

进展期胃癌新辅助化疗疗效评价:16个随机试验的荟萃分析

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摘要: [目的] 评价新辅助化疗(neoadjuvant chemotherapy, NAC)在进展期胃癌中的安全性和有效性。 [方法] 在 Pubmed, Cochrane library 和 Embase 等数据库中检索 1990 年 1 月至 2015 年 9 月发表的有关 NAC 的随机对照试验(randomized controlled trials, RCTs), 由两位独立的研究人员进行文献筛选和数据提取。采用 RevMan 5.3 软件进行荟萃分析。 [结果] 共纳入 16 项 RCTs, 共 2077 例患者(NAC 组 308 例, 对照组 316 例)。结果显示 NAC 较对照组能提高进展期胃癌的总体生存率(HR=0.74, 95%CI:0.63~0.88, P=0.0006), 5 年生存率(OR=1.61, 95%CI:1.24~2.09, P=0.0004)和 3 年无病生存期(HR=0.66, 95%CI:0.56~0.77, P<0.00001), 能降低肿瘤术前分期 (OR=1.71, 95%CI:1.26~2.33, P=0.0006), NAC 组的 R0 手术切除率显著性高于对照组 (OR=1.55, 95%CI:1.22~1.97, P=0.0003); 而两组的术后并发症 (OR=1.12, 95%CI:0.87~1.44, P=0.40)、围术期死亡率 (OR=1.14, 95%CI:0.64~2.05, P=0.65)、3/4 级化疗副反应发生率 (P>0.05) 差异无统计学意义。 [结论] NAC 能提高进展期胃癌患者的生存率, 提高手术切除率, 降低肿瘤分期。其安全可行, 患者可耐受。

关键词: 胃癌; 新辅助化疗; 随机对照试验; 生存期; 荟萃分析

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The Efficiency of Neoadjuvant Chemotherapy for Advanced Gastric Cancer: A Meta-Analysis of 16 Randomized Clinical Trials

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Abstract: [Purpose] To evaluate the safety and efficacy of neoadjuvant chemotherapy (NAC) for advanced gastric cancer (AGC). [Methods] Electronic databases (PubMed, Embase, Cochrane Library) and ASCO proceedings from 1990 to 2015 was searched, all randomized controlled trials (RCTs) which compared the effect of NAC combined surgery versus surgery alone in gastric cancer would be included. All calculations and statistical tests were performed using RevMan 5.3 software. [Results] Sixteen RCTs with a total of 2077 patients were included. NAC can improve the overall survival(OS)(HR=0.74, 95%CI:0.63~0.88, P=0.0006), the 5-year survival rate(OR=1.61, 95%CI:1.24~2.09, P=0.0004) and the 3-year progression-free survival (PFS)(HR=0.66, 95%CI:0.56~0.77, P<0.00001), tumor down-staging rate (OR=1.71, 95%CI:1.26~2.33, P=0.0006) and R0 resection rate (OR=1.55, 95%CI:1.22~1.97, P=0.0003) of patients with AGC. There were no difference in terms of postoperative complications(OR=1.12, 95%CI:0.87~1.44, P=0.40), perioperative mortality (OR=1.14, 95%CI:0.64~2.05, P=0.65) and grade 3/4 adverse effects (P>0.05) between the two groups. [Conclusions] NAC can significantly improve the survival of patients with AGC. It is safe and feasible, and can be tolerated.

Key words: gastric cancer; neoadjuvant chemotherapy; randomized controlled trails; survival; meta-analysis

胃癌(gastric cancer, GC)是我国最常见的恶性

肿瘤之一, 是全球第四大常见肿瘤和肿瘤死亡的第二大原因^[1]。2012 年估计 951 600 新发病例和 723 100 例死亡病例。胃癌在东亚、东欧、南美高发, 在北

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美和非洲的大部分地区低发^[2]。目前,胃癌唯一治愈和延长生存期的方法是外科手术切除,但是其复发率居高不下,大约80%在最初诊断时就处于进展期^[9],因此延长胃癌的生存率是一个非常重要的目标。

最近,胃癌的治疗取得了一些进展,如新药物以及药物联合治疗,比如新辅助化疗(neoadjuvant chemotherapy,NAC)、放化疗、分子靶向治疗等。新辅助化疗或称为术前化疗(preoperative chemotherapy,POC),是指在施行手术或放疗之前应用的全身性化疗,这种在肿瘤综合治疗中先应用化疗的方法也称早期化疗。NAC最早由美国Frei^[3]提出时是作为综合治疗的一部分,主要应用于颈部癌、骨肿瘤、乳腺癌等实体肿瘤的治疗。Willke等^[4]在1989年首先报道了新辅助化疗在胃癌治疗中的应用^[4]。近年来,新辅助化疗作为胃癌综合治疗的一种方法已得到越来越多的关注。已有十几项随机对照试验和荟萃分析评价了胃癌NAC的疗效^[5-11],但报道结果不一,并存在不一致的结论。我们分析有关胃癌NAC的RCTs,评价NAC在胃癌中的疗效和安全性。

1 资料与方法

1.1 纳入标准

(1)进展期胃癌的患者,其种族、国籍、年龄、性别不限,术后有随访;(2)纳入研究为随机对照试验(randomized controlled trials,RCTs),试验组为NAC组加手术组,对照组为手术组,术前行任何新辅助治疗。(3)所有研究应具有生存率、切除率、术后并发症、化疗副作用至少一项。

1.2 排除标准

(1)非随机对照试验或伪随机对照试验,综述类文献;(2)任何时间接受了放疗、免疫治疗、生物治疗者。(3)研究目的不是比较NAC和手术的临床效应,以及动物试验和细胞实验;(4)重复发表;(5)无文献发表;(6)未提供足够数据;(7)统计学分析违反处理意向原则(intention to treat,ITT)。

1.3 资料检索

全面检索1990年1月至2015年9月发表的比较NAC与手术治疗胃癌的RCT。检索数据库包括:PubMed和Embase及其相关文献链接,Cochrane临床对照试验注册资料库(CCTR)以及美国临床肿瘤学

会(American Society of Clinical Oncology,ASCO)摘要。文献数据库关键词为gastric cancer,neoadjuvant chemotherapy(NAC),preoperative chemotherapy,randomized controlled trials or RCT,检索语种为英语。检索到题录后,全文下载并打印,同时对文章的参考文献进行人工检索。部分缺失资料由昆明医科大学第一附属医院图书馆与相关大学图书馆联络检索,尽量减少资料流失,最大限度增加样本量。必要时向作者索要全文。

1.4 资料提取

入选资料由2名作者分别摘录,资料提取的内容由两名作者在资料提取之前讨论决定。为避免主观偏见,资料提取时隐去了作者的姓名、论文发表的刊物名称、年份及国家。如遇到分歧,则请教相关专家予以解决。若文献为重复发表,则取最近发表的高质量文献。提取短期临床效应数据作为观察指标。(1)患者一般资料:性别、年龄;(2)化疗方案;(3)总体生存率(overall survival,OS),5年生存率,无进展生存期(progression-free survival,PFS);(4)R0手术切除率;(5)术后并发症发生率、死亡率;(6)3/4级化疗副作用等。

1.5 RCT质量评价

质量评价参考改良Jadad量表^[12]。对RCT研究的4项指标进行分析评价:(1)随机序列的产生方法;(2)随机化隐藏;(3)是否采用盲法,盲法是否恰当;(4)是否有撤出与退出的描述,如有失访或退出时,是否采用意向治疗原则(intention to treat,ITT)。RCT分1~7分,1~2分为低质量研究,3~4分为较高质量研究,5分为高质量研究。文献满足的标准越多,改良Jadad量表总评分越高,则该研究存在偏倚的可能性越小。

1.6 统计分析

采用Cochrane协作网提供的RevMan5.3软件进行统计学分析。二项分类资料OS、PFS采用计算风险比(hazard ratio,HR)为合并统计量,如果HR不能直接获得,可采用Parmar的方法计算获得^[13]。如5年生存率、肿瘤降期率,R0切除率,并发症采用计算优势比(odd ratio,OR)为合并统计量,连续变量资料计算加权均数差(WMD)或标准化均数差(SMD)为合并统计量。并且必要时对估计值做敏感性分析,以减少统计学的偏倚,确保Meta分析的质量。若各临床试验所提供的数据不能进行meta分析,则系统评价只进行描述性分析。合并效应量之前先将纳入的

试验进行异质性检验,同质性较好的研究($P>0.05$)采用固定效应模型(fixed-effects model)分析,存在显著异质则采用随机效应模型 (random-effects model)进行分析。两者均以点估计及 95%可信区间(confidence interval,CI)表示,检验水准 $\alpha=0.05$ 。潜在的发表性偏倚采用“倒漏斗”图(funnel plot analysis)分析。

2 结果

2.1 文献检索结果和纳入研究的基本特征

22 个研究初步符合纳入标准^[14-35],6 个研究因为资料不全予以排除^[30-35],最终纳入 16 个随机对照试验^[14-29],共 2077 例患者,其中 NAC 组 1023 例(49.25%),对照组 1054 例(50.75%),其筛选流程图见 Figure 1,各纳入研究的基本特征见 Table 1。其中来自亚洲的研究 10 篇,欧美 6 篇。

纳入研究的 RCT 和质量评估:纳入的 16 篇文章方法学质量见 Table 2。纳入研究的 RCT 平均质量评分为 4.25 分。

2.2 荟萃分析结果

2.2.1 总体生存率(OS)

共 3 个研究报道了 OS,NAC 组 435 例,对照组

436 例。NAC 组与对照组在 OS 方面的差异有统计学意义(HR=0.74,95%CI:0.63~0.88, $P=0.0006$)。纳入研究的同质性较好($I^2=0\%$; $P=0.79$),合并统计量采用固定效应模型。见 Figure 2。

2.2.2 5 年生存率

纳入 6 个研究,共 1072 例,NAC 组 554 例,对照组 518 例。新辅助化疗组能明显提高胃癌患者 5 年生存率(OR=1.59,95%CI:1.19~2.12, $P=0.002$)。纳入研究的同质性较好($I^2=9\%$, $P=0.36$),合并统计量采用固定效应模型。见 Figure 3。

2.2.3 无病生存期(PFS)

共 3 个研究报道了 PFS,NAC 组 435 例,对照组 436 例。NAC 组与对照组在 PFS 方面的差异有统计学意义(HR=0.66,95%CI:0.56~0.77, $P<0.00001$)。纳入研究的同质性较好($I^2=0\%$; $P=1.00$),合并统计量采用固定效应模型。见 Figure 4。

2.2.4 肿瘤降期率

5 个研究报道了肿瘤降期率, pT_{0-2} 在 NAC 组的比例比对照组明显增多(OR=1.71,95%CI:1.26~2.33, $P=0.0006$),提示 NAC 能明显降低肿瘤的分期。纳入的研究同质性较好($I^2=0\%$, $P=0.68$),合并统计量采用固定效应模型。见 Figure 5。

Table 1 Basic characteristics of 16 trials included in this study

| Study,publication year | Country | n | | Age(years) | | Sex(M/F) | | CT regimen | GEJ/cardia(%) | | Follow-up (m) |
|----------------------------------|---------|-----|---------|------------|-------------|----------|---------|----------------|---------------|---------|---------------|
| | | NAC | Control | NAC | Control | NAC | Control | | NAC | Control | |
| Zhao ^[14] 2013 | China | 40 | 45 | 59(29~77) | 57(33~73) | 31/9 | 34/11 | XEOX | 47.5 | 44.44 | 235(36-28.6) |
| Basi ^[15] 2013 | Iran | 28 | 26 | 62.63±7.5 | 61.22±6.26 | 23/6 | 22/4 | DCF | 39.3 | 42.2 | 10.32(1~11) |
| Sun ^[16] 2011 | China | 29 | 26 | 5.6(33~72) | 52.6(33~72) | 37/18 | 37/18 | DCFL | NR | NR | NR |
| Ychou ^[17] 2011 | France | 113 | 111 | 63(36~75) | 63(38~75) | 96/17 | 91/20 | FP | 75.22 | 75.68 | 68 |
| Imano ^[18] 2010 | Japan | 47 | 16 | - | 59.5±7.7 | 32/15 | 9/7 | FC | NR | NR | NR |
| Qu ^[19] 2010 | China | 39 | 39 | 56(27~69) | 56(27~69) | 26/13 | 22/17 | PTX+FOLFOX4 | 15.4 | 23.1 | 27.1 |
| Biffi ^[20] 2010 | Italy | 34 | 35 | 57(25~75) | 59(39~76) | 23/11 | 25/10 | TCF | 21 | 20 | NR |
| Schuhmacher ^[21] 2010 | Germany | 72 | 72 | 56(38~70) | 58(26~69) | 50/22 | 50/22 | CFF | 51.4 | 54.2 | 53 |
| Cunningham ^[22] 2006 | UK | 250 | 253 | 62(29~85) | 62(23~81) | 205/45 | 191/62 | ECF | 26 | 26.1 | 49 |
| Hartgrink ^[23] 2004 | Holland | 27 | 29 | 60(34~75) | 60(34~75) | 32/24 | 32/24 | FAMTX | NR | NR | 83 |
| Nio ^[24] 2004 | Japan | 102 | 193 | 63.5±11.9 | 65.3±11.5 | 70/32 | 141/52 | UFT(oral) | NR | NR | 83 |
| Wang ^[25] 2000 | China | 30 | 30 | 45~65 | 45~65 | 23/7 | 23/7 | FPLC(oral) | 100 | - | 60 |
| Kobayashi ^[26] 2000 | Japan | 91 | 30 | 57.8 | 60.2 | 65/26 | 55/25 | 5'-DFUR(oral) | NR | NR | 60 |
| Lygidakis ^[27] 1999 | Greece | 39 | 19 | 61±4 | 62±3 | 18/21 | 9/10 | IP(no details) | 18.97 | 19 | 26.3 |
| Kang ^[28] 1996 | Korea | 53 | 54 | NR | NR | NR | NR | PEF | NR | NR | >36 |
| Yonemura ^[29] 1993 | Japan | 29 | 26 | 64.1±8.34 | 56.4±9.6 | 21/8 | 20/6 | PMUE | NR | NR | 24 |

Note : 5-Fu ; 5-fluorouracil ; DDP ; Cisplatin ; FP ; 5-FU/cisplatin ; PTX ; paclitaxel ; FOLFOX4 ; 5-fluorouracil/leucovorin/oxaliplatin ; CFF ; cisplatin/d-L-folinic acid/fluorouracil ; ECF ; Epirubicin/cyclophosphamide/5-FU ; FAMTX ; 5-FU/adriamycin/methotrexate ; UFT ; Tegafur/uracil ; CT ; Chemotherapy ; IV ; Intravenous ; IP ; Intraperitoneal ; PEF ; Cisplatin/epirubicin/5-FU ; EAP ; Epirubicin/adriamycin/cisplatin ; PMUE ; Cisplatin/mitomycin C/etoposide/UFT ; FPLC ; fluorouracili polyphase liposome composita pro orale ; 5'-DFUR ; 5'-deoxy-5-fluorouridine ; GEJ ; gastroesophageal junction ; EG ; esophagogastrectomy ; TG ; total gastrectomy ; PG ; partial gastrectomy ; NR ; no record.

Table 2 Quality assessment of trials included in this study

| Sdudy | Randomization | Allocation concealment | Blind | Withdrawal and dropout | Jadad score | ITT |
|----------------------------------|---------------|------------------------|------------|------------------------|-------------|-----|
| Zhao ^[14] 2013 | Adequate | Unclear | Unclear | Well reported | 5 | NR |
| Basi ^[15] 2013 | Adequate | Unclear | Adequate | Well reported | 6 | NR |
| Sun ^[16] 2011 | Adequate | Unclear | Unclear | NR | 4 | NR |
| Ychou ^[17] 2011 | Adequate | Well reported | Unclear | Well reported | 6 | YES |
| Imano ^[18] 2010 | Adequate | Unclear | Unclear | NR | 4 | NR |
| Qu ^[19] 2010 | Adequate | Unclear | Unclear | NR | 4 | NR |
| Biffi ^[20] 2010 | Unclear | Unclear | Unclear | Well reported | 4 | YES |
| Schuhmacher ^[21] 2010 | Unclear | Unclear | Unclear | Well reported | 4 | YES |
| Cunningham ^[22] 2006 | Adequate | Adequate | Adequate | Well reported | 7 | YES |
| Hartgrink ^[23] 2004 | Adequate | Adequate | Inadequate | Well reported | 5 | NR |
| Nio ^[24] 2004 | Inadequate | Inadequate | Inadequate | Well reported | 1 | NR |
| Wang ^[25] 2000 | Unclear | Unclear | Inadequate | Well reported | 3 | NR |
| Kobayashi ^[26] 2000 | Adequate | Adequate | Inadequate | Well reported | 5 | NR |
| Lygidakis ^[27] 1999 | Inadequate | Unclear | Inadequate | Well reported | 2 | NR |
| Kang ^[28] 1996 | Unclear | Unclear | Inadequate | Well reported | 3 | NR |
| Yonemura ^[29] 1993 | Adequate | Inadequate | Adequate | Well reported | 5 | NR |

Note: NR :no record;ITT :intention to treat.

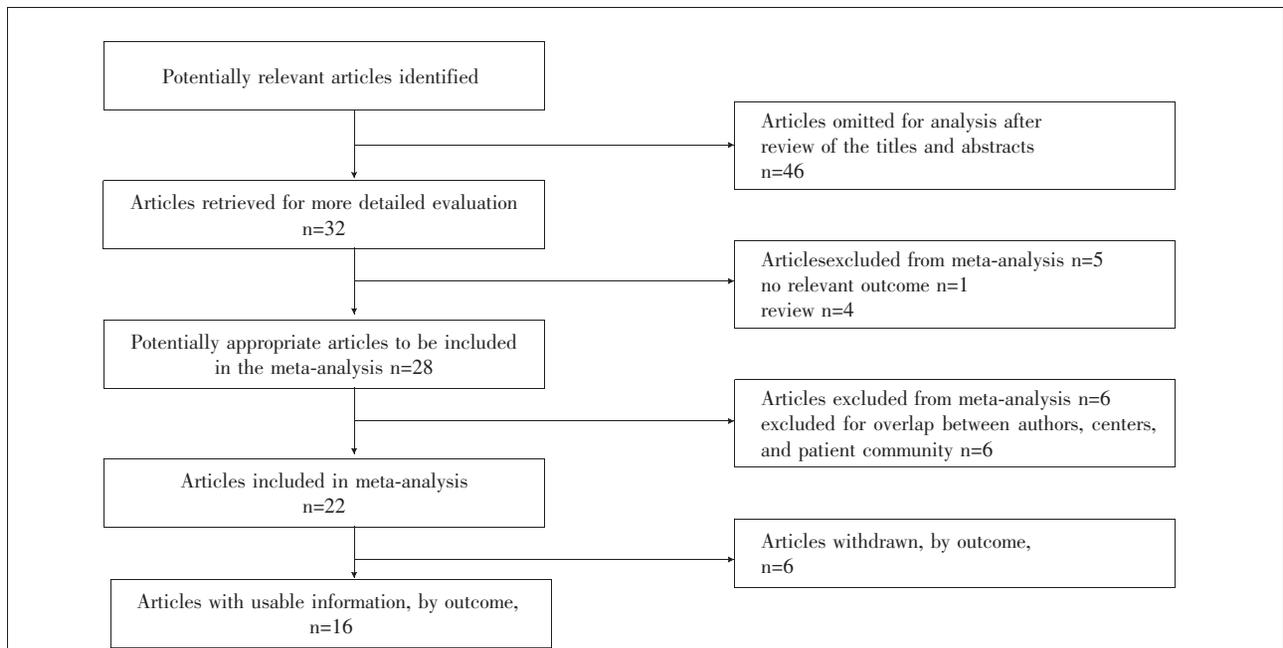


Figure 1 Flow chart of studies identified, included and excluded

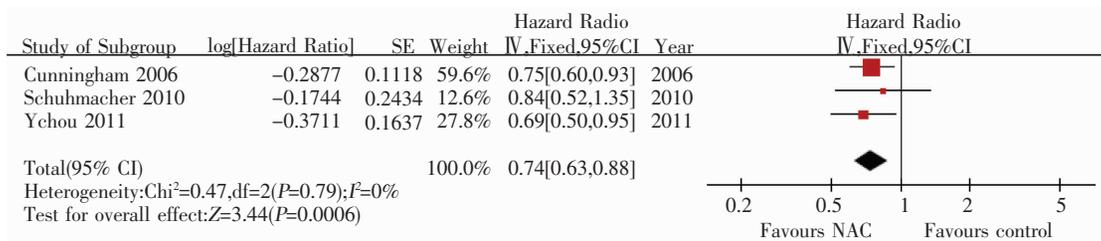


Figure 2 Forest plot displaying the results of the meta-analysis of OS between NAC group and control group

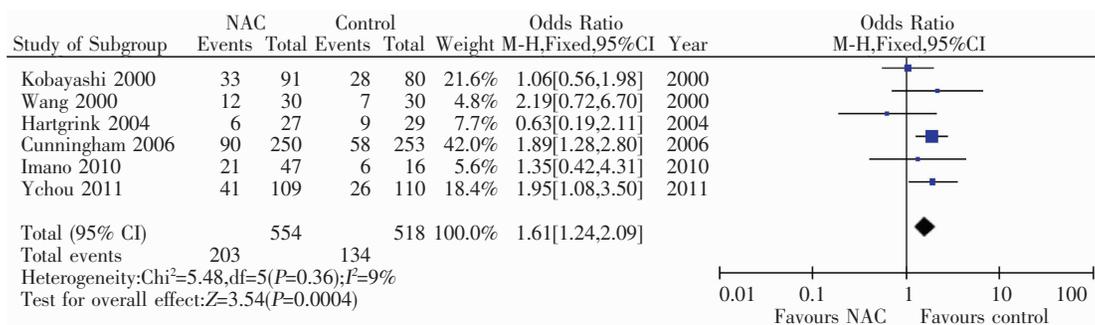


Figure 3 Forest plot displaying the results of the meta-analysis of 5-year survival rate between NAC group and control group

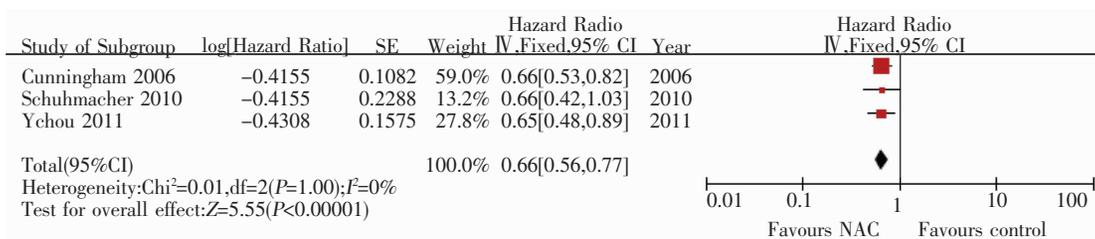


Figure 4 Forest plot displaying the results of the meta-analysis of PFS between NAC group and control group

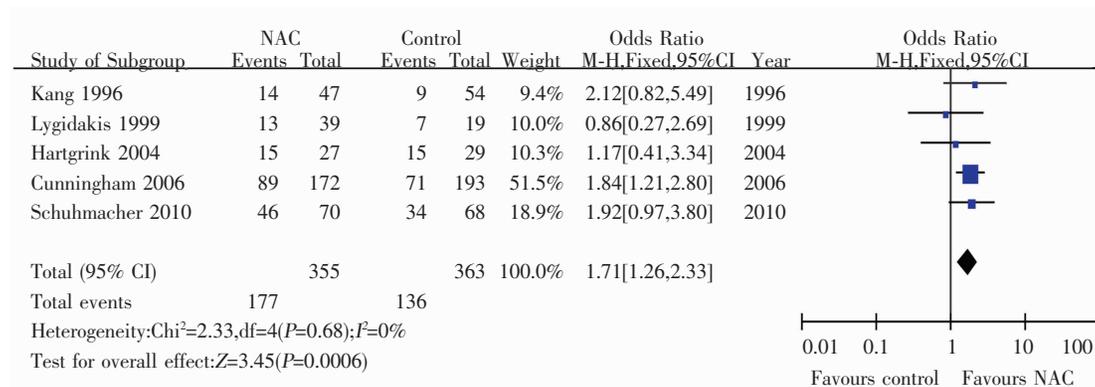


Figure 5 Forest plot displaying the results of the meta-analysis of tumor down-staging rate between NAC group and control group

2.2.5 R0 手术切除率

11 个研究报道了手术切除率,共 990 例,NAC 组 482 例,对照组 508 例。NAC 组与对照组在 R0 手术切除率方面的差异有统计学意义 (OR=1.55,95%CI:1.22~1.97,P=0.0003)。纳入的研究同质性较好(I²=37%,P=0.11),合并统计量采用固定效应模型。见 Figure 6。

2.2.6 术后并发症发生率

9 个研究报道比较了两组并发症,共 1042 例,NAC 组 511 例,对照组 531 例。NAC 组与对照组在

术后并发症发生率方面的差异无统计学意义 (OR=1.12,95%CI:0.86~1.44,P=0.40)。纳入的研究无异质性 (I²=0%,P=0.68),故采用固定效应模型合并统计量。见 Figure 7。

6 个研究报道了围手术期死亡率,NAC 组与对照组无明显差异 (OR=1.14,95%CI:0.64~2.05,P=0.65)。纳入的研究同质性较好(I²=0%,P=0.77),故采用固定效应模型合并统计量。见 Figure 7。

2.2.7 3/4 级化疗副反应

仅有 2 个研究报道比较了 2 组间的 3/4 级化疗

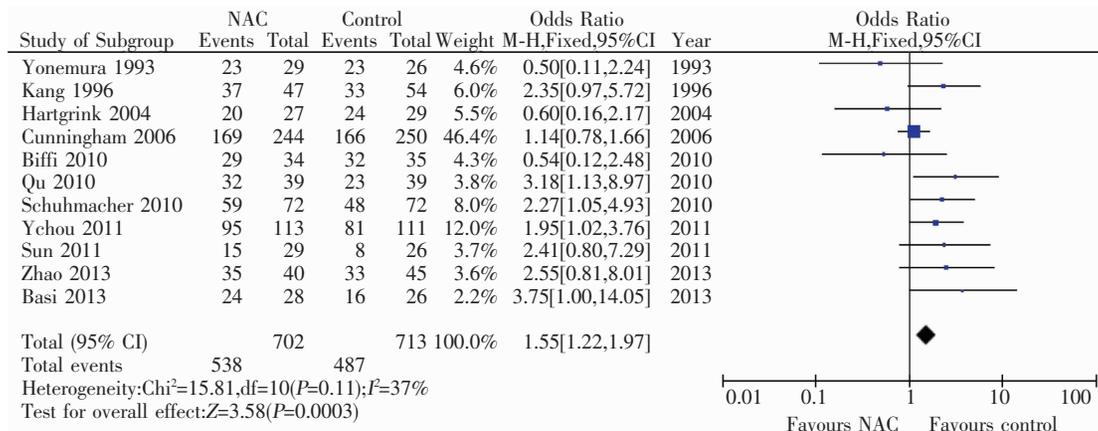
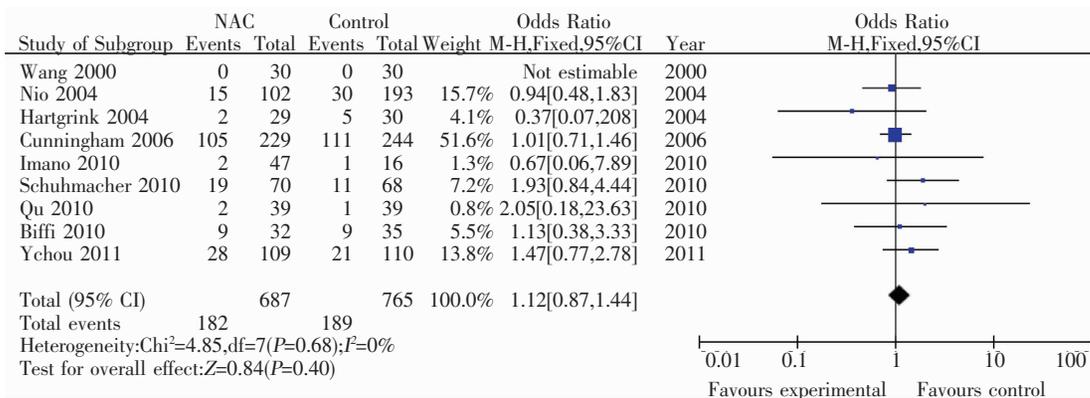


Figure 6 Forest plot displaying the results of the meta-analysis of resection rate between NAC group and control group

A Postoperative morbidity



B Perioperative mortality

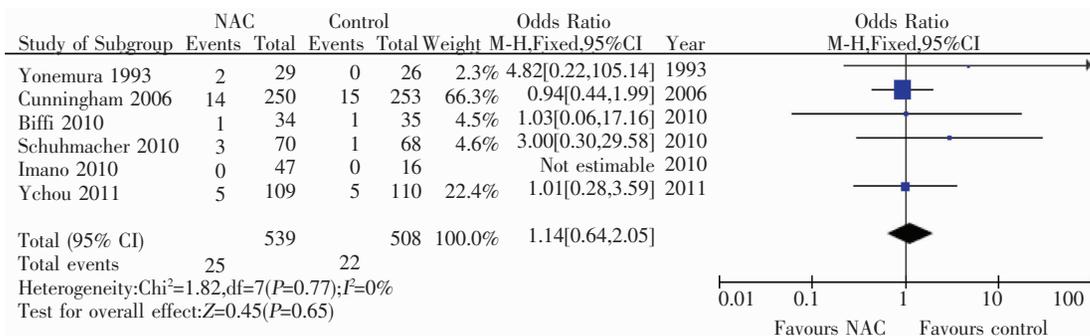


Figure 7 Forest plot displaying the results of the meta-analysis of postoperative morbidity(A) and perioperative mortality(B) between NAC group and control group

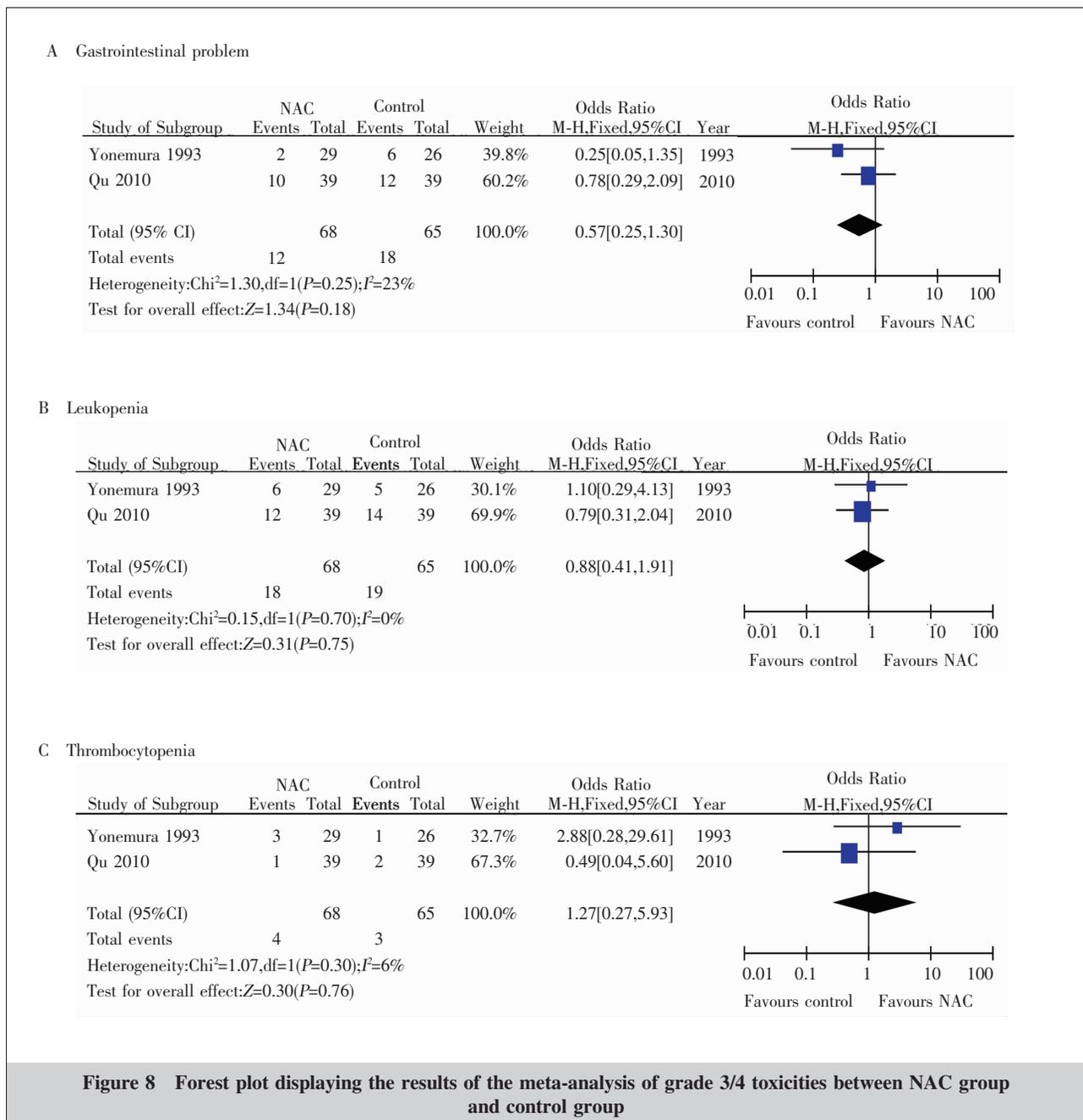
副反应,其胃肠道反应(OR=0.57,95%CI:0.25~1.30, P=0.18)、白细胞减少(OR=0.88,95%CI:0.41~1.91, P=0.75)、血小板减少 (OR=1.27,95%CI:0.27~5.93, P=0.76)两组间均无显著性差异。见 Figure 8。

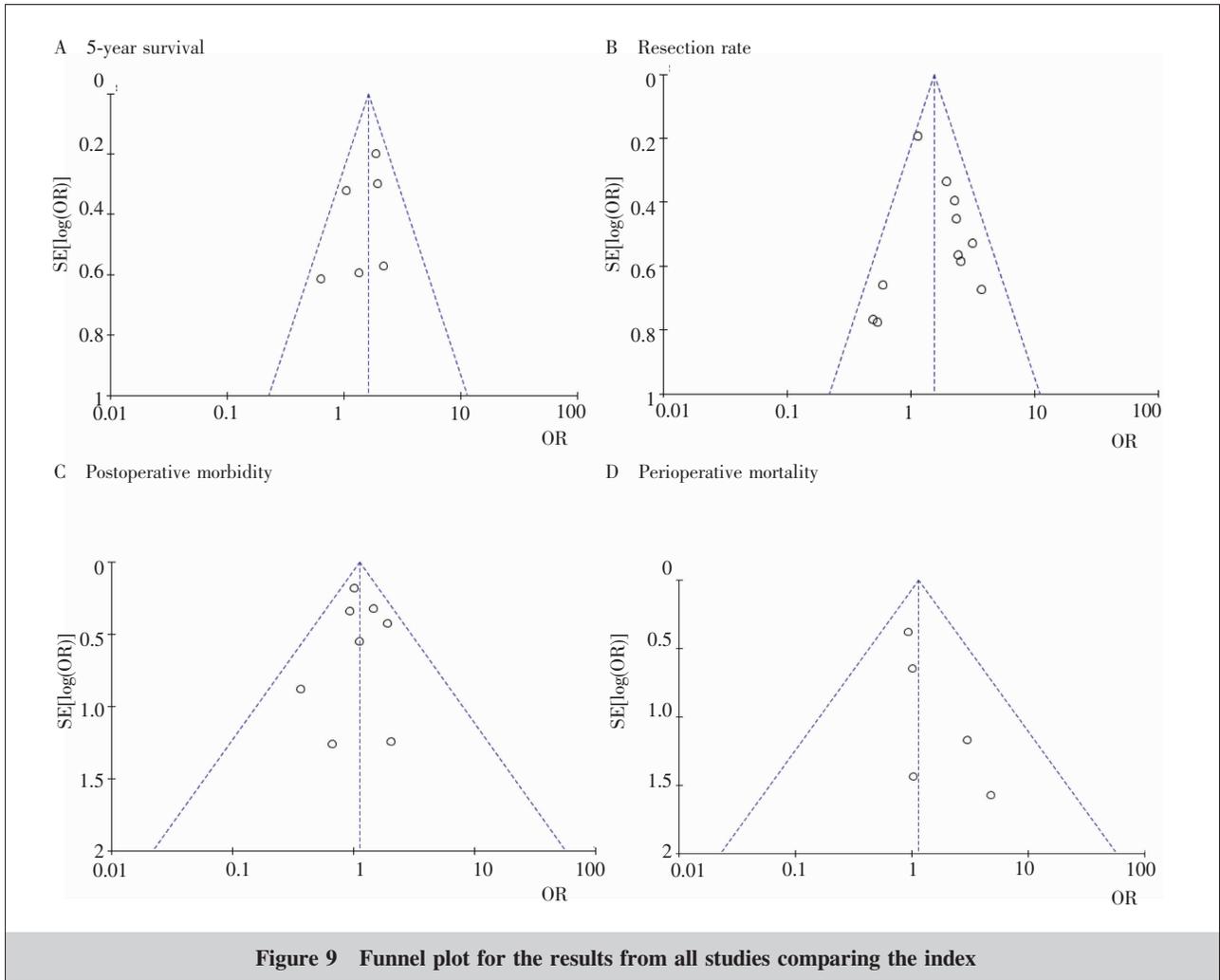
2.3 出版偏倚

NAC 组与对照组的 5 年生存率、R0 切除率、术后并发症和围手术期死亡率的倒漏斗图分析提示没有一个研究落在 95% CIs 界限外,没有显示出偏倚,各研究间无异质性(见 Figure 9)。

3 讨论

1982 年 Frei^[3]首先提出了 NAC 的概念。1989 年, Wilke 等^[4]首先报道了 NAC 在胃癌中的应用。此后报道逐渐增多,但是在胃癌中的作用其结果互相冲突,随着新研究的纳入,故有必要重新评价 NAC 在胃癌中的临床疗效。本研究共纳入 16 个进展期胃癌新辅助化疗的临床 RCT,共有 2077 例患者入选。本研究结果表明 NAC 能显著提高进展期胃癌 5 年





生存率、无病生存期和总体生存率,这可能与 NAC 能降低肿瘤术前分期,提高手术切除率,治疗微小转移病灶等机制密切相关。本研究结果还显示,NAC 组的 R0 手术切除率明显高于对照组,且两组的术后并发症、围术期死亡率差异均无统计学意义($P>0.05$),这表明 NAC 不会增加进展期胃癌手术风险。本研究与以往研究相比,样本量更多,分布范围更广,尤其包括了较多亚洲的病例(10 个研究),补增了新近的临床 RCT^[14-16],提供了更多进展期胃癌 NAC 疗效的证据,有更强的说服力,研究结果更准确。

NAC 有如下优势^[11,36]:(1)术前化学药物可使肿瘤发生后首次受到打击和杀灭,使肿瘤体积缩小,同时可减轻组织的反应性水肿,减少肿瘤与周围组织的侵犯及黏连;(2)术前化疗可以杀灭侵入血道游离的癌细胞,防止发生血行转移;(3)癌细胞沿淋巴管

转移至淋巴结是最常见的转移方式,淋巴结转移灶愈小,手术中愈难发现。术前化疗能彻底杀灭微小的淋巴转移灶,减少复发的危险性;(4)术前化疗可使游离的癌细胞受到杀伤,使其生物活性受到抑制,不易种植繁衍,不仅可降低中晚期患者手术后种植转移的危险,也可减少医源性种植的可能性;(5)术前化疗可以达到降期的目的,提高手术切除率;(6)通过术前辅助化疗,了解肿瘤对化疗药物的反应,以确定患者术后是否需要继续化疗。但是 NAC 也可能存在以下问题:化疗药物可引起的骨髓抑制而造成血白细胞和血小板减少;化疗造成的患者全身情况的恶化或感染性并发症,对手术及术后的恢复带来较大困难;有些患者在进行一段时间的 NAC 后,病情没有缓解反而进展,则失去了对局部病灶的控制,可能会延误必要治疗如手术的时机,并可使肿瘤发生转移;化疗产生的效果导致肿瘤退缩可能使切除范

围变得难以确定；化疗所致的瘢痕和纤维组织也可能会增加手术难度等。

虽然此荟萃分析证实了NAC的生存优势,但是我们仍然无法确定其最佳化疗方案。新辅助化疗的治疗方案在亚洲和西方国家是不同的,在亚洲主要采用日本的口服5-Fu(氟尿嘧啶)、UFT(优福定)、5-DFUR(去氧氟尿苷),而西方国家采取静脉注射化疗药物,所以术前化疗的效果会受到不同的化疗方案,不同的剂量和用法,联合或单一的化疗,有无放射治疗等因素的影响。Cunningham等^[22]的研究表明,术前采用ECF(表柔比星、顺铂、5-氟尿嘧啶)可以提高总体生存率,在超过500例病人中,相比较单纯手术,术前采用ECF可以降低25%的死亡人数。ECF已成为欧洲胃癌患者新的化疗标准方案^[37]。因此为了建立一种针对胃癌的全世界范围内安全有效的标准治疗方案,有必要采取全球统一的标准,如胃癌可切除性的定义,淋巴结切除类型,入选病人的标准和反应评价等。

本荟萃分析可能存在以下局限性:纳入的一些研究患者数较少,可能会降低检验效能。纳入研究的生存率、对化疗可能产生的副作用报道不完全,可能影响到本系统评价测量指标评价的全面性。纳入的文献存在不同程度方法学质量问题,判断指标选择也不尽一致,一定程度上降低了本系统评价结果的可靠性和全面性。纳入的研究化疗方案,途径,剂量和手术方式不相同,可能会造成临床异质性。

总之,NAC能提高进展期胃癌患者的总体生存率、5年生存率,提高R0切除率,降低肿瘤分期,其安全可行,患者可耐受,但是需要更多的大样本多中心高质量的前瞻性随机对照试验进一步证实其临床效果。

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