

# 亟待关注精神病临床高危综合征转归预测因素

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**【摘要】** 精神病临床高危综合征患者是一类具有精神病前驱症状、遗传风险、人格特质的人群，其2年内发生精神病的风险高达30%，针对此类人群的个体化发病风险预测在精神病的早期预防中具有重要意义。本文从社会心理因素、认知功能、神经影像学、神经电生理监测和预测模型等方面阐述精神病临床高危综合征转归的预测因素。

**【关键词】** 精神分裂症谱系与其他精神病； 预后； 危险因素； 综述

## Pay more attention to the prognostic predictors of clinical high risk for psychosis

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**【Abstract】** Patients at clinical high risk (CHR) for psychosis are defined as individuals who manifest prodromal symptoms or genetic risk, as well as personality traits of psychosis. The risk of developing psychosis within 2 years is as high as 30% among CHR individuals. Therefore, predicting the individual risk of the transition to psychosis in this type of population has great significance in the early prevention of psychosis. In this article, we review the prognostic predictors of CHR from the perspectives of psychosocial factors, cognitive function, neuroimaging, neuroelectrophysiology and predictive models.

**【Key words】** Schizophrenia spectrum and other psychotic disorders; Prognosis; Risk factors; Review

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“精神病临床高危(CHR)综合征”的概念起源于精神分裂症早期预防相关研究，迄今已发展20余年<sup>[1]</sup>。大部分精神病患者发病前一段时间内即已出现非特异性或短暂性精神病前驱症状，故将此类具有前驱症状、遗传风险、人格特质的精神病发病风险较高的人群称为精神病临床高危人群。目前已有国际公认的精神病临床高危综合征诊断标准，主要包括精神病高危综合征定式访谈(SIPS)和危险心理状态综合评估(CAARMS)等<sup>[2]</sup>。符合精神病临

床高危综合征诊断标准的人群2年内精神病发病风险约为30%<sup>[3]</sup>，远高于普通人群精神分裂症谱系疾病及其他精神病的终身患病率，故对精神病临床高危人群进行个体化风险预测在精神病的早期预防中具有重要意义。本文拟从社会心理因素、认知功能、神经影像学、神经电生理监测和预测模型等角度，分析精神病临床高危综合征转归预测因素，以期为精神病临床高危人群精神病发病风险的识别提供参考。

### 一、社会心理因素

1. 移民和种族因素 既往普遍认为，第一代和第二代移民的精神分裂症谱系疾病及其他精神病的发病风险显著高于当地原住民，且该观点在欧洲和北美人群中得到较好验证<sup>[4]</sup>，但在澳大利亚人群中并未发现这一差异<sup>[5-6]</sup>。进一步研究发现，精神病发病风险升高仅在少数种族中显著，特别是移民至

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以白色人种为主国家的黑色人种移民者<sup>[4]</sup>。究其原因,可能为社会排斥、种族歧视和社交挫败导致心理应激反应,促进妄想信念形成<sup>[7-8]</sup>。此外,在移民者纹状体内发现应激相关多巴胺功能亢进,为这一现象提供潜在的生物学解释<sup>[9]</sup>。

2. 童年创伤经历 童年创伤经历如性虐待、情感忽视或虐待、躯体忽视或虐待、欺凌等是精神分裂症的重要危险因素,但是其在精神病临床高危人群精神病发病风险预测中的研究结果尚缺乏一致性<sup>[10-12]</sup>,一方面,存在性虐待经历的精神病临床高危人群精神病发病风险显著升高<sup>[10]</sup>;另一方面,尽管与普通人群相比,精神病临床高危人群童年时期存在情感虐待、躯体虐待和欺凌经历的比例更高,但是其童年创伤经历与精神病的发病并无显著关联性<sup>[11]</sup>。究其原因,可能由于此类研究中存在童年创伤经历的精神病临床高危人群样本量偏少,其中进展为精神病者更少,故研究结果的可信度有限,尚待大样本研究进一步验证,并在此基础上将童年创伤经历的强度和持续时间也作为重要变量,纳入后续的研究设计中。

3. 分裂型人格特质 分裂型人格特质的概念由3个与精神分裂症相对应的维度构成,即阳性(对应精神分裂症阳性症状)、阴性(对应精神分裂症阴性症状)和紊乱(对应精神分裂症言语和行为紊乱症状)维度<sup>[13]</sup>。分裂型人格特质的3个维度对于预测精神病临床高危综合征进展为精神病的研究结果尚缺乏一致性,目前较一致的观点为存在高水平的阴性分裂型人格特质的精神病临床高危综合征进展为精神病的预测价值较高<sup>[14-15]</sup>。

## 二、认知功能

既往研究从神经认知与社会认知两方面对精神病临床高危人群的认知功能进行阐述。(1)神经认知:精神病临床高危人群存在所有神经认知领域功能障碍,且与转归相关,其中一致性较高的预测因素为言语记忆和言语学习<sup>[15-17]</sup>。多项大型队列研究如第二次北美前驱症状纵向研究(NAPLS-2),精神病早期识别、干预和预防项目(EDIPPP),提高精神病前瞻性预测(PREDICT)研究,识别与预防(RAP)研究<sup>[16-17]</sup>均证实,言语能力和陈述性记忆障碍是精神病临床高危综合征进展为精神病的重要预测因素<sup>[17]</sup>。(2)社会认知:精神病临床高危人群的社会认知研究主要集中于情感加工/识别和心理理论维度,其功能障碍与精神病临床高危综合征转归

的相关性尚存争议<sup>[18-19]</sup>。选择欧洲国家精神分裂症网络研究基因-环境相互作用(EU-GEI)研究中的不同精神病临床高危综合征患者样本,所得结果不尽一致,Tognin等<sup>[18]</sup>纳入EU-GEI研究的部分精神病临床高危综合征样本,发现对快乐/愤怒表情的错误识别可以预测精神病发病;而Modinos等<sup>[20]</sup>同样纳入EU-GEI研究的部分精神病临床高危综合征样本,却发现情感识别能力与疾病转归无显著关联性。NAPLS-2队列研究历时2年随访,亦未发现社会认知各维度与精神病临床高危综合征进展为精神病之间的关联性<sup>[21]</sup>。因此,社会认知对精神病临床高危综合征转归的预测效果尚缺乏证据支持。

## 三、神经影像学

1. 结构性MRI 既往关于精神病临床高危综合征进展为精神病的结构性MRI(sMRI)研究主要集中于灰质体积的测量,并认为灰质体积减小与精神病发病相关<sup>[22]</sup>,但所涉及的脑区一致性较差,且研究角度不一,例如,从脑结构网络看,与未进展为精神病患者相比,进展为精神病患者突显网络(SAN)、听觉网络(AUN)、运动网络的结构协方差升高,执行控制网络的结构协方差降低<sup>[23]</sup>;此外,皮质折叠异常<sup>[24]</sup>,胼胝体、放射冠部分各向异性(FA)值较低者存在较高的精神病发病风险<sup>[25-26]</sup>。从大脑发育轨迹看,精神病临床高危综合征进展为精神病的发病前一段时间内即出现右侧额上回、额中回和内侧眶额皮质灰质厚度的急剧下降和第三脑室的快速扩张<sup>[27]</sup>。精神病临床高危人群多为青少年期或成年早期,且青少年脑结构尚处于发育阶段,因此,尤其对于青少年而言,大脑发育轨迹的动态变化相比某一时间点的sMRI指标对精神病的发病风险具有更高的预测价值和意义。

2. fMRI 基于fMRI的功能连接、功能网络和任务态相关指标,对精神病临床高危综合征转归的预测价值已取得一致性较高的发现。小脑-丘脑-皮质环路和海马-纹状体-中脑环路功能异常与精神病临床高危综合征转归密切相关<sup>[28]</sup>。NAPLS-2研究通过对静息态和词语工作记忆、情景记忆编码/提取、面部表情识别任务下的fMRI数据进行分析,发现精神病临床高危人群存在以小脑、丘脑、大脑皮质为基础的多个功能网络的连接过度增强,这一变化不仅与解体症状(包括荒诞思维、怪异行为或外表、注意力漂移等)相关,而且可以预测精神病临床高危综合征进展为精神病的时间<sup>[28]</sup>。通过分析新突

显处理任务(novelty salience processing)下海马-纹状体-中脑环路功能激活和连接,发现基线中脑腹侧被盖区/黑质与纹状体之间的功能连接显著减弱可以预测精神病临床高危综合征的转归<sup>[29]</sup>。现有的fMRI研究尚未对某一神经环路的构建规则达成统一,故不同研究结果之间缺乏可比性。但与单纯数据驱动的fMRI研究相比,基于精神病发病相关神经环路理论假说的研究结果的参考价值更高,是一种值得临床推广的研究方法。

#### 四、神经电生理监测

事件相关电位(ERP)是反映认知加工过程的神经电生理学指标。目前研究证据较为充分的精神病临床高危综合征进展为精神病的预测因素为失匹配负波(MMN)和P300波幅异常,其中,频率MMN(fMMN)波幅进行性下降和基线间期MMN(dMMN)波幅降低均与精神病临床高危综合征进展为精神病密切相关<sup>[30-31]</sup>;基线P300波幅降低可能导致精神病临床高危综合征更快进展为精神病<sup>[32-33]</sup>,此外,P300 novel波幅降低可以同时预测精神病临床高危综合征进展为精神病和症状缓解<sup>[34]</sup>。总之,MMN和P300波幅均为较有前景的精神病风险预测指标,但尚待进一步的转化研究验证其临床应用价值。

#### 五、精神病临床高危综合征转归预测模型

精神病临床高危综合征转归预测模型的构建方法大致分为3种,即基于非生物学指标如人口学资料、临床特征量化评分等的预测模型以及基于生物学指标如MRI和基因检测结果等或者联合非生物学指标与生物学指标的预测模型。非生物学指标模型发展最早,在精神病临床高危综合征转归预测中业已取得较理想的效果,其优势在于,资料易获取、可行性和可推广性较强,但是客观性较差。Cannon等<sup>[35]</sup>以NAPLS-2研究中精神病临床高危人群的基线年龄、精神病家族史、创伤史、SIPS量表P1和P2分评分、功能恶化、神经认知测验和压力性生活事件作为预测变量,采用Cox比例风险模型建立风险计算器,获得中等准确度(Harrell C指数为0.71)。Zhang等<sup>[36]</sup>基于上海精神病高危队列(SHARP)研究,以人口学资料和SIPS评分、神经认知测验等作为预测变量,建立手机端应用的国人精神病临床高危人群的精神病风险预测模型APP,经独立验证也具有良好的准确性[曲线下面积(AUC)=0.80, P=0.003]。由于纵向研究临床指标的动态变化较基线数据具有更好的预测价值,有学

者通过静态与动态指标的结合,建立精神病动态风险预测模型,其总体准确性优于静态预测模型,例如,Yuen等<sup>[37-38]</sup>以基线精神病症状评分、种族和移民情况等静态指标结合精神病症状评分变化等动态指标作为预测变量,采用联合建模方法,在两个不同的精神病临床高危综合征样本中分别建立动态风险预测模型,并对不同指标选取下的模型准确性进行比较,结果显示,结合静态与动态指标的模型准确性(AUC=0.77)存在优于单纯静态指标模型(AUC=0.74)的趋势;除动态指标的变化绝对值外,将其变化轨迹和累积效应纳入模型可以获得更高的准确性。Studerus等<sup>[39]</sup>以基线解体症状、受教育程度等静态指标结合阳性症状评分和与基线相关系数、阳性症状评分变化的曲线下面积等动态指标作为预测变量,采用联合建模方法,同样取得较好的预测效果。然而,上述模型均处于临床试验阶段,尚缺少基于真实世界的临床转化应用研究。目前,唯一广泛用于临床并报告其基于真实世界研究结果的模型来自Fusar-Poli教授及其研究团队,该团队以电子病历记录中的诊断、性别、年龄、种族、性别与年龄交互作用为预测变量,采用Cox比例风险模型在英国91 199例非器质性非精神病性精神障碍患者中完成精神病风险预测模型的建立和验证<sup>[40]</sup>,并在美国2 430 333例跨诊断的患者中对该模型进行外部验证<sup>[41]</sup>。2018-2019年,Oliver等<sup>[42]</sup>将该预测模型植入英国当地医院的电子病历系统,从而实现对所有就诊患者的自动风险筛查,并将阳性结果告知主管医师;并在部分地区,通过该系统对精神病临床高危综合征门诊患者提供面对面评估的扩展服务;作为首个应用于临床实践的精神病风险预测模型,该模型显示了较好的可行性和有效性。尽管生物学指标的客观性更强,但是由于资料获取难度相对较高,故包含生物学指标的预测模型研究相对较少。目前,此类研究涉及的指标的主要来源为神经影像和血液。de Wit等<sup>[24]</sup>以精神病临床高危人群的基线SIPS解体症状评分和基于sMRI的皮质折叠系数、皮质下体积等指标作为预测变量,采用支持向量机(SVM)建模,以预测精神病临床高危人群随访6年后症状缓解情况,结果显示,该模型具有较好的准确度(75.3%),且特异度较高(94%)。Clark等<sup>[43]</sup>结合临床特征指标[包括服药史、阳性和阴性症状量表(PANSS)评分、功能大体评定量表(GAF)评分]与氧化应激相关生物学指标(血清

Omega-3、神经酸),在精神病临床高危人群中采用贝叶斯概率模型建模,亦显示出较高的预测准确度(91.9%)和特异度(96%)。Mongan等<sup>[44]</sup>以EU-GEI研究中精神病临床高危综合征样本的临床特征和蛋白质组学数据作为预测变量,采用支持向量机建模,该模型的预测准确度高达92%~95%。上述两种模型各有优劣,从临床应用的角度而言,基于非生物学指标的预测模型的可行性、可推广性更强;而包含生物学指标的预测模型则对发病机制的探索具有更重要的研究指导意义。

## 六、问题与展望

大量研究对精神病临床高危人群的精神病风险预测因素进行探索,并由此发展出一系列兼具准确性和可重复性的预测模型。总体而言,与单一的预测因素或传统建模方法相比,通过机器学习(ML)方法建立的模型对精神病临床高危人群的转归预测更加可靠<sup>[45]</sup>,但其应用仍存在以下问题:第一,不同研究采用的精神病临床高危综合征诊断工具缺乏一致性,导致建模过程中临床症状评价指标不统一;即使采用同一诊断工具,不同评估者之间也可能存在较大的测量偏倚,给模型的效果比较和推广应用造成一定难度。各类诊断工具和诊断标准的一致性和标准化可能会成为未来影响精神病临床高危综合征研究水平的关键因素<sup>[2]</sup>。第二,尽管有Meta分析得出指标的选择对模型的敏感性无显著影响<sup>[45]</sup>,但临床研究对预测变量的选择仍未达成共识,其重要原因在于生物学指标尚未在转归预测研究中获得充分证据,难以为指标的选择提供有力指导。期待今后能够开展更多生物学指标及其他相对客观指标在精神病风险预测方面的研究,在充分考虑有效性和可行性的前提下,为预测变量的选择提供更多的证据。第三,尽管部分模型通过外部验证证实其具有可重复性,但少有模型应用于临床实践,其临床推广的可行性尚待考察。值得一提的是,Fusar-Poli教授建立的精神病发病预测模型选取的预测变量既具有较强的客观性和一致性,又便于临床获取,其临床实践效果亦充分验证其可行性,为今后的研究设计提供重要的参考意义<sup>[40]</sup>。未来研究中应进一步推动预测模型的临床应用,真正实现科研成果向临床应用的转化和推广,以助力精神病早期预防的顺利开展<sup>[40-41]</sup>。

利益冲突 无

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## · 小词典 ·

### 中英文对照名词词汇(一)

阿尔茨海默病 Alzheimer's disease(AD)

阿尔茨海默病评价量表-认知分量表

Alzheimer's Disease Assessment Scale-Cognitive Subscale  
(ADAS-Cog)

阿尔茨海默病神经影像学计划

Alzheimer's Disease Neuroimaging Initiative(ADNI)

安徽医科大学与香港大学成套神经心理学测验量表

Battery for HKU-AHMU Neuropsychological Measures  
(BHANM)

白天过度嗜睡 excessive daytime sleepiness(EDS)

半高全宽 full width half maximum(FWHM)

北美症状性颈动脉内膜切除术试验

North American Symptomatic Carotid Endarterectomy Trial  
(NASCET)

边缘型人格障碍 borderline personality disorder(BPD)

标记后延迟时间 post label delay(PLD)

丙氨酸转氨酶 alanine aminotransferase(ALT)

并行采集重建模式 parallel acquisition techniques(PAT)

部分各向异性 fractional anisotropy(FA)

超敏C-反应蛋白

high-sensitivity C-reactive protein(hs-CRP)

超声吸引手术刀

cavitron ultrasonic surgical aspirator(CUSA)

重复经颅磁刺激

repetitive transcranial magnetic stimulation(rTMS)

重复时间 repetition time(TR)

词语流畅性测验 Verbal Fluency Test(VFT)

次全切除 subtotal resection(STR)

促纤维增生/结节型髓母细胞瘤

medulloblastoma desmoplastic/nodular(DMB)

大细胞型/间变性髓母细胞瘤

medulloblastoma large cell/anaplastic(LC/AMB)

单胺氧化酶B monoamine oxidase B(MAO-B)

S-100蛋白 S-100 protein(S-100)

低分子量肝素 low-molecular weight heparin(LMWH)

第二次北美前驱症状纵向研究

the second phase of the North American Prodrome Longitudinal Study(NAPLS-2)