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## 肠道菌群对脑卒中后吞咽障碍并发肺部感染潜在影响的研究进展\*

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**[摘要]** 存在吞咽障碍的脑卒中患者发生肺部感染的概率将成倍增加,可能危及患者生命,是临床上亟待解决的重大难题。脑卒中和吞咽障碍均会导致肠道菌群紊乱,破坏肠道屏障功能,为肠道中机会致病菌向肠外迁移至肺部创造条件,可能引发或加重患者肺部感染症状。该文基于“微生物-肠-肺”轴理论,综述了脑卒中和吞咽障碍后饮食改变引发的肠道菌群紊乱,进而促使肠道菌群“肠-肺”迁移导致肺部感染的相关研究,以及误吸对脑卒中后吞咽障碍并发肺部感染的潜在影响。以期从肠道菌群肠外播散角度,探讨脑卒中后吞咽障碍患者反复发生肺部感染的潜在机制,为后续临床干预提供新思路。

**[关键词]** 脑卒中;吞咽障碍;肠道菌群;迁移;肺部感染;误吸

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## Research progress in potential influence of intestinal flora on post-stroke dysphagia complicating pulmonary infection\*

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**[Abstract]** The probability of pulmonary infection in stroke patients with dysphagia will be multiplied, which may endanger the life of the patients, and is a major problem to be solved urgently in clinic. Stroke and dysphagia can both lead to intestinal flora disorders, destroy the intestinal barrier function and create the conditions for the migration of opportunistic pathogenic bacteria from the intestinal tract to the lungs, which may trigger or exacerbate the symptoms of pulmonary infections in the patients. Based on the theory of “microbe-gut-lung” axis, this article reviews the related studies on the disorder of intestinal flora caused by dietary changes after stroke and dysphagia, and then leads to the migration of intestinal flora to the lungs, resulting in pulmonary infections, as well as the potential impact of aspiration on the pulmonary infections complicating dysphagia after stroke. The potential impact of aspiration on post-stroke swallowing disorders and concomitant lung infections. In order to explore the potential mechanism of recurrent pulmonary infections in the patients with post-stroke dysphagia from the perspective of parenteral dissemination of intestinal flora, and to provide new ideas for subsequent clinical interventions.

**[Key words]** stroke; dysphagia; intestinal flora; migration; lung infection; aspiration

吞咽障碍是脑卒中后最为严重的后遗症功能障碍之一,统计资料显示,脑卒中后吞咽障碍的发生率高达 29.0%~60.4%,需要长时间佩戴鼻饲管进行肠内营养支持<sup>[1-2]</sup>。吞咽障碍是引发脑卒中相关性肺炎的重要因素,脑卒中后吞咽困难患者肺部感染发生率是吞咽正常者的 3 倍<sup>[3]</sup>,将导致预后不良,甚至危及生命。上呼吸道致病菌定植被认为是造成肺部感染的主要原因<sup>[4]</sup>,随着“微生物-肠-肺”轴理论的揭示,人们开始认识到肺部感染的致病菌可能部分来源于肠道,

肠道菌群肠外播散所致的肺部感染成为研究的热点<sup>[5-6]</sup>。本文旨在对脑卒中后吞咽障碍患者肠道菌群变化特点及菌群“肠-肺”迁移造成肺部感染的相关研究进行综述。

### 1 脑卒中后吞咽障碍引发的肠道菌群紊乱

#### 1.1 脑卒中引发的肠道菌群紊乱

随着“微生物-肠-脑”轴理论研究的不断深入,大脑与肠道菌群间的广泛联系被逐步揭示<sup>[7-9]</sup>。脑卒中后大脑与肠道间的交流被抑制或中断,将引发肠道菌

群紊乱<sup>[10-11]</sup>。研究发现,缺血性脑卒中患者不同时期的肠道菌群多样性明显低于正常受试者,急性、亚急性及康复期患者肠道内厚壁菌门、拟杆菌门及变形菌门的相对丰度发生明显改变,厚壁菌门/拟杆菌门比值增大,提示肠道菌群发生紊乱<sup>[12-13]</sup>。脑卒中后肠道中的机会致病菌(如肠杆菌科、瘤胃球菌科、肠球菌科和弧菌科等)被明显富集<sup>[10-11,14]</sup>,常驻菌和有益菌(如拟杆菌属、双歧杆菌属、普雷沃氏菌属、乳酸杆菌属等)丰度急剧减少<sup>[13-15]</sup>。尤其是变形菌门中的肠杆菌科丰度明显增加,与血栓形成呈显著正相关,将增加诱发脑卒中的风险,从而形成恶性循环导致不良预后<sup>[15]</sup>。同时,脑卒中后机会致病菌富集还将通过菌群代谢和神经内分泌等途径,增加诱发脑卒中的相关危险因素,如糖尿病、高血压、血栓形成和肥胖等<sup>[16-18]</sup>。对不同严重程度脑卒中患者的肠道菌群分析发现,轻度脑卒中患者有益菌(如嗜胆汁菌属、罗氏菌属和拟杆菌属等)丰度明显增加,机会致病菌(如 Dorea 菌属、丹毒丝菌科和肠球菌属等)丰度明显减少,而中重度脑卒中患者则相反<sup>[10,13,19]</sup>。

上述研究表明,脑卒中诱发的肠道菌群紊乱与患者所处的时期、病情严重程度及有无合并危险因素等有关。脑卒中患者肠道菌群紊乱表现为肠道内优势菌群发生改变,常驻菌和有益菌减少,机会致病菌明显增加,随着时间延长菌群多样性将逐渐恢复,但菌群的相对丰度仍存在较大差异。

## 1.2 吞咽障碍引发的肠道菌群紊乱

### 1.2.1 吞咽障碍后进食方式改变

吞咽障碍患者进食方式发生改变,主要采用经鼻管饲给予肠内营养支持<sup>[20]</sup>,进食过程中食物需制作成食糜,无需经口咀嚼,直接通过管道进入食管或胃。有研究表明<sup>[21-22]</sup>,食物咀嚼过程对肠道屏障修复有着重要作用,咀嚼可刺激牙龈组织分泌白细胞介素-17(interleukin-17, IL-17)来修复肠道屏障功能,从而调节肠道菌群稳态,吞咽障碍患者无法进行口腔咀嚼可能导致肠道功能被破坏,并引发肠道菌群紊乱。与健康受试者和经口进食的脑卒中患者比较,脑卒中后吞咽障碍患者肠道中机会致病菌,如肠球菌属、毛螺菌科和瘤胃球菌属明显增加,采用肠内营养 1~2 周后,上述机会致病菌逐渐减少,直至消耗殆尽<sup>[23]</sup>。KATAGIRI 等<sup>[24]</sup>发现,脑卒中后吞咽障碍患者管饲营养后重新开始经口进食会改变口腔和肠道菌群,与管饲营养比较,经口进食增加了患者口腔和肠道菌群的多样性和丰度,口腔和肠道中的肉杆菌科和颗粒菌属均明显增加,有助于患者早期康复。

### 1.2.2 吞咽障碍后饮食结构改变

吞咽障碍患者可能因为误吸、咳嗽、吞咽困难及认知障碍等无法正常经口进食,营养摄入困难<sup>[25]</sup>,甚至引发体重进行性下降、肌少症等<sup>[26]</sup>。吞咽障碍后饮食结构改变体现在食物摄入减少导致营养不良,其可

能诱发肠道慢性炎症,从而损害肠道屏障结构和免疫功能,最终导致肠道微生态紊乱<sup>[27]</sup>,增加老年人继发性衰弱、骨质疏松、肌肉萎缩和死亡等严重不良结局的风险<sup>[28]</sup>。色氨酸是一种必需氨基酸,几乎全部来源于外源性食物供给,是体内的重要营养物质。肠道菌群代谢色氨酸产生的吲哚类衍生物是内皮细胞中芳香烃受体(aryl hydrocarbon receptor, AHR)的激动剂,吞咽障碍可能导致患者饮食中色氨酸代谢的吲哚类衍生物减少,抑制肠道内皮细胞中 AHR 活性,从而无法激活肠道内皮细胞的免疫功能来对抗炎症反应,导致肠上皮细胞通透性增加,并引发肠道菌群向肠外迁移,造成全身感染症状<sup>[29-30]</sup>。CUARTERO 等<sup>[31]</sup>发现,AHR 水平在缺血性脑卒中 5 h 后达到峰值,并在 7 d 后恢复到基线水平。通过饮食中的色氨酸代谢能够直接或间接转变宿主的肠道菌群,从而抑制脑卒中急慢性期的神经炎症反应<sup>[32-33]</sup>。膳食纤维也是人体所必需的营养元素,全部依赖于日常饮食供给,肠道菌群代谢膳食纤维产生的短链脂肪酸(short chain fatty acid, SCFA)能够通过肠道免疫调节途径修复肠道屏障功能,从而维持肠道微生态稳定<sup>[34]</sup>。吞咽障碍引发的营养不良可能导致膳食纤维摄入量减少,使肠道内产生 SCFA 的菌群减少,影响共生菌的多样性和丰度<sup>[35]</sup>,甚至逆转近端和远端菌群的多样性和丰度,并且还会引起肠上皮细胞黏液分泌减少,从而削弱肠黏膜的保护功能,诱发肠道菌群迁移,造成肠内和肠外感染<sup>[36-37]</sup>。

对于重症脑卒中吞咽障碍患者,临床上多采用高蛋白联合高热量进食,膳食纤维及其他营养元素摄入较少,饮食结构单一、营养元素搭配不均衡也将导致肠道菌群紊乱<sup>[36,38]</sup>。HOLMES 等<sup>[39]</sup>发现,早期高蛋白饮食可降低肠道有益菌群对内源性氮源的摄取能力,导致有益菌丰度减少。对于急性重症脑卒中肠内营养支持患者,与正常蛋白摄入(蛋白含量 20%)相比,中等强度限制蛋白摄入(蛋白含量 8%)更能够维持肠道共生菌稳态,降低神经炎症,达到神经保护的目的<sup>[40]</sup>。

上述研究表明,吞咽障碍患者由于饮食方式及饮食结构改变,将导致肠道菌群紊乱,菌群多样性和丰度发生改变,共生菌和有益菌明显减少,机会致病菌增多,并破坏肠道屏障功能。

## 2 肠道菌群紊乱破坏肠道屏障功能引发的菌群肠外迁移

肠道屏障功能是抵御肠内微生物群及其有害代谢产物穿过肠黏膜进入全身其他组织和器官的重要结构,肠上皮细胞及其紧密连接是最为重要的机械屏障,遭到破坏将导致肠道菌群向肠外迁移<sup>[41]</sup>。DÍAZ-MARUGAN 等<sup>[42]</sup>发现,脑卒中后肠道屏障功能被破坏,将促使肠道内机会致病菌向肺部和其他器官广泛定植,并诱发全身炎症反应。肠黏膜细菌是宿主抵御

肠道内机会致病菌的第一道防线,与宿主肠道上皮组织损伤后愈合明显相关<sup>[43]</sup>。与假手术小鼠对比,脑卒中小鼠肠黏膜细菌减少,导致肠道屏障功能被破坏,肠道内机会致病菌将透过肠黏膜屏障向肠外组织器官播散<sup>[44]</sup>。ZHANG 等<sup>[45]</sup>发现,脑出血后肠道菌群发生紊乱导致肠道上皮组织通透性增加,肠紧密连接、黏液和免疫球蛋白 A 标志物水平降低,进而引发肠道菌群迁移到肺组织造成肺部感染。KIM 等<sup>[46]</sup>发现,高血压患者肠道微生态发生明显变化,粪便中产生 SCFA 的菌群减少,导致肠道上皮紧密连接蛋白调节因子升高,肠道屏障功能被破坏,菌群代谢产生的内毒素脂多糖在血液中聚集,引发全身免疫炎症反应。通过饮食补充外源性的 SCFA 能够重塑患者肠道菌群,修复肠道屏障功能,从而抑制肺部感染<sup>[47]</sup>。WANG 等<sup>[48]</sup>通过肠道缺血/再灌注动物模型研究发现,肠道生产与消耗琥珀酸的相关菌群失调,将直接引起琥珀酸在肠内聚集,并破坏肠黏膜屏障功能,诱发其向肺部迁移,最终引起急性肺损伤。此外,脑卒中后相关并发症及合并症,包括营养不良、病毒感染、心肌损伤及呼吸道感染等,都是造成肠道微生态紊乱的直接诱因,并引发肠道免疫炎症反应,从而破坏肠黏膜屏障功能,导致肠道菌群及其代谢产物向肠外各组织器官播散<sup>[5,49-51]</sup>。综上所述,脑卒中可直接或间接引发肠道微生态紊乱,导致肠黏膜屏障功能被破坏,为肠道内机会致病菌及其有害代谢向肠外器官迁移创造条件,并最终引发全身性疾病。

### 3 肠道菌群“肠-肺”迁移导致的肺部感染

上呼吸道感染被认为是造成卒中相关性肺炎的主要原因,致病菌包括革兰氏阴性菌、厌氧菌、革兰氏阳性菌及混合感染,肺炎链球菌、肺炎克雷伯菌及金黄色葡萄球菌为首要致病菌<sup>[52]</sup>,临床上主要采用抗生素进行干预。然而,国外两项大规模临床研究发现,对于已发生或存在高危感染风险的脑卒中患者,预防性使用抗生素不仅不能减轻患者肺部感染症状<sup>[53-54]</sup>,还可能因抗生素过度消耗肠道菌群造成肠道微生态紊乱、抗生素耐药及机会致病菌过度定植<sup>[44]</sup>。脑卒中患者肠道中的机会致病菌与上呼吸道感染致病菌高度一致,这也提示二者可能属于同源致病菌。STANLEY 等<sup>[4]</sup>发现脑卒中患者痰、血液及尿液中 70% 的细菌来源于肠道共生菌,并首次通过动物菌群移植实验证明脑卒中后肺部感染的病原菌来源于肠道,同时脑卒中中将促进来源于宿主肠道中的菌株向肠外转移和播散。

通过对肺部感染致病菌溯源分析发现,肺炎克雷伯杆菌属于肠杆菌科,大量定植于肠道。在 1 765 例肺炎克雷伯杆菌直肠定植的住院患者中发现,23% 的定植患者与感染相关,其中 5.2% 的定植患者发生肠外感染,呼吸道感染中分离的肺炎克雷伯杆菌有 40% 完全与直肠分离的菌株相匹配,同源性检测发现定植

于上呼吸道的肺炎克雷伯杆菌大部分来源于肠道<sup>[55-56]</sup>,并且抗生素不能杀灭脑卒中患者在肺部定植且来源于肠道中的肠杆菌科相关致病菌<sup>[42]</sup>,这可能是临床抗炎治疗效果不佳的重要原因。RAINERI 等<sup>[57]</sup>通过对肠道和血液中金黄色葡萄球菌的毒力检测发现,具有相同序列类型的肠道和血流分离株在基因组和蛋白质组学水平上具有同源性,当肠黏膜屏障被破坏时,金黄色葡萄球菌可从肠道中播散进入血液循环,从而增强其致病毒力,并诱发全身性感染。WHEATLEY 等<sup>[6]</sup>发现,定植于患者呼吸道和肠道中的绿脓杆菌均来源于同一菌株的进化和重新定植,并且证实肺中部分绿脓杆菌来源于肠道同段菌群的“肠-肺”迁移所致,该过程可能会引起致病菌耐药,从而加重患者的肺部感染。

呼吸道常见致病菌,如肺炎克雷伯杆菌、金黄色葡萄球菌及绿脓杆菌等造成的肺部感染,可能是肠道中相应菌株发生“肠-肺”迁移所致。抑制患者肠道中机会致病菌的“肠-肺”迁移,可能是降低脑卒中相关性肺炎的有效途径之一。

### 4 误吸对脑卒中后吞咽障碍并发肺部感染的潜在影响

吸入性肺炎是脑卒中后吞咽障碍并发肺部感染中最常见的一类,主要由于口腔分泌物、食物残渣及胃食管反流物等误吸进入气道或肺部引起<sup>[58]</sup>。研究发现,住院患者误吸导致的肺部感染发生率为 5%~15%,并且致死率极高,严重影响患者预后<sup>[59]</sup>。尤其是合并吞咽障碍的脑卒中患者,常伴随咳嗽、呛咳、流涎及胃食管反流等显性或隐形误吸因素,进一步加重患者并发肺部感染的风险。脑卒中后吞咽障碍患者由于无法正常经口进食,多采用鼻饲进行肠内营养支持,然而置管太浅、患者卧位、食物泵入过快及胃残余量过多均是导致患者误吸的重要原因<sup>[60]</sup>。大多数脑卒中患者由于长期卧床,胃肠蠕动减慢,消化功能减退,胃内食物长时间存积,胃内压力增大,将直接诱发胃内食物反流误吸进入呼吸道或肺组织,并最终引发吸入性肺炎。

误吸是指在患者进食或不进食过程中,有不同数量的食物、药物、液体或口腔内的分泌物、细菌及胃食管反流物等进入声门下方气道或肺组织的现象<sup>[58]</sup>。由此可见,脑卒中后吞咽障碍患者误吸引发肺部感染的致病菌可能来源于口腔和胃肠道。研究发现,脑卒中后吞咽障碍患者肺部感染加重与口腔卫生较差存在直接关系,口腔卫生与口腔中多个链球菌属丰度异常增加相关<sup>[61]</sup>。同时合并吞咽障碍的脑卒中患者肺部感染发生率明显升高,口腔中奈瑟菌属、卟啉单胞菌属及普雷沃氏菌属丰度明显增加,而罗氏菌属的丰度显著减少,这些口腔菌群变化与患者肺炎相关指标呈正相关<sup>[62]</sup>。上述研究均提示,吞咽障碍可能导致脑卒中患者口腔致病菌异常定植,一旦发生误吸,可能

引发口腔致病菌进入呼吸道或肺部,从而加重患者肺部感染症状。与此同时,胃与小肠直接相连,胃部存在大量的肠道共生菌<sup>[63]</sup>,一旦发生胃食管反流,可能误吸入部分胃肠道共生菌,从而导致肺部感染。

健康成年人口腔与肠道菌群之间存在较强的生理隔离,这是保证口腔和肠道菌群稳态的重要基础<sup>[64]</sup>。然而,一旦机体处于疾病状况,这种生理隔离将被破坏,从而导致口腔与胃肠道菌群交流更加频繁,并破坏二者的菌群稳态<sup>[65]</sup>。脑卒中后吞咽障碍患者口腔卫生较差,会导致机会致病菌明显增加,口腔菌群的多样性和丰度减少,口腔中的机会致病菌将随着唾液到达胃肠道,从而引发胃肠道菌群紊乱及黏膜通透性增加,并诱使肠道菌群的有害代谢产物(如脂多糖和氧化三甲胺等)进入血液循环<sup>[66]</sup>,可能引发肺部感染及全身感染症状。此外,在高血压和动脉粥样硬化患者中发现,菌群在口腔与胃肠道间相互传递,将导致机体微生物群紊乱,并诱发全身炎症反应<sup>[65,67]</sup>。

上述研究表明,脑卒中后吞咽障碍患者可能将口腔和胃肠道内的机会致病菌误吸进入呼吸道或肺部,从而直接诱发肺部感染。与此同时,误吸还可能破坏了口腔与胃肠道菌群间的生理隔离,引发机会致病菌在口腔与肠道中相互传递,从而导致肺部感染和全身感染症状。

## 5 展 望

肺部感染是脑卒中后常见并发症之一,尤其是脑卒中后并发吞咽障碍的患者发生肺部感染的概率将成倍增加<sup>[3]</sup>。大量研究均证实,肺部致病菌多来源于上呼吸道感染,而抗生素干预也成为首选方案<sup>[4]</sup>。然而,人们却忽视了自身肠道定植菌在疾病状态下发生肠外迁移导致肺部感染的风险。在此条件下,如果使用抗生素可能加重肠道菌群紊乱,从而引发更为严重的肺部感染及耐药<sup>[68-69]</sup>,并形成恶性循环,导致脑卒中相关性肺炎迁延不愈。

虽然健康人群的肠道屏障功能保持完整,很少发生肠道菌群的“肠-肺”迁移现象,但脑卒中后吞咽障碍患者的肠道微生态和肠道屏障功能均被破坏,为肠道内机会致病菌及其有害代谢产物向肠外迁移创造了条件<sup>[44-45]</sup>。脑卒中后吞咽障碍可从两方面破坏肠道微生态和肠道屏障功能:(1)脑卒中将通过迷走神经、免疫和神经内分泌途径等,抑制患者的胃肠道功能,导致胃肠蠕动减慢、肠黏膜通透性及肠道菌群紊乱<sup>[70]</sup>;(2)吞咽障碍可能导致脑卒中患者饮食方式和饮食结构发生改变,从而造成肠道菌群紊乱,并破坏肠道屏障功能<sup>[37]</sup>。肠道屏障功能被破坏是引发菌群肠外迁移定植的最关键环节,因此,脑卒中后吞咽障碍为肠道菌群肠外迁移创造了条件。

在慢性阻塞性肺疾病(chronic obstructive pulmonary disease, COPD)、哮喘等常见肺部感染疾病中均发现肠道屏障功能被破坏,从而引发肠道菌群“肠-

肺”迁移的现象<sup>[5,71]</sup>。迁移定植的肠道菌群包括肺部的常见致病菌,如肺炎克雷伯杆菌、金黄色葡萄球菌及绿脓杆菌等<sup>[52]</sup>。研究提示肠道菌群肠外迁移可能导致或加重患者的肺部感染。更重要的是,在脑卒中的基础和临床研究中已发现肠道菌群“肠-肺”迁移而致肺部感染的相关报道<sup>[4]</sup>,再加上合并吞咽障碍的脑卒中患者病情可能更重,同时还存在严重的肠内营养问题。因此,脑卒中后吞咽障碍患者肺部感染频发及抗生素治疗效果不佳等现象,可能与肠道菌群的“肠-肺”迁移相关,通过重塑患者的肠道菌群能够直接或间接减少肠道中的机会致病菌向肺部迁移定植,从而降低患者并发脑卒中相关性肺炎的风险。

误吸是诱发脑卒中后吞咽障碍患者吸入性肺炎的直接原因之一,本文也分析了误吸在脑卒中后吞咽障碍患者并发肺部感染中扮演的重要角色。由于疾病本身、口腔与胃肠道菌群相互串扰,以及口腔卫生状况较差等因素,将引发口腔和胃肠道中的机会致病菌及其有害代谢产物聚集。患者一旦发生误吸,可能引发机会致病菌随着分泌物和反流的食物移位进入呼吸道或肺部,从而造成肺部感染。

然而,目前肠道菌群“肠-肺”迁移导致肺部感染的相关研究多集中于呼吸道疾病,脑卒中后吞咽障碍患者中少有报道,仅在少数脑卒中患者中发现了肠道菌群向肺部迁移定植的现象,缺乏大规模的临床随机对照研究加以证实,也缺乏口腔和肠道菌群进入呼吸道或肺部的直接临床证据。随着益生菌、益生元及合生元等饮食营养制剂研究的不断深入,通过重塑患者紊乱的菌群,修复肠道屏障功能,阻止肠道内机会致病菌向肠外迁移定植,可能成为脑卒中后吞咽障碍患者抑制肺部感染的潜在干预手段,并为临床肺部感染的相关治疗提供新思路。

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