Lung Pathophysiology & PFTs

Mark F. Sands MD, FCCP, FAAAAI
Division of Allergy, Immunology & Rheumatology

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Faculty for Course #1612

Donald W. Cockroft, MD, FAAAAI  
Professor in Respiratory Medicine, University of Saskatchewan

Meredith C. McCormack, MD, MHS  
Asst. Professor of Medicine, Johns Hopkins School of Medicine

Riccardo Polosa, MD, PhD, FAAAAI  
Professor of Medicine, Dipartimento di Medicina Interna e Specialistica, U. of Catania

Mark F. Sands, MD, FAAAAI  
Assoc. Professor of Medicine, SUNY Buffalo School of Medicine

Donald P. Tashkin, MD  
Professor of Medicine, David Geffen School of Medicine, UCLA

John M. Weiler, MD, FAAAAI  
Professor Emeritus Department of Internal Medicine, University of Iowa
Conflicts of Interest

- I have no known conflicts of interest.

- Disclosures:
  - I have nothing to disclose.
Outline

- Lung Volumes & Capacities
- Tests defined
- Spirometry
  - Indications
  - Readouts
- Complete PFT
  - Gas dilution
  - Plethysmography
  - DL, CO
- Flow/Volume Loops
- Lung pathophysiology
  - Obstructive mechanics
  - Restrictive mechanics
- References
Lung Volumes and Capacities

Maximal inspiratory level

Resting expiratory level

Maximal expiratory level

ERV, expiratory reserve volume; FRC, functional residual capacity; IC, inspiratory capacity; IRV, inspiratory reserve volume; RV, residual volume; TLC, total lung capacity; $V_T$, tidal volume; VC, vital capacity.

Lung Volumes

- **Tidal volume (TV)** - Amount of air inhaled or exhaled with each breath during quiet breathing* (~0.5 L)
- **Inspiratory reserve volumes (IRV)** - additional volume inhaled after quiet inspiration (~2L)
- **Expiratory reserve volumes (ERV)** - additional volume exhaled after quiet expiration ~1.2L
- **Residual Volume (RV)** - Amount of air remaining in lungs after maximal expiration (~2L)
  *or as specified (eg. exercise)
Lung Capacities

- **TLC** - volume of gas in lungs after maximal inspiration (RV + ERV + TV + IRV) = (FRC + IC)
- **FRC** - lung volume present at end-expiration during tidal breathing (RV + ERV)
- **VC** - volume change at mouth between full inspiration and full expiration. ERV + TV + IRV
  - Slow inspiratory - IVC
  - Slow expiratory - EVC
  - Forced vital capacity - FVC


ERV, expiratory reserve volume; FRC, functional residual capacity; IC, inspiratory capacity; IRV, inspiratory reserve volume; RV, residual volume; TLC, total lung capacity; VT, tidal volume; VC, vital capacity.
Lung Capacities...

- **FVC** - amount forcibly exhaled from full inspiration (TLC) to full exhalation (RV).
- **IC** - (TV + IRV)

Definition of tests...

- **FEV<sub>1</sub>**: forced exhaled volume in first second.
- **FEF<sub>25-75</sub>**: Average flow rate over mid 50% of FVC (from 25% to 75%)
- **PEF or PEFR**: Peak expiratory flow rate
  - The maximum flow rate generated with a forceful expiration (recorded as L/sec or L/min) from TLC
- **FEV<sub>1</sub>/FVC ratio**: (FEV<sub>1</sub>%)
  - indicator of obstruction if less than 70%. If high, may reflect restrictive disease.
Definitions of tests...

- **FEV<sub>1</sub> (% predicted):** *(don’t confuse with FEV1%)*
  - (patient FEV<sub>1</sub>/ "normal" FEV<sub>1</sub>) x 100
  - the FEV<sub>1</sub> of the **subject** as a % of predicted for the reference group; normal is ≥ 80%.

- **MVV:**
  - The maximum volume of air a subject can breathe over a specified period of time (12 s for normal subjects) expressed in L·min<sup>-1</sup> at BTPS
Lung Volumes & Capacities

Modified from Middleton’s Allergy Principles & Practice 6th Ed. 2003
Spirometry Defined

- A physiological test that measures how an individual inhales or exhales volumes of air as a function of time.
- The primary signal measured in spirometry may be volume or flow.
- Output is numeric and graphic
  - Volume-time tracing and/or
  - Flow-volume loop
Indications for Spirometry

- **Diagnostic**
  - Evaluate Sx, signs, abnormal lab tests
  - Effect of disease on PFT
  - Screen those at risk for pulmonary disease
  - Pre-operative risk (or pre-exercise risk)
  - Prognosis

- **Monitoring**
  - Response to therapy
  - Disease progression
  - Adverse exposure/drug effect

- **Disability/Impairment**

- **Public Health**

# Spirometry:

<table>
<thead>
<tr>
<th>Measured</th>
<th>Not Measured</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Forced Vital Capacity (FVC)</td>
<td>• RV</td>
</tr>
<tr>
<td>• Forced Expiratory Volume in One Second (FEV₁)</td>
<td>• FRC</td>
</tr>
<tr>
<td>• FEV₁ to FVC ratio (FEV₁/FVC, %)</td>
<td>• TLC</td>
</tr>
<tr>
<td>• Peak Expiratory Flow Rate (PEF)</td>
<td>• DL,CO</td>
</tr>
<tr>
<td>• MMEF (FEF₂₅₋₇₅)</td>
<td>• Compliance</td>
</tr>
<tr>
<td>• MVV (Max Voluntary Ventilation)</td>
<td>• Resistance</td>
</tr>
<tr>
<td>• Other</td>
<td></td>
</tr>
<tr>
<td>• VC (Slow)</td>
<td></td>
</tr>
<tr>
<td>• IC (Slow)</td>
<td></td>
</tr>
<tr>
<td>• ERV</td>
<td></td>
</tr>
<tr>
<td>• IRV</td>
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</table>
Normal Spirometry

Flow-Volume Loop

Volume-Time Plot

<table>
<thead>
<tr>
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Spirometry

Exhaled volume (L)

Time (seconds)

FEV1

Before bronchodilator

After bronchodilator

FVC

Asthma
MMEF (FEF\textsubscript{25-75})
Complete PFT

- Measures the FRC
  - Allows determination of the RV
  - Allows determination of TLC
- Diffusing capacity
  - CO uptake test (not a capacity)
- Measurement of FRC methods:
  - Gas dilution (Helium)
  - Nitrogen washout
  - Plethysmography
    - $SG_{aw}$

Lung volume alterations in obstructive and restrictive patterns. FRC and RV increase at the expense of VC, TLC increases. In restrictive disease, TLC, FRC, RV all decrease.
Determining the *Elusive* TLC

- Must assess the RV by other than exhalation maneuver.

- **Gas Dilution methods**
  - Helium Dilution (He inspired, equilibrates with lung) *
  - Nitrogen Washout (O$_2$ inspired washes out lung N$_2$)

- **Plethysmography (compressible gas vol.)**
  - Has advantage of not underestimating lung volume due to uneven ventilation and incomplete gas mixing or “trapped gas” in non-communicating or poorly communicating air spaces (e.g., bullae).

*note: inspired gas may diffuse into volume less than true lung vol. so final gas concentration too high, making volume look too low.*
Helium Dilution

Helium Concentration Starting = Final Volume of System
Helium Concentration Final = Initial Volume of System

FRC_{uncorrected} = \frac{(C_1 - C_2)(V_{ds} + V_{added})}{C_2} - V_{mp}

Fig. Courtesy D. Tashkin
Nitrogen Washout

Again, by measuring $N_2$ concentration and volume of expired gas, and knowing the original concentration of N in the lung, solve for lung gas volume.

\[
\left( \text{Concentration of nitrogen in the lungs} \right) \times \left( \text{volume of gas in the lungs} \right) \left( \begin{array}{c}
\text{concentration of nitrogen in expired gas} \\
\text{volume of expired gas}
\end{array} \right)
\]

\[
FRC(\text{corr}) = \left[ \frac{(V_E + V_{D1})(F_E - F_I) - (V_{D2})(F_N) - V_{TIS}}{F_{A1} - F_{A2}} \right] \left( K_{BTPS} \right)
\]
Plethysmograph
Plethysmography Concepts

- TGV (VTG) = plethysmograph measure of intrathoracic gas at time airflow occluded.
- FRCpleth = lung gas volume with occlusion at FRC
- Other volumes (e.g., IC and ERV) by breathing maneuvers following measurement of FRC.
- Boyle’s law is underpinning
Plethysmography 101…

Boyle’s Law (simplified):
When a constant mass of gas is compressed (or expands), gas volume decreases (or increases) and gas pressure changes such that the product of vol. and pressure at any moment is constant.

\[ P_1 \times V_1 = P_2 \times V_2 \]
Slope of Scope Readout Allows Vpleth Calculation

\[ V_{TG} = \frac{\Delta P}{\Delta P_{box}} \times P_B \]

\[ V_{TG} = \frac{\Delta V}{\Delta P} \times P_B \]

Cotes JE. Lung Function. 6th Ed.
DL,CO: Diffusing capacity

- Also known as the “confusing capacity,”
- Neither a capacity nor a direct measurement of oxygen diffusion.
- A carbon monoxide transfer test.
- Measures CO uptake by Hgb in the lung.
- Any blood in the lung, intra- or extravascular, can take up CO.
Diffusing Capacity DL, CO

- Breathing minute amounts of CO
- Transfer/absorption of CO depends upon
  - Ventilation presenting CO to alveolus
  - CO transfer from alveolus through wall
  - Movement across interstitium
  - Uptake by Hgb in RBC in capillary
    - [Hgb] important (correction factor)
  - Correction factors include:
    - Alveolar Volume (VA) \( \frac{DLCO}{VA} = KCO \) (controversial)
    - Hemoglobin concentration
DL,CO: Maneuver

- Single breath of gas with low conc. of carbon monoxide, and an inert gas (He or CH$_4$).

- Start at RV and inhaled to TLC.
  - 10 sec. breath hold at TLS followed by full exhalation
  - Exhaled alveolar gas sampled for [CO] and [He] or [CH$_4$].
  - Drop in CO indicates how much “diffusion” has occurred, He (or CH$_4$) allows for the calculation of volume. Normally 20-30 mL of CO/min/mm Hg occurs.
The Flow Volume Loop
The Good, The Bad, and...The Unusual

- Normal
- Restrictive
- Obstructive
Flow/Volume Loops: Obstructive Pattern...The Bad

Normal

Asthma - mod. obstruction

COPD – severe obstruction

Flow Loops:

- **Normal**
  - Inhalation
  - Exhalation

- **Asthma - mod. obstruction**

- **COPD – severe obstruction**
Flow/Volume Loops…

A  Normal

B  Restrictive

C  Mixed: Restrictive - Obstructive
And The Unusual...

**FIGURE 3.** Idealised examples of a) fixed, b) variable extrathoracic, and c) variable intrathoracic airway obstruction.
Pathophysiology

- Obstructive
  - Asthma
  - COPD
- Restrictive
  - Parenchymal
  - Neuromuscular
  - Musculoskeletal
  - Extra-pulmonary
- Mixed
Mechanisms of Airway Obstruction

- Filling of Lumen
- Wall Thickening
- Loss of Tethering
Airway Resistance

\[ R = \frac{8 \eta l}{\pi r^4} \]

- Airway resistance (R) varies (inversely) with the 4\(^{th}\) power of the radius of the airway.
- This is in laminar flow (Poiseuille’s Law)
- Most flow in smaller airways is laminar

\( I \) (length tube); \( \eta \) (viscosity); \( r \) (radius)
Obstructive Lung Disease Defined

- An obstructive ventilatory defect is a disproportionate reduction of maximal airflow from the lung in relation to the maximal volume (i.e. VC) that can be displaced from the lung.
- It implies airway narrowing during exhalation and is defined by a reduced FEV1/VC ratio below the 5th percentile of the predicted value.
Restrictive Lung Diseases

- Characterized by reduction in TLC below the 5th percentile of predicted, and a normal FEV1/VC.
- Lung volumes are reduced
  - Alteration in lung parenchyma
  - Diseases of the pleura, chest wall or neuromuscular apparatus
  - Reduced compliance (pulmonary or extra-pulmonary)
Restrictive Pattern in IPF
PFTs & Quality Control

Mark F. Sands MD
Acceptable criteria for single maneuvers

1. Satisfactory start (EV <5% or 0.15 L whichever is greater)
2. No cough during 1st sec
3. No early termination
4. No Valsalva (e.g. glottic closure)
5. No leak
6. No obstructed mouthpiece
7. No extra breath
   (Usable curve meets 1 and 2 whereas acceptable curve meets all 7)
Normal Spirometry

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Hesitation

**Diagram Explanation**

- **Flow (L/sec)**: Graph showing the exhaled volume (liters per second) over time.
- **Volume (L)**: Graph showing the volume (liters) over time.
- **Zero time**: The point where flow is zero.
- **Back extrapolation**: The line that extrapolates backwards from the maximal inspiratory level.
- **Extrapolated volume**: The volume extrapolated from the back extrapolation line.
- **2 sec** and **1 sec**: Time points on the graph.
- **Maximal inspiratory level**: The highest point on the volume graph.
Early Termination

Observed LLN

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Submaximal Effort

Observed vs LLN

FVC  4.45  3.88
FEV$_1$  3.00  3.12
FEV$_1$/FVC  67%  71%
Cough

Observed    LLN
FVC         5.00    3.88
FEV\textsubscript{1}    3.47    3.12
FEV\textsubscript{1}/FVC 69%    71%
Acceptable & Reproducible Efforts

A. FLOW (L/SEC) vs. EXHALED VOLUME (LITERS, BTPS)

B. VOLUME (L) vs. TIME (SEC)
Non-Reproducible Peak Flows

Two efforts had submaximal peak flows
Non-Reproducible End-of-Test
Non-Reproducible Exhaled Volumes

Maneuvers individually acceptable but exhaled volumes not reproducible: failure to take as deep a breath as possible before $\geq 2$ of the maneuvers
Selected References


Thank You!