



· 论 著 ·

构建并验证nomogram模型预测IA期肺腺癌肺泡间转移

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[摘要] 背景和目的: 肺泡间转移 (spread through air spaces, STAS) 是早期肺腺癌的不良预后因素, 尤其是楔形切除的患者, 术前预测STAS有助于选择更佳的手术方式。本研究旨在建立并验证基于术前临床和影像学特征的列线图 (nomogram) 来预测 IA 期肺腺癌的STAS。方法: 回顾性分析2017年1月—2018年12月在复旦大学附属中山医院接受手术治疗的595例 IA 期肺腺癌患者, 通过4%的甲醛溶液固定石蜡包埋组织切片评估STAS结果。基于术前临床资料和胸部计算机断层成像 (computed tomography, CT), 4种临床特征和11种影像学特征纳入分析。通过logistic回归筛选临床和影像学特征中预测STAS的独立预测因素并构建nomogram模型。通过一致性指数 (concordance index, C-index)、受试者工作特征 (receiver operating characteristic, ROC) 曲线的曲线下面积 (area under curve, AUC)、校准图来评估模型的效能。结果: 在595例 IA 期肺腺癌患者中, STAS阳性为87例 (14.6%)。单因素及多因素logistic回归结果显示分叶征 (OR=8.156, 95% CI: 1.021~65.099)、毛刺征 (OR=5.258, 95% CI: 2.506~11.032) 和实性成分占比 (consolidation tumor ratio, CTR) ($0.50 < \text{CTR} \leq 0.75$, OR=16.955, 95% CI: 3.579~80.309; $0.75 < \text{CTR} \leq 1.00$, OR=20.793, 95% CI: 4.383~98.636) 是STAS阳性的独立预测因素。基于这些预测因素建立的nomogram模型, 对于STAS有较好的预测效能; C-index为0.901, AUC为0.897, 且校准曲线拟合良好。结论: 本研究建立并验证了预测 IA 期肺腺癌STAS的nomogram模型。本模型操作简单, 有较好的预测效能, 有利于术前选择合理的手术方式。

[关键词] 肺腺癌; 肺泡间隙转移; 列线图

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[Abstract] **Background and purpose:** Spread through air spaces (STAS) is a poor prognostic factor for early lung adenocarcinoma, especially in patients with wedge resection. Preoperative prediction of STAS is helpful to select a better surgical treatment. This study aimed to develop and validate a nomogram based on preoperative clinical and computed tomography

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(CT) characteristics to predict STAS in stage I A lung adenocarcinoma. **Methods:** A total of 595 patients with stage I A lung adenocarcinoma who underwent surgical treatment in Zhongshan Hospital Fudan University from January 2017 to December 2018 were retrospectively analyzed. The results of STAS were evaluated by paraffin embedded tissues fixed with 4% formaldehyde solution. Based on preoperative clinical data and chest CT, 4 clinical characteristics and 11 CT characteristics were analyzed. The independent predictors of STAS in clinical and CT characteristics were identified by logistic regression analysis and then used to build a nomogram. Concordance index (C-index), area under the curve (AUC) of receiver operating characteristic (ROC) and calibration plots were used to evaluate the performance of the model. **Results:** Among the 595 stage I A lung adenocarcinoma patients, 87 patients (14.6%) were STAS positive. Univariate and multivariate logistic regression analyses showed that lobulation (OR=8.156, 95% CI: 1.021-65.099), spiculation (OR=5.258, 95% CI: 2.506-11.032) and consolidation tumor ratio (CTR) ($0.50 < \text{CTR} \leq 0.75$; OR=16.955, 95% CI: 3.579-80.309; $0.75 < \text{CTR} \leq 1.00$; OR=20.793, 95% CI: 4.383-98.636) were independent predictors of STAS positivity. The nomogram based on these predictors achieved good predictive performance for STAS with a C-index of 0.901, an AUC of 0.897 and a well-fitted calibration curve. **Conclusion:** This study developed and validated a nomogram for predicting STAS in stage I A lung adenocarcinoma. This model is simple to operate and has good predictive performance, which is conducive to the selection of reasonable surgical methods before operation.

[**Key words**] Lung adenocarcinoma; Spread through air space; Nomogram

肺癌是全球范围内发病率和死亡率很高的恶性肿瘤之一, 中国肺癌发病率呈上升趋势^[1-2]。随着低剂量计算机断层扫描 (low-dose computed tomography, LDCT) 筛查的普及, 越来越多的早期肺癌被检出, 其中大部分为腺癌^[3]。根据近年来JCOG0804和JCOG0802研究的结果, 越来越多的直径 ≤ 2 cm的早期肺腺癌患者被推荐行亚肺叶切除从而改善生活质量而不影响总生存期^[4-5]。然而早期肺腺癌, 即使I A期术后复发率仍可达10%~20%^[6-7]。肺泡间转移 (spread through air spaces, STAS) 是2015版世界卫生组织 (World Health Organization, WHO) 肺癌病理学分类中提出的概念, 指肺癌主病灶之外的周围肺泡腔内存在肿瘤细胞; 按组织形态可分为3种亚型: 微乳头细胞簇、实体巢、单个肿瘤细胞^[8]。Eguchi等^[9]研究显示, STAS阳性的I A期肺腺癌行亚肺叶切除的5年复发率明显高于肺叶切除 (39% vs 16%, $P < 0.001$)。Ren等^[10]研究结果表明, 亚肺叶切除的I A期肺腺癌患者中, STAS阳性的无复发生存期 (recurrence-free survival, RFS) 显著低于STAS阴性 (HR = 5.371, 95% CI: 1.843~15.650, $P = 0.001$)。因此, 通过术前评估STAS的风险, 对STAS阳性的患者推荐行肺叶切除, 可能减少I A期肺腺癌患者术后的复发概率或避免再次手术。

计算机断层扫描 (computed tomography, CT) 是肺癌诊断和分期的常规检查方法, 多项研究^[11-12]表明影像学特征如分叶征、毛刺征、胸膜凹陷征、血管征、实性成分占比 (consolidation tumor ratio, CTR) 等与STAS密切相关。Bassi等^[13]通过人工智能学习99例肺腺癌的放射组学特征构建模型预测STAS, 该模型灵敏度为89%, 特异度为64%。江长思等^[14]采用人工智能学习肺腺癌的CT影像学特征构建模型预测STAS, 模型的灵敏度为78%, 特异度为77%。Chen等^[15]通过分析116例I A期肺腺癌的CT影像学特征构建预测STAS的列线图 (nomogram), 结果显示, 一致性指数 (concordance index, C-index) 为0.803, 灵敏度为92.3%, 特异度为66.7%。

上述研究纳入的病例分期不局限于早期, 构建人工智能学习模型的病例数有限, 且操作较复杂, 不便于临床推广。Chen等^[16]构建的nomogram模型, 仅基于影像学特征, 且C-index提示预测准确性为中等。有研究^[10]结果表明男性吸烟、癌胚抗原 (carcinoembryonic antigen, CEA) 水平可能与STAS有关, 兼顾临床和影像学特征的模型可能有更好的预测效能; 但亦有研究^[17]提示上述临床特征与STAS无关。本研究旨在进一步探讨临床和影像学特征与STAS的关系, 并建立基于术前临床和影像学特征的

nomogram模型来预测 I A期肺腺癌的STAS。

1 资料和方法

1.1 研究对象

回顾性分析2017年1月—2018年12月在复旦大学附属中山医院行手术治疗且临床和病理学检查均诊断为 I A 期的肺腺癌患者595例。入组标准：① 术前3个月内在手术医院行胸部CT检查；② 有4%的甲醛溶液固定石蜡包埋组织标本或H-E染色玻片。③ 有完整的随访资料。排除标准：① 术前3个月内在手术医院未行胸部CT检查；② 术前行组织活检；③ 术前行新辅助化疗；④ 有多发肺部结节。本研究经复旦大学附属中山医院伦理委员会批准。

1.2 组织病理学评估

两名经验丰富的病理科医师按照WHO对STAS的定义，对H-E染色切片进行评估，结果不一致的病例经讨论后达成共识。STAS阳性定义为肺癌主病灶之外的周围肺泡腔内存在肿瘤细胞；主要包括以下3种形式：单细胞被定义为肺泡腔内无黏性的单个肿瘤细胞，微乳头细胞簇被定义为在肺泡腔内没有中央纤维血管核心的乳头状结构，实性巢被定义为充满肺泡腔内的肿瘤细胞的实性集合^[8]。

1.3 影像学特征分析

使用肺窗和纵隔窗在PACS（图像存档和通信系统）上进行CT图像分析。由胸外科和呼吸科副主任医师各一位独立判读CT图像，读片前不知道病理科判读的STAS结果。分析病灶位置、结节类型、结节大小、肺气肿、分叶征、毛刺征、空泡征、胸膜凹陷征、血管征、CTR等影像学特征。结节及其实性成分的长轴和短轴直径在结节最大横切面采用肺窗设置测量。对于影像学特征，任何差异通过两位副主任医师讨论来解决。

1.4 统计学处理

各亚组间临床特征以及影像学特征的比较采用 χ^2 检验或Fisher精确检验法；通过单因素和多因素logistic回归筛选临床和影像学特征中预测STAS的独立预测因素。利用R语言的“rms”包

构建基于独立预测因素的nomogram模型，通过一致性指数、绘制校准曲线和受试者工作特征（receiver operating characteristic, ROC）曲线对模型进行效能评价。采用双侧检验， $P < 0.05$ 为差异有统计学意义。数据统计分析采用SPSS 24.0软件和R语言（R version 4.1.0）。

2 结果

2.1 患者临床及影像学特征

本研究共入组595例 I A期肺腺癌患者，其中STAS阳性患者为87例，阳性率为14.6%；STAS阴性患者为508例，占总人群的85.4%。STAS阳性患者多为年龄 ≥ 65 岁男性、吸烟，大多具有CEA水平升高的临床特征。STAS阳性患者多具有分叶征、毛刺征、肺气肿等影像学特征，多见于纯实性结节或CTR > 0.75 的混合磨玻璃结节；其他影像学特征与STAS无相关性；具体的临床影像学特征见表1。

2.2 单因素和多因素logistic回归分析

本研究以STAS为因变量，采用单因素和多因素logistic回归分析来确定哪些参数可以作为STAS的独立预测因素。单因素回归分析显示，年龄 ≥ 65 岁、男性、吸烟、CEA水平升高、实性结节、结节直径 > 1 cm、肺气肿、CTR、分叶征、毛刺征与 I A期肺腺癌的STAS阳性有关（表2）。多因素回归分析显示，分叶征（OR = 8.156, 95% CI: 1.021 ~ 65.099, $P = 0.048$ ）、毛刺征（OR = 5.258, 95% CI: 2.506 ~ 11.032, $P < 0.001$ ）、 $0.50 < \text{CTR} \leq 0.75$ （OR = 16.955, 95% CI: 3.579 ~ 80.309, $P < 0.001$ ）、 $0.75 < \text{CTR} \leq 1.00$ （OR = 20.793, 95% CI: 4.383 ~ 98.636, $P < 0.001$ ）为STAS的独立预测因素。其余为非独立预测因素（表3）。

2.3 Nomogram模型的构建和效能评估

基于多因素logistic回归分析筛选的独立预测因素（分叶征、毛刺征、CTR），利用R语言构建预测STAS的nomogram模型（图1）。从图1中可见，每个变量有不同的取值范围，分值的大小与回归分析的OR值有关。每例患者均可根据自

表1 患者临床和CT影像学特征

Tab. 1 Clinical and CT characteristics of the patients

Characteristics	Positive (N=87)	Negative (N=508)	P value	Characteristics	Positive (N=87)	Negative (N=508)	P value
Age/year			<0.001	CTR			<0.001
<65	47	340		CTR≤0.50	3	324	
≥65	40	168		0.50<CTR≤0.75	12	60	
Gender			<0.001	0.75<CTR≤1.00	72	124	
Male	50	182		Emphysema			<0.001
Female	37	326		Absent	63	451	
Smoke			<0.001	Present	24	57	
Ever	44	89		Lobulation			<0.001
Never	43	419		Absent	1	179	
CEA			0.002	Present	86	329	
Normal	76	488		Spiculation			<0.001
High	11	20		Absent	11	365	
Lesion location			0.337	Present	76	143	
Upper and middle lobe	54	342		Pleural retraction			0.124
Lower lobe	33	166		Absent	43	296	
Nodule pattern			<0.001	Present	44	212	
Pure GGN	1	97		Vacuole sign			0.853
Mixed GGN	28	335		Absent	57	338	
Solid	58	76		Present	30	170	
Tumor size D/cm			0.007	Vascular change			0.095
D≤1	5	83		Normal	8	82	
1<D≤2	49	296		Convergent	79	426	
2<D≤3	33	129		Nodule-pleural types			0.160
				No connection	57	292	
				Attachment	30	216	

STAS: Spread through air spaces; CEA: Carcinoembryonic antigen; GGN: Ground glass nodule; CTR: Consolidation/tumor ratio.

身危险因素进行评分，所得总分投射到概率一栏，从而得出STAS阳性的概率。

相对于术后病理学检查结果，校准曲线显示了良好的一致性，表明nomogram术前预测早期腺癌STAS的稳定性（图2）。C-index为0.901（95% CI: 0.872~0.929），提示本模型有较好的预测效果。

根据ROC比较不同预测方法（nomogram、分叶征、毛刺征、CTR）对STAS的预测效

能。结果显示，nomogram模型的曲线下面积（area under curve, AUC）为0.897（灵敏度为85.1%，特异度为84.3%），优于CTR的AUC值0.834（灵敏度为96.6%，特异度为63.8%）、毛刺征的AUC值0.796（灵敏度为87.4%，特异度为71.9%）和分叶征的AUC值0.670（灵敏度为98.9%，特异度为35.2%，图3）。由此可见，与单项预测因素相比，Nomogram模型预测 I A期肺腺癌患者的STAS有更佳准确性。

表2 单因素logistic回归分析

Tab. 2 Univariate logistic regression analysis for STAS as the dependent variable

Variable	OR	95% CI	P value	Variable	OR	95% CI	P value
Age/year				CTR			
<65	1.000	-	-	CTR≤0.50	1.000	-	-
≥65	1.722	1.086-2.729	0.021	0.50<CTR≤0.75	21.599	5.917-78.845	<0.001
Gender				0.75<CTR≤1.00	62.709	19.398-202.721	<0.001
Female	1.000	-	-	Emphysema			
Male	2.420	1.524-3.842	<0.001	Absent	1.000	-	-
Smoke				Present	3.014	1.747-5.197	<0.001
Never	1.000	-	-	Lobulation			
Ever	4.817	2.985-7.773	<0.001	Absent	1.000	-	-
CEA				Present	46.790	6.462-338.792	<0.001
Normal	1.000	-	-	Spiculation			
High	3.531	1.627-7.661	0.001	Absent	1.000	-	-
Lesion location				Present	17.635	9.103-34.160	<0.001
Lower lobe	1.000	-	-	Pleural retraction			
Upper and middle lobe	0.794	0.495-1.272	0.338	Absent	1.000	-	-
Nodule pattern				Present	1.428	0.905-2.253	0.125
Pure GGN	1.000	-	-	Vacuole sign			
Mixed GGN	8.107	1.089-60.352	0.041	Absent	1.000	-	-
Solid	74.026	10.023-546.687	<0.001	Present	1.046	0.648-1.689	0.853
Tumor size D/cm				Vascular change			
D≤1	1.000	-	-	Normal	1.000	-	-
1<D≤2	2.740	1.061-7.118	0.037	Convergent	1.900	0.884-4.083	0.100
2<D≤3	4.246	1.593-11.316	0.004	Nodule-pleural types			
				No connection	1.000	-	-
				Attachment	0.711	0.442-1.145	0.161

OR: Odds ratio; CI: Confidence interval; CEA: Carcinoembryonic antigen; GGN: Ground glass nodule; CTR: Consolidation/tumor ratio.

3 讨 论

近年来, JCOG0804和JCOG0802研究^[4-5]结果相继公布, 为早期肺癌的手术优化方案提供了很好的循证医学证据。但上述两项研究主要探讨直径≤2 cm, CTR≤0.25或CTR>0.50时亚肺叶切除与肺叶切除的预后差异, 未包含STAS的相关数据。STAS是肺癌患者, 尤其是肺腺癌的不

良预后因素; 它被认为是无疾病生存期、总生存期和肺癌特异性生存期的不良预测因素^[10, 18]。多项研究^[9-10]探讨STAS对接受亚肺叶切除术的肺癌患者的影响, 结果显示, STAS阳性的肺癌患者行亚肺叶切除后局部和远处转移均增加。因此, 术前预测肺癌患者的STAS状态能提供重要信息, 有助于制订个体化手术计划。

有研究^[19]提出通过术中快速冷冻切片病理学检查判断STAS, 但即使肺部病理学亚专业的

表3 多因素logistic回归分析

Tab. 3 Multivariable logistic regression analysis for STAS as the dependent variable

Variable	OR	95% CI	P value
Age/year			
<65	1.000	—	—
≥65	1.095	0.606-1.977	0.763
Gender			
Female	1.000	—	—
Male	0.631	0.221-1.8	0.390
Smoke			
Never	1.000	—	—
Ever	2.460	0.870-6.949	0.089
CEA			
Normal	1.000	—	—
High	1.916	0.693-5.296	0.210
Nodule pattern			
Pure GGN	1.000	—	—
Mixed GGN	0.285	0.022-3.568	0.330
Solid	0.679	0.041-8.108	0.685
Tumor size D/cm			
D≤1	1.000	—	—
1<D≤2	1.004	0.311- 3.238	0.994
2<D≤3	0.923	0.274- 3.104	0.897
CTR			
CTR≤0.50	1.000	—	—
0.50<CTR≤0.75	16.955	3.579- 80.309	<0.001
0.75<CTR≤1.00	20.793	4.383-98.636	<0.001
Emphysema			
Absent	1.000	—	—
Present	0.851	0.384- 1.882	0.691
Lobulation			
Absent	1.000	—	—
Present	8.156	1.021-65.099	0.048
Spiculation			
Absent	1.000	—	—
Present	5.258	2.506-11.032	<0.001

OR: Odds ratio; CI: Confidence interval; CEA: Carcinoembryonic antigen; GGN: Ground glass nodule; CTR: Consolidation/tumor ratio.

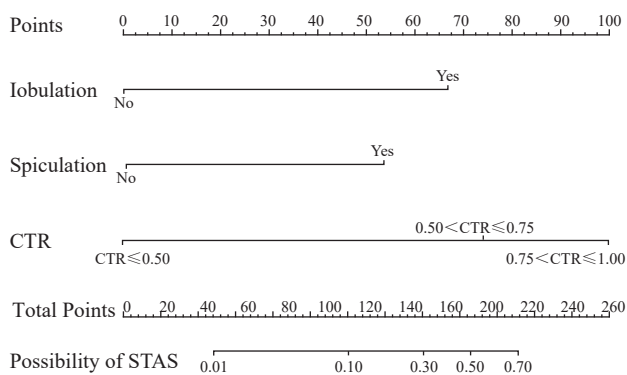


图1 预测 I A期肺腺癌STAS的Nomogram模型

Fig. 1 Nomogram for preoperative prediction of STAS in stage I A lung adenocarcinoma

CTR: Consolidation/tumor ratio.

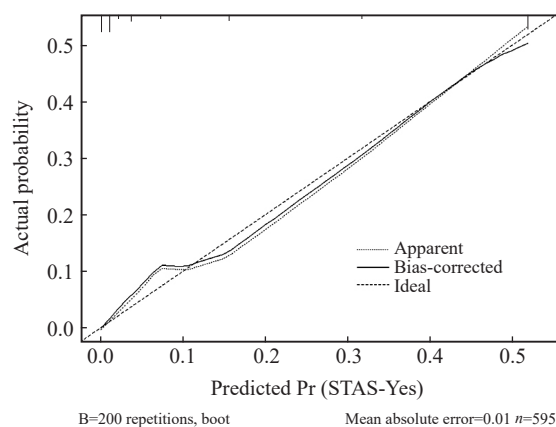


图2 评估nomogram模型的校准曲线

Fig. 2 The calibration plots for evaluating the nomogram model

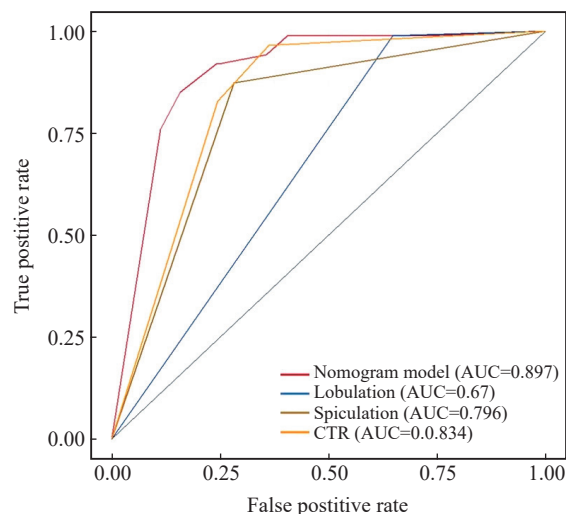


图3 预测 I A期肺腺癌STAS的ROC曲线

Fig. 3 ROC curve analyses for predicting STAS in stage I A lung adenocarcinoma

AUC: Area under the curve; CTR: Consolidation/tumor ratio.

医师出具病理学检查报告,灵敏度只有55%,特异度为80%;有8%的患者因过度诊断行不必要的肺叶切除术。也有研究^[20]提出用支气管细胞学检查预测STAS,但在支气管细胞学阳性组和阴性组中,STAS阳性率差异无统计学意义。近来,也有研究^[11, 13, 15, 21]通过术前CT特征或影像组学来构建预测STAS的模型;但这些预测模型也未能取得令人满意的结果,故在临床未得到推广应用。

Kim等^[11]利用CT影像学特征建立logistic预测模型,发现CTR是STAS的独立预测因素,其AUC值为0.77;当CTR的Cutoff设置为90%时,其灵敏度为89.2%,特异度为60.3%。但该研究是在选定人群中得出,STAS阳性与STAS阴性组的性别、年龄、吸烟进行配对。在临床应用时因为选择偏倚,影响该模型推广应用。Bassi等^[13]通过人工智能学习99例肺腺癌的放射组学特征构建模型预测STAS,但放射组学特征获取依赖放射科、流程费时,故未能在临床上推广。上述两项研究入组病例分期不局限于 I A期,Chen等^[15]首次构建基于CT影像学特征的nomogram模型预测 I A期肺腺癌STAS。该研究通过多因素回归分析得出分叶征和CTR是独立预测因素,并进一步构建nomogram模型。但训练集只有116例患者,模型的C-index为0.803,灵敏度为92.3%,特异度为66.7%;预测准确性仍有待提高。

上述预测模型均基于影像学特征或放射组学,本研究探讨联合临床特征和影像学特征构建nomogram模型。本研究入组595例 I A期肺腺癌,病例数多于既往研究。单因素回归分析提示,年龄、性别、吸烟、CEA水平升高与STAS相关,分叶征、毛刺征、CTR、肺气肿、肿瘤直径等影像学特征与STAS相关。但多因素回归分析显示只有分叶征、毛刺征、CTR为STAS的独立预测因素,临床特征和其他影像学特征非独立预测因素。在Chen等^[15]研究中,单因素回归分析显示毛刺征与STAS相关,但多因素回归分析毛刺征非独立预测因素;这可能与其病例数不足有关。基于上述3个独立预测因素,我们构建了nomogram模型,其预测 I A期肺腺癌STAS

的C-index为0.901, AUC值达到0.897(灵敏度为85.1%,特异度为84.3%),预测准确性优于既往模型。本研究构建的nomogram模型,每例患者可以根据危险因素进行评分,得到总分后从列线图找出对应的STAS阳性概率。Nomogram模型比放射组学模型便捷,且较logistic模型预测更个体化,有利于临床推广应用。

本研究存在一些不足之处。首先,本研究为单中心回顾性研究;入选患者均为接受手术的患者,可能存在选择偏倚。其次,本研究入组患者为 I A期肺腺癌,STAS阳性率偏低为14.6%;可能导致数据不平衡,从而影响模型准确性。未来需要通过前瞻性多中心研究以进一步验证。

综上所述,我们构建了一个基于术前CT影像特征预测STAS状态的nomogram模型,通过验证得出该模型具有较高的预测准确性。该模型解决了术前难以诊断STAS状态的难题;可方便胸外科医师确立合适的手术策略。

利益冲突声明:所有作者均声明不存在利益冲突。

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