

SMP Sleep Medicine and Disorders

OSA Effects on Chronic Airway Disease Exacerbations – Missed Opportunities for Improving Outcomes in COPD and AsthmaMarta Marin-Oto¹, Jose M Marin^{2,*}¹University of Zaragoza School of Medicine, Hospital Clínico Universitario, Zaragoza, Spain²Department of Medicine, University of Zaragoza School of Medicine, Hospital Universitario Miguel Servet, Zaragoza, Spain**Publication Dates**

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Key Points

- Obstructive sleep apnea, asthma and COPD are the most prevalent respiratory disorders.
- COPD and asthma exacerbations are fundamental health outcomes in the prognosis of both entities.
- OSA is an independent risk factor to explain the increased prevalence and severity of exacerbations in COPD and asthma.
- In cases of OSA/COPD or OSA/asthma syndrome, CPAP treatment can reduce COPD and asthma exacerbations. This treatment should be indicated in accordance with the available OSA management guidelines.

Keywords: Sleep; Obstructive Sleep Apnea; COPD; Overlap Syndrome; COPD Exacerbation; Asthma; Asthma Exacerbation

Introduction

Chronic obstructive pulmonary disease (COPD), bronchial asthma and obstructive sleep apnea (OSA) constitute the three most prevalent chronic respiratory diseases worldwide. Using the Global Initiative for Chronic Obstructive Lung Disease (GOLD) definition of COPD (forced expiratory volume during the first second (FEV_1) / forced vital capacity (FVC) < 0.7), the current prevalence of COPD is estimated between 9% and 12% [1]. In a recent modeling study, it is projected that COPD prevalence will increase by 23% from now to 2050 especially among women and in low-middle income countries [2]. Asthma prevalence data reported around the world are highly variable, probably because the diagnosis of asthma largely falls on an exclusively clinical definition without the need for confirmation with a specific complementary test. In USA, using Behavioral Risk Factor Surveillance System data it was estimated that for 2020, 9% of adults had been diagnosed of asthma [3]. In the case of OSA, the prevalence depends on the cut-off of the apnea-hypopnea index (AHI) that is considered for its diagnosis. Considering AHI cut-offs greater than 5, OSA figures could currently be around 50% of the adult population in USA [4]. It is evident that the high prevalence of these three entities separately implies the frequent coincidence of COPD/OSA and asthma/OSA in the same patient. However, no population-based epidemiological studies have been carried out to accurately estimate the prevalence of these overlap syndromes in the general population. In any case, it is noteworthy that more than 80% of patients with COPD or OSA are not diagnosed and therefore adequately treated [1, 4]. This has important consequences for health outcomes of patients suffering from these overlap syndromes.

COPD and asthma exacerbations, especially if they require hospitalization, are associated with considerable morbidity and mortality and are the main components of the healthcare costs due to these diseases worldwide [1, 5]. In this article, we review the role of the coexistence of OSA as an aggravating factor to develop exacerbations in patients with asthma or COPD, and how the treatment of OSA can efficiently modify health outcomes of these respiratory diseases.

Definitions

At present, we suspect COPD when a patient presents with respiratory symptoms and a history of risk for COPD (e.g. expo-

sure to tobacco smoke or other toxic inhalants). In these cases, spirometry confirms the diagnosis if the post-bronchodilator ratio FEV_1/FVC is less than 0.7 [1]. On the other hand, according to the Global Initiative for Asthma (GINA) the diagnosis of asthma is defined as the history of respiratory symptoms that vary in intensity and over time together with variable expiratory airflow limitation [5]. There is no global agreement on how to define OSA, but we mostly understand that a patient suffers from OSA when he/she shows more than 5 apneas or hypopneas per hour of sleep (apnea-hypopnea index, AHI) in a sleep study [5]. We define the coincidence of OSA in patients with COPD or Asthma as COPD/OSA and Asthma/OSA overlap syndromes (Marin). Both, COPD and asthma are chronic inflammatory bronchopulmonary diseases. In asthma, inflammation is mostly limited to the airways and airway obstruction is characteristically variable in most patients. In COPD pulmonary inflammation is also associated with airway remodeling, peribronchial fibrosis, destruction of alveolar airspace (emphysema) and vascular changes with a wide variation among patients [6]. The final consequences of these changes lead to a persistent airflow limitation and impaired functional capacity. A differential aspect between asthma and COPD is the evidence that the latter is associated with frequent comorbidities that will develop at younger ages compared to subjects without COPD [7].

As defined by the GOLD Initiative, an acute exacerbation of COPD (AECOPD) is a clinical event characterized by increased dyspnea and/or cough and sputum that worsens in < 14 days which may be accompanied by tachypnea and/or tachycardia and is often associated with increased local and systemic inflammation caused by infection, pollution, or other insult to the airways [1]. Asthma exacerbations are episodes characterized by progressive increase in respiratory symptoms of dyspnea, cough, wheezing or chest tightness and progressive decrease in lung function, that they represent a change from the patient's usual status that is sufficient to require a change in treatment [5].

Link between OSA and COPD

In patients with COPD, some frequent comorbid conditions are also OSA risk factors. One third of patients with COPD are active smokers and another 50% are ex-smokers. Patients who are active smokers have more upper airway inflammation and collapsibility than non-smokers [8]. In a cross-section-

al study, cigarette smoking history was associated with early onset of OSA and AHI increased with as mean pack \times years rose [9]. Therefore, tobacco is a determinant of the pathogenesis of both entities, COPD and OSA. Quitting tobacco smoking results in a deceleration in disease progression and reduces the risk of exacerbations in smokers with COPD [10].

Unlike in OSA, obesity is not a risk factor for developing COPD. However, a specific phenotype of a COPD patient, bloated, bronchitic, overweight and sleepy, has been defined for decades. This is the typical “blue bloater” patient who characteristically shows a tendency towards hypoxemia and CO₂ retention and who we now know most of the time suffers from OSA [11]. In contrast, there is an inverse relationship between AHI and the percentage of emphysema, which is preferably found in thin COPD patients [12]. As the disease progresses, many COPD patients develop fluid retention as a consequence of the administration of systemic corticosteroids or the development of right heart failure. At night, fluid retention contributes to rostral redistribution into the neck, peripharyngeal fluid accumulation and upper airway narrowing, thereby facilitating OSA [13]. Some therapies for COPD such as systemic steroids may produce accumulation of fat in the parapharyngeal tissues and myopathies of the pharyngeal muscles, which increased upper airway collapsibility [14]. Today, a clear understanding of the pathophysiological links between OSA and COPD remains elusive. However, in patients with COPD-OSA overlap clinical outcomes are poorer than in either disease alone.

Link between OSA and Asthma

OSA increases asthma burden and is associated with poor asthma control [5]. Independent of obesity and other confounders, it appears that OSA aggravates asthma through non-eosinophilic inflammatory pathways [15]. The Global Initiative for Asthma (GINA) recognized the importance of OSA as a comorbid condition for an appropriate management of this disease, and they recommended to perform a sleep study to investigate the coexistence of OSA in patients with severe asthma, difficult to control asthma, and asthma associated with obesity [5].

Obesity is the most common risk factor for OSA, but it is also a risk factor for asthma with a “dose-response” effect of increasing BMI which at the same time, can increase the risk of incident asthma, especially in women [16]. Obstructive sleep

apnea is very common in patients with chronic rhinosinusitis and nasopharyngeal polyps because they lead to increasing intrathoracic and pharyngeal negative pressure, which promotes upper airway collapse [17]. Many patients with non-atopic asthma and most patients with atopic asthma suffer from nasal problems including chronic rhinosinusitis and nasal polyps. Therefore, it is possible that asthmatics with this type of chronic nasal pathology simultaneously present OSA, and it is advisable to rule out the coexistence of OSA through a sleep study in patients with a torpid evolution of their asthma. Another risk for OSA among some asthmatics is the frequent burst or continuous use of oral steroids. This treatment can augment the tendency to obesity in addition to produce accumulation of fat in the parapharyngeal tissues and myopathies of the pharyngeal muscles as in COPD [18].

Risk Factors for COPD Exacerbations

One of the main objectives of COPD management is to avoid AECOPD. This is because exacerbations accelerate the lung function decline, worsen patients' quality of life and increase mortality [19]. In general, as patients with COPD progress in their natural history, they present an increase in AECOPD. However, there is a great inter-individual variability in the frequency and severity of exacerbations. There are well-established risk factors for AECOPD such as: being an active smoker [20], being exposed to breathing in a polluted environment [21] or having a history of previous exacerbations [22]. Risk factors for AECOPD related to the characteristics of the disease itself include greater functional impairment [23], emphysema on chest CT [24], and coexistence of pulmonary hypertension [25]. COPD patients who have a chronic bronchitic phenotype [26] or coexistent bronchiectasis [27] also are at increased risk of AECOPD. Among the many blood biomarkers studies carried out in recent years, it has been shown that a higher level of eosinophils is associated with a greater risk of exacerbations and are predictor of a better therapeutic response to inhaled corticosteroids [28-30].

As stated above, patients with COPD suffer more comorbidities and at a younger age than subjects in the population without COPD [7]. Among more than 72 comorbidities significantly present in patients with COPD compared to subjects without COPD, there is a group of 12 entities (“comorbiodome”) that are associated with a greater risk of exacerbations and death [31]. An exhaustive review of each comorbid condi-

tion is not the purpose of this manuscript.

OSA As A Risk Factor for COPD Exacerbations Obesity

Under and overweight is an important predictor of poor outcomes in COPD. In the Genetic Epidemiology of COPD (COPDGene) study, a large multicenter cohort of subjects with GOLD stages 2 through 4 COPD, increasing severity of obesity was associated independently with greater odds of AECOPD [32]. In one retrospective study, Goto et al, showed that COPD patients undergoing bariatric surgery had a reduced risk of hospitalization for acute exacerbations of COPD [33]. However, at baseline, sleep study was not performed in these studies so OSA cannot be ruled out and therefore the specific role of obesity with/without OSA on incident AECOPD could not be assessed. The intermediate mechanisms that explain the increase/reduction of AECOPD with obesity and its treatment with bariatric surgery, respectively, have not been established. It is known that obesity and associated metabolic dysfunction increase the levels of circulating inflammatory biomarkers such as white blood cell count, C-reactive protein and fibrinogen levels which are characteristically elevated in patients with frequent COPD exacerbations [34]. On the other hand, obesity reduces the lung's defense capacity against viruses and bacteria [35-36]. Therefore, it is possible that weight loss reduces exacerbations in patients with obesity (with/without associated OSA) by restoring immune function against respiratory infections. In any case, the relationship between obesity and AECOPD is far from being elucidated since some randomized control trials (RCTs) have shown that overweight or obese patients do not have an increased risk of AECOPD than normal weight COPD patients [37]. But again, no sleep studies were done in those RCTs to identify the coexistence of OSA in obese participants.

Obstructive Sleep Apnea

Few studies have evaluated if COPD patients with OSA (overlap syndrome), with or without associated obesity have more risk of exacerbations than COPD without OSA. In our observational cohort which includes subjects referred to Sleep Clinic for suspected OSA, spirometry in addition to sleep study was performed at baseline and patients were treated according with current OSA and COPD guidelines [38]. Three groups were pre-specified: OSA with CPAP, OSA without

CPAP, and COPD alone. All three groups had similar markers of COPD severity. After a mean of 9.6-year follow-up, at least one hospitalization because of COPD exacerbation occurred in 39.5% patients with COPD alone and 61.4% in patients with COPD/OSA overlap untreated with positive airway pressure (PAP) (adjusted relative risk, 1.70 [95% CI, 1.21 - 2.38]). These patients also had a greater risk of hospital readmission. In line with these results, a recent retrospective study showed that among patients hospitalized for COPD exacerbation, those with OSA had higher readmission and mortality rates than those without OSA [39]. Finally, among COPD patients included in the Long-Term Oxygen Treatment Trial, those at intermediate to high risk of OSA (modified STOP-BANG score ≥ 3) relative to low risk (score < 3), had increased frequency of COPD exacerbations (adjusted incidence rate ratio: 1.78, 95% CI, 1.10 - 2.89) [40]. This evidence, however, is considered insufficient by the GOLD to recommend performing sleep studies in all patients with COPD who are admitted for an exacerbation. However, this initiative advocates for assessment of OSA-specific sleep symptoms among patients with severe COPD [1].

Observational and population studies also suggest that the increased risk for AECOPD in patients with overlap syndrome may be mitigated with PAP [38, 40-43]. For example, in our mentioned prospective clinical-based study, patients with overlap syndrome treated with CPAP had no increased risk for severe exacerbations compared with patients with COPD-only [38]. In addition, overlap patients treated with CPAP had a reduction of mortality. A lower risk of AECOPD was also obtained in retrospective studies with COPD/OSA overlap patients engaged in Health Plans and Medicare, treated versus non-treated with CPAP [40, 42]. In these studies the impact on mortality was not assessed. These real-life studies in any case indicate "association" and not "causation" of the effect of CPAP on the reduction of exacerbations in patients with overlap syndrome. Given the impact of AECOPD on health care cost and on progression of the disease, it is fully justified to confirm these findings through a randomized trial. Also, because BiPAP therapy is widely used for severe AECOPD and for stable hypercapnic COPD patients, this form of PAP therapy should be evaluated in OSA/COPD overlap syndrome.

OSA is associated with explanatory factors that may favor AECOPD in patients with overlap syndrome. Characteristically, in patients with OSA, diabetes and metabolic syndrome are

more prevalent, and it is known that these comorbidities favor the development of AECOPD [44]. In OSA, depressive disorders are frequent and related with the OSA severity [45]. Similarly, anxiety or depression in COPD patients is also a risk factor for AECOPD [46]. Daytime sleepiness and fatigue are not frequent in COPD alone but in those with overlap syndrome, these daytime symptoms can decrease physical activity and worsen health outcomes [47]. What is very relevant when recognizing the presence of these intermediate mechanisms that aggravate the risk of AECOPD is that many of them are reversed by weight reduction and/or with CPAP treatment in cases of overlap syndrome. This is what happens with the improvement of diabetes [48], anxiety/depression [49] with CPAP therapy in OSA patients, but it remains to be clarified whether this beneficial effect of CPAP also occurs in patients with overlap syndrome.

OSA as a Risk Factor for Asthma Exacerbations

The main trigger for asthma exacerbations are external agents such as microorganisms, pollens, or pollutants). However, these episodes are more frequent in patients with uncontrolled asthma symptoms or with poor adherence to appropriate therapy and/or significant comorbidities [5]. Among the comorbidities that increase the risk of exacerbations, the GINA consensus points to obesity, chronic rhinosinusitis, and gastroesophageal reflux [5]. Interestingly, these comorbidities are also very common in subjects with OSA and therefore, in patients with OSA/asthma overlap, they may act as potentiating mechanisms of asthmatic exacerbations.

In a large observational series of patients with asthma, logistic regression analysis on comorbid factors shows that psychological dysfunctioning (odd ratio OR 10.8), recurrent respiratory tract infections (OR 6.9), gastro-esophageal reflux (OR 4.9), severe nasal sinus disease (OR 3.7) and OSA (OR 3.4) were significantly associated with frequent exacerbations [50]. These results are not surprising since it is known that snoring and OSA trigger nocturnal asthma attacks in patients with OSA/asthma [51]. In the World Trade Center Health Registry, among patients with asthma there was a higher OSA prevalence with worse asthma control adjusting for body mass index [52]. Among Chinese patients with asthma, OSA was associated with higher risk of severe asthma exacerbations compare to non-OSA asthmatics (relative risk 14.23) [53]. The in-

termediate mechanisms by which OSA may worsen the health outcomes of people with asthma are unknown. We previously demonstrated that OSA is associated with upper airway inflammation as evidenced by an increase in inflammatory biomarkers obtained from pharyngeal lavage [54]. This fact is in agreement with a high exhaled FeNO level obtained in untreated OSA patients [55]. Of interest is that these airway inflammatory markers were reduced with CPAP treatment in both studies.

CPAP therapy in patients with OSA/asthma overlap syndrome appears to improve quality of life, especially in severe OSA and poorly controlled asthma [56]. However, evidence is mainly derived from observational studies of short duration. In fact, a meta-analysis found CPAP improved daytime or night-time asthma symptoms but did not show an improvement in asthma control or asthma exacerbations [57]. So, at the moment, the topic of the effect of CPAP on the health outcomes in patients with asthma and OSA has not been elucidated and randomized trials are necessary to definitively evaluate this effect. For the moment in patients with OSA/asthma overlap syndrome, the management of both entities separately (asthma and OSA) should be carried out in accordance with the clinical management guidelines for each of the entities.

Summary

In patients with COPD and asthma, exacerbations determine the natural history of both diseases. Patients with both respiratory diseases who suffer from OSA as a comorbidity (overlap syndromes) have a higher risk of exacerbations and hospitalization. In cases of OSA/COPD and OSA/asthma in which CPAP treatment is indicated. Adequate adherence to therapy appears to reduce exacerbations and their severity, especially in OSA/COPD overlap. However, there is a lack of randomized trials that definitively demonstrate this evidence.

Clinics Care Points

- Both, in patients with COPD or with asthma, exacerbations are frequent, worsen the quality of life, accelerate functional deterioration and increase morbidity and mortality.
- Among the main risk factors for developing more frequent and more severe exacerbations, the coexistence of certain comorbidities such as OSA is

well established in COPD and its importance in asthma is less evident.

- OSA is a modifiable risk factor through effective treatment using CPAP or other specific therapies (e.g. weight reduction) and therefore a sleep study should be considered in cases of COPD or asthma with severe exacerbations.
- There is no robust evidence based on randomized

trials of the long-term effect of CPAP on the potential reduction of COPD or asthma exacerbations. Until then, the management of the coexistence of OSA in patients with OSA/COPD or OSA/asthma overlap syndromes should be carried out according to the OSA clinical management guidelines.

Disclosure Statement

Both authors report no conflicts of interest.

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