

经鼻高流量氧疗和无创机械通气治疗轻中度急性呼吸窘迫综合征的临床应用进展

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【摘要】 急性呼吸窘迫综合征(ARDS)是重症监护病房(ICU)常见的临床综合征,发病率和病死率高。最近,ARDS 全球新定义对 ARDS 诊断进行重新定义,分为非插管 ARDS、插管 ARDS 和资源有限情况下的 ARDS。低氧是 ARDS 最主要的临床表现,呼吸支持是 ARDS 的一线治疗。目前指南对非插管 ARDS 的经鼻高流量氧疗(HFNC)和无创机械通气(NIV)的优劣仍无明确建议。为更好地诊治非插管 ARDS,本文就 HFNC 和 NIV 在非插管 ARDS 的临床应用进行论述。

【关键词】 急性呼吸窘迫综合征; 非插管; 经鼻高流量氧疗; 无创机械通气

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Study on treatment of mild to moderate acute respiratory distress syndrome by high flow nasal cannula and non-invasive mechanical ventilation

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【Abstract】 Acute respiratory distress syndrome (ARDS) is a common clinical syndrome in intensive care unit (ICU) with high morbidity and mortality. Recently, the new global definition of ARDS has redefined the diagnosis of ARDS, which is divided into non-intubated ARDS, intubated ARDS and ARDS with limited resources. Hypoxia is the main clinical manifestation of ARDS, and respiratory support therapy is the first-line treatment for ARDS. With respect to non-intubated ARDS, current guidelines do not provide a clear preference between high flow nasal cannula (HFNC) and non-invasive mechanical ventilation (NIV). In order to improve clinical management of non-intubated ARDS, we review the role of HFNC and NIV in non-intubated ARDS in this paper.

【Key words】 Acute respiratory distress syndrome; Non-intubated; High flow nasal cannula; Non-invasive mechanical ventilation

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急性呼吸窘迫综合征(acute respiratory distress syndrome, ARDS)是一组病因有较大异质性^[1],病理以弥漫性肺损伤和肺泡毛细血管膜通透性增加为主要表现的临床综合征。ARDS 占入住重症监护病房(intensive care unit, ICU)患者的 7%~10%,其中 15%~25% 需机械通气,重症患者病死率高达 45%^[2-3]。2012 年以来,由于“柏林定义”的局限性,临床 ARDS 患者易被漏诊。为促进 ARDS 诊断早期识别和分层治疗,2023 年 ARDS 全球新定义对 ARDS 诊断及标准进行了重新定义^[4],将 ARDS 分为非插管 ARDS、插管 ARDS 和资源有限情况下的 ARDS。众所周知,呼吸支持是 ARDS 的一线治疗方法,对于插管 ARDS,无可争议,有创机械通气一直是最有效的治疗措施^[5];然而,对于非插管 ARDS,即轻中度 ARDS 患者,目前指南指出无创呼吸支持要优于传统氧疗^[5-7],能有效降低插管风险,但经鼻高流量氧疗(high flow nasal cannula, HFNC)与无创机械通气(non-invasive

mechanical ventilation, NIV)对急性低氧性呼吸衰竭(acute hypoxemic respiratory failure, AHRF)/ARDS 治疗的优劣仍无相关建议。良好的无创呼吸氧合策略不仅能避免气管插管,而且还会改善临床结局。本文就 HFNC 和 NIV 在非插管 ARDS 中的临床应用进行综述,现报告如下。

1 无创呼吸支持技术(HFNC 和 NIV)的应用原理

1.1 HFNC 应用原理: HFNC 是一种氧气管,能输送高达 70 L/min 的高流量加热加湿气体,温度设置为 33~37℃,吸入氧浓度(fraction of inspired oxygen, FiO₂)为 0.21~1.00。HFNC 的生理作用包括:①高 FiO₂ 输送,因为系统中的高流量可超过患者产生的峰值吸气流量;②上气道正压水平低,有利于呼气末肺容量增加;③由于死腔冲洗而达到通气支持,可导致呼吸频率(respiratory frequency, RR)降低^[6]。

1.1.1 吸气流量峰值: AHRF/ARDS 患者常出现吸气努力,导致高峰值吸气流量达 30~40 L/min。虽然 HFNC 是开放

的,但仍可为患者提供高浓度且可控的 FiO_2 ,而且在大多数情况下,气体流量可以超过患者的峰值吸气流量且可高达 70 L/min,能满足患者的吸气需求。在一项健康志愿者的生理研究中,Sim 等^[7]测量多种设备(如标准面罩、非重复呼吸面罩和 HFNC)输送氧气时口咽部的 FiO_2 发现,使用标准面罩时,流量为 12 L/min,而 $\text{FiO}_2 \leq 0.60$;当模拟急性呼吸衰竭时, FiO_2 降至 0.50 以下;尽管非重复呼吸面罩避免了 FiO_2 下降,但最高也不超过 0.70;相比使用 HFNC 时,流速为 40 L/min, FiO_2 可达到 0.85。

1.1.2 呼气末正压(positive end-expiratory pressure, PEEP)效果: HFNC 能提供非常高的气体流速,可在上气道中产生一定的低水平正压,且与 HFNC 输送的流量成正比。有研究显示,闭口呼吸时,每 10 L/min 的气体流量可输送约 1 cmH_2O (1 $\text{cmH}_2\text{O} \approx 0.098 \text{ kPa}$) PEEP^[8]。然而,很多因素都会影响 HFNC 输送给患者的 PEEP 水平,如患者的体型、输送的流速及张口与闭口呼吸。但可以明确的是, HFNC 能增加患者的功能残气量(functional residual capacity, FRC)或呼气结束时的肺容量。Riera 等^[9]通过使用电阻抗断层扫描证明,无论体位如何, HFNC 都能增加整体的呼气末肺阻抗变化,这意味着 FRC 能有所改善,从而避免出现肺泡和气道塌陷,以改善患者氧合。

1.1.3 减少吸气努力: 由于 HFNC 可以维持氧合,减少呼吸做功。许多学者认为,在急性呼吸衰竭患者中,首先通过非重复呼吸面罩接受标准氧气治疗,然后再进行 HFNC 治疗,因为通气均匀性增加有利于减轻呼吸做功、改善肺容量和提高肺顺应性^[10]。此外,持续的高流量气体速率有冲洗上气道的作用,导致死腔冲洗并排出二氧化碳^[11],这些机制可以改善吸气用力 and 减少每分钟通气需求,防止患者出现自残肺损伤(patient self-inflicted lung injury, P-SILI)。

1.2 NIV 的应用原理

1.2.1 通气模式: NIV 最常用的通气模式为持续气道正压通气(continuous positive airway pressure, CPAP)和双水平气道正压通气(bilevel positive airway pressure ventilation, BiPAP)。CPAP 在自主呼吸患者的整个呼吸周期中应用恒定的气道正压,不管是吸气相还是呼气相,气道内始终维持一定的正压水平(高于大气压),该压力在呼气末施加,并且等效于 PEEP。而 BiPAP 能在呼气期间给予压力(相当于 PEEP)和吸气期间压力补充,相当于压力支持通气(pressure support ventilation, PSV)^[12]。

1.2.2 面罩 NIV: 面罩(口鼻或全脸)是 NIV 最常用的接口。面罩 CPAP 通常在 5~8 cmH_2O 的压力下进行。无创通气通常用 PSV 模式,压力支持为 8~14 cmH_2O , PEEP 为 5~8 cmH_2O 。CPAP 和 PSV-NIV 都通过降低左心室后负荷和右心室前负荷来增加气道压力,改善动脉氧合,增加呼气末肺容量^[13]和改善心脏功能。PSV-NIV 还可减少吸气努力和呼吸功。

1.2.3 头盔 NIV: 漏气、不适和皮肤破损影响了面罩 NIV 的耐受性,使高 PEEP 的长期治疗难以维持,甚至可能导致 10% 的患者需要插管^[14]。对于低氧血症患者,头盔接口能

很好地替代面罩接口。头盔是一个透明的头罩,覆盖整个头部,用柔软的颈圈密封,有耐受性更好和空气泄漏更少的优点,使得有可能维持长时间的高 PEEP 治疗^[15-16]。而且,头盔同样可以应用 PSV-NIV 和 CPAP。在头盔 PSV-NIV 中,通常将压力支持水平设置为 10~14 cmH_2O ,增压时间最短, PEEP 为 10~12 cmH_2O 。头盔可以减轻吸气努力,并可抑制跨肺驱动压力的波动,降低 P-SILI 的风险。头盔 NIV 与 HFNC 和面罩 NIV 相比,有较高水平的 PEEP 可改善气体交换,并可能降低 P-SILI 的风险^[17-18]。

2 AHRF/ARDS 选择 HFNC 还是 NIV ?

在 AHRF/ARDS 期间,由于患者自身通过高吸气努力自主呼吸会诱发和加重肺损伤^[19-20]。因为强烈吸气努力会产生较大的跨肺压波动,进而引起高潮气量(tidal volume, VT)、RR 增加。高 VT 会导致肺过度膨胀并加重潜在的肺损伤。既往研究表明,与低 VT ARDS 患者相比, VT 大的 ARDS 患者病死率有所升高^[21]。因此,采用面罩进行传统的 NIV 对 AHRF/ARDS 患者可能有害,因为高呼吸驱动导致的强烈吸气努力,加上压力支持同步会造成更高的跨肺压和 VT,更易出现气压伤。10 项随机对照试验(randomized controlled trial, RCT)招募了免疫功能正常和免疫功能低下的非新型冠状病毒(新冠病毒)感染和新冠病毒感染的 AHRF 患者,其中 6 项研究^[22-27]比较了 NIV 与传统氧疗方法(conventional oxygen therapy, COT), 4 项研究^[28-31]比较了 CPAP 与 COT。将这些试验合并进行分析,发现 NIV/CPAP 并不会导致插管风险及死亡结局改变^[5]。不仅如此,将低偏倚风险及高质量 RCT 研究^[22-24, 28-29]进行合并 Meta 分析,结果显示,与 COT 相比,未发现 CPAP/NIV 对插管[相对危险度(relative risk, RR)=0.89, 95% 可信区间(95% confidence interval, 95%CI)为 0.77~1.03]或住院病死率(RR=0.89, 95%CI 为 0.75~1.05)存在有益的结果^[5]。而且 NIV 还会引起许多不良反应,如胃胀、口罩不适,甚至幽闭恐惧症,极大地限制了 NIV 在 AHRF 中的可适用性^[15, 32]。但需要指出的,相较于面罩 NIV,头盔 NIV(CPAP 模式)在预防插管及降低病死率方面可能是一种更好的策略^[30-33],但国内很少应用,因此,在此描述的 NIV 仅为面罩 NIV。

HFNC 因其良好的耐受性^[34]和减少吸气努力^[9],自 2010 年开始被广泛应用于临床诊治 AHRF^[35]。2015 年法国进行了第 1 项比较 HFNC、COT、NIV 治疗 AHRF 患者的 RCT(FLORALI 试验),结果显示, HFNC 可明显降低 ICU 住院病死率(12% 比 18%、27%, $P=0.047$)^[22]。Jones 等^[36]在急诊科进行的另一项 RCT 显示,与 COT 比较,未发现 HFNC 能降低插管率(3.6% 比 7.2%, $P=0.16$),而且 24 h 插管率差异亦无统计学意义(5.5% 比 11.6%, $P=0.16$)。最近的 5 项 Meta 分析^[37-41]中,无论是新冠病毒感染还是免疫功能正常或缺陷的 AHRF 患者,相较于 COT, HFNC 能降低插管风险、缩短 28 d 不使用呼吸机时间^[39]、改善氧合^[41]及降低 28 d 病死率^[39]。欧洲危重病医学会(European Society of Intensive Care Medicine, ESICM)指南^[5]基于 7 项前瞻性 RCT 进行荟

萃分析,结果显示,虽然 HFNC 与 COT 相比并不能降低病死率,但降低插管风险优于 COT,插管风险与高并发症(谵妄、院内感染等)的发生率密切相关。因此,指南建议无论是免疫功能低下还是新冠病毒感染的 AHRF 患者,均使用 HFNC 而不是 COT。

目前没有强有力的证据表明在治疗 AHRF/ARDS 方面, HFNC 比 NIV 能更有效地降低 AHRF/ARDS 病死率。无论是前瞻性 RCT 还是回顾性队列研究,其诊断标准、目标终点(如病死率、插管、无创通气时间)均不统一,而且并不是所有研究均按照既定方案进行分析,也未进行意向性及符合方案分析,且无长期患者随访和认知功能结局评估。近期 Meta 分析显示,对于新冠病毒感染的 AHRF/ARDS 患者,行 HFNC 的病死率要比 NIV 更低^[42]。但在基于 RCT 的非新冠病毒感染合并免疫功能缺陷或免疫功能正常 AHRF 患者荟萃分析中仅得出 HFNC 的心率要比 NIV 更低,而插管率和病死率差异无统计学意义^[38,43]。据目前已知的 HFNC 功能及与 NIV 的临床对照研究显示,因 HFNC 能加湿加热,可防止分

泌物聚集,还有低水平 PEEP 效应,与 NIV 相比应用更简单、费用更低^[44]且更有舒适性^[16],尤其是呼吸驱动增加的免疫功能正常的非插管 ARDS 患者。近期回顾性研究得出相反的结论,但该研究接受 HFNC 患者超过 50% 存在心力衰竭或慢性阻塞性肺疾病病史^[45]。对于免疫功能缺陷的 AHRF 患者,由于常伴随肺间质改变,应用 NIV 可能无法实现保护性通气,而产生更高的 VT,导致压力性肺损伤^[46-47],因此,相较于呼吸驱动增强的免疫功能缺陷的 AHRF 患者, HFNC 可能比 NIV 更为适用。有研究提示, HFNC 与 NIV 交替应用似乎是个不错的方法,因为相较于单纯应用 HFNC 而言,虽然 HFNC 的 28 d 病死率与 NIV 交替应用差异无统计学意义(36% 比 35%, $P=0.83$),但交替应用的 90 d 和 180 d 病死率都比单纯应用 HFNC 要低,需要注意的是,交替应用时临床工作者需要密切注意患者临床体征、肺功能和 VT 变化,以防气压伤^[48]。对于新冠病毒感染诱发的 AHRF 患者,目前仅有 2 项 RCT 探讨 HFNC 与 NIV 的差异,有研究显示, HFNC 组的 30 d 插管或病死率较 NIV 组升高^[28],但该研究并未进

表 1 HFNC 与 NIV 诊治急性呼吸衰竭患者的临床研究比较

研究者	年份 (年)	研究 方法	患者数 (例)	患者特征	研究分组	研究结果
急性呼吸衰竭						
Frat 等 ^[22]	2015	多中心 RCT	310	PaO ₂ /FiO ₂ <300 mmHg 且无高碳酸血症	HFNC 组、 COT 组、 NIV 组	① 插管率差异无统计学意义,但在 PaO ₂ /FiO ₂ <200 mmHg, HFNC 组的插管率显著低于其他两组($P=0.009$); ② HFNC 组 28 d 无呼吸机时间显著高于其他两组; ③ HFNC 组 90 d 死亡风险低于其他两组
Doshi 等 ^[52]	2018	多中心 RCT	204	临床判断急性呼吸衰竭 需升级至无创通气	HFNC 组、 NIV 组	① HFNC 组 72 h 插管率为 7%, NIV 组 72 h 插管率为 13%; ② HFNC 组 PaCO ₂ 和氧合情况等与 NIV 组相似
Munroe 等 ^[45]	2024	单中心回顾性 研究	1 265	急性呼吸衰竭需 无创呼吸支持	HFNC 组、 NIV 组	与 HFNC 组比较, NIV 组 28 d 病死率较低 且治疗时间更短
急性呼吸衰竭合并 免疫缺陷						
Coudroy 等 ^[46]	2016	回顾性队列 研究	115	PaO ₂ /FiO ₂ ≤300 mmHg 且 RR≥25 次/min	HFNC 组、 NIV 组	① HFNC 组的插管率更低; ② HFNC 组 28 d 病死率更低
Frat 等 ^[47]	2016	多中心 RCT 事后分析	82	PaO ₂ /FiO ₂ <300 mmHg 且无高碳酸血症	HFNC 组、COT 组、 NIV 组	① HFNC 组 28 d 插管率低于其他两组($P=0.04$); ② NIV 作为一线治疗及年龄是需要插管的独立危险因素
Coudroy 等 ^[48]	2022	多中心 RCT	299	PaO ₂ /FiO ₂ <300 mmHg 和 RR>25 次/min	HFNC 组、NIV 组 (HFNC 与 NIV 交替应用)	除 HFNC 组更能缓解不适, NIV 组治疗后氧合改善更佳外, 两组间 28 d 和 90 d 病死率差异无统计学意义
新冠病毒感染合并 急性呼吸衰竭						
Perkins 等 ^[28]	2022	多中心 RCT	1 273	SpO ₂ ≤0.94	HFNC 组、 COT 组、 NIV 组	HFNC 组 30 d 插管或病死率显著高于 CPAP 组(44.3% 比 34.6%, $P=0.02$),但 15.3% 接受 CPAP 的患者转换为 HFNC, 11.5% 接受 HFNC 的患者转换为 CPAP
Nair 等 ^[53]	2021	单中心 RCT	109	① 经历发热、咳嗽、RR>30 次/min 或 SpO ₂ ≤0.90 ② 给予氧疗仍 RR>24 次/min 或 SpO ₂ ≤0.94	HFNC 组、 NIV 组	① HFNC 组 48 h 插管率显著低于 NIV 组(20% 比 33%, $P=0.12$); ② HFNC 组 7 d 插管率显著低于 NIV 组(27.27% 比 46.29%, $P=0.045$); ③ HFNC 组病死率显著低于 NIV 组(29.1% 比 46.2%, $P=0.06$)。
COVID-ICU group ^[49]	2021	前瞻性多中心 队列研究	4 754	确诊新冠病毒感染	HFNC 组、COT 组、 NIV 组	HFNC 组 ICU 病死率、住院病死率、住院时间、28 d 病死率、90 d 病死率显著低于 NIV 组,且 NIV 与病死率升高相关
Mujaković 等 ^[50]	2022	两中心回顾性 队列研究	21	PaO ₂ ≤0.60, PaCO ₂ ≥50 mmHg 或 SaO ₂ ≤0.92	HFNC 组、 NIV 组	① NIV 组切换呼吸支持模式较 HFNC 组更常见; ② 与 HFNC 组比较, NIV 组住院时间更长,插管风险更高,但两组间比较差异无统计学意义
Alkoush 等 ^[51]	2022	单中心回顾性 队列研究	265	影响气道并诱发肺部病变	HFNC 组、 NIV 组	① HFNC 组病死率低于 NIV; ② HFNC 组插管率低于 NIV

注: PaCO₂ 为动脉血二氧化碳分压, SpO₂ 为脉搏血氧饱和度, SaO₂ 为动脉血氧饱和度, PaO₂ 为动脉血氧分压; 1 mmHg≈0.133 kPa

一步对 HFNC 与 NIV 行意向性分析或符合方案分析,因为 15.3% 接受 CPAP 的患者转换为 HFNC, 11.5% 接受 HFNC 的患者转换为 CPAP; 此外,前瞻性队列研究^[49]及 2 项回顾性队列研究^[50-51]也均显示出 HFNC 治疗新冠病毒感染 AHRF 患者的优势。所有新冠病毒感染的临床研究大多纳入氧合指数 (oxygenation index, $\text{PaO}_2/\text{FiO}_2$) < 200 mmHg (1 mmHg ≈ 0.133 kPa) 的患者,因此,对于新冠病毒感染合并轻中度非插管 ARDS 患者, HFNC 可能比 NIV 更为适合。

综上,无论是新冠病毒感染还是免疫功能正常或缺陷的 AHRF/ARDS 患者,对于非插管 (轻中度) 的低氧血症 ARDS 患者, HFNC 要比 NIV 更为适用。HFNC 与 NIV 诊治急性呼吸衰竭患者的临床研究比较见表 1。

3 HFNC 与 NIV 在 ARDS 治疗中的检测指标评估

HFNC 与 NIV 在治疗 ARDS 患者时,必须动态监测血气分析等以识别失败的早期征象,以免延迟插管。动态 $\text{PaO}_2/\text{FiO}_2$ 、RR、VT 等可用于评估 ARDS 患者接受 HFNC 与 NIV 治疗时的反应,并指导插管的决定。

动态的 $\text{PaO}_2/\text{FiO}_2$ 可用于评估无创呼吸支持转有创通气的时机。HFNC 和 NIV 开始后, $\text{PaO}_2/\text{FiO}_2$ 持续 < 200 mmHg 预示着需要及时插管^[54-55]。需要注意的是,严重缺氧可能并不是插管的绝对指征,但持续性低氧绝对是插管的一个敏感指征,因此,临床工作者需密切监测无创通气后患者氧合,动态评估患者病情。RR 并不是唯一能反映吸气努力的指标,但由于其操作简便,目前仍是临床最常用的呼吸驱动替代指标。RR 增快在一定程度上可反映病情严重程度,也是 P-SILI 的主要决定因素。在面罩 NIV 期间, VT 高于 9.0 ~ 9.5 mL/kg 表明患者仍存在吸气努力,是 NIV 失败的预测指标^[54-55]。单个参数预测后续插管需求的可能性较低,而综合评估能更为准确地预测无创呼吸支持治疗后的结局。

对于非插管 ARDS 患者,即轻中度 ARDS ($100 \text{ mmHg} < \text{PaO}_2/\text{FiO}_2 < 300 \text{ mmHg}$) 患者, HFNC 可能比 NIV 更安全有效,而且应用简便、费用更低,但在应用期间,需密切观察患者症状、体征及血氧情况,以防延迟插管。随着指南对 ARDS 定义的更新, HFNC 与 NIV 之间在非插管 ARDS 中的应用时机、方式和人群仍需进一步研究,此外,相应的研究需要使用同样的终点 (如病死率、插管、无创通气总持续时间) 来观察 HFNC 与 NIV 治疗 ARDS 患者的临床疗效。需要注意的是,无创通气确实能给非插管 ARDS 患者带来生机,但 ARDS 的病因、病理生理改变、诊断分型及动态监护、动态评估才是治疗 ARDS 的关键手段。

利益冲突 所有作者声明不存在利益冲突

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