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· 临床研究 ·

# 选择性颈淋巴清扫术对早期口腔鳞状细胞癌患者5年生存率的影响

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**【摘要】** 目的 探讨选择性颈淋巴清扫术对早期口腔鳞状细胞癌患者5年生存率的影响。方法 对100例早期口腔鳞状细胞癌(cT1-2N0M0)患者的资料进行回顾性分析, 其中61例原发灶扩大切除并行选择性颈淋巴清扫术(elective neck dissection, END), 39例原发灶扩大切除、颈部观察随访(neck observation and follow-up, NOF)。对患者的pT分期、病理分级等组织病理学特征, 颈部淋巴结转移率, 5年生存率进行分析。结果 END组和NOF组的5年生存率分别为86.9%、69.2%, 差异有统计学意义( $P=0.028$ ); END对早期口腔鳞状细胞癌颈部淋巴结转移的控制显著优于NOF, 差异有统计学意义( $P=0.009$ ); 对组织病理学特征分层分析后, 病理T2(pT2)分期患者, END组的5年生存率显著高于NOF( $P=0.020$ ), 其中, 中低分化组患者END的5年生存率显著高于NOF( $P=0.013$ )。结论 END能显著控制早期口腔鳞状细胞癌颈部淋巴结转移率, 对于肿瘤为pT2分期或者病理分级为中低分化者, 积极行END能显著提高患者5年生存率。

**【关键词】** 口腔癌; 鳞状细胞癌; 早期; 低分化; 选择性颈淋巴清扫术; 颈部淋巴结转移; 隐匿性转移; 浸润深度; 生存率

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**Clinical effects of elective neck dissection on 5-year survival rate of patients with early oral squamous cell carcinoma** GE Shaowen<sup>1</sup>, LIAO Shengkai<sup>1</sup>, ZHAN Zhaojun<sup>1</sup>, LI Xiaoliang<sup>1</sup>, GENG Linya<sup>1</sup>, ZHOU Qi<sup>2</sup>. 1. Department of Stomatology, the First Affiliated Hospital of Bengbu Medical College, Bengbu 233000, China; 2. Department of Stomatology, Huaiyuan County Hospital of Traditional Chinese Medicine, Bengbu 233000, China

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**【Abstract】 Objective** To investigate the effect of elective neck dissection on the 5-year survival rate of patients with early oral squamous cell carcinoma. **Methods** The data of 100 patients with early oral squamous cell carcinoma (cT1-2N0M0) were retrospectively analyzed. In 61 cases, the primary tumor was subjected to elective neck dissection (END). Neck observation and follow-up (NOF) were performed in 39 cases with enlarged resection of primary lesions. Clinicopathological data such as pT staging, pathology classification, the rate of cervical lymph node metastasis and the 5-year survival rate of the patients were statistically analyzed. **Results** The 5-year survival rates of the END and NOF groups were 86.9% and 69.2%, respectively, and the difference was statistically significant ( $P=0.028$ ). END treatment was significantly better than NOF in controlling cervical lymph node metastasis in early oral squamous cell carcinoma ( $P=0.009$ ). After stratified analysis of histopathological features, the 5-year survival rate of patients with pathological T2 (pT2) stage OSCC in the END group was significantly higher than that in the NOF group ( $P=0.020$ ). The 5-year survival rate of patients with moderate and poorly differentiated pathological grade OSCC in the END group was significantly higher than that in the NOF group ( $P=0.013$ ). **Conclusion** END is effective for the management of the cervical

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lymph node metastasis rate in early OSCC patients. For patients with pT2 stage or low differentiation pathological grade, active END can significantly improve the 5-year survival rate.

**【Key words】** oral cancer; squamous cell carcinoma; early stage; poorly differentiation; elective neck dissection; cervical lymph node metastasis; occult metastasis; depth of invasion; survival rate

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口腔鳞状细胞癌(oral squamous cell carcinoma, OSCC)约占口腔恶性肿瘤的90%<sup>[1]</sup>。早期OSCC(cT1-2N0M0)有20%以上的颈部淋巴结转移率<sup>[2]</sup>,一直以来,对早期OSCC患者是否在原发灶切除时行同期选择性颈淋巴清扫术(elective neck dissection, END)存在争论。END给约70%的无转移患者增加不必要的手术压力和术后并发症<sup>[3]</sup>,而颈部观察随访(neck observation and follow-up, NOF)可能导致晚期淋巴结转移风险增加。在无法术前精准预测隐匿性淋巴结转移的现状下,既要提高生存率,又要减少因手术对机体造成的损伤,需要做好颈淋巴清扫术的评估。本研究对早期OSCC进行回顾性分析,比较END和NOF对早期OSCC患者5年生存率的影响,进一步比较分析不同组织病理学特征下两种颈部处理方案5年生存率,为早期的OSCC选择性颈淋巴清扫术的合理决策提供临床依据。

## 1 资料和方法

### 1.1 临床资料

选取2014年1月至2016年5月在蚌埠医学院第一附属医院口腔科行手术治疗的早期OSCC患者(cT1-2N0M0)100例,其中男60例(60.0%),女40例(40.0%),年龄范围19~85岁,中位数年龄为62.5岁。肿瘤部位:舌44例,牙龈17例,颊黏膜17例,口底14例,腭部8例。T1期54例,T2期46例。病理高分化55例,中分化37例,低分化8例。

所有患者依据第八版AJCC/UICC重新进行pT分期,患者入选标准:①原发OSCC;②经触诊、影像学检查临床诊断为cN0;③肿瘤最大径不超过4 cm或浸润深度(depth of invasion, DOI) < 10 mm;④扩大切除术后切缘冰冻结果为阴性;⑤术前未行放疗等辅助治疗;⑥病例资料完整。排除标准:①既往有其他恶性肿瘤病史;②有远处转移;③基础

疾病较多无法耐受手术;④标本DOI无法测量。

### 1.2 治疗方法

根据手术方式对纳入的100例早期OSCC分为2组:END组(61例)和NOF组(39例)。所有患者行病灶扩大切除,END组同期行选择性颈淋巴清扫术,颈淋巴清扫术范围为同侧I、II、III区淋巴结。NOF组患者颈部观察随访。原发灶术区组织缺损较小者直接拉拢缝合或邻近瓣组织转移,较大者采用游离皮瓣移植。术后1、3、6、12个月复查,以后每年复查1~2次,术区及颈部淋巴结情况主要依靠触诊及影像学检查,发现有复发及转移情况时,及时行原发灶再次手术或根治性颈淋巴清扫术,并辅助放疗或化疗。

### 1.3 统计学分析

根据随访结果对患者的临床资料、5年生存率进行回顾性分析。采用卡方检验比较END组与NOF组临床特征的差异,检验数据的可比性。卡方检验比较NOF组颈部淋巴结转移率、END组颈部淋巴结复发(二次转移)率,对pT分期、病理分级、DOI等组织病理学特征进一步分层,采用Kaplan-Meier法生成生存曲线,采用log-rank检验分析两种颈部处理方案5年生存率的差异, $P < 0.05$ 有统计学意义。

## 2 结果

### 2.1 基本资料

两组患者性别、年龄、肿瘤部位、病理分级、T分期、DOI等特征的差异均无统计学意义( $P > 0.05$ ),本组研究对象存在良好的可比性(表1)。

### 2.2 两组生存情况比较

NOF组中,在随访期间有12例患者出现颈部淋巴结转移,转移率为30.8%(12/39),均为同侧颈淋巴结转移,且均位于I~III区,出现转移的时间为术后4~20个月,平均为12.7个月,该12例患者

表1 END组、NOF组OSCC患者临床及病理特征

Table 1 Clinical and pathological features of OSCC patients in END group and NOF group n(%)

Items		n(%)	END	NOF	$\chi^2$	P
Total number (n=100)			61(61.0)	39(39.0)		
Gender	Male	60(60.0)	36(36.0)	24(24.0)	0.063	0.802
	Female	40(40.0)	25(25.0)	15(15.0)		
Age	≤ 60 y	42(42.0)	24(24.0)	18(18.0)	0.453	0.501
	> 60 y	58(58.0)	37(37.0)	21(21.0)		
Tumor site	Tongue	44(44.0)	24(24.0)	20(20.0)	4.582	0.333
	Buccal	17(17.0)	12(12.0)	5(5.0)		
	Gingival	17(17.0)	12(12.0)	5(5.0)		
	Mouth floor	14(14.0)	10(10.0)	4(4.0)		
	Palatal	8(8.0)	3(3.0)	5(5.0)		
Pathology classification	Highly differentiated	55(55.0)	36(36.0)	19(19.0)	1.146	0.564
	Moderately differentiated	37(37.0)	21(21.0)	16(16.0)		
	Poorly differentiated	8(8.0)	4(4.0)	4(4.0)		
pT	T1	49(49.0)	28(28.0)	21(21.0)	0.601	0.438
	T2	51(51.0)	33(33.0)	18(18.0)		
DOI	≤ 5 mm	77(77.0)	48(48.0)	29(29.0)	0.252	0.616
	> 5 mm	23(23.0)	13(13.0)	10(10.0)		

pT staging is re-staging T based on the 8th AJCC edition. END: elective neck dissection; NOF: neck observation and follow-up; DOI: depth of invasion; OSCC: oral squamous cell carcinoma

颈部淋巴结后期均补充行治疗性颈淋巴清扫术,3例存活时间达到5年;12例随访期内出现死亡结局;颈部淋巴结转移死亡9例(9/11),1例颈部淋巴结转移+局部复发死亡,2例其他原因死亡。

END组,有6例出现颈部淋巴结二次转移,复发率为9.8%,其中4例患者首次颈淋巴清扫术淋巴结病理结果为阴性,二次根治性颈淋巴清扫术后,2例存活时间达到5年;随访期内出现死亡结局8例:颈部淋巴结转移死亡3例,1例远处肺转移,1例局部复发死亡,1例颈部淋巴结转移+局部复发死亡,2例其他原因死亡。

NOF组颈部淋巴结转移显著高于END组颈部淋巴结复发率( $\chi^2=7.063, P=0.009$ )(表2)。

### 2.3 选择性颈淋巴清扫术与颈部观察随访的两组OSCC患者的生存率比较

两组OSCC患者的生存率及生存曲线如表3和图1所示,END组5年总体生存率86.9%高于NOF组69.2%,差异有统计学意义( $P=0.028$ )。

按pT分期分层后,pT1期END组与NOF组的5年生存率差异无统计学意义( $P=0.098$ );pT2期END组的5年生存率75.8%高于NOF组44.4%,差异有统计学意义( $P=0.020$ )。

按病理分化程度分层后,高分化病理,END组与NOF组的5年生存率无统计学意义( $P=0.666$ );

表2 END组、NOF组OSCC患者随访生存情况

Table 2 Survival of OSCC patients in END group and NOF group during follow-up period n

Survival situation	END	NOF
No metastasis, recurrence or death	51	22
Cervical metastasis	6	12
Cervical metastasis + death	3	9
Local recurrence + death	1	0
Local recurrence + cervical metastasis + death	1	1
Distant metastasis + death	1	0
Death from other causes	2	2

END: elective neck dissection; NOF: neck observation and follow-up; DOI: depth of invasion; OSCC: oral squamous cell carcinoma

中低分化病理,END组5年生存率为80.0%,高于NOF组42.1%,差异有统计学意义( $P=0.013$ )。

按DOI分层后,DOI ≤ 5 mm,END组与NOF组5年生存率差异无统计学意义( $P=0.113$ );5 mm < DOI < 10 mm,END组5年生存率为46.2%,高于NOF组10%( $P=0.074$ )。

### 3 讨论

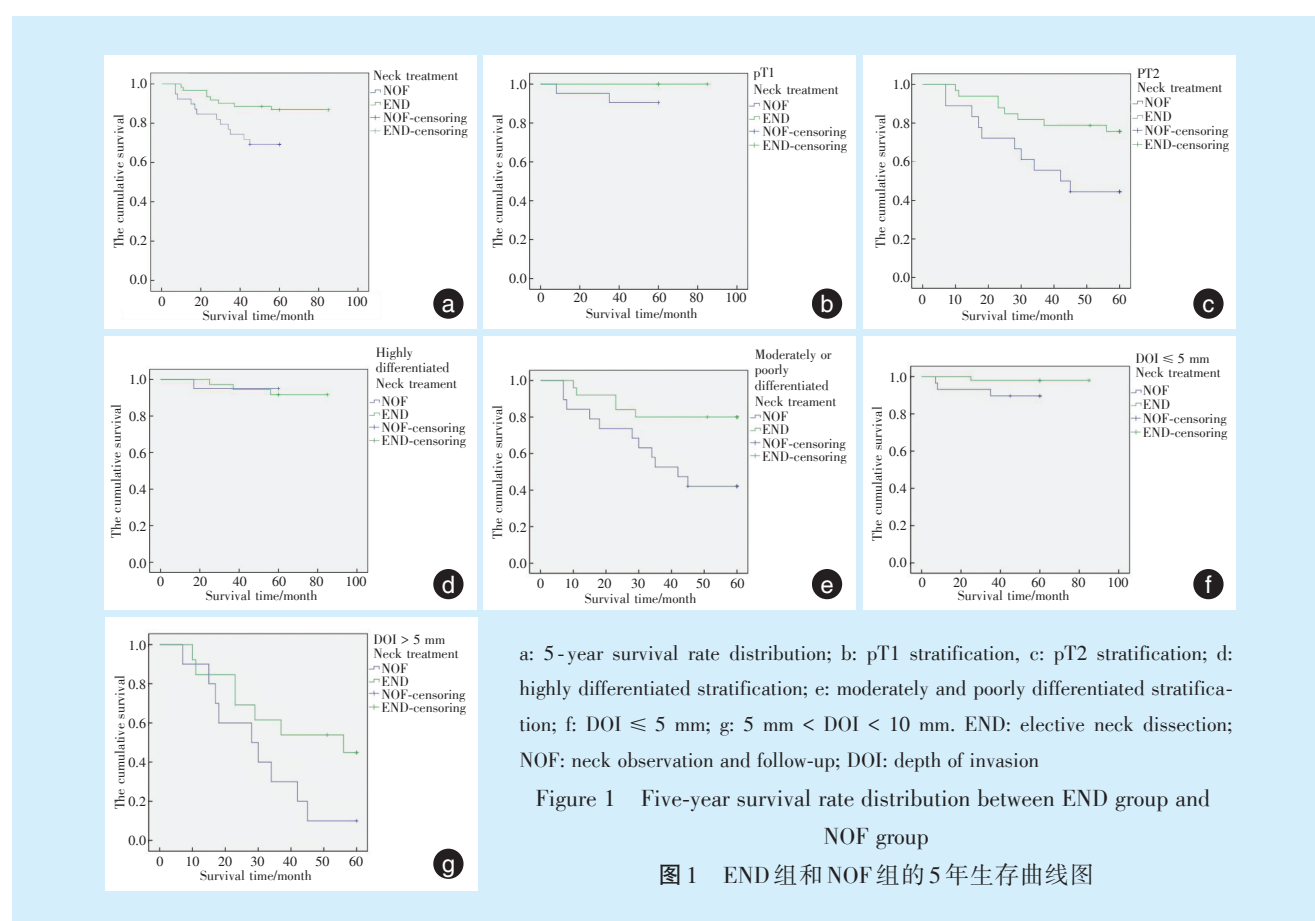
早期OSCC转移淋巴结的术前确诊主要依靠临床触诊、B超、CT及MRI,目前的检查手段较易漏诊。当前国内外头颈外科医生在是否同期选择

表3 END组、NOF组OSCC患者不同组织病理学特征下生存率比较

Table 3 Comparison of 5-year survival rates of OSCC patients with different histopathological features in END group and NOF group %

Characteristics	5-year survival rate		$\chi^2$	P	
	END	NOF			
The overall	86.9	69.2	4.814	0.028	
pT	pT1	100.0	90.5	2.733	0.098
	pT2	75.8	44.4	5.409	0.020
Pathology classification	Highly differentiated	91.7	95.0	0.187	0.666
	Moderately and poorly differentiated	80.0	42.1	6.219	0.013
DOI	$\leq 5$ mm	97.9	89.7	2.518	0.113
	5 mm < DOI < 10 mm	46.2	10.0	3.185	0.074

END: elective neck dissection; NOF: neck observation and follow-up; DOI: depth of invasion



颈淋巴清扫术问题上尚未达成共识<sup>[4]</sup>,美国学者曾回顾研究7 010例口腔癌患者,约65%的T1患者和50%的T2患者未行颈淋巴清扫术<sup>[5]</sup>。关于选择性颈淋巴清扫术和颈部观察随访对生存率的影响,文献报道结果亦有差异<sup>[6-7]</sup>,本研究对100例早期OSCC的临床治疗进行回顾分析,END组与NOF组的5年生存率分别为86.9%、69.2%,有显著性差异( $P=0.028$ )。为提高患者生存率,如何在早期识别出颈部转移和何时选择颈淋巴清扫术变得尤为重要,虽然影像学检查技术日新月异,但早期OSCC

中仍有20%~30%的颈部淋巴结隐匿性转移无法发现<sup>[8-9]</sup>,一旦确认发生转移,早期OSCC的存活率将下降50%<sup>[3]</sup>。对早期OSCC患者,如果为了提高总体生存率而激进地采取END,给OSCC患者带来不必要的手术损伤及术后并发症,显然有悖于微创治疗理念。近年来,前哨淋巴结活检逐渐兴起,作为微创操作,其提高了隐匿性淋巴结的检出率,能识别出跳跃转移和无法预测的淋巴引流模式,甚至在病灶接近中线的病例中具有识别对侧颈部淋巴结分期的优势<sup>[8]</sup>,长远来看前哨淋巴结活检必

将会成为早期口腔癌淋巴结分期的重要检查手段,但其技术敏感性较高,尚未得到广泛开展。

Ibrahim等<sup>[6]</sup>在一项系统评价研究中报道,对早期口腔鳞状细胞癌患者(T1-2N0M0)行选择性颈淋巴清扫术治疗在控制区域性复发和5年生存率方面均优于颈部观察患者。本研究中,NOF组转移率和END组的颈部复发率分别为30.8%、9.8%,差异显著。颈部淋巴结一旦出现阳性结局,即使及时做了治疗性颈淋巴清扫术,NOF组仍将面临挽救措施失效的生命威胁。近年来学者们跟踪随访发现,对于隐匿性淋巴结转移患者,淋巴结标本中阳性淋巴结所占的比率可以更敏感地预测预后,高阳性淋巴结率会导致更高的复发和死亡风险<sup>[9]</sup>。

T分期被认为是肿瘤预后和颈部淋巴结转移的重要影响因素,但病灶是一个三维立体结构,肿瘤直径并不能准确反映病灶累及的程度。第八版AJCC/UICC修改增加了DOI以更准确地评估肿瘤,本研究依据此版本重新对病例进行pT分期<sup>[10]</sup>。在随访期内,pT1组隐匿性淋巴结转移率为10.2%,而pT2组隐匿性淋巴结转移率为25.5%,差异显著。Massey等<sup>[11]</sup>在早期OSCC荟萃分析中得出T1肿瘤中隐匿转移发生率的加权平均值为11.5%,而T2肿瘤为24.5%。病灶的范围和浸润的深度反映了肿瘤的侵袭能力,侵袭能力越强,颈部淋巴结转移的概率也大大增加。在本研究中,pT1期END组与NOF组的5年生存率分别为100%、90.5%,差异无统计学意义,临床上最大径不超过2 cm的肿瘤,预后较好,采取严密观察能达到预防性颈清类似的生存预后。pT2期END组与NOF组的5年生存率分别为75.8%、44.4%,差异有统计学意义,pT2分期行颈淋巴清扫术,其预后显著好于观察组,对于此分期的病例应积极处理颈部淋巴结。第八版AJCC/UICC将DOI指标纳入TNM分期可以更好地指导颈淋巴清扫术的选择。

肿瘤细胞的病理分级反映了癌细胞的侵袭能力,低分化比高分化有更高的转移率。本研究100例患者,中低分化病理与高分化病理的颈部淋巴结转移率为31.8% vs. 7.1%,差异有统计学意义,Larsen等<sup>[12]</sup>报道口腔癌中分化和低分化患者的淋巴结转移率分别为50%、53%,而高分化患者的淋巴结转移率仅为9%,不同分化程度的OSCC淋巴结转移率存在显著差别。对于高分化病理,END组与NOF组的5年生存率为91.7% vs. 95.0%,差异无统计学意义( $P=0.666$ ),高分化的隐匿性颈部淋

巴结转移率不到20%,低于20%的转移率采用预防性颈淋巴清扫术是不合理的<sup>[2]</sup>,过度治疗带来的机体损害要大于所获得的治疗收益,高分化者可根据病灶的情况慎重决定预防性颈部处理方案。本组中END组的生存率略低于NOF组,查阅病例资料发现END组死亡的3例患者,DOI均在5 mm以上,且颈部淋巴结证实有转移。不同组织分化程度是否对术后生存率造成显著影响,学者们的研究结果各不相同。Sim等<sup>[13]</sup>研究认为组织分化程度与总生存率没有显著关联,而本组研究中中低分化病理,END组的5年生存率显著高于NOF组(80.0% vs. 42.1%, $P=0.013$ )。中低分化病理患者,颈部隐匿性淋巴结转移的概率显著增加,且5年生存率也明显下降,有学者建议中低分化应同期行预防性颈淋巴清扫术<sup>[14]</sup>。

DOI是影响OSCC淋巴结转移和预后的重要因素<sup>[15-17]</sup>,目前针对DOI预测隐匿性淋巴结转移的临界值结论尚未统一,4~7.25 mm被认为是预测淋巴结转移的阈值范围,可作为预防性颈淋巴清扫术的指征<sup>[18-19]</sup>,有研究更倾向于主张当DOI超过4 mm时进行颈淋巴清扫术<sup>[18]</sup>,其临界值仍需进一步研究,但无论DOI的临界值是多少,高DOI都与更大的淋巴结转移机会相关,研究表明DOI对预后有独立的影响作用<sup>[16, 20]</sup>。本研究以第八版AJCC/UICC为标准,将DOI以5 mm为界分层后,1组END与NOF的5年生存率为97.9% vs. 89.7%,2组的5年生存率分别为46.2% vs. 10.0%,差异不显著;1组和2组比较,二者的5年生存率差异有统计学意义,说明随着肿瘤DOI增加,患者的5年生存率是显著降低的。pT2分层下END组与NOF组的5年生存率是有显著差异的。第八版T分期综合考虑了DOI与肿瘤大小对肿瘤预后的共同影响,早期OSCC应综合考虑肿瘤大小与浸润深度两个指标,更加合理地应用选择性颈淋巴清扫术,单纯以DOI=5 mm或肿瘤大小=2 cm为界来决定颈清与否可能证据不足。

综上所述,早期OSCC,选择性颈淋巴清扫术能显著提高颈部淋巴结控制率,并提高5年生存率;对于肿瘤为pT2分期(肿瘤最大径 $\leq 2$  cm,  $5\text{ mm} < \text{DOI} \leq 10\text{ mm}$ 或 $2\text{ cm} < \text{肿瘤最大径} \leq 4\text{ cm}$ ,  $\text{DOI} \leq 10\text{ mm}$ )或者病理分级为中低分化者,积极行预防性颈淋巴清扫术能显著提高患者5年生存率。

本研究作为回顾性研究,病例选择上可能存

在着偏倚,病理资料缺乏神经周围浸润、淋巴血管浸润和包膜外扩散等详细信息,后期还应扩大随访量和随访时间,记录更详细的病理资料。

**【Author contributions】** Ge SW processed the research, analyzed the data, and wrote the article. Zhan ZJ, Li XL, Geng LY, Zhou Q assisted the research performing and data collection. Liao SK revised the article. Zhu ZS designed the study. All authors read and approved the final manuscript as submitted.

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