

# 高温热浪增加人群死亡风险的脆弱性理论框架

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## 摘要：

在全球变暖的背景下, 高温热浪的发生频率、强度和持续时间均将进一步增强。近年来, 大量研究从不同的角度阐释了高温热浪可能增加人群的死亡风险, 但目前的聚焦点较为分散, 尚未形成系统性的理论框架。基于此, 本文对既往的文献进行系统梳理, 回顾了高温热浪增加人群死亡风险的可能机制路径和脆弱性机制, 归纳了脆弱性因素影响暴露机会和制约适应能力、影响生理反应和行为等内容, 从“暴露程度-修饰效应-生理行为-健康结局”四个过程提出高温热浪增加人群死亡风险的脆弱性理论框架。本文归纳了高温热浪与健康的研究方向, 可为未来深入开展气候变化健康风险评估和适应提供思路。

**关键词：**气候变化; 高温; 热浪; 死亡; 脆弱性

**A theoretical framework for vulnerability of heatwave-related mortality** HU Jianxiong<sup>1</sup>, HE Guanhao<sup>1</sup>, MA Wenjun<sup>1,2</sup> (1. Guangdong Provincial Institute of Public Health, Guangdong Provincial Center for Disease Control and Prevention, Guangzhou, Guangdong 511430, China; 2. School of Medicine, Jinan University, Guangzhou, Guangdong 510632, China)

## Abstract:

In the context of global warming, the frequency, intensity, and duration of heatwaves will further increase. In recent years, plenty of studies have suggested from diversiform perspectives that heatwaves may increase mortality risk. However, the focuses of current studies on heat wave and human health are scattered, and a systematic theoretical framework has not yet been formed. We therefore systematically reviewed the previous literature in terms of possible mechanism paths and vulnerability mechanism of heatwave increasing mortality risk, summarized the vulnerability factors that influence exposure opportunities, constrain adaptive capacity, as well as affect physiological responses and behaviors. We further attempted to propose a theoretical framework from the processes of "exposure degree-modification effect-physiological behavior-health outcome". This paper summarized the research directions on heatwaves and health, which can provide ideas for future in-depth health risk assessment and adaptation to climate change.

**Keywords:** climate change; high temperature; heatwave; mortality; vulnerability

在气候变化背景下, 全球地表平均温度持续上升, 高温热浪已经成为一种频发的极端天气事件, 而且频率、强度和持续时间可能将进一步增强<sup>[1]</sup>。高温热浪对人类的影响是多维度的, 其中对健康的影响备受关注<sup>[2-3]</sup>。目前全球已经开展了大量有关高温热浪与人群健康的研究, 发现高温热浪不仅引起人体的生理变化, 还可影响心理健康和引发各种相关疾病, 如心脑血管疾病、呼吸系统疾病等, 严重者导致死亡<sup>[4]</sup>。

随着研究的深入, 越来越多的研究表明脆弱性在高温热浪对人群健康影响中发挥重要作用<sup>[5]</sup>。政府间气候变化专门委员会(Intergovernmental Panel on Climate Change, IPCC)将脆弱性定义为一个系统容易受到或无法应对气候变化不利影响的程度, 是暴露(气候变化特征、幅度和速率)、敏感性和适应能力的综合函数<sup>[6]</sup>。在高温热浪暴露下, 脆弱性决定了高温热浪健康风险的大小, 当前关于高温健康脆弱性的研究主要聚焦在脆弱性因子的修饰作用及其时空分布<sup>[7]</sup>。



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总体来看,目前关于高温热浪与健康的研究虽然不少,有些研究探究暴露-反应关系,有些研究分析脆弱性因素,有些研究则关注不同环境暴露因素(如气温与空气污染)的交互作用,但这些研究缺乏一个完整的理论框架指导,比较零散。因此,系统梳理和总结已有的研究,把高温热浪暴露、作用路径、脆弱性机制贯穿起来,形成高温热浪与健康关系的脆弱性理论框架非常必要,对今后深入开展相关研究有指导作用。基于此,本文对高温热浪与死亡关系的相关文献进行综述,总结高温热浪增加死亡风险的脆弱性理论框架。

## 1 高温热浪增加人群死亡风险

高温热浪对人群死亡风险有较大的影响。大量研究表明,温度与死亡的暴露-反应关系多呈U型、V型或J型,即存在一个最低死亡风险温度(minimum mortality temperature, MMT),温度高于MMT会增加死亡风险<sup>[8-12]</sup>。MMT被认为是表征地区热适应能力的重要指标<sup>[13]</sup>。一项在中国开展的时间序列研究发现,我国的MMT为23.8°C,位于日平均气温的第75个百分位;极端高温(温度分布的第99个百分位)的死亡风险比MMT高出21%(95%CI: 10%~34%)<sup>[12]</sup>。这与多项在中国开展的全国性研究结果相似<sup>[11, 14]</sup>。由于全球气候变暖,高温已经成为全世界影响居民健康的重要公共卫生问题。美国华盛顿大学健康计量与评估研究所评估报告显示,2019年全球因高温导致的死亡人数超过30万人,比1990年增加了近10万人<sup>[15]</sup>。

热浪是指持续一段时间的高温现象,可从强度、频率、持续时间、时间和空间范围等多种特征进行描述<sup>[16]</sup>,判定标准受到地区气候、经济和社会环境等因素的影响,因此世界各地对于热浪的定义有所差异,如世界气象组织将热浪定义为日最高气温高于32°C且持续3d以上的天气过程<sup>[17]</sup>,我国则定义为日最高气温≥35°C持续3d及以上的炎热天气<sup>[18]</sup>。无论何种定义,热浪对健康的威胁均不容忽视。例如,2003年夏季欧洲热浪造成了近7万人的额外死亡<sup>[19]</sup>。此外,有学者认为应全面评估高温热浪的健康风险,即热浪对人群死亡的影响可以分为高温的独立影响(即主效应)和高温持续作用引起的附加效应<sup>[3, 20]</sup>。然而,也有学者发现高温热浪的附加效应无统计学意义<sup>[21]</sup>。

## 2 高温热浪增加人群死亡风险的脆弱性理论框架

大量研究证明,高温热浪可增加人群的死亡风

险。然而,这可能涉及一个复杂的过程,社会、经济、环境和个体特征等脆弱性因素不仅影响人群高温热浪的暴露机会,同时还制约人们的适应能力,从而影响个体的行为和生理反应大小;受高温热浪影响严重者可以引起病理性改变或伤害发生,最严重者导致死亡。这个过程可总结成如图1所示的高温热浪增加死亡风险的脆弱性理论框架。

### 2.1 高温热浪增加人群死亡风险的机制路径

目前,高温热浪增加人群死亡风险的潜在机制路径尚未完全明确,但其对人体的生理和行为影响受到广泛关注。高温热浪增加人群死亡的机制路径可能主要与人体的体温调节功能、生理系统不良反应和生活行为方式有关。

**2.1.1 高温热浪影响机体体温调节功能** 在温度升高的环境中,分布于皮肤的热感受器可将信号传输至下丘脑,机体通过负反馈生理调节的方式进行应对,血管舒张使血液重新分配,并流向皮肤,以促进热量从肌肉传递到皮肤,继而传递到环境;在皮肤上分泌汗液,由汗液蒸发带走热量<sup>[22-23]</sup>。然而,热感受器具有一定的温度反应范围,当温度高于热舒适范围时则会产生热疼痛,促使机体产生保护身体的行为,如去除衣物、通风等<sup>[24-25]</sup>。目前,温度感知的分子机制尚未被完全阐明,但实验研究发现瞬态受体电位(transient receptor potential, TRP)离子通道家族在热神经信号的激活和介导中发挥关键作用<sup>[26]</sup>,如TRP家族的辣椒素受体瞬时受体电位香草酸亚型1(transient receptor potential vanilloid-1, TRPV1)可在40°C高温中被激活,将伤害性刺激传递至中枢神经系统<sup>[27]</sup>。若机体在高温环境中难以做出反应,则可能在伤害性刺激的作用下产生生理性的不适或疾病<sup>[28]</sup>。此外,若高温环境引起核心温度超过阈值,则可能进一步引发酶变性、线粒体功能障碍、细胞膜稳定性丧失和有氧代谢途径中断等现象,出现一系列与高温有关的症状和疾病(如胸闷、嗜睡、中暑等);严重时导致多器官功能障碍或衰竭,诱发死亡<sup>[29-31]</sup>。因此,高温热浪的发生可能通过影响机体的体温调节机制导致健康问题,其生理过程较为清晰,但内在的分子机制尚不清楚,仍有待进一步深入探索。

**2.1.2 高温热浪引起生理系统的不良反应** 在高温环境中,机体的生理性反应与一系列器官系统的活动有关,其中心肺系统受到了最直接的影响。机体通过血管扩张将血液重分配到皮肤的过程中,心脏泵血需更用力和更快,由此加重了肺部和心脏的负荷;此外,机

体水分流失可导致血液浓缩, 血液黏稠度和血管周阻力增加, 改变血压, 可进一步加重心脏的负荷, 可能引起心功能衰减<sup>[32~34]</sup>。基于人群的流行病学研究发现, 当气温高于 27 °C 时, 气温每增加 1 °C, 舒张压升高 0.128 (95%CI: -0.135~0.391) mmHg, 收缩压升高 0.605 (95%CI: 0.126~0.204) mmHg<sup>[35]</sup>。血压变化已经证明是心脑血管疾病死亡的重要危险因素, 如一项 meta 分析发现, 收

缩压每升高 10 mmHg 可增加 20% (95%CI: 17%~23%) 心血管疾病死亡风险、17% (95%CI: 12%~22%) 冠心病死亡风险和 28% (95%CI: 22%~33%) 心力衰竭死亡风险<sup>[36]</sup>。此外, 高温也可能影响神经系统、消化系统和泌尿系统等多个系统的正常功能<sup>[31, 37~38]</sup>。这提示高温热浪对于机体以心肺系统为主的多个器官系统均可产生不利影响。

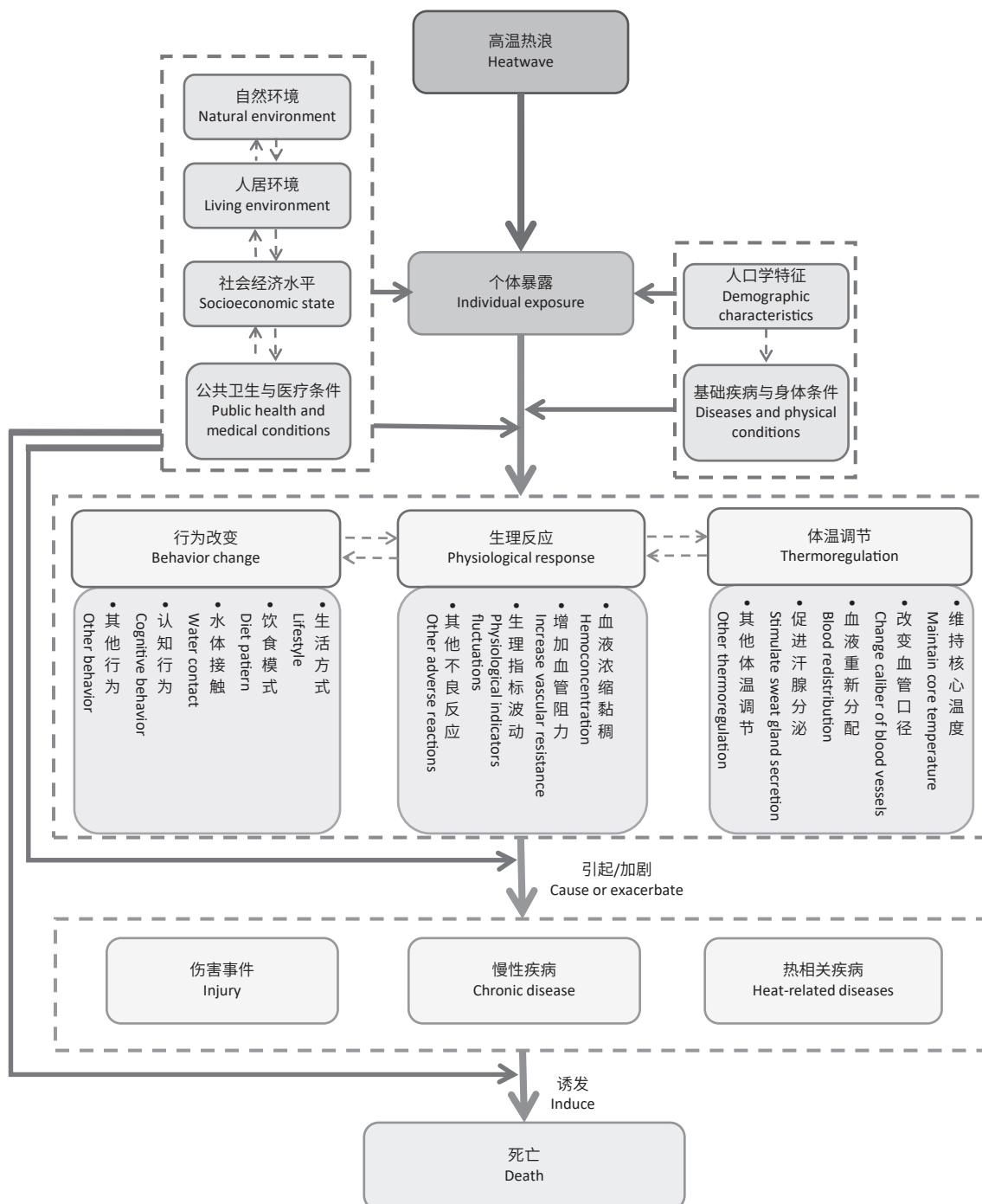


图 1 高温热浪增加死亡风险的脆弱性理论框架

Figure 1 The theoretical framework for vulnerability of heatwave on mortality risk

高温热浪还可能改变心肌肌钙蛋白、高密度脂蛋白胆固醇、低密度脂蛋白胆固醇、甘油三酯、血糖、尿

酸等内分泌生理指标的正常状态, 进一步导致生理系统的不良反应<sup>[39~43]</sup>。例如, 环境温度的增加可引起血

清尿酸浓度升高<sup>[42]</sup>,过高的血清尿酸浓度不仅可能诱发疾病的发生(如高脂血症、冠心病等)<sup>[44-45]</sup>,也会增加心血管疾病和癌症的死亡风险<sup>[46]</sup>。尽管有研究发现高温的刺激下机体产生的热休克蛋白(heat shock proteins, HSPs),可保护机体各类细胞的功能和增加细胞存活率<sup>[47]</sup>,即HSPs可提高机体对高温的适应能力。但也有研究认为,HSPs在合成过程保留着高免疫原性,可作为潜在的自身抗原刺激产生或增强自身免疫反应<sup>[48]</sup>,如HSPs可与细胞表面受体结合,分泌促炎细胞因子<sup>[49]</sup>,并进一步影响心脏的功能。因此,高温热浪引起生理系统的不良反应是多方面的,未来应针对不同生理系统的机制开展深入研究。

**2.1.3 高温热浪影响生活行为方式** 在高温天气的作用下,机体容易出现入睡困难、睡眠时间减少、入睡后觉醒等睡眠障碍<sup>[50-51]</sup>,昼夜节律的紊乱可能引起免疫机制和神经内分泌的改变,增加了病理反应的发生风险<sup>[52]</sup>。一项meta分析发现,自觉睡眠质量差是冠心病发病的危险因素( $RR=1.44$ , 95%CI: 1.09~1.90)<sup>[53]</sup>。同时,较差的睡眠质量也与发生意外的风险有关<sup>[54-55]</sup>。研究人员对法国发生交通事故的驾驶者进行调查发现,3个月内睡眠质量非常差的调查对象发生交通事故的风险是正常睡眠质量的3.35倍(95%CI: 1.30~8.63),睡眠时间不高于6 h的调查对象发生交通事故的风险是正常睡眠时间对象的1.69倍(95%CI: 1.00~2.85)<sup>[54]</sup>。此外,高温也会影响饮食习惯。通常情况下,食物摄入调节机制受到高温的作用,食欲受到抑制,可能导致机体出现体重减轻或营养不良的情况,并诱发疾病或死亡<sup>[56-57]</sup>。

高温热浪也可能引起居民行为方式的改变,如增加人群接触水体的机会,从而增加溺水等意外伤害的死亡风险<sup>[58-59]</sup>。加拿大的一项回顾性病例交叉分析发现,当环境温度超过30 °C时,人群的室外溺水风险增加了69%( $OR=1.69$ , 95%CI: 1.23~2.25)<sup>[58]</sup>。此外,高温与暴力犯罪的增加也存在关联。美国研究发现,气温每增加5 °C使人群发生故意杀人事件的风险增加4.2%(95%CI: 1.1%~7.3%),这可能与高温增加了人群户外面对面接触机会,为犯罪创造了条件有关<sup>[60]</sup>。

## 2.2 高温热浪增加人群死亡风险的脆弱性

大量研究发现,高温热浪的死亡效应受到脆弱性因素的修饰。尽管以往多从暴露、敏感性和适应性开展高温热浪脆弱性评估<sup>[5-6, 61]</sup>,但脆弱性因素可能并不局限于作用其中的某个单一过程,而是对整个环节综合作用的结果,且因素之间也可能相互影响。脆弱性

因素根据来源,可分为个体因素、社会经济因素和环境因素。

**2.2.1 个体因素** (1)人口学特征。不同国家和地区的研究均发现,老年人对高温热浪更为敏感,暴露于高温热浪的死亡风险更高<sup>[10, 62-63]</sup>。这可能与机体体温调节能力弱、患有基础性疾病等生理过程有关,也可能与获取医疗服务途径有限、支持不足等社会条件有关<sup>[64-65]</sup>。儿童处于生理和心理的发育阶段,且许多室外的防护措施较少考虑儿童的因素,因此儿童同样需要防范高温热浪的健康威胁<sup>[66]</sup>。由于男性和女性在环境暴露、生理反应、生活方式和行为等方面存在的差异,女性可能更容易受到高温热浪的影响<sup>[7, 14]</sup>。但也有研究发现,男性具有更高的风险或者性别之间没有差异<sup>[67-68]</sup>。此外,个人职业和种族等因素也与高温热浪的死亡风险有关<sup>[69-70]</sup>,这些因素既可能引起暴露的差异,也可能导致适应能力不同。(2)基础疾病。基础疾病患者暴露于高温热浪中,机体的生理负荷加重,增加了疾病加重或发生死亡的风险,尤其是心脑血管疾病和呼吸系统疾病患者<sup>[4, 71]</sup>。一项全国性的研究发现,热浪对心脑血管疾病和呼吸系统疾病的超额死亡风险高于非意外死亡<sup>[63]</sup>。另一方面,高温热浪对基础疾病患者的作用受到其他多种因素的影响。如北京的研究发现尽管城市化水平高地区的高温暴露比城市水平低的地区高,但由于城市化高地区的医疗条件、社会支持能力、空调覆盖率等较高,心脑血管疾病患者的死亡风险仍较低<sup>[72]</sup>。

**2.2.2 社会经济因素** (1)社会经济状况(socio-economic status, SES)。高温热浪与死亡的关系受到SES的修饰作用。低城市化水平、高人口密度、低医疗水平地区的居民更容易受到高温热浪的威胁<sup>[63, 73-74]</sup>,即低SES的地区暴露于高温热浪下通常具有更高的死亡风险<sup>[7]</sup>。尽管高SES的地区通常具有较高水平的高温暴露,如城市中心区域受热岛效应作用热暴露程度更高,但高SES有利于增加人群的适应能力,反而降低其脆弱性<sup>[74-76]</sup>。(2)社会经济关联因素。在社会经济条件的影响下,生活方式、习俗等因素可能影响人群暴露、生理反应和适应能力,修饰高温热浪与死亡风险的关联<sup>[77-78]</sup>。此外,地区的公共卫生干预政策和医疗条件也是影响高温热浪健康效应的重要因素<sup>[79-80]</sup>。

**2.2.3 环境因素** (1)人居环境。空调使用、房屋结构等因素可改善人居环境,减少居民高温环境暴露,提高适应能力,降低死亡风险<sup>[81-83]</sup>。如一项美国加州的研究发现,2006年夏季热浪期间,最高温地区拥有最

高的空调普及率(94%)，热浪引起的超额死亡未见显著增长；而最高超额死亡率的地区位于北部海岸，其空调普及率仅为4%<sup>[84]</sup>。人居环境与社会经济因素密切相关，如空调的使用受到SES的影响，高SES地区通常具有较高的空调普及率。(2)自然环境。研究表明，植被、草地、林地、湿地和公园等绿地可有效降低高温热浪的死亡风险<sup>[69, 85]</sup>。一方面，植物的遮荫效应可降低热环境和地表的温度，减少高温暴露；另一方面，植物的蒸腾作用可达到降温的效果<sup>[69]</sup>。有研究认为绿地同时增强了应对风险的适应能力<sup>[86]</sup>。水体也可降低高温热浪的风险<sup>[85, 87]</sup>，较大的水体占比对气候有缓和作用，有利于热量散发，减少高温热浪的形成，缓解高温的健康风险。此外，大气污染物可能与高温热浪存在协同作用，进一步增加死亡风险<sup>[88-89]</sup>。有研究发现，相比于低浓度臭氧环境，高浓度臭氧地区具有更高的高温死亡风险<sup>[90]</sup>。

### 3 总结与展望

目前的研究在高温热浪与健康结局(如发病或死亡)的关联、脆弱性因素的作用方面开展了一些工作，但在脆弱性路径机制方面研究不多。根据上述总结的高温热浪增加死亡风险的脆弱性理论框架，未来可在以下方面加强研究：(1)继续探索影响高温热浪与健康脆弱性的一些新因素，定量评估不同脆弱性因素作用的机制路径；(2)加强宏观因素(社会经济、适应能力)如何影响微观(如生理和生化等)的机制研究，从而揭示其从社会学到生物学的机制路径；(3)开展多过程研究，明确不同脆弱性因素叠加对高温热浪增加死亡风险中的作用和路径；(4)除了重视高温热浪对慢性病等健康结局的影响，也应加强高温热浪对伤害的影响及其机制研究。

高温热浪是气候变化情境下人类健康不可避免的重大健康威胁，基于理论框架深入探索高温热浪影响健康的机制，不仅有利于促进对高温热浪健康危害的认识，也有利于相关部门开展有针对性的干预措施，减少高温热浪带来的疾病负担。

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