 PD-L1-negative and 13 PD-L1-positive) with a range of PD-L1 IHC expression, stained with PD-L1 IHC 22C3 pharmDx, were scored by 3 pathologists over 3 non-consecutive days with a minimum 2-week washout period in between each read.	NPA 98.8% (96.0-100.0%) PPA 95.4% (92.3-98.4%) OA 96.7% (94.0-99.1%)

NPA=Negative Percent Agreement; PPA=Positive Percent Agreement; OA=Overall Percent Agreement; CPS=Combined Positive Score

\*The percentile bootstrap method cannot compute confidence intervals if 100.0% agreement is observed, therefore the Wilson score method was used to compute confidence intervals for combined precision NPA agreement. Note that the Wilson score method has limitations as it assumes independence of data. Since one specimen contributes more than one comparison to majority call, the data are not independent.

**Table 34. Precision of PD-L1 IHC 22C3 pharmDx in HNSCC, tested at one site (CPS  $\geq$  20)**

Precision Study	Diagnostic Cutoff	Study Design	% Agreement (95% CI)
Combined Precision* (Inter-Operator, Inter-Instrument, Inter-Day, and Inter-Lot as combined variables)	CPS $\geq$ 20	All 34 HNSCC specimens (17 PD-L1-negative and 17 PD-L1-positive) with a range of PD-L1 IHC expression were tested by 5 operators, using 5 Autostainer Link 48 instruments, over 5 days, using 5 reagent lots.	NPA 100.0% (95.7-100.0%)* PPA 96.5% (90.6-100.0%) OA 98.2% (95.3-100.0%)
Intra-run precision (Repeatability)	CPS $\geq$ 20	All 34 HNSCC specimens (18 PD-L1-negative and 16 PD-L1-positive) with a range of PD-L1 IHC expression were tested with 5 replicates within a run using the Autostainer Link 48 instrument.	NPA 97.7% (92.9-100.0%) PPA 98.7% (96.2-100.0%) OA 98.2% (95.2-100.0%)
Inter-observer precision	CPS $\geq$ 20	All 48 HNSCC specimens (27 PD-L1-negative and 21 PD-L1-positive) with a range of PD-L1 IHC expression, stained with PD-L1 IHC 22C3 pharmDx, were scored by 3 pathologists over 3 non-consecutive days with a minimum 2-week washout period in between each read.	NPA 96.3% (91.8-100.0%) PPA 93.1% (87.3-97.9%) OA 94.9% (91.4-97.9%)
Intra-observer precision	CPS $\geq$ 20	All 48 HNSCC specimens (27 PD-L1-negative and 21 PD-L1-positive) with a range of PD-L1 IHC expression, stained with PD-L1 IHC 22C3 pharmDx, were scored by 3 pathologists over 3 non-consecutive days with a minimum 2-week washout period in between each read.	NPA 98.0% (95.9-99.6%) PPA 96.8% (94.4-98.9%) OA 97.5% (95.8-98.8%)

NPA= Negative Percent Agreement; PPA= Positive Percent Agreement; OA=Overall Percent Agreement; CPS=Combined Positive Score

\*The percentile bootstrap method cannot compute confidence intervals if 100.0% agreement is observed, therefore the Wilson score method was used to compute confidence intervals for combined precision NPA agreement. Note that the Wilson score method has limitations as it assumes independence of data. Since one specimen contributes more than one comparison to majority call, the data are not independent.

#### External reproducibility: HNSCC

The reproducibility of PD-L1 IHC 22C3 pharmDx was evaluated at three external sites. Negative percent agreement (NPA), positive percent agreement (PPA) and overall percent agreement (OA) were computed with two-sided 95% confidence intervals using the bootstrap method.

**Table 35. Reproducibility of PD-L1 IHC 22C3 pharmDx in HNSCC, tested at three external sites (CPS ≥ 1)**

Reproducibility Study	Diagnostic Cutoff	Study Design	% Agreement (95% CI)
Inter-site	CPS ≥ 1	All 38 HNSCC specimens (19 PD-L1-negative and 19 PD-L1-positive) with a range of PD-L1 IHC expression were tested on 5 non-consecutive days. Inter-site analysis was performed for 3 sites on a total of 570 comparisons to majority call.	NPA 96.8% (92.6-100.0%) PPA 93.3% (86.7-98.6%) OA 95.1% (91.2-98.2%)
Intra-site	CPS ≥ 1	All 38 HNSCC specimens (19 PD-L1-negative and 19 PD-L1-positive) with a range of PD-L1 IHC expression were tested on 5 non-consecutive days at each of 3 study sites. Intra-site analysis was performed for 3 sites on a total of 570 comparisons to majority call.	NPA 95.7% (91.3-99.0%) PPA 97.0% (94.5-98.9%) OA 96.3% (93.5-98.6%)
Inter-observer	CPS ≥ 1	All 62 HNSCC specimens (30 PD-L1-negative and 32 PD-L1-positive) with a range of PD-L1 IHC expression, stained with PD-L1 IHC 22C3 pharmDx, were scored by 3 pathologists, 1 at each of 3 study sites, on 3 non-consecutive days. Inter-observer analysis was performed between 3 sites on a total of 556 comparisons to majority call.	NPA 94.0% (89.3-97.8%) PPA 97.2% (94.4-99.3%) OA 95.7% (93.0-98.0%)
Intra-observer	CPS ≥ 1	All 62 HNSCC specimens (30 PD-L1-negative and 32 PD-L1-positive) with a range of PD-L1 IHC expression, stained with PD-L1 IHC 22C3 pharmDx, were scored by 3 pathologists, 1 at each of 3 study sites, on 3 non-consecutive days. Intra-observer analysis was performed for 3 sites on a total of 555 comparisons to majority call.	NPA 97.3% (95.4-98.9%) PPA 98.3% (96.8-99.7%) OA 97.8% (96.8-98.9%)

NPA=Negative Percent Agreement; PPA=Positive Percent Agreement; OA=Overall Percent Agreement; CPS=Combined Positive Score

**Table 36. Reproducibility of PD-L1 IHC 22C3 pharmDx in HNSCC, tested at three external sites (CPS ≥ 20)**

Reproducibility Study	Diagnostic Cutoff	Study Design	% Agreement (95% CI)
Inter-site	CPS ≥ 20	All 38 HNSCC specimens (25 PD-L1-negative and 13 PD-L1-positive) with a range of PD-L1 IHC expression were tested on 5 non-consecutive days. Inter-site analysis was performed between 3 sites on a total of 570 comparisons to majority call.	NPA 95.5% (92.0-98.4%) PPA 81.0% (71.3-90.3%) OA 90.5% (86.5-94.4%)
Intra-site	CPS ≥ 20	All 38 HNSCC specimens (25 PD-L1-negative and 13 PD-L1-positive) with a range of PD-L1 IHC expression were tested on 5 non-consecutive days at each of 3 study sites. Intra-site analysis was performed for 3 sites on a total of 570 comparisons to majority call.	NPA 96.9% (94.6-98.8%) PPA 90.6% (86.3-94.9%) OA 94.9% (92.8-96.8%)
Inter-observer	CPS ≥ 20	All 62 HNSCC specimens (31 PD-L1-negative and 31 PD-L1-positive) with a range of PD-L1 IHC expression, stained with PD-L1 IHC 22C3 pharmDx, were scored by 3 pathologists, 1 at each of 3 study sites, on 3 non-consecutive days. Inter-observer analysis was performed between 3 sites on a total of 556 comparisons to majority call.	NPA 93.1% (87.2-97.8%) PPA 91.0% (85.7-95.7%) OA 92.1% (88.2-95.5%)
Intra-observer	CPS ≥ 20	All 62 HNSCC specimens (31 PD-L1-negative and 31 PD-L1-positive) with a range of PD-L1 IHC expression, stained with PD-L1 IHC 22C3 pharmDx, were scored by 3 pathologists, 1 at each of 3 study sites, on 3 non-consecutive days. Intra-observer analysis was performed for 3 sites on a total of 555 comparisons to majority call.	NPA 96.8% (94.5-98.7%) PPA 97.8% (96.0-99.3%) OA 97.3% (95.9-98.6%)

NPA=Negative Percent Agreement; PPA=Positive Percent Agreement; OA=Overall Percent Agreement; CPS=Combined Positive Score

Note: Study results failed to meet pre-specified acceptance criteria for inter-site PPA for CPS ≥ 20 in two independent studies and inter-site OA for CPS ≥ 20 in one study.

#### 16.10 Clinical performance evaluation: HNSCC (KEYTRUDA)

The efficacy of KEYTRUDA was investigated in KEYNOTE-048 (NCT02358031), a randomized, multicenter, open label, active controlled trial conducted in 882 patients with metastatic or recurrent HNSCC who had not previously received systemic therapy for metastatic disease or with recurrent disease who were considered incurable by local therapies.<sup>9</sup> Patients with active autoimmune disease that required systemic therapy within two years of treatment or a medical condition that required immunosuppression were ineligible. Randomization was stratified by tumor PD-L1 expression (TPS ≥ 50% or < 50%) according to PD-L1 IHC 22C3 pharmDx, HPV status according to p16 IHC (positive or negative), and ECOG PS (0 vs. 1). Patients were randomized 1:1:1 to one of the following treatment arms:

- KEYTRUDA 200 mg intravenously every 3 weeks

- KEYTRUDA 200 mg intravenously every 3 weeks, carboplatin AUC 5 mg/mL/min intravenously every 3 weeks or cisplatin 100 mg/m<sup>2</sup> intravenously every 3 weeks, and FU 1000 mg/m<sup>2</sup>/day as a continuous intravenous infusion over 96 hours every 3 weeks (maximum of 6 cycles of platinum and FU)
- Cetuximab 400 mg/m<sup>2</sup> intravenously as the initial dose then 250 mg/m<sup>2</sup> intravenously once weekly, carboplatin AUC 5 mg/mL/min intravenously every 3 weeks or cisplatin 100 mg/m<sup>2</sup> intravenously every 3 weeks, and FU 1000 mg/m<sup>2</sup>/day as a continuous intravenous infusion over 96 hours every 3 weeks (maximum of 6 cycles of platinum and FU)

Treatment with KEYTRUDA continued until RECIST v1.1-defined progression of disease as determined by the investigator, unacceptable toxicity, or a maximum of 24 months. Administration of KEYTRUDA was permitted beyond RECIST-defined disease progression if the patient was clinically stable and considered to be deriving clinical benefit by the investigator. Assessment of tumor status was performed at Week 9 and then every 6 weeks for the first year, followed by every 9 weeks through 24 months. A retrospective re-classification of patients' tumor PD-L1 status according to CPS according to PD-L1 IHC 22C3 pharmDx was conducted using the tumor specimens used for randomization.

The main efficacy outcome measures were OS and PFS as assessed by BICR according to RECIST v1.1 (modified to follow a maximum of 10 target lesions and a maximum of 5 target lesions per organ) sequentially tested in the subgroup of patients with CPS ≥ 20, the subgroup of patients with CPS ≥ 1, and the overall population.

A total of 601 patients were randomized to the KEYTRUDA as a single agent and cetuximab in combination with chemotherapy arms; 301 patients to the KEYTRUDA as a single agent arm and 300 patients to the cetuximab in combination with chemotherapy arm. The study population characteristics were: median age of 61 years (range: 22 to 94); 36% age 65 or older; 85% male; 74% White and 19% Asian, and 1.7% Black; 61% ECOG PS of 1; and 79% were former/current smokers. Twenty-two percent of patients' tumors were HPV-positive, and 96% had Stage IV disease (Stage IVA 20%, Stage IVB 6%, and Stage IVC 70%).

For the subgroup of patients randomized to KEYTRUDA as a single agent or to cetuximab in combination with chemotherapy, PD-L1 expression level for 601 patient tumor biopsy or resection tissue (159 archival and 442 newly obtained; refer to definition in Table 37) was determined using PD-L1 IHC 22C3 pharmDx. Overall, 85% (512/601) of the patients had tumors that expressed PD-L1 with CPS ≥ 1. Eighty-six percent (380/442) of patients whose tumors were newly obtained for PD-L1 testing and 83% (132/159) of patients whose archival tumors were tested expressed PD-L1 at CPS ≥ 1. Forty-three percent (255/597) of the patients had tumors that expressed PD-L1 with CPS ≥ 20; four patients had unknown PD-L1 expression status (one specimen was archival tissue and three specimens were newly obtained tissue). Forty-two percent (186/439) of patients whose tumors were newly obtained for PD-L1 testing and 44% (69/158) of patients whose archival tumors were tested expressed PD-L1 at CPS ≥ 20 (Table 37).

**Table 37. Tumor PD-L1 expression by specimen type**

Tumor Tissue	Number (%) with CPS < 1	Number (%) with CPS ≥ 1	Number (%) with CPS ≥ 20
Overall study n=601	89 (15)	512 (85)	255 (43)**
Archival Tissue* n=159	27 (17)	132 (83)	69 (44)**
Newly Obtained Tissue* n= 442	62 (14)	380 (86)	186 (42)**

\*In the context of Clinical Trial KEYNOTE-048, newly obtained tissue biopsy was defined as the biopsy collected within 90 days of initiation of treatment with pembrolizumab. Specimens that were > 90 days were classified as archival.

\*\*Based on patients with known PD-L1 expression; 4 patients had unknown PD-L1 expression status (one specimen was archival tissue and three specimens were newly obtained tissue).

The trial demonstrated a statistically significant improvement in OS for the subgroup of patients with PD-L1 CPS ≥ 1 randomized to KEYTRUDA as a single agent compared to those randomized to cetuximab in combination with chemotherapy. At the time of the interim analysis, there was no significant difference in OS between the KEYTRUDA single agent arm and the control arm for the overall population.

Table 38 summarizes efficacy results for KEYTRUDA as a single agent in the subgroup of patients with CPS ≥ 1 HNSCC and CPS ≥ 20 HNSCC. Figure 6 summarizes the OS results in the subgroup of patients with CPS ≥ 1 HNSCC.

Table 38. Efficacy results for KEYTRUDA as a single agent in KEYNOTE-048 (CPS ≥ 1 and CPS ≥ 20)

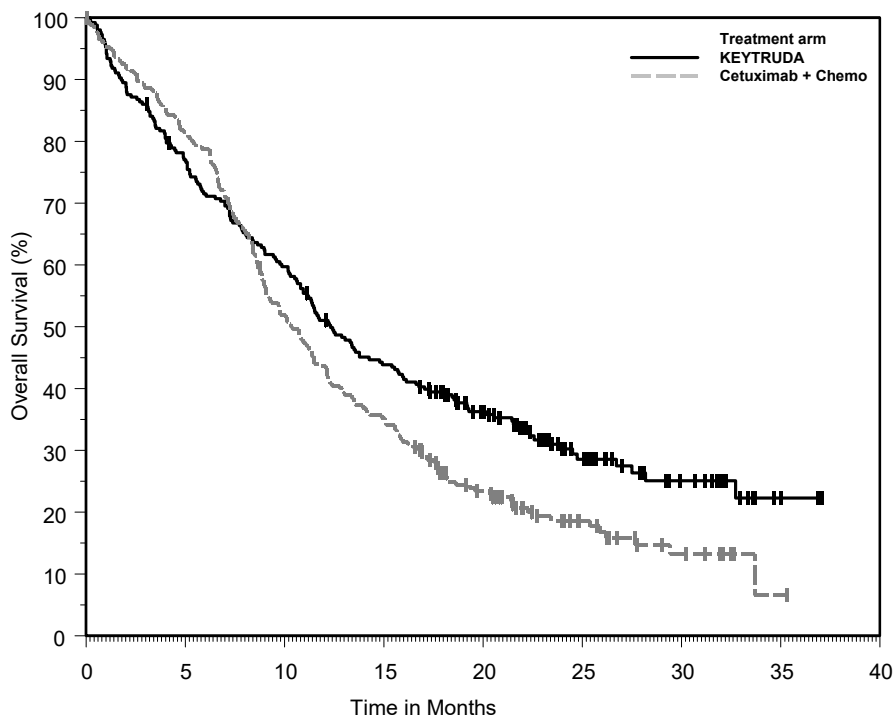
Endpoint	CPS ≥ 1		CPS ≥ 20	
	KEYTRUDA 200 mg every 3 weeks n=257	Cetuximab Platinum FU n=255	KEYTRUDA 200 mg every 3 weeks n=133	Cetuximab Platinum FU n=122
<b>OS</b>				
Number of events (%)	177 (69%)	206 (81%)	82 (62%)	95 (78%)
Median in months (95% CI)	12.3 (10.8, 14.9)	10.3 (9.0, 11.5)	14.9 (11.6, 21.5)	10.7 (8.8, 12.8)
Hazard ratio* (95% CI)	0.78 (0.64, 0.96)		0.61 (0.45, 0.83)	
p-Value†	0.0171		0.0015	
<b>PFS</b>				
Number of events (%)	225 (88%)	231 (91%)	113 (85%)	111 (91%)
Median in months (95% CI)	3.2 (2.2, 3.4)	5.0 (4.8, 5.8)	3.4 (3.2, 3.8)	5.0 (4.8, 6.2)
Hazard ratio‡ (95% CI)	1.15(0.95, 1.38)		0.99 (0.75, 1.29)	
<b>Objective Response Rate</b>				
ORR‡ (95% CI)	19% (14.5, 24.4)	35% (29.1, 41.1)	23% (16.4, 31.4)	36% (27.6, 45.3)
Complete response rate	5%	3%	8%	3%
Partial response rate	14%	32%	16%	33%
<b>Duration of Response</b>				
Median in months (range)	20.9 (1.5+, 34.8+)	4.5 (1.2+, 28.6+)	20.9 (2.7, 34.8+)	4.2 (1.2+, 22.3+)

\* Based on the stratified Cox proportional hazard model

† Based on a stratified log-rank test

‡ Response: Best objective response as confirmed complete response or partial response

In an exploratory subgroup analysis for patients with CPS 1-19 HNSCC, the median OS was 10.8 months (95% CI: 9.0, 12.6) for KEYTRUDA as a single agent and 10.1 months (95% CI: 8.7, 12.1) for cetuximab in combination with chemotherapy, with an HR of 0.90 (95% CI: 0.68, 1.18).



Number at Risk	0	5	10	15	20	25	30	35	40
KEYTRUDA:	257	196	152	110	74	34	17	2	0
Cetuximab + Chemo:	255	207	131	89	47	21	9	1	0

Figure 6. Kaplan-Meier curve for overall survival for KEYTRUDA as a single agent in KEYNOTE-048 (CPS ≥ 1)

### 16.11 Non-clinical performance evaluation: TNBC

The non-clinical studies were performed on FFPE TNBC specimens.

#### Analytical sensitivity/specificity: TNBC

Analytical sensitivity of PD-L1 IHC 22C3 pharmDx was tested on 100 FFPE TNBC specimens (staged I to IV) using a manufactured production lot. Assessment of PD-L1 expression demonstrated staining across a range of CPS 0-100, where 30% of the specimens had PD-L1 expression with a CPS  $\geq$  10.

#### Precision: TNBC

The precision of PD-L1 IHC 22C3 pharmDx was evaluated at Agilent. Inter-operator, inter-instrument, inter-day, and inter-lot were tested in combined precision. For the precision studies, negative percent agreement (NPA), positive percent agreement (PPA), and overall percent agreement (OA) were computed with corresponding two-sided 95% bootstrap confidence intervals for the CPS  $\geq$  10 cutoff as shown in Table 39.

**Table 39. Precision of PD-L1 IHC 22C3 pharmDx in TNBC, tested at one site (CPS  $\geq$  10)**

Precision Study	Diagnostic Cutoff	Study Design	% Agreement (95% CI)
Combined Precision* (Inter-Operator, Inter-Instrument, Inter-Day, and Inter-Lot as combined variables)	CPS $\geq$ 10	All 33 TNBC specimens (21 PD-L1-negative and 12 PD-L1-positive) with a range of PD-L1 IHC expression were tested by 3 operators, using 3 Autostainer Link 48 instruments, over 3 non-consecutive days, using 3 reagent lots.	NPA 100.0% (94.3-100.0%)* PPA 100.0% (90.4-100.0%)* OA 100.0% (96.3-100.0%)*
Intra-run precision* (Repeatability)	CPS $\geq$ 10	All 33 TNBC specimens (16 PD-L1-negative and 17 PD-L1-positive) with a range of PD-L1 IHC expression were tested with 5 replicates within a run using the Autostainer Link 48 instrument.	NPA 100.0% (95.4-100.0%)* PPA 94.0% (86.9-100.0%) OA 96.9% (93.3-100.0%)
Inter-observer precision	CPS $\geq$ 10	All 48 TNBC specimens (31 PD-L1-negative and 17 PD-L1-positive) with a range of PD-L1 IHC expression, stained with PD-L1 IHC 22C3 pharmDx, were scored by 3 pathologists over 3 non-consecutive days.	NPA 93.2% (87.5-97.8%) PPA 92.2% (85.6-97.4%) OA 92.8% (88.4-96.8%)
Intra-observer precision	CPS $\geq$ 10	All 48 TNBC specimens (31 PD-L1-negative and 17 PD-L1-positive) with a range of PD-L1 IHC expression, stained with PD-L1 IHC 22C3 pharmDx, were scored by 3 pathologists over 3 non-consecutive days.	NPA 98.5% (97.0-99.6%) PPA 94.5% (90.9-98.0%) OA 97.0% (95.4-98.6%)

NPA=Negative Percent Agreement; PPA=Positive Percent Agreement; OA=Overall Percent Agreement; CPS=Combined Positive Score

\*The percentile bootstrap method cannot compute confidence intervals if 100.0% agreement is observed, therefore the Wilson score method was used to compute confidence intervals for combined precision and for intra-run precision agreement when 100.0% agreement was observed. Note that the Wilson score method has limitations as it assumes independence of data. Since one specimen contributes more than one comparison to majority call, the data are not independent.

#### External reproducibility: TNBC

The reproducibility of PD-L1 IHC 22C3 pharmDx was evaluated at three external sites. Negative percent agreement (NPA), positive percent agreement (PPA), and overall percent agreement (OA) were computed with two-sided 95% confidence intervals using the bootstrap method.

**Table 40. Reproducibility of PD-L1 IHC 22C3 pharmDx in TNBC, tested at three external sites (CPS  $\geq$  10)**

Reproducibility Study	Diagnostic Cutoff	Study Design	% Agreement (95% CI)
Inter-site	CPS $\geq$ 10	All 40 TNBC specimens (19 PD-L1-negative and 21 PD-L1-positive) with a range of PD-L1 IHC expression were tested on 5 non-consecutive days. Inter-site analysis was performed for 3 sites on a total of 600 comparisons to majority call.	NPA 93.0% (85.3-100.0%) PPA 92.1% (86.3-97.1%) OA 92.5% (87.8-96.7%)
Intra-site	CPS $\geq$ 10	All 40 TNBC specimens (19 PD-L1-negative and 21 PD-L1-positive) with a range of PD-L1 IHC expression were tested on 5 non-consecutive days at each of 3 study sites. Intra-site analysis was performed for 3 sites on a total of 600 comparisons to majority call.	NPA 97.1% (94.3-99.3%) PPA 94.4% (90.0-98.1%) OA 95.7% (92.7-98.2%)
Inter-observer	CPS $\geq$ 10	All 60 TNBC specimens (26 PD-L1-negative and 34 PD-L1-positive) with a range of PD-L1 IHC expression, stained with PD-L1 IHC 22C3 pharmDx, were scored by 3 pathologists, 1 at each of 3 study sites, on 3 non-consecutive days. Inter-observer analysis was performed between 3 sites on a total of 540 comparisons to majority call.	NPA 97.0% (93.6-100.0%) PPA 95.4% (91.2-98.7%) OA 96.1% (93.3-98.5%)
Intra-observer	CPS $\geq$ 10	All 60 TNBC specimens (26 PD-L1-negative and 34 PD-L1-positive) with a range of PD-L1 IHC expression, stained with PD-L1 IHC 22C3 pharmDx, were scored by 3 pathologists, 1 at each of 3 study sites, on 3 non-consecutive days.	NPA 98.7% (96.6-100.0%) PPA 96.7% (94.6-98.7%) OA 97.6% (96.1-98.9%)

Reproducibility Study	Diagnostic Cutoff	Study Design	% Agreement (95% CI)
		Intra-observer analysis was performed for 3 sites on a total of 540 comparisons to majority call.	

NPA=Negative Percent Agreement; PPA=Positive Percent Agreement; OA=Overall Percent Agreement; CPS=Combined Positive Score

#### 16.12 Clinical performance evaluation: TNBC (KEYTRUDA)

The efficacy of KEYTRUDA in combination with paclitaxel, paclitaxel protein-bound, or gemcitabine and carboplatin was investigated in KEYNOTE-355 (NCT02819518), a multicenter, double-blind, randomized, placebo-controlled trial conducted in 847 patients with locally recurrent unresectable or metastatic TNBC, regardless of tumor PD-L1 expression, who had not been previously treated with chemotherapy in the metastatic setting.<sup>10</sup> Patients with active autoimmune disease that required systemic therapy within 2 years of treatment or a medical condition that required immunosuppression were ineligible. Randomization was stratified by chemotherapy treatment (paclitaxel or paclitaxel protein-bound vs. gemcitabine and carboplatin), tumor PD-L1 expression (CPS  $\geq$  1 vs. CPS < 1) according to PD-L1 IHC 22C3 pharmDx, and prior treatment with the same class of chemotherapy in the neoadjuvant setting (yes vs. no). According to pre-specified analysis plan, the study analysis population included patient populations with tumor PD-L1 expression CPS  $\geq$  1 and CPS  $\geq$  10.

Patients were randomized (2:1) to one of the following treatment arms; all study medications were administered via intravenous infusion:

- KEYTRUDA 200 mg on Day 1 every 3 weeks in combination with paclitaxel protein-bound 100 mg/m<sup>2</sup> on Days 1, 8 and 15 every 28 days, paclitaxel 90 mg/m<sup>2</sup> on Days 1, 8, and 15 every 28 days, or gemcitabine 1000 mg/m<sup>2</sup> and carboplatin AUC 2 mg/mL/min on Days 1 and 8 every 21 days.
- Placebo on Day 1 every 3 weeks in combination with paclitaxel protein-bound 100 mg/m<sup>2</sup> on Days 1, 8 and 15 every 28 days, paclitaxel 90 mg/m<sup>2</sup> on Days 1, 8, and 15 every 28 days, or gemcitabine 1000 mg/m<sup>2</sup> and carboplatin AUC 2 mg/mL/min on Days 1 and 8 every 21 days.

Assessment of tumor status was performed at Weeks 8, 16, and 24, then every 9 weeks for the first year, and every 12 weeks thereafter. The main efficacy outcome measure was PFS as assessed by BICR according to RECIST v1.1, modified to follow a maximum of 10 target lesions and a maximum of 5 target lesions per organ tested in the subgroup of patients with CPS  $\geq$  10. Additional efficacy outcome measures were OS as well as ORR and DoR as assessed by BICR.

The study population characteristics for patients were: median age of 53 years (range: 22 to 85), 21% age 65 or older; 100% female; 68% White, 21% Asian, and 4% Black; 60% ECOG PS of 0 and 40% ECOG PS of 1; and 68% were post-menopausal status. Seventy-five percent of patients had tumor PD-L1 expression CPS  $\geq$  1 and 38% had tumor PD-L1 expression CPS  $\geq$  10.

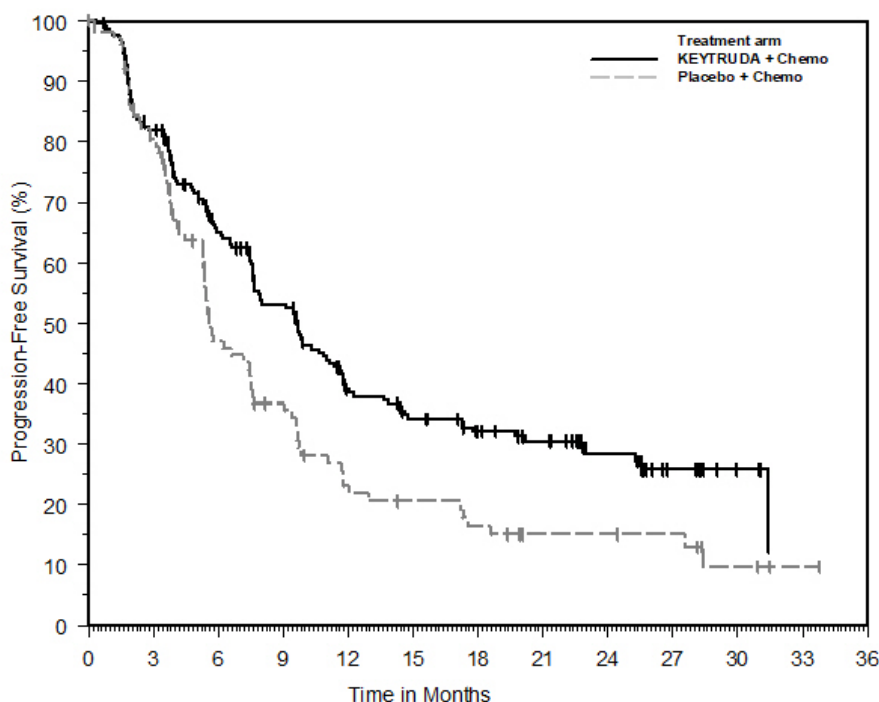
Table 41 and Figure 7 summarize the efficacy results for KEYNOTE-355.

**Table 41: Efficacy Results in KEYNOTE-355 (CPS  $\geq$  10)**

Endpoint	KEYTRUDA 200 mg every 3 weeks with chemotherapy n=220	Placebo every 3 weeks with chemotherapy n=103
<b>PFS</b>		
Number of patients with event (%)	136 (62%)	79 (77%)
Median in months (95% CI)	9.7 (7.6, 11.3)	5.6 (5.3, 7.5)
Hazard ratio* (95% CI)	0.65 (0.49, 0.86)	
p-Value <sup>†</sup>	0.0012	
<b>ORR</b>		
Objective confirmed response rate (95% CI)	53% (46, 60)	40% (30, 50)
Complete response rate	17%	13%
Partial response rate	36%	27%
<b>DoR</b>		
Median in months (95% CI)	19.3 (9.9, 29.8)	7.3 (5.3, 15.8)

\* Based on stratified Cox regression model.

<sup>†</sup> One-sided p-Value based on stratified log-rank test.



Number at Risk	0	3	6	9	12	15	18	21	24	27	30	33	36
KEYTRUDA + Chemo:	220	173	122	96	63	52	44	37	25	12	5	0	0
Placebo + Chemo:	103	80	41	30	18	15	12	8	8	7	3	1	0

Figure 7: Kaplan-Meier curve for progression-free survival in KEYNOTE-355 (CPS ≥ 10)

## 17. Troubleshooting

Table 42. Troubleshooting

Problem	Probable Cause	Suggested Action
1. No staining of slides	1a. Programming error.	1a. Verify that the PD-L1 IHC 22C3 pharmDx protocol was selected for programming of slides.
	1b. Lack of reaction with DAB+ Substrate-Chromogen Solution (DAB)	1b. Verify that DAB+ Substrate-Chromogen Solution was prepared properly.
	1c. Sodium azide in wash buffer.	1c. Use only EnVision FLEX Wash Buffer (20x) (Code K8007).
	1d. Degradation of Control Slide	1d. Check kit expiration date and kit storage conditions on outside of package.
2. Weak staining of specimen slides.	2a. Inappropriate fixation method used.	2a. Ensure that only neutral buffered formalin fixative and approved fixation methods are used.
	2b. Insufficient reagent volume applied.	2b. Check size of tissue section and reagent volume applied.
	2c. Inappropriate wash buffer used.	2c. Use only EnVision FLEX Wash Buffer (20x) (Code K8007).
3. Weak staining of specimen slides or of the positive cell line on the Control Slide provided with the kit	3a. Inadequate target retrieval.	3a. Verify that the 3-in-1 pre-treatment procedure was correctly performed.
	3b. Inappropriate wash buffer used.	3b. Use only EnVision FLEX Wash Buffer (20x) (Code K8007).
4. Excessive background staining of slides.	4a. Paraffin incompletely removed.	4a. Verify that the 3-in-1 pre-treatment procedure was correctly performed.
	4b. Slides dried while loading onto the Autostainer Link 48.	4b. Ensure slides remain wet with buffer while loading and prior to initiating run.
	4c. Nonspecific binding of reagents to tissue section.	4c. Check for proper fixation of the specimen and/or the presence of necrosis.
	4d. Inappropriate fixation method used.	4d. Ensure that only neutral buffered formalin fixative and recommended fixation methods are used.
5. Tissue detached from slides.	5a. Use of incorrect microscope slides.	5a. Use FLEX IHC Microscope Slides, (Code K8020), or Superfrost Plus slides.
	5b. Inadequate preparation of specimens	5b. Cut sections should be placed in a 58 ± 2 °C oven for 1 hour prior to staining.
6. Excessively strong specific staining.	6a. Inappropriate fixation method used.	6a. Ensure that only approved fixatives and fixation methods are used.
	6b. Inappropriate wash buffer used.	6b. Use only EnVision FLEX Wash Buffer (20x) (Code K8007).
7. Target Retrieval Solution is cloudy in appearance when heated.	7. When heated the Target Retrieval Solution turns cloudy in appearance.	7. This is normal and does not influence staining.

Problem	Probable Cause	Suggested Action
8. 1x EnVision FLEX Target Retrieval Solution does not meet pH specifications.	8a. pH meter is not calibrated correctly.	8a. Ensure pH meter is calibrated per manufacturer's recommendations. After re-calibration, re-test the pH of 1x EnVision FLEX Target Retrieval Solution. Do not modify the pH of 1x EnVision FLEX Target Retrieval Solution. If the pH is outside the acceptable range (6.1 ± 0.2), discard 1x EnVision FLEX Target Retrieval Solution. Prepare new 1x EnVision FLEX Target Retrieval Solution. Check the pH of the new 1x EnVision FLEX Target Retrieval Solution.
	8b. Inferior quality water is used to dilute the EnVision FLEX Target Retrieval Solution concentrate.	8b. Ensure that distilled or de-ionized water is used to prepare 1x EnVision FLEX Target Retrieval Solution.
	8c. Incorrect Target Retrieval Solution is used.	8c. Ensure that the correct EnVision FLEX Target Retrieval Solution specified in 'Materials Provided' Section 4 and 'Reagent Preparation' Section 9 is used.










**NOTE:** If the problem cannot be attributed to any of the above causes, or if the suggested corrective action fails to resolve the problem, please call Agilent Pathology Support for further assistance. Additional information on staining techniques and specimen preparation can be found in the Education Guide: Immunohistochemical Staining Methods<sup>17</sup> (available from Agilent Technologies).

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## Explanation of symbols

 REF	Catalogue number		Temperature limitation	 IVD	In vitro diagnostic medical device
	Manufacturer	 LOT	Batch code		Contains sufficient for <n> tests
	Use by		Consult instructions for use	 EC REP	Authorized representative in the European Community



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