

## Protocol for non-interventional studies based on existing data

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<b>Country(-ies) of study:</b>	Japan
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## **2. LIST OF ABBREVIATIONS**

AF	Atrial Fibrillation
AIC	Akaike Information Criterion
CHADS <sub>2</sub>	Congestive heart failure, Hypertension, Age, Diabetes, Stroke(doubled)
CHA <sub>2</sub> DS <sub>2</sub> -VASc	Cardiac failure or dysfunction, Hypertension, Age 75 (doubled), Diabetes, Stroke (doubled) Vascular disease, Age 65-74 and Sex category (female) score
CHF	Congestive Heart Failure
CI	Confidence Interval
COPD	Chronic Obstructive Lung Disease
CT	Computed Tomography
DM	Diabetes Mellitus
DPC	Diagnosis Procedure Combination
HR	Hazard Ratio
ICD	International Classification of Diseases
ICH	Intracranial Hemorrhage
MDV	Medical Data Vision
MRI	Magnetic Resonance Imaging
NVAF	Non-Valvular Atrial Fibrillation
OAC	Oral Anticoagulants
PPV	Positive Predictive Value
PS	Propensity Score
PVD	Peripheral Vascular Disease
RR	Relative Risk
SD	Standard Deviation
SE	Systemic Embolism
TIA	Transient Ischemic Attack

### **3. RESPONSIBLE PARTIES**

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#### 4. ABSTRACT

<b>Name of company:</b> Boehringer Ingelheim			
<b>Name of finished medicinal product:</b> If applicable, list centrally-authorised medicinal product(s) subject to the study.			
<b>Name of active ingredient:</b> List pharmacotherapeutic group(s){ACT codes} and active substance(s) subject to the study		Dabigatran etexilate	
<b>Protocol date:</b> 26 May 2017	<b>Study number:</b> 1160.0288	<b>Version/Revision:</b> Version 1.0	<b>Version/Revision date:</b>
<b>Title of study:</b>	Comparative Effectiveness and Safety between Warfarin and Dabigatran Using Real World Claims data of Japanese Non-valvular Atrial Fibrillation Patients		
<b>Rationale and background:</b>	Real-world data about the characteristics of patients with NVAf initiating an oral anticoagulant (OAC) in Japan has been scarce to date. The purpose of this study is to compare the effectiveness and safety of dabigatran and warfarin using the MDV database.		
<b>Research question and objectives:</b>	To compare the effectiveness (stroke/SE) and safety (major bleeding) in patients with atrial fibrillation and newly treated with dabigatran and warfarin in the real world Japanese setting using a claims database		
<b>Study design:</b>	A non-interventional study based on existing health insurance claims data		
<b>Population:</b>	<p>Medical Data Vision (MDV) clinical database is used.</p> <p>OAC-naïve, adult patients with NVAf initiating dabigatran or warfarin between 14 March 2011 (considering the launch date of dabigatran) and 30 June 2016 will be enrolled.</p> <p>Inclusion criteria: patients aged &gt;18 year-old with confirmed diagnosis of NVAf (ICD 10 code I48), having a first prescription (index date) of either dabigatran or warfarin between 14 March 2011 to 30 June 2016, having no prescription of any OACs for 12 months prior to the index date (this period is defined as the baseline period).</p> <p>Exclusion criteria: patients having less than 12 months of enrolment prior to the index date, being dialysis or kidney transplant recipients in baseline period, having either atrial flutter, valvular AF, mechanical valve placement, rheumatic AF, and/or mitral valve prolapse/regurge/stenosis in baseline period, and having record of deep vein thrombosis or pulmonary embolism &lt; 6 months before AF diagnosis in baseline period.</p>		
<b>Variables:</b>	Baseline characteristics of patients (age, sex, clinical history), year of initiating treatment, medical history, type of OAC and its dosage,		

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<b>Protocol date:</b>	<b>Study number:</b>	<b>Version/Revision:</b>	<b>Version/Revision date:</b>
	concomitant medications, events related to stroke, systemic embolism, major bleeding, TIA, and myocardial infarction.		
<b>Data sources:</b>	MDV clinical database. The database is health insurance claims database. As of end of February 2016, MDV provides commercial claims for in and out-patients consisting of medical records from more than 12.94 million patients from 230 large acute care DPC hospitals. . Observation period is planned from 14 March 2010 to 30 June 2016 considering the launch date of dabigatran.		
<b>Study size:</b>	The previous study 1160.279 was a feasibility study to look into the treatment pattern of OACs in Japan and internal validity of MDV database including availability of co-variables to conduct 1:1 PS matching. For warfarin and dabigatran comparison, the number of AF patients meeting inclusion and exclusion criteria after matching was 4,427 in each cohort.		
<b>Data analysis:</b>	<p>This study plans no formal hypothesis testing. The planned analyses are descriptive in nature and results are to be interpreted in an exploratory manner.</p> <p>1:1 Propensity score matching (PSM) was conducted to to address potential channelling bias. Outcomes will be assessed in the PSM sample.</p> <p>Patient characteristics prior to and after propensity score matching will be described stratified by treatment group.</p> <p>Patients will be followed up from treatment initiation (index date) to the day of treatment discontinuation (defined as a treatment gap longer than 14 days past the number of days of supply of the last prescription), the day before a switch to a different anticoagulant, the date of disenrollment in MDV, the end of the study period, the occurrence of the event of interest, or death of the patient, whichever occurs first (as-treated analysis).</p> <p>Number of observed events, number of patient years, the corresponding incidence rates and their 95% confidence intervals (CIs) will be reported.</p> <p>Dabigatran and warfarin outcomes will be compared by estimating the hazard ratios (HRs) for the outcomes and their CIs using Cox</p>		

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	regression. Kaplan-Meier curves for event-free survival will be estimated.		
<b>Milestones:</b>	Start of Data Analysis: 09 June 2017 End of Data Analysis: 07 July 2017 Study Report: 18 August 2017		

## **5. AMENDMENTS AND UPDATES**

<b>Number</b>	<b>Date</b>	<b>Section of study protocol</b>	<b>Amendment or update</b>	<b>Reason</b>
	None			

## **6. MILESTONES**

<b>Milestone</b>	<b>Planned Date</b>
Start of data analysis	09 June 2017
End of data analysis	07 July 2017
Final report of study results:	18 Aug 2017

## 7. RATIONALE AND BACKGROUND

Until 2002 in Japan, administrative claims data were not standardized or coded electronically. There was limited use for Health Authorities policy decision making or in health research (epidemiological, HTA). Ministry of Health, Labor and Welfare launched the Diagnosis Procedure Combination (DPC) system in 2002 linked with the reimbursement system. DPC is a Japanese version of the Diagnosis Related Groups system; such system is implemented in many countries including UK, US and Germany.

The DPC is a case-mix system, similar to Medicare in the US. It comprises of 18 Major Diagnosis Categories, 520 diagnostic groups and 2,658 case-mix groups. In the DPC algorithm, the diagnosis, procedure and comorbidities/complications are the 3 key variables for classification.

The diagnosis and comorbidities/complications are coded using the International Classification of Diseases (ICD) 10 scheme, while the procedures are coded using the Japanese Procedure Codes. Not only administrative claims data but also detailed patient data are collected for all the inpatients discharged from the participating hospitals. Dabigatran, first of the novel oral anticoagulants (OACs) to be approved and launched in Mar 2011 in Japan, was supported by the findings from the RE-LY study, which showed dabigatran efficacy in stroke reduction compared to warfarin with 150mg (relative risk (RR)=0.65, 95% CI = 0.52-0.81) and 110mg dose group (RR=0.90, 95% CI 0.74-1.10).<sup>1</sup> Major bleeding was also found to be reduced in the RE-LY study for both dose groups (110mg RR = 0.80, 95% CI 0.70-0.93), 150mg RR = 0.93, 95% CI = 0.81-1.07) compared to warfarin.

Several real world evidence studies have been published recently to compare effectiveness and safety of dabigatran, rivaroxaban and apixaban using claims database from the U.S., Danish and Taiwan national claims databases.<sup>2-5</sup> In addition, several validation studies have been reported using DPC hospital claims database. Yamaguchi et al assessed the positive predictive value (PPV) of MDV claims defined event definitions for deep vein thrombosis, pulmonary embolism and bleeding events against clinical diagnosis of a panel of experts who examined claims codes and reached a consensus.<sup>6</sup> Although sample of events were relatively small (50 for each event) PPV for thromboembolic events was 75% and bleeding events was 73.3%. Yamana et al evaluated the DPC data identified Charlson co-morbid conditions from 4 mid-size acute care hospitals against chart review diagnosis for the validity of claims defined diagnosis.<sup>7</sup> Specificity was found to be over 96%, although sensitivity was below 50%. PPV for cerebrovascular disease diagnosis was reported to be 86.4% with negative predictive value of 93.5%. Koretsune et al conducted a validation study on MDV database to calculate the PPV for stroke, systemic embolism (SE) and intracranial hemorrhage (ICH) utilizing methodology similar to that reported by Yamaguchi et al, and found the PPV of stroke, SE events (SEE) and ICH to be 74%, 26.7% and 85.0%.<sup>8</sup> Second evaluation of SEE after changing claims definition increased the PPV to 86.7%.

There has been no comparative effectiveness or safety analysis of dabigatran vs. warfarin has been published using large scale Japanese claims database thus far.

## **8. RESEARCH QUESTION AND OBJECTIVES**

The primary objective is to compare the effectiveness (incidence of stroke/SE) in Japanese patients with atrial fibrillation and newly treated with either dabigatran or warfarin.

The secondary objective is to compare safety (incidence of major bleeding) in patients with atrial fibrillation and newly treated with dabigatran and warfarin in the real world Japanese setting using a claims database.

A further objective is to evaluate the types of major bleeding by ICD 10 codes and the incidence of TIA and myocardial infarction.

## **9. RESEARCH METHODS**

### **9.1 STUDY DESIGN**

#### Study design

- Non-interventional new user cohort study based on existing data (Medical Data Vision (MDV) database) using propensity score matching

#### Treatments Considered:

- Dabigatran and warfarin

#### Strength of the study design

- Channelling bias as well as differences in baseline risk of outcome occurrence between treatment groups will be addressed by the use of propensity score (PS) matching

#### Outcomes

- Primary outcome: stroke and systemic embolism
- Secondary outcome: major bleeding defined by any bleeding event associated with hospitalization claims and/or transfusion claims
- Further, Exploratory analysis:
  1. Types of bleeding categorized by ICD 10 coding
  2. Transient ischemic attack (TIA)
  3. Myocardial infarction

•

### **9.2 SETTING**

MDV clinical database is used.

#### Definition

1. Index date: the date of first oral anticoagulant prescription, namely warfarin or dabigatran
2. Baseline period: 12 months prior to and including the index date
3. Drug exposure period: period of time from index date to the end of drug treatment determined by having continuous record of prescription with less than 14 days of gap in prescription (grace period) or by switching to another OAC (end of index treatment is then consider to occur the day before the prescription of the new OAC)
4. Follow-up period: the day after index date to the earliest of treatment discontinuation, day before switch, end of continuous enrolment in the database, end of study period or death.

#### Inclusion criteria

1. >18 year-old with confirmed diagnosis of non-valvular atrial fibrillation (NVAf, ICD 10 code I48)
2. New starters of dabigatran or warfarin

3. No prescription of other OACs for 12 months prior to the index date, defined as the first prescription of OACs (the period is defined as baseline period)
4. Has an index date between 14<sup>th</sup> of March 2011 to 30 June 2016

Exclusion criteria

1. Having less than 12 months of enrolment prior to the index date
2. Dialysis or kidney transplant recipients in baseline period
3. Having atrial flutter, valvular AF, mechanical valve placement, rheumatic AF, mitral valve prolapse/regurge/stenosis in baseline period
4. Having record of deep vein thrombosis or pulmonary embolism <6 months before AF diagnosis in baseline period

The symptoms, diseases, or treatments in these criteria are defined by ICD-10 code, disease name, or medical care activity name (see [Tabel 1](#)).

Table 1 Definition of symptoms/diseases/treatment for inclusion/exclusion criteria

Symptoms/diseases/treatment	Definition		
	ICD10 code	Disease name	Medical care activity name
Dialysis	-	-	Including “dialysis”
Kidney transplant	T861, Z940	-	-
Atrial flutter	-	Atrial flutter	-
Valvular AF	-	Valvular AF	-
Mechanical valve placement	T820	-	Including “mechanical valve placement”
Rheumatic AF	I05-I09	-	-
Mitral valve prolapse	I340	-	-
Mitral valve regurge	I341	-	-
Mitral valve stenosis	I050, I342	-	-
Deep vein thrombosis	I802	-	-
Pulmonary embolism	I269	-	-

**9.3 VARIABLES**

**9.3.1 Exposures**

Having at least one prescription of either dabigatran or warfarin defined by ATC code or generic name.

## 9.3.2 Outcomes

### 9.3.2.1 Primary Outcome

- Outcome name: stroke and systemic embolism
- Time frame: drug exposure period
- Safety issue. N/A
- Definition: definition of stroke and systemic embolism provided in Koretsune et al will be used for this study<sup>8</sup> as following.
  - ✓ Stroke: all three following conditions must be met:
    - [1] Imaging (magnetic resonance imaging (MRI) or computed tomography (CT)) is performed after a diagnosis code of atrial fibrillation.
    - [2] Diagnosis of stroke defined as I60-I64 occurs in the same month as the imaging
    - [3] Either of the following condition is met:
      - A) Rehabilitation for cerebrovascular disease within 30 days from the date of imaging
      - B) Death within 30 days from the date of imaging
  - ✓ Systemic embolism events:
    1. Retinal vascular occlusions: three following conditions must be met:
      - [1] Ophthalmic examination is performed after the date of definitive diagnosis of atrial fibrillation or cardioembolic stroke (including the day of the diagnosis).  
The second or later ophthalmic examination during the same hospitalization is excluded.
      - [2] Diagnosis of retinal vascular occlusion in the month of the date of ophthalmic examination.
      - [3] The following A) and B) are satisfied:
        - A) Prescription of anticoagulant/antiplatelet agents on the day of ophthalmic examination or the next day
        - B) Non-prescription of anticoagulant/antiplatelet agents within 30 days from the date of ophthalmic examination.
    2. Other than retinal vascular occlusions: four following conditions must be met:
      - [1] Imaging: MRI, CT, roentgenography (using a contrast medium) or vascular echo is performed after the date of definitive diagnosis of atrial fibrillation or cardioembolic stroke (including the day of the diagnosis).
      - [2] Systemic embolism (including the name of injury/disease at the time of admission) is diagnosed and recorded as the name of the disease during hospitalization in the month of the date of imaging.
      - [3] The date of imaging or the next day: Treatment  
Either of the following conditions is satisfied:
        - A) Treatment with heparin at >5,000 units or thrombectomy on the day of imaging or the next day
        - B) Death within 30 days from the date of imaging

- [4] Fees for emergency medicine administration or specific intensive care management on the day of imaging are calculated.
- ✓ Intracranial bleeding: all four following conditions must be met:  
 Condition [1] is applied to the events occurred during the hospitalization after the day of definitive diagnosis of atrial fibrillation and is not applied to those during re-hospitalization.
- [1] Medical history (only atrial fibrillation)  
 The following injury/disease name in ICD 10 does not occur in the month prior to the month of the date of definitive diagnosis:
- Cerebrovascular disease excluding sequelae of subarachnoid hemorrhage, sequelae of intracerebral hemorrhage, sequelae of stroke not specified as hemorrhage or infarction
  - Intracranial injury
- [2] Imaging (MRI or CT) is performed after the month of the date of definitive diagnosis of atrial fibrillation or cardioembolic stroke (including the day of the diagnosis).  
 The second or later imaging during the same hospitalization is excluded.
- [3] Disease name  
 The following disease occurs in the same month as the day of imaging:
- Cerebrovascular diseases excluding sequelae of subarachnoid hemorrhage, sequelae of intracerebral hemorrhage, sequelae of stroke not specified as hemorrhage or infarction
  - Intracranial injury
- [4] Rehabilitation of stroke  
 Either of the following conditions is satisfied:
- Rehabilitation for stroke within 30 days from the date of imaging
  - Death within 30 days from the date of imaging

See below tables for definition of imaging (Table 2) and other symptoms/diseases/treatment (Table 3).

Table 2 Definition of imaging for primary outcome

Receipt code	Definition
170011810	CT imaging (multi-detector computed tomography)
170020110	MRI imaging (equipment with 1.5+ tesla)
170033410	CT imaging (multi-detector computed tomography)
170033510	MRI imaging (equipment with 3+ tesla)
170000810	Roentgenography (with contrast agent)
160147110, 160147210 160150050, 160161710	Vascular echo

Table 3 Definition of symptoms/diseases/treatment for primary outcome

Symptoms/diseases/treatment	Definition		
	ICD10 code	Receipt code	ATC code
Atrial fibrillation	I48		
Stroke	I61-64		
Rehabilitation		180027410, 180027510 180027610, 180027710 180030810, 180032410 180032510, 180032610 180033910, 180034010 180034110, 180034210 180034310, 180034410 180043430, 180043530 180043630, 180043730 180043830, 180044310	
Cerebrovascular disease	I60-I69		
Ophthalmic examination		160081010, 160081130, 160081450, 160081550, 160183310, 160199310, 160199310, 160199410	
Cardioembolic stroke	I634		
Retinal vascular occlusion	H34		
Anticoagulant/antiplatelet agents			B01
Systemic embolism	I74		
Heparin			B01B
Thrombectomy	I74, I80-I82		

Table 3 (cont'd)

Emergency medicine administration/ specific intensive care management		113002610, 113010710 113013810, 115003010 160000210, 190100070 190116310, 190116410 190137810, 190138110 190138210, 190138310 190138410, 190138510 190138610, 190138710 190138810, 190138910 190139010, 190139110 190139210, 190139310 190139810, 190139910 190171910, 190172010 190174410, 190174510 190174610, 190174710 190174810
Sequelae of Subarachnoid hemorrhage	I690	
Sequelae of intracerebral hemorrhage	I691	
Sequelae of stroke not specified as hemorrhage or infarction	I694	
Intracranial injury	S06	

### 9.3.2.2 Secondary Outcome

- Outcome name: Major bleeding
- Time frame: drug exposure period
- Safety issue. N/A
- Definition: major bleeding is defined as any bleeding associated with hospitalization and/or blood transfusion (defined as K920 by ICD-10 code) claims. Bleeding will include the following, and the list is inclusive, not exclusive;
  - ✓ Subarachnoid haemorrhage (I60)
  - ✓ Intracerebral hemorrhage (I61)
  - ✓ Digestive tract hemorrhage (K922)
  - ✓ Hemorrhage, not elsewhere (R58)
  - ✓ Intraocular Hemorrhage (H356)
  - ✓ Hematuria (R31)

- ✓ Excessive Menstruation (N920 and D50, D62, D649)
- ✓ Hemathrosis (D62)
- ✓ Hemopericardium (I312)
- ✓ Hemoptysis (M250)
- ✓ Epistaxis (R04)
- ✓ Acute post-hemorrhagic anemia (R048, R049, R58)

### 9.3.2.3 Further outcomes

1. Types of major bleeding categorized by ICD 10 coding. (gastrointestinal, intracranial, retinal)
2. Ischemic stroke/SE/TIA (ICD 10: I63, I64, I74, G45)

As a sensitivity analysis, the primary (stroke and systemic embolism) and secondary (major bleeding) outcomes will be identified using the following alternative algorithms used by Gorst-Rasmussen et al:

- Stroke / systemic embolism: a hospital-discharge summary with primary diagnosis of ischemic, hemorrhagic or undefined stroke (I60, 61, 62, 63 or 64 ICD-10 codes) or systemic embolism (I74 ICD-10 code) during drug (dabigatran or warfarin) exposure
- Major bleeding: a hospital-discharge summary with primary diagnosis of bleeding (ICD-10 codes: D62, J942, H113, H356, H431, N02, N95, R04, R31, R58 during drug (dabigatran or warfarin) exposure

In addition, the following further outcomes will be considered:

- Ischemic stroke (based on the algorithms described by Koretsune et al)
- Ischemic stroke (based on ICD-10 coding, namely I63, I64)

### 9.3.3 Covariates

Logistic regression model was used to estimate propensity scores based on all covariates listed below:

- ✓ Age
- ✓ Gender
- ✓ Speciality of prescribers of OAC
- ✓ Time from AF diagnosis to initiation of OAC
- ✓ History of stroke or transient ischemic attack yes/no
- ✓ History of myocardial infarction yes/no
- ✓ History of coronary artery disease yes/no
- ✓ History of heart failure yes/no
- ✓ History of diabetes mellitus yes/no
- ✓ History of dyslipidemia yes/no
- ✓ History of arterial hypertension yes/no
- ✓ History of peripheral artery disease yes/no
- ✓ History of peptic ulcer disease yes/no
- ✓ History of dementia yes/no

- ✓ History of malignant lymphoma yes/no
- ✓ History of leukemia yes/no
- ✓ History of solid tumor cancer yes/no
- ✓ History of kidney impairment yes/no
- ✓ History of liver disease yes/no
- ✓ History of valvular disease yes/no
- ✓ History of bleeding (gastro-intestinal, etc.) yes/no
- ✓ History of hospitalization yes/no
- ✓ CHA<sub>2</sub>DS<sub>2</sub>-VASc
- ✓ HAS-BLED Score
- ✓ Year of Initiating Treatment
  - Index date falling within 12 months starting from 14<sup>th</sup> of March in 2011 and then from 1<sup>st</sup> of March of each respective year in 2012 to 2016, then to 30 June 2016.
- ✓ Concomitant medication (prescription claims within the baseline period)
  - yes/no for the following:
    - ✧ aspirin
    - ✧ ticlodipine
    - ✧ cilostazole
    - ✧ clopidogrel
    - ✧ angiotensin receptor blockers or angiotensin converting enzyme inhibitors
    - ✧ beta-blocker
    - ✧ amiodarone
    - ✧ procainamide
    - ✧ disopyramide
    - ✧ flecainamide
    - ✧ pilcicainide
    - ✧ procainamide
    - ✧ calcium-channel blocker
    - ✧ digoxin
    - ✧ diuretics
    - ✧ statins
    - ✧ proton-pump inhibitor
    - ✧ H<sub>2</sub> receptor antagonist

The disease, condition/disease for AF risk score calculation, AF risk score, and concomitant medication are defined as Table 4, [Table 5](#), [Table 6](#), [Table 7](#), [Table 8](#).

Table 4 Definition of clinical history

Disease	Definition	
	ICD10code	prescription
Stroke or transient ischemic attack	I60-I64, G45	-
Myocardial infarction	I21-I23	-
Coronary artery disease	I251	-
Heart failure	I110, I130, I132, I420, I50	Prescribed furosemide (defined by generic name)
Diabetes mellitus	E100, E101, E109, E110, E111, E119, E14	Prescribed drugs used in diabetes (defined by ATC code as A10)
Dyslipidemia	E78	-
Arterial hypertension	I10-I15	Prescribed 2 or more types of anti-hypertensive (defined in Table 2b)
Peripheral artery disease	I702-I709, I71, I739	-
Peptic ulcer disease	K22, K25-K28	-
Dementia	F00-F03, G30	-
Malignant lymphoma	C81-C88	-
Leukemia	C90-C96	-
Solid tumor cancer	C00-C80, C97	-
Kidney impairment	N28	-
Liver disease	K70-K77	-
Valvular disease	I059, I089, I358, I38, I48	-
Bleeding (gastro-intestinal, etc.)	K25-K29, K922	-

Table 5 Definition of anti-hypertensive

Class/type	ATC code
Calcium channel blockers (CCB)	C08A0
Angiotensin receptor blockers (ARB)	C09C0
Angiotensin converting enzyme inhibitors (ACE)	C09A0
Diuretics	C03A1, C03A2, C03A3, C03A7, C03A9
Thiazide diuretic	C03A3 (Thiazide, plane), C02D0 (Rauwolfia alkaloids)
Beta blocker	C07A0
Alpha-adrenoreceptor antagonists	C02A2
Potassium-sparing agents	C03A1
Others	C02A1 (Antihypertensives), C02A3 (Antihypertensives for pulmonary arterial hypertension), C09X0 (Other agents acting on the renin-angiotensin system)
Combination agents	C09D1 (ARB and diuretics), C09D3 (ARB and CCB)

Table 6 Definition of condition/disease for AF risk score calculation

Condition/disease	Definition	
	ICD10code	prescription
Congestive heart failure or left ventricular dysfunction	I110, I130, I132, I420, I50	Prescribed furosemide (defined by generic name)
Stroke (ischemic stroke, transient ischemic disease, or systemic embolism)	I63, I64, G45, I74	
Vascular disease (myocardial infarction, peripheral arterial disease, or aortic plaque)	I21-I23, I702-I709, I71, I739, I700	
Abnormal renal function	I12, I13, N00-N05, N07, N11, N14, N17-N19, Q61	
Abnormal hepatic function	B150, B160, B162, B190, K704, K72, K766, I85	
Stroke (ischemic stroke or transient ischemic attack)	I63, I64, G45	
Bleeding	I60, I61, I62, D62, J942, H113, H356, H431, N02, N95, R04, R31, R58, K250, K260, K270, K280, K290, S063, S064, S065, S066	
Drugs (aspirin, clopidogrel, or non-steroidal anti-inflammatory drugs)		Aspirin and clopidogrel: defined by general name Non-steroidal anti-inflammatory drugs defined by ATC code (EPHMRA) as M01A
Alcohol intake	F10, G312, G621, G721, I426, K292, K70, K860, L278, O354, T51, Z714, Z721	

Table 7 AF risk score calculation

Risk score	Disease/condition	Points if present
CHADS <sub>2</sub> (9)	Congestive heart failure or left ventricular dysfunction	1
	Hypertension	1
	Age ≥75 years	1
	Diabetes mellitus	1
	Stroke (ischemic stroke, transient ischemic disease, or systemic embolism)	2
CHA <sub>2</sub> DS <sub>2</sub> VASc (10)	Congestive heart failure or left ventricular dysfunction	1
	Hypertension	1
	Age ≥65 years	1
	Age ≥75 years	1
	Diabetes mellitus	1
	Stroke (ischemic stroke, transient ischemic disease, or systemic embolism)	2
	Vascular disease (myocardial infarction, peripheral arterial disease, or aortic plaque)	1
	Female	1
HAS-BLED (10)	Hypertension	1
	Abnormal renal function	1
	Abnormal hepatic function	1
	Stroke (ischemic stroke or transient ischemic attack)	1
	Bleeding	1
	Labile international normalized ratio *	1
	Elderly Age (≥65 years)	1
	Drugs (aspirin, clopidogrel, or non-steroidal anti-inflammatory drugs)	1
	Alcohol intake	1

\*Not included due to unavailable information

Table 8 Definition of concomitant medication

Drug	Definition	
	ATC code	Generic name
Aspirin	-	Aspirin, aspirin dihydroxyaluminum aminoacetate magnesium carbonate
Ticlodipine	-	Ticlopidine hydrochloride
Cilostazole	-	Cilostazole
Clopidogrel	-	Clopidogrel sulfate
ARB or ACE	C09A0, C09C0, C09D1	-
Beta blocker	C07A0	-
Amiodarone	-	Amiodarone hydrochloride
Procainamide	-	Procainamide hydrochloride
Disopyramide	-	Disopyramide, disopyramide phosphate
Flecainide	-	Flecainide hydrochloride
Pilsicainide	-	Pilsicainide hydrochloride
CCB	C08A0	-
Digoxin	-	Digoxin, metildigoxin
Diuretics	C03A1, C03A2, C03A3, C03A7, C03A9	-
Statins	C10A1	-
Proton pump inhibitor	A02B2	-
H <sub>2</sub> receptor antagonist	A02B1	-

#### 9.4 DATA SOURCES

MDV clinical database is health insurance claim database. As of end of February 2016, MDV has accumulated commercial claims database for both in and outpatients consisting of medical administrative claims records from more than 12.94 million patients from 230 large acute care DPC hospitals. Lab results are also available but number of hospitals providing with lab test results are limited.

Study period is from 14 Mar 2010 to 30 June 2016 in MDV database at the time of study protocol approval.

The MDV database is broadly representative of the Japanese population with similar distribution compared to the Japanese general population. There is research experience using the data, 19 publications, 5 conference presentations (as of Aug 2015).

## 9.5 STUDY SIZE

This study plans no formal hypothesis testing. The planned analyses are descriptive in nature and results of statistical tests are to be interpreted in an exploratory manner. For each treatment group, the available sample size is determined by feasibility assessments of the previous study 1160.279 according to the pre-specified time window and inclusion/exclusion criteria, and not by formal sample size justifications. Therefore, the purpose of the power assessments described in this section is to illustrate the precision of the effect estimates that can be achieved given the feasible sample size.

The expected sample size of dabigatran new starters meeting inclusion/exclusion criteria after matching has been estimated to be 4,427 from the previous study 1160.279. This expected sample size is considered to have sufficient precision, defined as having less than 10% chance of the upper bound of 95% confidence interval of hazard ratio (HR) exceeding 1.378, which was an FDA recommended non-inferiority margin for effectiveness at the planning stage of RE-LY study.

Hori et al reported that the incidence of stroke and systemic embolism in the Asian subgroup of RELY study was 3.06%/year (53 events/926 patient year).<sup>11</sup> In the feasibility study (CTMS 1160.279), the percentage of patients receiving high dose of dabigatran or 300 mg per day was 21% and the rest or 79% was receiving equal to or less than 220mg per day. According to the Asian subgroup reported by Hori, the observed hazard ratio of warfarin to dabigatran for the endpoint of stroke and systemic embolism was 0.45 and 0.81 for 300mg and 220mg daily dose group respectively. The combined assumed hazard ratio for MDV database will therefore be  $\text{Exp}(\log(0.45) \times 0.21 + \log(0.81) \times 0.79)$  or 0.716.

Table 9 Sample size calculation

follow-up(y)	N per group	Event Rate (/y)	NI Margin	Power (non-inferiority)
0.40487	4421	0.025	1.378	0.987
0.40487	4421	0.025	1.378	0.944
0.40487	4421	0.025	1.378	0.846
0.40487	4421	0.025	1.378	0.692
0.40487	4421	0.025	1.378	0.507
0.40487	4421	0.03	1.378	0.996
0.40487	4421	0.03	1.378	0.974
0.40487	4421	0.03	1.378	0.905
0.40487	4421	0.03	1.378	0.770
0.40487	4421	0.03	1.378	0.583
0.40487	4421	0.035	1.378	0.999
0.40487	4421	0.035	1.378	0.988
0.40487	4421	0.035	1.378	0.943
0.40487	4421	0.035	1.378	0.832
0.40487	4421	0.035	1.378	0.650

Assuming stroke/SE event rate of 0.03/PY and HR of 0.716, the probability of the upper bound of 95% CI exceeding 1.378 is considered to be less than 10%. Lower event rate or narrower margin will reduce power.

## **9.6 DATA MANAGEMENT**

Data are provided as electrical data formatted csv by MDV and stored and managed in Milliman Inc.

SAS and Microsoft Excel are used for statistics.

## **9.7 DATA ANALYSIS**

### **9.7.1 Main analysis**

#### Propensity Score Matching

To reduce channelling bias, dabigatran and warfarin study groups will be established using PS matching method, on a 1:1 fixed ratio. The nearest neighbour method of propensity score matching within a caliper of 0.10 of the standard deviation of the estimated logit will be used to select the matched samples. All pre-defined variables has been evaluated in CTMS 1160.279 for inclusion into the model. Covariates with less than 10 patients present in the data was eliminated as well as CHADs which showed high co-linearity with CHADsVASc which was eliminated from the model. Otherwise, all pre-defined variables will be used. For further detail of the methodology of PS matching, please see the study protocol CTMS 1160.279.

#### For the primary outcome

Incidence rates of each treatment cohort (warfarin and dabigatran) will be provided, and all analysis will be conducted on the PS matched sample. The hazard ratio (HR) of stroke/systemic embolism for the dabigatran cohort as compared to the warfarin cohort and its 95% confidence interval (CI) will be estimated from the PS matched cohort using a Cox regression model with treatment group as the dependent variable. No additional covariates are considered in the Cox model as no residual imbalance was identified after PS matching (1160.276 study report, c15432368) There will be no formal hypothesis testing. Kaplan Meier analysis with the number of patients at risk during the follow-up period after the index date and the number of events for ischemic stroke and major bleeding will be provided.

#### For the secondary outcome

Same analysis method will be utilized to calculate HR for the outcome of major bleeding.

### **9.7.2 Further analysis**

As an exploratory analysis, types of bleeding categorized by ICD 10 coding, Ischemic storke/SE/TIA will be analyzed.

## **9.8 QUALITY CONTROL**

Milliman will conduct a quality check as below:

Calculation check: both of program codes for calculation and the data codes used the calculation will be checked by different person from that who calculated.

Pre-release peer review: comprehensive check on methodology, calculation process, and consistency of results will be performed by a qualified peer-reviewer.

Post-release peer review: comprehensive check on the project will be conducted by qualified peer-reviewer belonging to another office.

## **9.9 LIMITATIONS OF THE RESEARCH METHODS**

- 
- Unobservable factors or factors not captured in the database such as laboratory data not equally distributed in the treatment groups that may also influence the outcomes could lead to unobserved confounding.
- The anticipated sample size might be limited which might lead to imprecise results. Therefore the study can only be considered to be exploratory. Based on the expected small sample size there is also the risk of pure chance findings. No hypothesis testing is planned,
- All information of each patient is from consent giving DPC hospitals. If patients have visits to other non-DPC medical institutions, these data are not included in the MDV data.

## **9.10 OTHER ASPECTS**

None

## **9.11 SUBJECTS**

The source population is Japanese patients who have claims data in MDV commercial database. In order to have claims in the database, the patients must have received some medical intervention, out or in-patient hospital visit, or pharmacy prescription from the DPC hospitals in Japan. DPC hospitals are large hospitals, often associated with medical schools or government funding, providing both acute and chronic medical care in Japan. Compared to non-DPC hospitals, they tend to provide more specialized, intensive medical care in addition to outpatient primary care tending to chronic disease requiring non-urgent care. MDV database has contractual agreement to receive claims data from approximately 12% of all DPC hospitals in Japan, and the selection is based on the willingness on the side of DPC hospitals to receive either financial compensation or data services from MDV. The inclusion and exclusion criteria are intended to select those Japanese atrial fibrillation patients who have non-valvular etiology and have newly initiated oral anti-coagulants for stroke prevention. The data cut-off of 14 Mar 2011 to 30 June 2016 is to select those claims that have occurred after the launch of dabigatran and to the most recent available data cut from MDV at the time of protocol writing.

### **9.11.1 Cases**

Not Applicable

### **9.11.2 Controls**

Not Applicable

## **9.12 BIAS**

Unobservable factors or factors not captured in the database such as laboratory data not equally distributed in the treatment groups that may also influence the outcomes could lead to unobserved confounding.. In order to minimize bias, this study will include only new users (treatment-naïve initiators) of warfarin and dabigatran and use propensity score matching.

## **10. PROTECTION OF HUMAN SUBJECTS**

As this is a study based on databases using anonymous and personally unidentifiable data; therefore protection of human subjects is not applicable for this study.

## **11. MANAGEMENT AND REPORTING OF ADVERSE EVENTS/ADVERSE REACTIONS**

The outcomes of the study are the baseline characteristics (pre-treatment) and medication prescriptions.. This is a non-interventional study based on existing data, in which all patient data will be de-identified and analyzed in aggregate. Individual patient safety related information will not be captured during this study. Thus, individual safety reporting is not applicable for this study.

## **12. PLANS FOR DISSEMINATING AND COMMUNICATING STUDY RESULTS**

A manuscript describing this work will be submitted for publication in a peer-reviewed journal.

Target of final study report (publication submission): Sep 2017

## **13. REFERENCES**

### **13.1 PUBLISHED REFERENCES**

Reference:

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11. Hori M, et al. Efficacy and safety of dabigatran vs. warfarin in patients with atrial fibrillation-sub-analysis in Japanese population in RE-LY trial. *Circ J* 2011; 75: 800-805

### **13.2 UNPUBLISHED REFERENCES**

**ANNEX 1. LIST OF STAND-ALONE DOCUMENTS**

<b>Number</b>	<b>Document Reference Number</b>	<b>Date</b>	<b>Title</b>
	None		

## **ANNEX 2. ENCEPP CECKLIST FOR STUDY PROTOCOLS**

None

### **ANNEX 3. ADDITIONAL INFORMATION**

None