

1 **Non-adherence to thromboprophylaxis guidelines in atrial fibrillation: A narrative**
2 **review of the extent and factors for guideline non-adherence**

3 **Running heading: Thromboprophylaxis guideline non-adherence in atrial fibrillation**

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15 **Abstract**

16 Atrial fibrillation is the most common arrhythmia. It increases the risk of thromboembolism by up to 5-fold.
17 Guidelines provide evidence-based recommendations to effectively mitigate thromboembolic events using oral
18 anticoagulants (OACs) while minimizing the risk of bleeding. This review focuses on non-adherence to
19 contemporary guidelines and the factors associated with guideline non-adherence. The extent of guideline non-
20 adherence is different based on geographic region, the healthcare setting, and the risk stratification tools used.
21 There has been a gradual improvement in guideline adherence over recent years, but a significant proportion of
22 patients are still not receiving guideline-recommended therapy. Physician-related and patient-related factors (such
23 as patient refusals, bleeding risk, older age, and recurrent falls) also contribute to guideline non-adherence,
24 especially to undertreatment. Quality improvement initiatives that focus on undertreatment especially in the
25 primary healthcare setting may help to improve guideline adherence.

26 **Key points**

- 27 • A significant proportion of patients with atrial fibrillation across a range of health settings are still
28 receiving guideline non-adherent anticoagulation, the extent of which is highly variable.
- 29 • Physician-related (such as a greater emphasis on the risk of bleeding than the risk of stroke) and patient-
30 related (such as patient refusals, bleeding risk, older age, and recurrent falls) factors contribute to
31 guideline non-adherence.
- 32 • Guideline non-adherence is primarily because of undertreatment and appears to be higher in high-risk
33 AF patients attending primary healthcare than for patients attending hospitals and cardiology practices.
34 Quality improvement initiatives should focus on addressing undertreatment, especially in the primary
35 healthcare setting.

36 **1. Introduction**

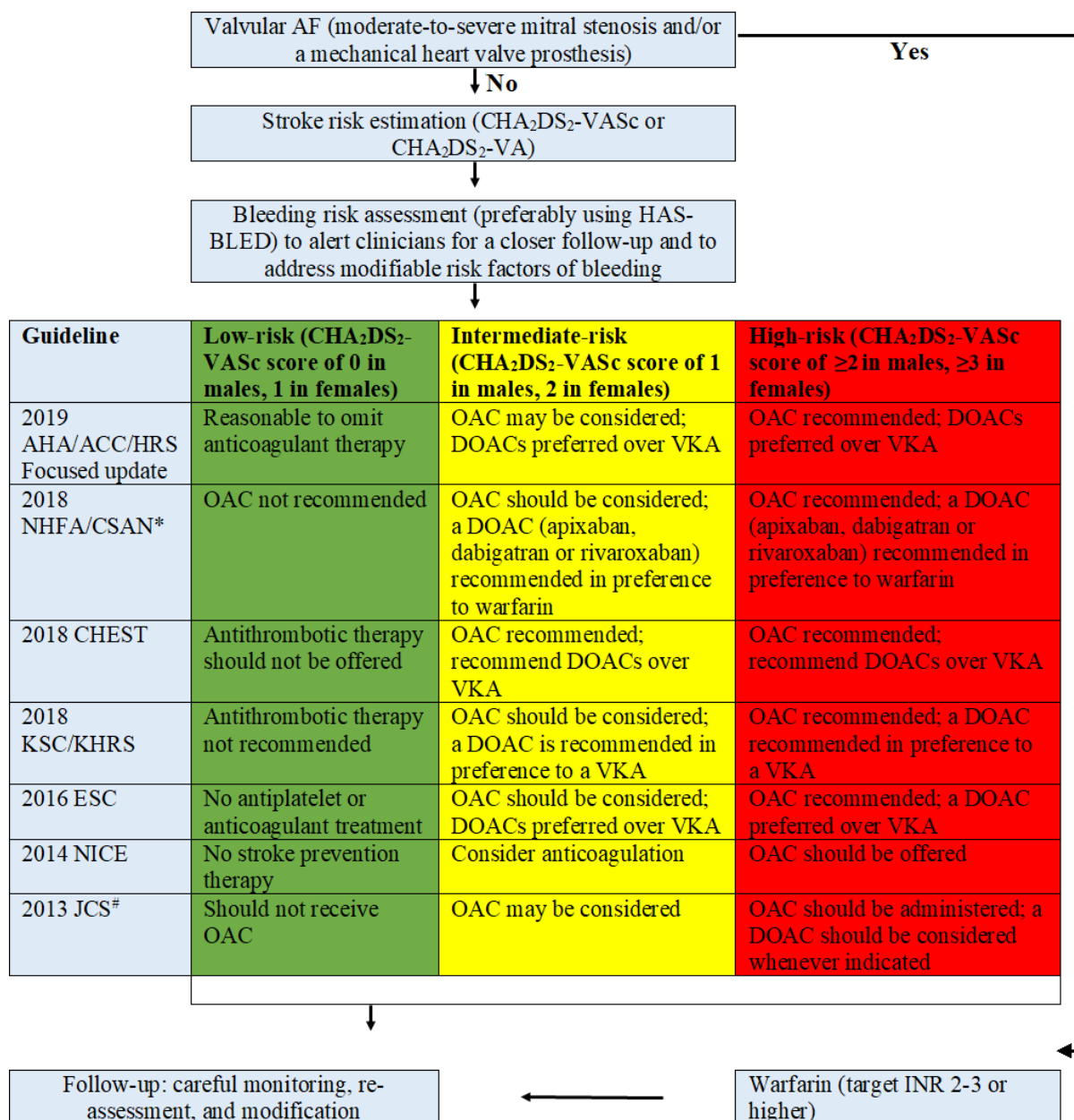
37 Atrial fibrillation (AF) is the most commonly encountered arrhythmia in clinical practice, affecting 37.5 million
38 people around the world in 2017. [1] AF increases the risk of stroke and systemic embolism by up to 5-fold. [2]
39 It is the primary cause of cardioembolic stroke and results in a more severe type of stroke with a higher mortality
40 rate when compared to strokes in people without AF. [2, 3] The past two decades saw a 33% increase in the
41 prevalence of AF which is expected to continue increasing in the coming three decades. [1] With increasing
42 incidence and prevalence rates, AF poses a substantial burden in terms of the rate of hospitalization, morbidity,
43 and mortality. [4, 5]

44 Oral anticoagulants (OACs) such as warfarin have proven effectiveness in reducing the incidence of stroke and
45 systemic embolism in patients with AF. [6, 7] As such, they are one of the cornerstones of AF management. [5]
46 In the past decade, the development of direct oral anticoagulants (DOACs) increased anticoagulation options
47 available for use in AF. [8] Their convenience and better safety profile compared to the vitamin K antagonist
48 (VKA), warfarin, has led to a decrease in the utilization of the latter and a rise in the utilization of these newer
49 agents. However, warfarin is still prescribed for many patients with AF. [9]

50 Since 2013, seven evidence-based guidelines have been recently published by different cardiology expert groups
51 that include sections to guide the utilization of anticoagulants in stroke and systemic embolism prevention in AF.
52 [5, 10-16]

53 Not all patients with AF have an identical risk of stroke. One of the primary determinants of the risk of stroke is
54 the type of AF. [5, 14] Traditionally, AF has been categorized as either valvular or non-valvular (NVAf). [17]
55 The majority of guidelines define valvular AF as the presence of moderate-to-severe mitral stenosis and/or a
56 mechanical heart valve prosthesis. [5, 10, 13-15] Currently, only VKAs are recommended for the prevention of
57 stroke in patients with valvular AF. [5, 10, 13, 14] The CHEST AF guideline [12] uses the terms “a functional
58 Evaluated Heart valves, Rheumatic or Artificial (EHRA)” type 1 or type 2 in place of valvular AF and NVAf,
59 respectively; although these differences in terminology have no impact on clinical decision-making in these
60 patients [5, 10, 13, 14].

61 Anticoagulation in patients with NVAf requires estimating the risk of stroke and selecting an appropriate
62 anticoagulant from a number of options. [5, 7, 10-16, 18] Most guidelines [10, 12-14, 16] recommend the
63 CHA₂DS₂-VASc score (congestive heart failure, hypertension, age ≥ 75 (doubled), diabetes, stroke (doubled),
64 vascular disease, age 65-74, and female sex category) as a means of stratifying patients’ stroke risk (Figure 1). To
65 avoid using different scores in men and women, the Australian AF guideline [5] recommends using the CHA₂DS₂-
66 VA score, i.e. CHA₂DS₂-VASc without the sex category. On the other hand, the 2018 CHEST guideline [12]
67 recommends that the CHA₂DS₂-VASc score be used only to initially identify patients who are at low risk.
68 Anticoagulation should be provided to patients other than those who are at low risk.



69
70 *Uses the CHA₂DS₂-VA score (0=low-risk; 1=intermediate risk; ≥2=high-risk); #Preferentially uses the CHADS₂ score over
71 the CHA₂DS₂-VASc score; AHA/ACC/HRS: American Heart Association/American College of Cardiology/Heart Rhythm
72 Society; CHA₂DS₂-VASc score: congestive heart failure, hypertension, age ≥75 (doubled), diabetes, stroke (doubled)-vascular
73 disease, age 65-74, and sex category (female); JCS: Japanese Circulation Society; KSC/KHRS: Korean Society of
74 Cardiology/Korean Heart Rhythm Society; NHFA/CSAN: National Heart Foundation of Australia/Cardiac Society of
75 Australia and New Zealand.
76 Figure 1: A summary of guideline recommendations on thromboprophylaxis in patients with AF

77 Similar to the stroke risk, patients' risk of bleeding should also be assessed in patients for whom anticoagulation
78 is being considered. Various bleeding risk assessment tools including HAS-BLED, ATRIA, ORBIT, HEMOR-
79 R₂HAGES, GARFIELD, and the ABC are available. Of these, the HAS-BLED score (hypertension, abnormal
80 renal/liver function (1 point each), stroke, bleeding history or predisposition, labile INR, elderly (>65),
81 drugs/alcohol concomitantly (1 point each)) is recommended by most guidelines. [10, 12, 13, 15, 16] It should be

82 noted that the risk of bleeding increases with an increasing risk of stroke. [5, 14] Therefore, the purpose of bleeding
83 risk assessment is to identify patients in whom OACs must be used with caution, and to identify and address
84 modifiable risk factors for bleeding, not to withhold anticoagulation in patients who need it. [5, 12-14, 16] The
85 guidelines also stress the need for due attention and adjustment as necessary on each follow up considering the
86 dynamic natures of bleeding and stroke risks. [12, 13]

87 Guideline non-adherence is associated with an increase in thromboembolic events because of undertreatment or,
88 may increase the risk of bleeding including intracranial bleeding because of overtreatment. [18, 19-22] On the
89 other hand, the benefit of guideline adherence in improving patient outcomes has been supported by the literature.
90 [23] Evidence shows that non-adherence to evidence-based guideline recommendations and risk stratification
91 tools for AF is a common occurrence even with the availability of DOACs. [24-26] Several reviews on
92 thromboprophylaxis guideline non-adherence in patients with AF have been published in recent years. Two
93 studies from 2015 focused only on undertreatment [27] and DOACs [23]. One study included only studies that
94 utilized registry data [23]. A 2018 study reviewed randomized clinical trials and real-life outcomes and focused
95 on DOACs. [28] A further review focused on trends in the prescription of antithrombotic medications, and patient
96 compliance and persistence to OACs. [29] The present review seeks to determine the extent of non-adherence to
97 thromboprophylaxis guidelines in AF and factors associated with guideline non-adherence. To ensure that this
98 review is applicable to contemporary clinical practice, we focused on studies published in the past five years.

99 **2. Methods**

100 This narrative review is based on a key word search conducted in the PubMed and the Cumulative Index of
101 Nursing and Allied Health Literature (CINAHL) Plus databases. The following search string was utilized to
102 retrieve articles published until 5 May 2020: “atrial fibrillation” AND (anticoagul* OR antithrombo* OR anti-
103 coagul* OR anti-thrombo* OR "stroke prophyl*" OR "stroke prevention" OR thromboprophyl*) AND (“guideline
104 adherence”). Studies that assessed non-adherence to one or more thromboprophylaxis guidelines, and studies that
105 reported factors associated with guideline non-adherence were included. Both qualitative and quantitative studies
106 published in English since 2015 were included. We begin our discussion with reported extent of guideline non-
107 adherence by focusing mainly on undertreatment. This will be followed by trends in the extent of guideline non-
108 adherence and studies that compared differences in guideline non-adherence across multiple geographic regions.
109 Then, the extent of guideline non-adherence will be discussed by geographically categorizing studies that used

110 the CHA₂DS₂-VASc score and were published in the past five years. Lastly factors affecting guideline non-
111 adherence will be discussed.

112 **3. Non-adherence to guidelines**

113 Use of OACs for thromboprophylaxis in patients with AF in adherence to the evidence-based recommendations
114 incorporated into clinical guidelines (i.e. 'guideline adherence') improve patient outcomes; conversely, patients
115 whose therapy is non-adherent to guidelines experience poorer outcomes. [18, 19-22] Therefore, there has been a
116 significant focus in the literature on quantifying guideline adherence in this clinical setting. In this section, the
117 overall extent of guideline non-adherence is described. In addition, changes over time, and differences in guideline
118 non-adherence in different areas of the world and in different healthcare settings are explored.

119 Reported rates of guideline non-adherence vary widely depending on the type of guideline and/or risk stratification
120 tool used, the region, the study setting, and the specific group of patients included. Undertreatment is typically
121 defined as no OAC treatment in patients at high risk of stroke such as those with valvular AF, or those with NVAF
122 and a CHA₂DS₂-VASc score of ≥ 2 in males (≥ 3 in females), or a CHADS₂/CHA₂DS₂-VA score of ≥ 2 . [5, 10, 12-
123 16] Overtreatment is defined as the use of antithrombotic agents in patients with AF who have no additional risk
124 factors for thromboembolism and without any other indication. In particular, administration of any antithrombotic
125 agent for thromboprophylaxis in patients with NVAF and a CHA₂DS₂-VASc score of 0 in males (1 in females) or
126 a CHADS₂/CHA₂DS₂-VA score of 0 is considered overtreatment, as no contemporary guidelines recommend
127 therapy in these patients. [5, 10, 12-16] The management of NVAF patients with a CHA₂DS₂-VASc score of 1 in
128 males (2 in females) depends on the guideline used.

129 Non-adherence to guideline recommendations was observed in 4.4% to 95.2% of patients in the studies included
130 in this review. The proportion of patients undertreated ranged from 2.5% [30] to 76.3% [31]. To clearly identify
131 guideline non-adherence, undertreatment in particular, several studies included only patients at high risk for
132 stroke. [32-42] The patients included in these studies either had CHA₂DS₂-VASc or CHADS₂ scores ≥ 2 [33-40]
133 or were aged ≥ 75 years old [32, 41, 42], all of which made them at high risk. Undertreatment in these high-risk
134 patients ranged from as low as 19.7% [38] to as high as 95.2% [40], with the majority of the studies reporting
135 undertreatment between 40% and 50%. [32, 33, 35-37, 39, 42] Of note, the study by Piccini et al., with 19.7%
136 undertreatment, was part of a quality improvement initiative in hospitalized patients targeting guideline adherence
137 and the extent of undertreatment before hospital admission, and before the intervention, in this study was 40.5%.
138 [38] In the study by Formiga et al., the relatively higher proportion of octogenarians (40%) may have been the

139 primary contributor to higher undertreatment (95.2% in their study). [40] When it comes to overtreatment, between
 140 0.6% and 79.8% of patients at low risk of stroke who did not need any antithrombotic medication received
 141 treatment, which would be considered to be overtreatment. [18, 22, 26, 31, 33, 35, 43-62]

142 Recent studies that investigated trends in guideline adherence have shown substantial improvements in guideline
 143 adherence over time. Cowan et al. [63] reported an increase in the prescription of OACs (by 30.6%) and a decline
 144 in the prescription of antiplatelet agents (by 26.8%) over a 10-year period in AF patients at high risk of stroke.
 145 Non-prescription of OACs in AF patients at a significant risk of stroke is declining. [33, 37, 64] While the
 146 prescription of antithrombotic agents in truly low-risk patients may be decreasing in some areas [64], an increasing
 147 trend has been reported in others. For instance, a 2020 Japanese study [65] reported that prescription of OACs in
 148 patients with a CHADS₂ score of 0 increased from 53% to 66%. However, one should note that the Japanese AF
 149 guideline [15] also recommends OACs in patients with a CHADS₂ score of 0 but with additional risk factors for
 150 thromboembolism such as cardiomyopathy, vascular disease, and age between 65 and 74 years. This may be one
 151 potential reason for overtreatment in some of these patients despite their low risk of stroke as per the CHADS₂
 152 score. During the same period of time, the prescription of OACs in patients with a CHADS₂ score of ≥ 2 also
 153 increased from 78% in 2014 to 83% in 2017. [65] Similar findings were reported from Australia, [43] where OAC
 154 prescribing increased from the pre-DOAC era to the post-DOAC era both in low-risk patients (from 35.0% to
 155 42.9%, p=0.59) and high-risk patients (from 52.2% to 63.1%). Despite these significant proportions of
 156 overtreatment, it must be noted that the actual numbers of low-risk patients in the Japanese and Australian studies
 157 were small. [43, 65] Therefore, the primary focus of guideline non-adherence should remain on undertreatment.
 158 As shown in Table 1, a significant proportion of patients with AF are still receiving treatment that is not guideline
 159 adherent despite gradual improvements over time.

160 Table 1: Changes in the extent of guideline non-adherence over time in single geographical regions

Study	Country (setting)	Guidelines/ tools	Patient population	Outcome measures	Guideline non-adherence
Narita et al 2020 [65]	Japan (Health insurance database)	CHADS ₂	Patients with AF (N=4375)	Prescription of OACs	Undertreatment in CHADS ₂ score of ≥ 2 : -2014 (N=708): 22% -2015 (N=702): 20% -2016 (N=688): 21% -2017 (N=758): 17% Overtreatment in CHADS ₂ score of 0: -2014 (N=90): 53% -2015 (N=76): 69% -2016 (N=96): 59% -2017 (N=85): 66%

Cowan et al 2018 (The GRASP-AF registry) [63]	England (Hospital)	CHA ₂ DS ₂ -VASc	Patients with AF (N=375310)	OAC and AP use in patients with CHA ₂ DS ₂ -VASc ≥2 between 2006 and 2016	Undertreatment with non-prescription of OACs: 52.0% (2006) vs 21.4% (2016) Undertreatment with AP: 42.9% (2006) vs 16.1% (2016)
Admassie et al 2017 [43]	Australia (Hospital)	ESC 2012 and AHA 2014/CHA ₂ DS ₂ -VASc and HAS-BLED	Patients with NVAF (N=2118)	OAC prescribing in Pre- (Jan 2011 to Jul 2013) and post-DOAC era (Aug 2013 to Jul 2015)	Undertreatment in high-risk patients: 44.8% (pre-DOAC) vs 36.9% (post-DOAC), p = 0.001. Overtreatment in low-risk patients: 35.0% (pre-DOAC) vs 42.9% (post-DOAC), p = 0.59.
Apenteng et al 2017 [64]	UK (Primary care, internal medicine, cardiology, geriatrics, neurology)	NICE 2014/CHA ₂ DS ₂ -VASc and HAS-BLED	Newly diagnosed NVAF patients	OAC prescribing in high-risk patients (CHA ₂ DS ₂ -VASc ≥2) and prescribing no antithrombotic medication in low-risk patients (CHA ₂ DS ₂ -VASc=0) between Sep 2011 to Apr 2013 and Jul 2015 to Jun 2016	Undertreatment with non-prescription of OACs in high-risk: - Sep 2011 to Apr 2013: 43.3% - Jul 2015 to Jun 2016: 24.4% Overtreatment with antithrombotic in low-risk: - Sep 2011 to Apr 2013: 78.6% - Jul 2015 to Jun 2016: 64.7%
Lacoin et al 2017 [33]	UK (General practices)	ESC 2012 and NICE 2014/CHA ₂ DS ₂ -VASc	Patients with NVAF eligible for anticoagulation (CHA ₂ DS ₂ -VASc ≥2) (N=294786)	Patients who received OACs	Undertreatment: April 2012 (49.8%), April 2013 (46.8%), April 2014 (42.5%), April 2015 (37.1%), and January 2016 (33.1%)
Marzec et al 2017 [37]	U.S. (Ambulatory)	CHA ₂ DS ₂ -VASc	Patients with NVAF and high risk for stroke (i.e. CHA ₂ DS ₂ -VASc score ≥2) without a documented contraindication for OAC (N=655000)	OAC use	Undertreatment: 2008: 47.6% 2014: 39.3% (p for trend <0.01)
Mochalina et al 2016 [53]	Sweden (Primary and secondary care)	ESC 2012/CHA ₂ DS ₂ -VASc and HAS-BLED	Patients with first episode AF (N=13837)	Guideline adherence; potential undertreatment; and overtreatment, respectively	Guideline non-adherent treatment: 2011: 52.4% 2012: 47.0% 2013: 40.2% 2014: 33.9% Undertreatment: 2011: 51.9% 2012: 46.3% 2013: 39.6% 2014: 33.3%

					Overtreatment: 2011: 0.6% 2012: 0.7% 2013: 0.6% 2014: 0.6%
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161 AF: atrial fibrillation; AHA: American Heart Association; AP: antiplatelet agents; CHA₂DS₂-VASc: congestive heart failure,
162 hypertension, age ≥ 75 (doubled), diabetes, stroke (doubled)-vascular disease, age 65-74, and sex category (female); CHADS₂:
163 congestive heart failure, hypertension, age ≥ 75 years, diabetes, a history of stroke or transient ischemic attack (doubled); ESC:
164 European Society of Cardiology; GRASP: Guidance on Risk Assessment for Stroke Prevention in AF; HAS-BLED:
165 Hypertension, Abnormal renal/liver function, Stroke, Bleeding history or predisposition, Labile international normalized ratio,
166 Elderly (>65 years), Drugs/alcohol concomitantly; NICE: National Institute for Health and Care Excellence; NVAF: non-
167 valvular atrial fibrillation; OAC: oral anticoagulant; U.K.: United Kingdom; U.S.: United States

168 Studies that included patients from multiple geographical regions demonstrated variations in the extent of
169 guideline non-adherence between regions. Studies from the Global Registry on Long-Term Oral Antithrombotic
170 Treatment in Patients with Atrial Fibrillation (GLORIA-AF) registry show that undertreatment in terms of not
171 prescribing OACs for patients with a CHA₂DS₂-VASc score of ≥ 2 is lowest in Europe and highest in Asia. [24,
172 25] Mazurek et al also reported that undertreatment in Africa/Middle East is lowest second only to Europe. [24]
173 However, with only 32 (of 536) participants from South Africa, it is difficult to generalize this to the entire African
174 population (Table 2).

175 Table 2: The extent of guideline non-adherence in studies conducted in multiple geographical regions

Study (prospective cohort)	Country (Setting)	Guidelines/tools	Patient population	Outcome measures	Results
Miyazawa et al (Fushimi and Darlington AF registries) 2019 [26]	Japan and U.K. (Community-based in-patient and outpatient services; and general practices)	Fushimi: JCS 2013/ CHADS ₂ Darlington: NICE 2014/ CHA ₂ DS ₂ -VASc	Patients with AF or atrial flutter (N=6244)	Guideline non-adherence	Non-adherent (p<0.001): -Fushimi: 41.4% -Darlington: 49.2% Undertreatment (p=0.002): -Fushimi: 40.0% -Darlington: 36.1% Overtreatment (p<0.001): -Fushimi: 1.4% -Darlington: 13.1%
Mazurek et al (The GLORIA-AF Registry, Phase II) 2017 [24]	Asia, Europe, North America, Latin America, Africa/Middle East (inpatient and outpatient)	CHA ₂ DS ₂ -VASc	Adult NVAF patients with ≥ 1 risk factor for stroke as per CHA ₂ DS ₂ -VASc (N=12999)	OAC non-prescription in patients with CHA ₂ DS ₂ -VASc score of ≥ 2	Entire population (N=12999): 17.8% Asia (N=2429): 42.4% Europe (N=6310): 8.9% North America (N=2933): 19.2% Latin America (N=791): 13.3% Africa/Middle East* (N=536): 10.8%
Huisman et al (The GLORIA-	Asia, Europe, North America,	CHA ₂ DS ₂ -VASc	Adult NVAF patients with ≥ 1 risk factor	OAC non-prescription in patients with	Entire population (N=10675): 16.7%

AF Registry, Phase II) 2015 [25]	Latin America, Africa/Middle East (inpatient and outpatient)		for stroke as per CHA ₂ DS ₂ -VASc (N=10675)	CHA ₂ DS ₂ -VASc score of ≥2	Asia (N=1957): 39.3% Europe (N=4703): 8.9% North America (N=3415): 19.3% Latin America (N=476): 13.9% Africa/ Middle East (N=124): not stated
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176 *Africa/Middle East: only 32 patients from South Africa; AF: atrial fibrillation; CHA₂DS₂-VASc: congestive heart failure,
177 hypertension, age ≥75 (doubled), diabetes, stroke (doubled)-vascular disease, age 65-74, and sex category (female); CHADS₂:
178 congestive heart failure, hypertension, age ≥ 75 years, diabetes, a history of stroke or transient ischemic attack (doubled);
179 GLORIA-AF: Global Registry on Long-Term Oral Antithrombotic Treatment in Patients with Atrial Fibrillation; JCS:
180 Japanese Circulation Society; NICE: National Institute for Health and Care Excellence; NVAF: non-valvular atrial fibrillation;
181 OAC: oral anticoagulant

182 Although there are several studies which included participants from multiple countries or regions, few of them
183 compared overall results across the different regions. Table 3 focuses on studies that were published between 2016
184 and 2020 and that used the CHA₂DS₂-VASc score as a means of stratifying patients' risk of stroke. Significant
185 differences in guideline non-adherence exist across and within different geographic regions (Table 3).

186 Table 3: The extent of guideline non-adherence in different geographical regions and healthcare settings in the
187 past five years

	Setting (Country)	Patient population	Guideline-adherent treatment	Undertreatment	Overtreatment
Middle East					
Miyazawa et al 2019 ^{&} 2 [66]	Hospital (Gulf countries)	Patients with AF (N=1860)	49%	25.6%	25.4%
Balaghi-Inalou et al 2017 [#] [30]	Hospital (Iran)	Patients with NVAF (N=120)	97.5%	-	-
Kezerle et al 2020 ^λ [62]	Community and hospital (Israel)	Patients with NVAF (N=58385)	37.1% ²	62.9% ²	11.4% ⁰
East Asia					
Krittayaphong et al 2018 ^{&} [50]	Hospital (Thailand)	Patients with NVAF (N=3218)	81.6% ²	18.4% ²	58.4% ⁰
Kim et al 2017 ^{&} [59]	Hospital (South Korea)	Patients with NVAF (N=6275)	82.7% ²	17.3% ²	53.4% ⁰
Song et al 2019 ^λ [67]	Inpatient and outpatient (South Korea)	Patients with NVAF (N=9226)	54.2% ²	45.8% ²	-
Lee et al 2017 ^λ [34]	Claims database (South Korea)	Patients with NVAF (N=276246)	50.6% ²	49.4% ²	-
Australasia					
Wertheimer et al 2020 ^λ [57]	Hospital (Australia)	Patients with AF (N=200)	72.8% ²	27.2% ²	80% ⁰
Admassie et al 2017 ^λ [43]	Hospital (Australia)	Patients with NVAF (N=2118)	63.1% ²	36.9% ²	42.9% ⁰
Bista et al 2017 ^λ [68]	Hospital (Australia)	Patients with AF (N=1469)	57% ^{1c}	43% ^{1c}	-

Aziz et al 2019 ^λ [69]	Remote hospital (Australia)	Patients with AF or atrial flutter (N=59)	83% ²	17% ²	-
Frain et al 2018 ^λ [70]	Aged care (Australia)	Patients with AF residing in aged care facilities (N=1952)	34.8% ^{1a}	65.2% ^{1b}	-
Olivia et al 2020 ^λ [71]	Nurse-led clinic (Australia)	Patients with AF (N=136)	91.3% ²	8.7% ²	-
Tomlin et al 2017 ^λ [18]	General practices (New Zealand)	Patients with AF (N=12712)	60.5% ²	39.5% ²	15.6% ⁰
Europe					
Kartas et al 2019 [#] [49]	Hospital (Greece)	Patients with NVAF (N=768)	83.1% 85.4% ²	14.6% ²	67.6% ⁰
Jortveit et al 2019 ^{&} [72]	Hospital (Norway)	Patients with acute MI and AF (N=7583)	56.3% ²	43.7% ²	-
Cowan et al 2018 ^λ [63]	Hospital (England)	Patients with AF (N=375310)	78.6% ²	21.4% ²	-
Gundlund et al 2018 ^λ [73]	Hospital (Denmark)	Patients with NVAF aged ≥30 years, with moderate to high stroke risk (N=30626)	Pre-stroke population: 36.5% ² Post-stroke population: 54.2% ²	Pre-stroke population: 63.5% ² Post-stroke population: 45.8% ²	-
Averlant et al 2017 ^λ [41]	Hospital (France)	Patients with NVAF aged ≥75 (N=2034)	41.5%	58.5%	-
Başaran et al 2017 ^λ [20]	Hospital (Turkey)	Patients with NVAF (N=6273)	71.7%	23.9%	4.4%
Proietti et al 2016 ^{&} [74]	Hospital (Italy and Spain)	Patients with AF aged ≥65 years (N=558)	40.9%	52.3%	6.8%
Lenarczyk et al 2016 ^{&} [51]	Hospital (Poland)	Patients with AF (N=419)	61.1% ²	38.9% ²	66.7% ⁰
Seelig et al 2020 ^{&} [56]	Hospital, primary care, anticoagulation clinics (Netherlands)	Patients with NVAF (N=1189)	82.6% ^{1a} to 92.5% ²	7.5% ² to 17.8% ^{1a}	71.1% ⁰
Cools et al 2018 ^{&} [46]	Hospital cardiology sites, private practice cardiology site, general physician sites (Belgium)	Newly diagnosed NVAF patients with at least one stroke risk factor (N=1713)	84.3% ²	15.7% ²	71.4% ⁰
Apenteng et al 2017 ^{&} [64]	Primary care, internal medicine, cardiology, geriatrics, neurology (U.K.)	Newly diagnosed NVAF patients (N=3482)	75.6% ²	24.4% ²	64.7%
Potpara et al 2016 ^{&} [54]	Multiple settings (Balkan countries)	Patients with AF (N=2663)	74.4% ²	25.6% ²	50.38% ⁰
Mazurek et al 2017 ^{&} 2 [75]	Primary health care (U.K.)	Patients with AF or atrial flutter (N=2259)	50.8%	36.1%	13.1%

Lacoin et al 2017 [#] [33]	General practices (U.K.)	Patients with NVAF eligible for anticoagulation (CHA ₂ DS ₂ -VASc \geq 2) (N=294786)	66.9% ²	33.1% ²	-
Mochalina et al 2016 ^λ [53]	Primary and secondary care (Sweden)	Patients with first NVAF or atrial flutter (N=13837)	62.8% ²	37.2% ²	-
Boriani et al 2018 ^{&} [45]	Cardiology practices (Multicountry)	Patients with AF (N=11096)	78.3-88.8% ²	11.2-21.7% ²	73.5% ⁰
Navarro-Juan et al 2016 [#] [76]	Emergency department (Spain)	Patients with AF (N=144)	33.1% ²	66.9% ²	16.7% ⁰
Hohnloser et al 2019 ^λ [22]	Claims database (Germany)	Patients with NVAF (N=601261)	54.2% ²	45.8% ²	29.6% ⁰
North America					
Piccini et al 2019 ^{&} [38]	Hospital (U.S.)	Patients with NVAF, CHA ₂ DS ₂ -VASc score \geq 2, and without a documented contraindication for OAC (N=27270)	80.3% ²	19.7% ²	-
Dupree et al 2018 ^λ [47]	Hospital (U.S.)	Patients with NVAF without a documented contraindication for OAC (N=246)	83.0% ²	17.0% ²	83.3% ⁰
McIntyre et al 2018 ^{&} [77]	Hospitals as well as the offices of specialists and primary care providers (U.S. and Canada)	Newly diagnosed patients with AF with a CHA ₂ DS ₂ -VASc \geq 1 in males and \geq 2 in females (N=3320)	83% ²	17% ²	-
Lubitz et al 2018 ^{&} [36]	Ambulatory (U.S.)	Patients with NVAF and high risk for stroke (i.e. CHA ₂ DS ₂ -VASc score \geq 2) (N=674841)	57% ²	43% ²	-
Marzec et al 2017 ^{&} [37]	Ambulatory (U.S.)	Patients with NVAF and high risk for stroke (CHA ₂ DS ₂ -VASc score \geq 2) without a documented contraindication for OAC (N=655000)	60.7% ²	39.3% ²	-
Thompson et al 2017 ^{&} [39]	Ambulatory (U.S.)	Patients with first NVAF at high stroke risk (CHA ₂ DS ₂ -VASc score \geq 2) (N=691906)	59.1% ²	40.9% ²	-
Barnett et al 2017 ^λ [44]	Community-based outpatient practices (U.S.)	Patients with AF (N=9570)	78.9% ²	21.1% ²	60% ⁰
Africa					

Gebreyohannes et al 2018 ^a [78]	Hospital (Ethiopia)	Patients with AF (N=159)	35.2%	64.8%	-
Latin America					
Jerjes-Sanchez et al 2019 ^{&} [48]	Multiple practices (Argentina, Chile, Brazil, Mexico)	Newly diagnosed NVAF patients with at least one stroke risk factor (N=4162)	49.9% ²	50.1% ²	63.5% ⁰

188 ⁰ Patients who are truly low-risk for stroke (a CHA₂DS₂-VASc scores of 0 in men and 1 in women); ^{1a} Patients with a
189 CHA₂DS₂-VASc scores of 1 in men and 2 in women; ^{1b} Patients with a CHA₂DS₂-VASc scores of ≥ 1 in men and ≥ 2 in women;
190 ^{1c} Patients with a CHA₂DS₂-VASc scores of ≥ 1 ; ² Patients at high-risk for stroke; #Cross-sectional; &Prospective cohort;
191 ^λRetrospective observational; AF: atrial fibrillation; CHA₂DS₂-VASc: congestive heart failure, hypertension, age ≥ 75
192 (doubled), diabetes, stroke (doubled)-vascular disease, age 65-74, and sex category (female); Balkan countries: Albania,
193 Bosnia-Herzegovina, Bulgaria, Croatia, Montenegro, Romania and Serbia; Gulf countries: Bahrain, Kuwait, Qatar, Oman, The
194 United Arab Emirates, and Yemen; MI: myocardial infarction; NVAF: non-valvular atrial fibrillation; U.K.: the United
195 Kingdom; U.S.: the United States

196 3.1 Middle East

197 Three studies from the Middle East reported guideline non-adherence. [30, 62, 66] One study from Iran reported
198 that only 2.5% of patients received guideline non-adherent treatment. [30] Compared to the other two studies [62,
199 66], this study had a lower sample size. In addition, unlike the other two studies, this study also considered the
200 HAS-BLED score in judging the appropriateness of OAC prescription. This means, individuals that would have
201 been considered receiving undertreatment as per their CHA₂DS₂-VASc score could be classified as receiving
202 guideline-adherent treatment because of their HAS-BLED score. This could have contributed to the very low
203 proportion of patients with guideline non-adherent treatment. On the other hand, a recent hospital-based study
204 conducted in six Gulf countries reported that nearly half of the patients received guideline non-adherent treatment,
205 with patients receiving over- (25.6%) and undertreatment (25.4%) in similar rates. [66] This study did not consider
206 the HAS-BLED score but omission of OACs were considered appropriate in patients at high risk of stroke when
207 contraindications were reported. A study in Israel also reported undertreatment as high as 62.9%. [62] This study
208 assessed the prescription of OACs only in the first three months of AF diagnosis. As such, OACs prescribed after
209 the first three months of treatment would not be considered in assessing guideline adherence. In this study, 11.4%
210 of patients who were truly at low-risk for stroke received prescription of antithrombotic agents. [62] However,
211 the study did not consider the use of antiplatelet agents in low-risk patients as overtreatment. [62]

212 3.2 East Asia

213 When considering only patients with a CHA₂DS₂-VASc score of ≥ 2 , undertreatment in East Asia was reported to
214 be as low as 17.3% or as high as 49.4%. [34, 50, 59, 67] Similar rates of undertreatment was reported from two
215 hospital-based studies in Thailand and South Korea. [50, 59] On the other hand, two other studies from South
216 Korea reported that 45.8% to 49.4% of patients received undertreatment. [34, 67] Of note, the reported rates of

217 undertreatment was much higher in the two retrospective observational studies [34, 67] than in the other two
218 prospective ones [50, 59], indicating that retrospective studies may overestimate guideline non-adherence. When
219 it comes to overtreatment, prescription of antithrombotic agents in patients who were truly at low-risk for stroke
220 ranged from 53.4% to 58.4%. [50, 59] It is difficult to make comparisons between the different healthcare settings
221 as most of the participants were either from the hospital setting or from a claims database. [34, 50, 59, 67]

222 **3.3 Australasia**

223 Undertreatment in Australian patients with a CHA₂DS₂-VASc scores of ≥ 2 prescribed OACs after hospital
224 attendance range from 17.0% to 36.9%. [43, 57, 69] One study reported that around 40% of patients who are truly
225 low-risk for stroke were overtreated. [43] Another study reported a higher figure of overtreatment (80%), but it
226 included a small number of low-risk patients (N=16). [57] Undertreatment in New Zealand general practices
227 among patients with CHA₂DS₂-VASc scores of ≥ 2 was around 40% with overtreatment in patients with a
228 CHA₂DS₂-VASc scores of 0 of 15.6%. [18] The lowest extent of undertreatment was reported from a nurse-led
229 clinic in Australia where 8.7% of patients with CHA₂DS₂-VASc scores of ≥ 2 did not receive OAC prescription.
230 [71] Of note, findings from all of these retrospective studies suggest that studies with lower sample size may
231 underestimate the proportion of patients receiving undertreatment. [18, 43, 57, 69] With the exception of the
232 nurse-led clinic [71], an increasing trend in the proportion of patients receiving undertreatment was observed with
233 increasing sample size. [18, 43, 57, 69]

234 **3.4 Europe**

235 Of all the regions, Europe is the most frequently studied. In all studies that provided data for high-risk patients,
236 undertreatment was considered when OACs were not prescribed in these patients. [22, 33, 41, 45, 46, 49, 51, 53,
237 54, 56, 63, 64, 72, 73, 76] Similarly, prescription of any antithrombotic agent in patients with a low risk of stroke
238 was considered as overtreatment. [22, 45, 46, 51, 54, 56, 76]

239 Hospital-based studies in Turkey [20] and Greece [49] reported that 28.3% and 16.9% of patients with NVAf
240 received guideline non-adherent treatments, respectively. Another hospital-based study from France included only
241 elderly patients aged 75 years or older. [41] In this study, where all the patients were high-risk, the proportion of
242 patients receiving undertreatment was 58.5%. Most of the remaining hospital-based studies reported guideline
243 non-adherence based on the patients' risk of stroke. Accordingly, undertreatment in patients at high-risk of stroke
244 ranges from 14.6% in Greece [49] to 59.1% in Italy and Spain [74]. Findings from studies incorporating multiple

245 practice sites show similar rates of guideline non-adherence in high-risk patients where 15.7%-25.6% of patients
246 received undertreatment. [46, 54, 64] However, the proportion of low-risk patients receiving overtreatment varied
247 considerably. [46, 54, 56, 64] One clear observation is that undertreatment in high-risk patients attending primary
248 healthcare is higher than for patients attending hospitals as 33.1% to 49.2% of patients were receiving
249 undertreatment in primary healthcare. [33, 53, 75] On the other hand, the proportion of low-risk patients receiving
250 overtreatment appears to be lower (0.6% to 13.1%) than their hospital counterparts. [53, 75] The above
251 observations indicate that there may be a tendency towards not prescribing OACs in the primary healthcare setting.
252 One multicenter study that focused on cardiology practices found the proportion of high-risk patients receiving
253 undertreatment ranged from 11.2% to 21.7%%. [45] Close to three-quarters of low-risk patients in this study were
254 receiving overtreatment.

255 **3.5 North America**

256 Guideline non-adherence in the U.S. and Canada also varies depending on the setting. Around 20% of patients
257 with AF attending hospitals and the primary care setting received guideline non-adherent treatment. [38, 44, 47,
258 77] On the other hand, the proportion of patients receiving guideline non-adherent treatment is much higher among
259 patients attending ambulatory settings. OAC was not provided to 39.3% to 43% patients at high risk of
260 thromboembolism. [36, 37, 39]

261 **3.6 Africa and Latin America**

262 As compared to other parts of the world, literature on the extent of guideline non-adherence from Africa and Latin
263 America is scarce. One single-center hospital-based Ethiopian study reported that 64.8% of patients with AF
264 received guideline non-adherent treatment. [78] A multi-nation study from Latin America that involved multiple
265 practices reported that 50.1% of the patients at high risk of stroke received guideline non-adherent treatment while
266 nearly two-thirds of patients who were at low risk received over treatment. [48]

267 **4. Factors influencing guideline non-adherence**

268 Multiple factors have been associated with non-adherence to guideline recommendations and prescription of
269 OACs. Though they may not always be evident [56, 60, 64], the most common factors can be categorized as (a)
270 patient-related or (b) physician-related.

271 **4.1 Patient-related factors**

272 Patient or family refusal to take anticoagulant therapy is frequently reported by multiple studies. [43, 47, 56, 64]
273 Patient refusals could account for 7.8% to 15% of OAC non-prescribing. [56, 64] Resistance from patients may
274 be because of legitimate or irrational beliefs that are related to patients' knowledge. [79] Patients often feel that
275 they are not receiving adequate information. [80] Therefore, patient resistance may be improved by providing
276 detailed information and education. [81]

277 Age is one key factor for guideline non-adherence. [32, 35, 43, 61, 70, 73, 74, 82, 83] A statistically significant
278 increase in guideline non-adherence with advancing age, mainly due to undertreatment, has been reported by
279 multiple studies. [35, 74] This is true even after adjusting for the bleeding risk. [32, 35, 43, 70, 73, 83] While the
280 proportion of AF patients who receive OAC decreases with advancing age [32, 35, 43, 70, 73, 74, 82, 83], this
281 may vary depending on the age category. [73] Gundlund et al. reported that, compared to those patients younger
282 than 65 years of age, being 65 to 74 years and ≥ 75 years, were associated with higher and lower prescriptions of
283 OAC after adjusting for bleeding risk, respectively. [73]

284 Stroke and bleeding risk or history are important predictors of guideline non-adherence and non-prescription of
285 OACs. As one might expect, risk [36, 43, 76] or history of [58, 83] stroke is directly associated with prescription
286 of OACs, while bleeding risk [58, 70, 76] or previous bleeding [32, 35, 36, 43, 77] has an inverse association.
287 Başaran et al. [20] reported that patients without a history of stroke were 1.4- to 1.9-times more likely to receive
288 guideline non-adherent anticoagulation. As explained below, physicians' preferences contribute to these
289 observations.

290 Because female sex was considered a risk factor for stroke, it was included in the most commonly recommended
291 stroke risk stratification tool, the CHA₂DS₂-VASc score. However, it is clear that it has been overlooked by most
292 clinicians as sex has emerged as one of the predictors of guideline non-adherence and non-prescription of
293 anticoagulants in different studies, where females have higher chances of undertreatment. [35, 39, 55, 61, 73]
294 However, the female sex category is no longer considered a significant risk for stroke, and as such, has been
295 excluded from the CHA₂DS₂-VASc score by recent AF guidelines. [5] Though there is no clear explanation, one
296 study discussed that prescribers' or females patients' tendencies to decline OACs could be the potential reasons
297 for the higher rates of guideline non-adherence in female patients with AF. [39] The presence of comorbidities
298 such as ischemic heart disease, cancer, chronic kidney disease, chronic obstructive pulmonary disease, dementia,
299 peripheral arterial disease, and heart failure have all been associated with guideline non-adherence, in particular
300 less OAC prescribing. [20, 32, 40, 58, 69, 73, 74] On the other hand, patients with deep venous thrombosis,

301 hypertension, valvular heart disease, and higher body mass index are more likely to receive OACs. [20, 61, 73,
302 83] Prescription of antiplatelet agents or non-steroidal anti-inflammatory drugs [36, 41, 56, 64], recurrent falls or
303 history of falls [32, 77], first detected and/or paroxysmal AF [32, 35], alcohol abuse [47, 73], pharmacological (vs
304 electrical) cardioversion [35], rural residence and illiteracy [20], difficult access to monitoring [40] and frailty
305 [84] have all been associated with underprescription of OACs. Most of the above factors that contribute to
306 guideline non-adherence share the common feature of increasing the risk of bleeding and could be the underlying
307 reason for their contribution in guideline non-adherence. One Australian study also reported that indigenous
308 people are less likely to receive guideline-adherent treatment. [31]

309 **4.2 Physician-related factors**

310 Physician preferences make a significant contribution to guideline non-adherence, particularly those related to
311 their beliefs and practice patterns. [64, 68, 85] Prescribers usually focus on the risk of bleeding associated with
312 OACs rather than the risk associated with not prescribing anticoagulants. [20, 35, 54, 58, 70, 76, 80, 85] Reports
313 from qualitative studies indicate that prescribers use formal stroke risk assessment tools but few use formal
314 bleeding assessment tools. [79, 86] Instead, prescribers rely on informal and subjective bleeding risk assessments.
315 These include comorbidities, history of falls and bleeding, and age. [79, 86, 87] However, formal bleeding
316 assessment tools such as HAS-BLED already consider comorbidities, prior history of bleeding, and age. [88]
317 There may be a need to reassure physicians using findings such as that from a European registry-based study that
318 indicated that the risk of stroke increases more than the risk of bleeding with advancing age, [89] and the fact that
319 the risk of falls should not be the sole reason for withholding OACs. [16] According to a mixed-methods European
320 study, the majority of prescribers including primary care or family physicians, cardiologists, and neurologists
321 reported a need for skills improvement in interpreting risk stratification tools such as CHA₂DS₂-VASc and HAS-
322 BLED. [21] Indeed, van Doorn et al. reported that the reason given by a quarter of GPs for overtreatment was that
323 the responsibility of stroke prevention is the cardiologists', not theirs. [60]

324 **5. Conclusion**

325 The extent of guideline non-adherence is highly variable depending on the geographic region, the healthcare
326 setting, the risk stratification used, and other factors. There has been a gradual improvement in guideline adherence
327 over recent years, but non-adherence to guideline recommendations, especially undertreatment, is still a major
328 concern in many areas. Hence, quality improvement initiatives that aim to address guideline non-adherence
329 should be primarily focused on undertreatment. A range of patient- and physician-related factors affect guideline

330 adherence. Patient-related factors include refusals, bleeding risk and recurrent falls, which are potentially
331 modifiable, as well as non-modifiable factors such as older age, stroke risk and female sex. Clear guidance on
332 thromboprophylaxis among elderly patients seems to be needed. A greater emphasis on the risk of bleeding than
333 the risk of stroke among physicians also significantly contributed to guideline non-adherence. Research into how
334 to best incorporate stroke and bleeding risk assessment tools into the workflow of physicians, improve patient
335 knowledge and understanding of the risks and benefits of OACs, better integrate primary healthcare with higher
336 healthcare settings and increase the involvement of allied health professionals may help minimize guideline non-
337 adherent OAC treatment in patients with AF and thereby improve patient outcomes.

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