

## 非小细胞肺癌放疗联合免疫治疗相关进展

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### Progress in radiotherapy combined with immunotherapy for non-small cell lung cancer

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#### [摘要]

肺癌是死亡率最高的癌症类型,许多患者确诊时已失去手术机会。晚期非小细胞肺癌(non-small cell lung cancer, NSCLC)的预后差,放疗和化疗是主要的治疗手段。随着免疫检查点抑制剂(immune checkpoint inhibitor, ICI)的应用,显著改善了患者的生存。然而,单用ICI的应答率低,而与放疗联合应用时可以提高免疫治疗的疗效,特别是低剂量放疗,既可以控制局部病灶,还能够增强全身的抗肿瘤作用。目前,对于放疗联合免疫治疗的时序、疗效预测指标以及放疗分割方式、剂量和部位的选择等,仍存在有争议。本文综述了局部晚期和晚期NSCLC放疗联合免疫治疗的最新进展,以期临床决策提供参考。

[关键词] 非小细胞肺癌; 放射治疗; 免疫治疗

#### [ABSTRACT]

Lung cancer is the type of cancer with the highest mortality rate, and many patients are already in advanced stage when diagnosed. Advanced non-small cell lung cancer (NSCLC) has a poor prognosis, and radiotherapy and chemotherapy are the main treatment methods. With the application of immune checkpoint inhibitors (ICIs), the survival of patients has been greatly improved. However, the response rate of ICIs alone is low, which can improve the efficacy of immunotherapy when combined with radiotherapy. Especially, the addition of low-dose radiotherapy can not only control local lesions but also enhance the systemic anti-tumor effect. At present, there are still controversies regarding the timing sequence, prediction biomarker, radiotherapy segmentation method, dose and site of the combination of radiotherapy and immunotherapy for advanced NSCLC. This paper reviews the progress in the combination of radiotherapy and immunotherapy for locally advanced and advanced NSCLC, providing references for clinical decision-making.

[KEY WORD] Non-small cell lung cancer; Radiotherapy; Immunotherapy

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近年来中国的癌症数据<sup>[1-3]</sup>显示,无论男性还是女性,肺癌都是死亡率最高的癌症,每天约有 350 人死于肺癌<sup>[4]</sup>。其中,非小细胞肺癌(non-small cell lung cancer, NSCLC)占全部肺癌的 85%,许多患者在确诊时已是晚期<sup>[5-6]</sup>,5 年生存率只有 5.5%<sup>[7]</sup>。随着免疫检查点抑制剂(immune checkpoint inhibitor, ICI)在临床上的应用,患者的无进展生存(progression-free survival, PFS)和总生存(overall survival, OS)均得到显著改善。常见的免疫抑制剂包括程序性死亡配体 1(programmed death-ligand 1, PD-L1)抗体、程序性细胞死亡蛋白 1(programmed cell death protein-1, PD-1)抗体和细胞毒性 T 淋巴细胞相关抗原 4(cytotoxic T-lymphocyte-associated antigen 4, CTLA-4)抗体,通过调节机体的免疫系统而发挥抗肿瘤作用。免疫抑制剂最早在 KEYNOTE-001 研究<sup>[7]</sup>中显示出生存获益,晚期初治和经治肺癌患者的 5 年 OS 率分别提高至 23.2%和 15.5%。随后的 KEYNOTE-024 研究<sup>[8]</sup>也证实 PD-1 单抗 pembrolizumab 与标准化疗相比,前者的 5 年 OS 高达 31.9%。然而,单用免疫治疗的应答率仅为 15%~37.5%<sup>[9-10]</sup>。

放疗是局部晚期和晚期 NSCLC 主要的治疗手段之一,与免疫治疗联合应用时可以通过多种调节机制改变肿瘤的微环境,例如激活 cGAS-STING 信号通路增加 I 型干扰素的表达<sup>[11-12]</sup>,促进抗原识别与提呈,诱导肿瘤细胞发生免疫原性死亡<sup>[13]</sup>,部分患者甚至出现“远隔效应(abscopal effect)”。MOLE<sup>[14]</sup>在 1953 年最早提出“远隔效应”的概念来描述放疗对照射野外病灶的杀伤作用,并推测这可能与放射线杀死的肿瘤细胞释放相关抗原以激活全身免疫系统有关。随后,2012 年《新英格兰医学杂志》发表的一篇有关放疗联合免疫治疗产生远隔效应的个案报告重新引起了人们的关注。近年来,有研究者<sup>[15]</sup>证实远隔效应的存在,联合治疗组的最佳远隔缓解率(abscopal response rate, ARR)显著高于 PD-1 单药组(41.7% vs 19.7%,  $P=0.0039$ )。然而,目前尚缺乏放疗联合免疫治疗的规范性指南,因此有关联合的

时序、放疗技术、放疗分割方案以及放疗部位等相关因素对疗效的影响尚无定论,并且缺少有效的预测指标。本文综述了局部晚期和晚期 NSCLC 放疗联合免疫治疗的相关进展,为临床决策提供参考。

## 1 放疗联合免疫治疗的时序

### 1.1 放疗序贯免疫治疗

PACIFIC 研究<sup>[16]</sup>是一项随机双盲的 III 期临床试验,不可手术切除的 III 期 NSCLC 患者接受同步放疗后续贯免疫治疗且随访 5 年,结果显示 PD-L1 单抗 durvalumab 组的中位 PFS(16.9 vs 5.6 个月)期和中位 OS 期(47.5 vs 29.1 个月)均较安慰组延长。基于此研究,美国国立综合癌症网络(National Comprehensive Cancer Network)推荐 durvalumab 用于局部晚期 NSCLC 患者的免疫治疗。除 durvalumab 以外,类似的 PD-1 单抗 pembrolizumab 研究也显示出较好的生存获益。LUN14-179 研究<sup>[17]</sup>中的局部晚期 NSCLC 患者的中位 OS 期长达 35.8 个月。一项关于晚期寡转移 NSCLC 患者接受局部消融治疗后续贯免疫巩固的研究<sup>[18]</sup>也显示 PFS 有所改善。KEYNOTE-001 研究的二次分析结果也发现,免疫治疗前接受过放疗的 NSCLC 患者的 PFS 和 OS 均有所延长<sup>[19]</sup>。放疗后序贯免疫治疗的安全性和有效性已得到证实,但对于二者联合的时序仍存在争议。PACIFIC 研究<sup>[16]</sup>中的多因素分析结果显示,放疗后 14 d 内接受 durvalumab 免疫治疗的患者的 PFS 和 OS 均优于放疗后 14 d 以后接受 durvalumab 免疫治疗的患者。一项回顾性研究<sup>[20]</sup>也发现,免疫治疗的开始时间在放疗结束后前 60 d 内的患者的 OS,显著优于放疗结束后 60 d 后才开始免疫治疗的患者(中位 OS 期:22.4 vs 8.6 个月)。由此提示,放疗后尽早进行免疫治疗可能会带来更多的生存获益。

### 1.2 放疗同步联合免疫治疗

放疗可导致肿瘤细胞中 PD-L1 表达上调<sup>[21]</sup>,同步联合 PD-1/PD-L1 抗体可以增强 CD8+ T 细胞介

导的抗肿瘤免疫。研究发现,放疗后第5天,淋巴细胞、自然杀伤细胞和巨噬细胞等浸润增加<sup>[22]</sup>,推测免疫治疗同步放疗可能会带来更好的疗效。

然而,目前关于同步尚缺乏统一的标准。Kotecha等<sup>[23]</sup>关于脑转移患者接受免疫治疗联合放疗的研究将同步定义为在免疫抑制剂的前后5个半衰期内进行放疗;进一步的分析结果显示,在免疫治疗前后1个半衰期内接受放疗的患者的疗效较好,提示放疗与免疫治疗同步联合的时间越接近,则疗效越好。SRIVASTAVA等<sup>[24]</sup>将应用免疫抑制剂前后1个月内进行放疗视为同步,并得到了相似的结果。另一项回顾性研究<sup>[24]</sup>将同步定义为在放疗前或放疗4周内应用免疫抑制剂,1年局部控制率在同步组也显示出优势(100% vs 52%)。同步治疗可提高肿瘤的局部控制率,但是以放疗还是免疫治疗的时间来定义同步,仍未达成共识。

SBRT同步nivolumab和ipilimumab的I期临床试验COSINR<sup>[26]</sup>的结果显示,同步治疗未增加不良反应,并且肿瘤体积缩小更加明显。相关的II期临床试验如FORCE<sup>[27]</sup>的结果也显示,放疗联合nivolumab治疗组与nivolumab单药治疗组的3度及以上不良反应的发生率类似(17% vs 15%),2者联合应用安全可行。KEYNOTE-799临床试验<sup>[28]</sup>是一项pembrolizumab联合同步放化疗的研究,根据病理类型和化疗方案,将患者分为A组(鳞癌及非鳞癌:紫杉醇+卡铂)和B组(非鳞癌:顺铂+培美曲塞),2组的客观缓解率(objective response rate, ORR)分别为70.5%和70.6%,3级及以上肺炎的发生率为6.9%~8.0%。由此可见,同步治疗显示出良好的抗肿瘤效应,并且安全可控。

## 2 联合治疗时放疗技术及分割方案的选择

### 2.1 立体定向体部放疗(stereotactic body radiation therapy, SBRT)联合免疫治疗

放疗可以增强抗肿瘤免疫<sup>[29]</sup>,然而由于循环淋巴细胞对放射线敏感,因此放疗可引起淋巴细胞数

量减少,从而影响患者的生存<sup>[30-31]</sup>。CHEN等<sup>[32]</sup>发现,SBRT较传统的常规分割方案可以更好地保存淋巴细胞,从而改善预后。MDACC研究<sup>[10]</sup>比较了免疫治疗与SBRT(50 Gy/4次)或常规分割(40 Gy/15次)联合应用的效果,结果显示SBRT组照射野外的ORR优于常规分割组(38% vs 10%),因此与免疫治疗联合应用时常选择SBRT,分割方案则以8 Gy×3次为主。一项研究<sup>[33]</sup>显示,远隔效应仅在8 Gy×3次的放疗组中出现。DEWAN等<sup>[34]</sup>也证实,联合应用CTLA-4时,只有分次照射而非单次大剂量照射(20 Gy×1次)可以明显抑制肿瘤的生长,其中8 Gy×3次分割方案的疗效优于6 Gy×5次。分割方案对联合治疗的影响不容小觑。DEMARIA等<sup>[35]</sup>将放疗视为免疫调节剂,并且认为0.5 Gy×4次为肿瘤微环境调节剂量,8 Gy×3次或6 Gy×5次为免疫原性调节剂量,34 Gy×1次、18 Gy×3次或10 Gy×5次为消融剂量。

一项I期临床试验<sup>[36]</sup>显示,SBRT(8 Gy×3次/17 Gy×1次)联合免疫治疗的耐受性良好。PEMBRO-RT研究<sup>[37]</sup>显示,SBRT联合免疫治疗的ORR(18% vs 36%)翻倍,中位PFS期(1.9 vs 6.6个月)和中位OS期(7.6 vs 15.9个月)均显著延长。相关研究还发现,SBRT与CTLA-4/PD-1抗体联合应用均可取得较好的疗效<sup>[38]</sup>,但常规SBRT是否是联合治疗的最佳选择?一项研究<sup>[38]</sup>发现,间隔10 d放疗(个性化超分割立体定向自适应放疗)较传统的每日放疗达到了更高的肿瘤控制率,提示放疗的间隔时间也会对疗效产生影响。目前,SBRT联合免疫治疗是大多数研究的关注点。部分研究者也提出新的观点,即低剂量放疗可能会取得更好的疗效。

### 2.2 低剂量放疗联合免疫治疗

低剂量放疗(1 Gy)足以引起肿瘤微环境的改变。有研究发现,在小鼠模型中,低剂量放疗+环磷酰胺+PD-1抗体+CTLA-4抗体+CD40单抗的联合方案可以逆转免疫荒漠化<sup>[22]</sup>。与0.5 Gy和2 Gy相比,1 Gy照射引起的CD8+、CD4+和CD11b+细胞浸润率最高。接受联合治疗的晚期NSCLC患者的疾

病控制率为 87.5%。由此可见,低剂量放疗可以在控制局部病灶的同时,增强全身的抗肿瘤作用。另一项研究显示,2 Gy×1 次照射引起的 T 细胞浸润率显著高于 2 Gy×3 次和 2 Gy×5 次照射;经高剂量放疗(8 Gy×3 次)+低剂量放疗(2 Gy×1 次)+PD-1 抗体联合处理的小鼠的 T 细胞浸润,较其中任意 2 项联合处理的更为明显<sup>[40]</sup>。研究还回顾性分析了 9 例接受高剂量放疗(原发肿瘤总剂量为 24~30 Gy)+低剂量放疗(远处病灶总剂量为 2~8 Gy)+免疫治疗(PD-1 抗体)的患者,结果未发现 4 级及以上相关不良反应,再次证实低剂量放疗是安全且可靠的<sup>[40]</sup>。PATEL 等<sup>[41]</sup>将免疫治疗+高剂量放疗+低剂量放疗(1.4 Gy×5 次)应用于免疫治疗 6 个月后出现疾病进展的患者,结果发现肿瘤体积相对较大或多病灶患者的远隔效应发生率明显升高。虽然目前的研究显示,中低剂量放疗虽然未能明显改善患者的生存,但确实增强了全身的抗肿瘤作用,特别是对于免疫抵抗的患者来说,低剂量放疗为临床治疗提供了更多的选择。

### 3 放疗联合免疫治疗时放疗部位及数量的选择

#### 3.1 不同部位放疗联合免疫治疗

晚期 NSCLC 伴肝转移患者的中位 OS 期仅为 3 个月<sup>[42]</sup>。VOKES 等<sup>[43]</sup>的研究发现,免疫治疗可延长 NSCLC 肝转移患者的 OS。由于肝脏独特的微环境可导致肿瘤免疫逃逸,而 SBRT 可以提高免疫系统的敏感性<sup>[44]</sup>,因此与免疫治疗联合应用时可能会获得更多的生存获益。基础研究揭示,实质部位(肺和肝脏)的放疗可以诱导免疫微环境的改变,例如总的自然杀伤细胞数量的减少以及激活的记忆 CD4<sup>+</sup>和 CD8<sup>+</sup> T 细胞数量的增加,而非实质部位(包括脑和骨)的放疗则没有此效应<sup>[45]</sup>。KEYNOTE-001 研究<sup>[6]</sup>也发现,接受额外放疗的患者的中位 PFS 期和中位 OS 期较未接受额外放疗的患者有所延长。不同部位放疗的免疫反应不同,选择合适的放疗部位,是否可以使联合治疗的疗效实现 1+1>2,值得进一步探索。

#### 3.2 放疗单灶与多灶的选择

有研究<sup>[46]</sup>提出,放疗联合免疫治疗时对多个病灶进行照射。由于肿瘤细胞存在异质性,因此并非所有的原发灶和转移灶都具有相同的免疫原性,所以多靶点照射可以增加肿瘤抗原的广谱性,从而更加有效地激活抗肿瘤免疫。相关的临床数据也显示,多靶点照射较单靶点照射增强了抗肿瘤疗效。LUKE 等<sup>[40]</sup>发现,免疫治疗联合 2~4 个部位的 SBRT(30~50 Gy/3~5 次)耐受性好,并且不良反应可接受。1 项 I 期临床试验<sup>[47]</sup>的结果显示,对多发转移灶可以选用原发肿瘤的治疗性 SBRT 剂量,短期不良反应可以接受。PATEL 等<sup>[41]</sup>开展的“三联法”研究也并非采用单一病灶照射。多病灶照射的耐受性和安全性均较好,对于多发转移的患者,应结合患者的具体情况,制定合适的治疗方案,而选择单病灶还是多病灶放疗,并无严格的限制。

### 4 放疗联合免疫治疗的疗效预测因子

PD-L1 水平是最常用的预测免疫反应的生物标志物之一。在 KEYNOTE-001 研究<sup>[7]</sup>中,PD-1 水平≥50%的患者的 5 年 OS 率超过 25%,因此指南推荐对高表达 PD-1 的晚期 NSCLC 患者使用 pembrolizumab。也有研究发现,部分低表达 PD-1 或不表达 PD-1 的患者也能从中获益。在 MDACC 研究<sup>[10]</sup>中,PD-L1 低表达者的中位 PFS 期(20.8 vs 4.6 个月)显著延长。在 PEMRBRO-RT 研究<sup>[7]</sup>中,PD-L1 阴性患者的 PFS 和 OS 均有所延长。KEYNOTE-799<sup>[28]</sup>研究提示,不同水平 PD-L1 患者的 ORR 无显著差异。放疗可能改变 PD-L1 阴性患者的肿瘤微环境,从而影响疗效。PD-L1 水平不再是单一的疗效预测指标。有研究发现,高肿瘤突变负荷(tumor mutation burden, TMB)与预后呈负相关<sup>[48]</sup>,推测可能与基因突变导致耐药等因素有关;而在接受 ICI 治疗的患者中,有着较高 TMB 的患者的生存期较长,这可能与抗原产生增多,从而提高肿瘤的免疫原性有关。KEYNOTE-158<sup>[49]</sup>研究中,高和低 TMB 患者接受免

疫治疗的 ORR 分别为 29% 和 6%, 基于该结果批准了 pembrolizumab。TMB 的预测价值在此后的 Check Mate-026<sup>[50]</sup> 和 Check Mate-227<sup>[51]</sup> 研究中均得到了证实。循环肿瘤 DNA (circulating tumor DNA, ctDNA)<sup>[53]</sup> 的释放与肿瘤分期相关, 分期越晚, ctDNA 检出率越高, 因此推荐晚期 NSCLC 患者检测 ctDNA。有研究<sup>[52]</sup> 基于肿瘤浸润 B 淋巴细胞特异性基因构建了一个可以预测联合治疗反应及预后的模型, 风险评分较低者更可能产生反应。此外, 常见的肿瘤标志物 (如癌胚抗原、CA21-1、乳酸脱氢酶等) 也有预测价值。如何基于现有的检查手段筛选出真正的获益人群, 是当前面临的一大难题。

## 5 结 语

基于前期大量基础研究和临床试验的结果, 放疗联合免疫治疗在局部晚期和晚期 NSCLC 患者中显示出较显著的生存获益。此外, 放疗联合免疫治疗在其他恶性肿瘤的治疗中也表现出明显的优势。然而, 放疗与免疫治疗的结合并不是简单的组合, 需要充分利用现有的检查手段以筛选出能够真正获益的人群。通过综合考虑患者的自身情况、放疗联合免疫治疗的时序、放疗的技术、放疗的部位及放疗的分割方案等, 制定出个体化的精准的联合治疗方案, 才能真正为患者带来获益。

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