

Does air pollution really impact the onset of spontaneous pneumothorax? A French case-crossover study

Tania Marx, Nadine Bernard, Anne-Laure Parmentier, Marc Puyraveau, Berenger Martin, Madeleine Gantelet, Jean-Baptiste Pretalli, Jean-Charles Dalphin, Frédéric Mauny, Thibaut Desmettre

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ABSTRACT

Rationale: A link is established between air pollution and respiratory diseases. Very few studies evaluated this link with primary spontaneous pneumothorax (PSP). Contrasted results, low statistical power and methodological limits of these studies brought us to evaluate in a more thorough way this link.

Objectives: *(1)* to estimate the relation between PSP and air pollutants namely nitrogen dioxide (NO₂₎, ozone (O₃₎ and particulate matter with a diameter ≤ 10μm (PM₁₀); (2) to investigate a time lag effect between these pollutants and occurrence of PSP.

Methods : This study has a case-crossover design. Subjects aged \geq 18 years admitted from 1st 44 June 2009 to $31st$ May 2013, in 14 Emergency Departments centers on the French territory. Were excluded: patients with traumatic, secondary, recurrent or history of previous 46 pneumothorax. NO₂, O₃ and PM₁₀ data were collected hourly in monitoring stations. Three exposure assessments were retained: quantitative values, fast increase concentration of air pollutants and peak of pollution. These assessments were calculated for the entire exposure period and for each of the four days of all case and control periods.

Results: 948 subjects included. Whatever the pollutant considered, no differences were observed between case and control periods, regardless of whether the quantitative values of air pollutants exposure (p>0.09), fast increase concentration (p>0.46) and peak of pollution (p>0.20).

Conclusions: There is no impact of short-term air pollution exposure and low to moderate 55 level of $NO₂$, $O₃$ and PM₁₀ concentration on the onset of PSP. An impact at higher exposure level, and/or a potentiating effect of different meteorological factors remain to be demonstrated.

Keywords: pneumothorax, air pollution, case-crossover study

1. INTRODUCTION

Spontaneous pneumothorax (SP) is defined as the spontaneous presence of air in the pleural spaces. When SP occurs in a healthy lung, it is called primary SP (PSP), otherwise it is termed secondary SP (SSP) when occurring in the context of underlying pulmonary disease. The incidence of PSP is estimated of 7.4-18/100 000 per year among men, and 1.2-6/100 000 per year among women (Sahn and Heffner, 2000). Although mortality is low with a rate of 1,26 and 0.62/1 000 000 per year for men and women (Gupta et al., 2000), the economic consequences are substantial, with an average hospital stay of seven days (Bobbio et al., 2015). The causal mechanism of SP is thought to involve rupture of the alveolar walls or of sub-pleural structures (bullae and blebs) (Sahn and Heffner, 2000), while some authors have incriminated diffuse increased porosity at the periphery of the lungs (Noppen et al., 2006). Factors that can facilitate or trigger SP remain unknown. It occurs most frequently at rest. Some authors have hypothesized that there is a link between SP and meteorological factors, in view of the occurrence of temporal clusters (Accard et al., 1972). Several studies have investigated the relation between the occurrence of PSP and the atmospheric pressure variation (Alifano et al., 2007), but with contradictory results (Smit et al., 1999; Suarez-Varela et al.,2000). Similarly, temperature increases have been reported to be related to PSP (Obuchi et al., 2011), whereas other authors have failed to find any such association (Celik et al., 2009; Özpolat et al., 2009). Some authors studied then the impact of seasons on the occurrence of SP. The results are again very contrasted (Alifano et al.,2007; Ayed et al., 2006; Zhang et al.,2012). Concerning air pollution, the link with various respiratory disease such as chronic obstructive pulmonary disease (COPD), asthma and lung infection is well established (Arbex et al., 2012; Kelly and Fussell, 2011; Ko and Hui, 2012; Sbihi et al., 2016; To et al., 2016). Conversely, the association between air pollution and PSP has not been widely

90 investigated. Bertolaccini et al. (2011, 2015) suggest a link between nitrogen dioxide (NO₂), 91 ozone (O_3) and the occurrence of PSP. These results were partially confirmed by Abul et al. (2011). Previous studies lacked consensual results and suffered from low statistical power and methodological limits (e.g. single-centre studies). In this context, we sought to investigate the relation between air pollution and PSP. The objectives of the study were: *(1)* 95 to estimate the relation between PSP and air pollutants namely $NO₂$, $O₃$ and particulate matter with a diameter ≤ 10μm (PM10); *(2)* to investigate a time lag effect between exposure and occurrence of PSP.

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2. METHODS

A time stratified case-crossover design was chosen (Maclure 1991). This study's design, particularly adapted for the researches on air pollution (Bateson and Schwartz, 1999; Janes et al., 2005; Levy et al., 2001; Maclure 1991), concerned 14 Emergency Departements (EDs) centers from middle size cities distributed on the French territory (Figure 1).

For each PSP, the period prior to occurrence of the event (case-period) was compared to several other periods at a distance from the PSP (control periods). The date of admission to the EDs was retained as the date of occurrence of PSP (date D). The case-period was defined as the total time during which the subject was exposed to the risk of occurrence of PSP: the four days before admission was retained to define the period (day D-1 to day D-4). The control periods were defined for each subject as the same weekdays as the case period within the same month. The exposure periods were defined by all of case and control periods.

2.1. Study population

117 Inclusion criteria were: occurrence of PSP between 1st June 2009 to 31st May 2013, age over 18 years and provision of written informed consent. Were excluded patients with traumatic, secondary, recurrent or history of previous SP, and not living in the study area or with home address missing. Sex, age, date of admission, home address, smoking status, and history of asthma were collected in the ED medical records. The study was approved by the National authority for the protection of privacy and personal data.

2.2. Environmental data

Air pollution data were provided by the French Air Quality Monitoring Association (AASQA) 126 Network and the local AASQA for each study area. $NO₂$, $O₃$ and PM₁₀ data were collected hourly in each monitoring station. Home address was used to estimate the residential exposure of each subject at the date of PSP. The home address of each subject was geolocated, and the choice of the appropriate monitoring station in relation to each patient address was made by the team of every local AASQA. Since the number of monitoring stations is limited, this choice was optimized taking into account the distance between the patient's home and the station, the geomorphological situation of the subject's residence and the proximity of the major sources of air pollution.

Three exposure assessments were retained: quantitative absolute values, fast increase concentration of air pollutants and peak of pollution. To investigate a potential lag effect, these assessments were calculated for the entire exposure period and for each of the four days of all case and control periods: from date D-1 (Lag1) to date D-4 (Lag4).

Minimum, maximum, mean and range of absolute quantitative values of the three pollutants were computed.

A fast increase of pollutant concentration was defined as a positive difference of 141 concentration occurring in a 3-hour interval, noted Δ_{3h} . For each hour, Δ_{3h} was calculated as the difference between the concentration measured at hour h, minus the concentration 143 measured at hour h-3. A fast increase was retained if a Δ_{3h} exceeded : 40μg/m³ for NO₂ and 144 O_3 , 20 μ g/m³ for PM₁₀. This threshold value was chosen as the third quartile of distribution 145 of all the Δ_{3h} .

According to the European legislation on the air quality (Ministère de l'écologie, de l'énergie, du développement durable et de la mer; 2010), peaks of pollution were defined 148 in using the following norms as the cut-off: NO₂ hourly average = 200μ g/m³, PM₁₀ daily average 149 = 50μg/m³, O₃ 8-hour average = 120μg/m³.

2.3. Statistical analysis

The number of necessary cases was estimated at 838 (unilateral situation, proportion of exposure among controls = 0.25, odds ratio = 1.25, and statistical power = 80%). The value of the odds ratio was voluntarily maintained at a low value given the environmental nature of the study.

The relationship between the case or control status of each period and air pollution exposure was analysed using conditional logistic regression. Considering the number of exposure indices analysed, Benjamini Yekutieli's correction for multiple testing was applied to control the false discovery rate (Benjamini et al., 1995; Benjamini and Yekutieli, 2001; Reiner et al., 2003). Sentitivity analyses were performed to verify that the effect of concentrations of pollutants was not modified by individual factors: age, sex, smoking status,

3. RESULTS

3.1. Participants

Among 1946 eligible patients, 948 were included in this study (Figure 2). The characteristics of the population are shown in Table 1.

Mean age was 30.8 (standard deviation 13.2) years. The male/female ratio was 3.6. Current smoker accounted for 71.5%. Only 6.4% declared a history of asthma. The percent of PSP observed was the same whatever the season considered.

3.2. Air pollution exposure

175 Not surprisingly, the mean hourly concentration of $NO₂$, $O₃$ and PM₁₀ showed regular and daily variation (Figure 3). No significant association between exposure to air pollutants (treated as quantitative) and the occurrence of PSP was observed in Table 2 (all OR ranged 178 between 0.99 and 1.01, and all multiple testing with Benjamini Yekutieli corrected P_{Corr} values > 0.09).

The proportion of periods where at least one fast increase in pollutant concentration was observed is presented in Figure 4. No differences were observed between case and control 182 periods (all P_{Corr.} values > 0.46) (Table 3). At least one fast increase in NO₂, O₃ and PM₁₀ was observed in respectively 14%, 20% and 13% of both case and control periods on each Lag. Over the whole period, at least one fast increase in pollutant concentrations was observed in 40% of both case and control periods, whatever the pollutant considered, while at least one 186 peak of pollution of $NO₂$ was observed in less than 1% of both case and control periods. 187 Exposure to at least one peak of O_3 and PM₁₀ values for case and control periods were respectively 9.99% versus 9.59% and 8.33% versus 9.15% (Figure 5). No significant differences were observed between cases and controls periods, whatever the pollutant considered, and regardless of whether the whole period or the Lags were considered (all $P_{Corr.}$ values > 0.20) (Table 4).

Sensitivity analyses performed on different patient subgroups (age, sex, smoking status, history of asthma and center) yielded similar results (data not shown).

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4. DISCUSSION

No association between the occurrence of PSP and environmental exposure to low to 198 moderate levels of NO₂, O₃ and PM₁₀ was observed in this study, whatever considering quantitative absolute values, fast increases in concentrations of air pollutants and pollution peaks. Furthermore, no lag effect was identified.

The strength of our study resides in several different points. Firstly, to the best of our knowledge, our study includes the largest sample size to date in studies analyzing the link between the occurrence of PSP and air pollution. Very few studies have been published on this particular topic up to now, with fewer than 500 and 79 subjects included respectively in the studies of Bertolaccini et al. (2011, 2015) and Abul et al. (2011)*.*

Secondly, we were particular meticulous with the process used to identified patients and to collect data. All patients with a diagnosis of pneumothorax (International Classification of 208 Diseases (ICD) 10^{th} revision code = J93) during the study period were retrospectively identified by medical informatics queries of the emergency unit databases in the

participating centers. The diagnosis of PSP (ICD code J93.11) or SSP (ICD code J93.12) was checked by research assistants in the medical files of the EDs admissions database. Demographic characteristics of the study subjects were similar to those of the large descriptive study of Bobbio et al. (2015).

Thirdly, air pollution exposure was assessed using measurements provided by the French National AASQA Network, which is accredited by the French Ministry for the Environment and whose quality is guaranteed by ISO/TC146 standard for air quality. Every patient's home was situated at a median distance of station of 6.76 km (first quartile 1.89 ; third quartile 25.16). Air pollution assessment was based on a reproducible process, especially among cases and controls and across the study centers. The assessments of air pollution levels focused on residential exposure; and not professional exposure, or exposure during transportation or travel. Indeed, PSP most frequently occurs at home and at rest, so restricting the assessment of exposure to the patient's residential address likely did not introduce any substantial bias into the results.

The multicentre approach used in our study made it possible to include subjects from various urban and periurban areas distributed nationwide. Thus, the patients in our study were not all subject to the same pollution profile, conversely to the situations reported in some other studies (Abul et al., 2011; Bertolaccini et al., 2011, 2015).

A further key point of this study is the time stratified case-crossover design. It is specifically adapted to the analysis of relationships between the acute occurrence of disease and environmental exposure in case of short-term temporal variations (Bateson and Schwartz, 1999; Janes et al., 2005). The case-crossover design could be considered as a variant of the matched case-control design: each case becomes its own control (Maclure, 1991), and matching occurred on characteristic of each subject, regardless of whether these

characteristics are known or unknown. This design has previously been used to analyze the relationship between respiratory diseases such as COPD, asthma and air pollution, with convincing results (Kwon et al., 2016; Medina-Ramón et al., 2006; Yamazaki et al., 2015), but has never yet been applied to the study of PSP.

Lastly, the design of this study and the sensitivity analysis by subgroup including the major risk factors made it possible to explore potential interactions and confusion effects; the probability of type I error due to multiple testing was minimized by applying the appropriate corrective measures to the analysis.

243 No significant association between concentrations of $NO₂$, $O₃$ or PM₁₀ and the occurrence of PSP was identified in this study. Indeed, to assess the statistical power of this study, the odds ratios that could be appropriately identified from a statistical point of view were calculated *a posteriori,* taking into account the study size and the proportion of controls effectively exposed to air pollution. The smallest odds ratios which could be declared significant for a fast increase of pollutant concentration or a peak of pollution would be respectively 1.13 and 1.22, which indicate a high statistical power. These results plead in favor of the absence 250 of any relation between the occurrence of PSP and air pollution in the context of this study.

Two points merit discussion in this regard, namely the level of exposure and the consideration of factors other than air pollution, such as meterological data.

The level of exposure of the subjects in our study to air pollution is lower than that reported by Abul et al. (2011) in their study of PSP, and lower than in other studies of respiratory diseases (Abbey et al., 1998; Kwon et al. 2016; Medina-Ramón et al, 2006; To et al., 2016). These studies mainly focused on pollution exposure in big cities, whereas the cities included

in our study were medium-sized, i.e. 100 000 to 500 000 inhabitants, where exposure is low to moderate. It is clearly plausible that exposure to air pollution is considerably higher in big cities given the more numerous sources of primary pollutants, which could in turn impact on 261 the occurrence of PSP.

262 Abul et al. (2011) demonstrated a link between the increase of O_3 and the occurrence of PSP, while Bertolaccini et al. (2011, 2015) reported contrasting results from two studies. In the first of these two studies (Bertolaccini et al., 2011), the occurrence of PSP was significantly 265 triggered by higher values of $NO₂$, lower values of $O₃$ and less dispersed temperature and wind speed. In his second study Bertolaccini et al. (2015) confirmed that PSP was significantly more likely to occur on warm windy days with high atmospheric pressure and 268 high mean $NO₂$ concentration. This discrepancy in their results may be explained by the inclusion of factors other than air pollution in the analysis. Indeed, climate parameters were included in the air pollution analysis in the study by Bertolaccini et al. (2011, 2015), but not in the study by Abul et al. (2011) or in our own study.

The pathophysiology of PSP is actually better understood. The concept of PSP associated with a localised rupture of a bleb, or a bulla has been discussed (Tschopp and Marquette, 274 2017). The occurrence of PSP could be the result of a diffuse histopathological change in the lung parenchyma under the visceral pleura. Some authors identified diffuse increased porosity at the periphery of both lungs (Noppen et al., 2006). This could lend credence to the hypothesis of an impact of air pollution on the onset of PSP.

278 Concerning O_3 in particular, it's recognized that megacities emit higher levels of O_3 precursors and particulate matter, and these are crucial to local and regional air quality. Megacities can be warmer than the surrounding rural environments by up to several degrees. Ozone concentration increase almost linearly with the ambient temperatures

282 (Baklanov et al., 2016), and with greater sun exposure. The potential of air pollution to affect PSP is therefore a particularly major challenge in megacities, particularly those that are located at latitudes that enjoy extensive sunshine.

5. CONCLUSIONS

In conclusion, in this large sample of patient, our results are in favour of a lack of connection 289 between PSP and short-term air pollution exposure and low to moderate level of $NO₂$, $O₃$ and PM10 concentration. Conversely, an impact at higher exposure level, and/or a potentiating effect of different meteorological factors remain to be demonstrated.

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-

COMPETING INTERESTS

- The authors declare they have no actual or potential competing financial and non financial
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- 1;16:193–8.

400 **TABLES**

401

402 Table 1. Baseline characteristics of study population

(Table 2 continued)

Mean

413 *Definition of abbreviations*: CI = confidence interval

414 *Confidence interval without correction in multiple comparison procedure.

415 † For conditionnal logistic regression.

416 ‡ Corrected *P* Value with Benjamini Yekutieli's method.

417

- 419 Table 3. Association between exposure to at least one fast increase concentration of
- 420 pollutants over time windows of three hours, and the occurrence of primary spontaneous

421 pneumothorax, during the exposure period.

422 *Definition of abbreviations*: CI = confidence interval

423 *Confidence interval without correction in multiple comparison procedure.

424 † For conditionnal logistic regression.

425 ‡ Corrected *P* Value with Benjamini Yekutieli's method.

427 Table 4. Association between exposure to at least one peak of pollution and the occurrence

428 of primary spontaneous pneumothorax, during the exposure period.

429 *Definition of abbreviations*: CI = confidence interval

430 *Confidence interval without correction in multiple comparison procedure.

431 † For conditionnal logistic regression.

- 432 ‡ Corrected *P* Value with Benjamini Yekutieli's method.
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Figure 1: Geographical location of the fourteen participating centers

Seven university teaching hospitals, namely Angers, Besançon, Clermont-Ferrand, Dijon, Grenoble, Poitiers and Toulouse; and seven general, non-academic hospitals, namely Belfort, Béthune, Boulogne sur Mer, Lomme, Roubaix, Mulhouse and Vesoul. Maximal distance between two hospitals: north-south 798km; east-west 593km.

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Figure 2: Flow chart of the population include

Definition of abbreviations: PSP=primary spontaneous pneumothorax

Figure 3: Hourly mean concentration of nitrogen dioxide (NO2), ozone (O3) and particulate matter with a diameter ≤10µm (PM10) according to the four days on the case and control periods

least one fast increase concentration of pollutants

470 A.nitrogen dioxide (NO₂) cut-off= 40µg/m³; B. ozone (O₃) cut-off = 40µg/m³; C. particulate

471 matter with a diameter ≤10μm (PM₁₀) cut-off = 20μg/m³.

Figure 5: Percentage of periods, according to the case and control status, exposed to at

least one peak of pollution, on every Lag and exposure period.

477 A. ozone (O_3) = 120 μ g/m³ (8-hour average) ; B. particulate matter with a diameter $\leq 10 \mu$ m

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$$
(PM_{10}) = 50 \,\mu g/m^3
$$
 (daily average)