

# Survival-Convolution Models for Predicting COVID-19 Cases and Assessing Effects of Mitigation Strategies

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## Summary

Countries around the globe have implemented unprecedented measures to mitigate the coronavirus disease 2019 (COVID-19) pandemic. We aim to predict COVID-19 disease course and compare effectiveness of mitigation measures across countries to inform policy decision making. We propose a robust and parsimonious survival-convolution model for predicting key statistics of COVID-19 epidemics (daily new cases). We account for transmission during a pre-symptomatic incubation period and use a time-varying effective reproduction number ( $R_t$ ) to reflect the temporal trend of transmission and change in response to a public health intervention. We estimate the intervention effect on reducing the infection rate and quantify uncertainty by permutation. In China and South Korea, we predicted the entire disease epidemic using only data in the early phase (two to three weeks after the outbreak). A fast rate of decline in  $R_t$  was observed and adopting mitigation strategies early in the epidemic was effective in reducing the infection rate in these two countries. The lockdown in Italy did not further accelerate the speed at which the infection rate decreases. The effective reproduction number has staggered around  $R_t = 1.0$  for more than 2 weeks before decreasing to below 1.0, and the epidemic in Italy is currently under control. In the US,  $R_t$  significantly decreased during a 2-week period after the declaration of national emergency, but afterwards the rate of decrease is substantially slower. If the trend continues after May 1, the first wave of COVID-19 may be controlled by July 26 (CI: July 9 to August 27). However, a loss of temporal effect on infection rate (e.g., due to relaxing mitigation measures after May 1) could lead to a long delay in controlling the epidemic (November 19 with less than 100 daily cases) and a total of more than 2 million cases.

**Keywords:** COVID-19, survival-convolution model, time-varying effective reproduction number, mitigation measures, prediction

## 37 1 Introduction

38 COVID-19 pandemic is currently a daunting global health challenge. The novel coronavirus  
39 was observed to have a long incubation period and highly infectious during this period<sup>1-4</sup>.  
40 The cumulative case number surpasses 4.1 million by May 10, with more than 1.3 million  
41 in the United States (US). It is imperative to study the course of the disease outbreak in  
42 countries that have controlled the outbreak (e.g., China and South Korea) and compare  
43 mitigation strategies to inform decision making in regions that are in the midst of (e.g., the  
44 US) or at the beginning of outbreak (e.g., South America).

45 Various infectious disease models are proposed to estimate the transmission of COVID-  
46 19<sup>5-7</sup> and investigate the impact of public health interventions on mitigating the spread<sup>8-12</sup>.  
47 Several studies modeled the transmission by stochastic dynamical systems<sup>5-7,10</sup>, such as  
48 susceptible-exposed-infectious-recovered (SEIR) models<sup>5</sup>, extended Kalman filter<sup>13-15</sup>, and  
49 individual-based simulation models<sup>8,9</sup>. Some models did not explicitly take into account of  
50 behavioral change (e.g., social distancing) and government mitigation strategies that can  
51 have major influences on the disease course, while other work modified the infection rate  
52 as public-health-intervention-dependent<sup>10,12</sup> or time-varying<sup>7</sup>. A recent study<sup>11</sup> considered  
53 the disease incubation period and used a convolution model based on SEIR. A state-space  
54 susceptible-infectious-recovered (SIR) model with time-varying transmission rate<sup>16</sup> was de-  
55 veloped to account for interventions and quarantines.

56 SEIR models can incorporate mechanistic characteristics and scientific knowledge of  
57 virus transmission to provide useful estimates of its temporal dynamics, especially when  
58 individual-level epidemiological data are available through surveillance and contact trac-  
59 ing. However, these sophisticated models may involve a large number of parameters and  
60 assumptions about individual transmission dynamics. Thus, they may be susceptible to per-  
61 turbation of parameters and prior assumptions, yielding wide prediction intervals especially  
62 when granular individual-level data are not available. In contrast to infectious disease mod-

63 els, alternative statistical models are proposed to predict summary statistics such as deaths  
64 and hospital demand under a nonlinear mixed effects model framework<sup>17</sup>, survival analysis  
65 has been introduced to model the occurrence of clinical events in infectious disease studies<sup>18</sup>,  
66 and a nonparametric space-time transmission model was developed to incorporate spatial  
67 and temporal information for predictions at the county level<sup>19</sup>. Nonparametric modelling or  
68 survival models are data-driven, so parameters may not be scientifically related to disease  
69 epidemic.

70 In this work, we propose a parsimonious and robust population-level survival-convolution  
71 model that is based on main characteristics of COVID-19 epidemic and observed number of  
72 confirmed cases to predict disease course and assess public health intervention effect. Our  
73 method models only key statistics (e.g., daily new cases) that reflect the disease epidemic  
74 over time with at most six parameters, so it may be more robust than models that rely on  
75 individual transmission processes or a large number of parameters and assumptions. We  
76 construct our model based on prior scientific knowledge about COVID-19, instead of post-  
77 hoc observations of the trend of disease spread. Specifically, two important facts we consider  
78 include (1) SARS-CoV-2 virus has an incubation period up to 14-21 days<sup>1</sup> and a patient can  
79 be highly infectious in the pre-symptomatic phase; (2) infection rate varies over time and can  
80 change significantly when government guidelines and mitigation strategies are implemented;  
81 (3) intervention effect may be time-varying.

82 We aim to achieve the following goals. The first goal is to fit observed data to predict  
83 daily new confirmed cases and latent pre-symptomatic cases, the peak date, and the final to-  
84 tal number of cases. The second goal is to assess the effect of nationwide major interventions  
85 across countries (e.g., mitigation measures) under the framework of natural experiments  
86 (e.g., longitudinal pre-post quasi-experimental design<sup>20</sup>). Quasi-experiment approaches are  
87 often used to estimate intervention effect of a public health intervention (e.g., HPV vac-  
88 cine<sup>21</sup>) or a health policy where randomized controlled trials (RCTs) are not feasible. Our

89 third goal is to project the future trend of COVID-19 for the countries (e.g., US) amid the  
90 epidemic under different assumptions of future infection rates, including the continuation of  
91 the current trend and relaxing mitigation measures.

## 92 **2 Methods**

### 93 **2.1 Data source**

94 We used data from a publicly available database that consolidates multiple sources of official  
95 reports (World Meters[<https://www.worldometers.info/coronavirus/>]). We analyzed  
96 two countries with a large number of confirmed cases in Asia (China, South Korea) and two  
97 outside (Italy, US). Since both China and South Korea are already at the end of epidemic,  
98 we used their data to test empirical prediction performance of our method. We included data  
99 in the early phase of epidemic as training set to estimate model parameters and leave the  
100 rest of the data as testing set for evaluation. For China, we used data up to two weeks post  
101 the lockdown of Wuhan city (January 23) as training (data from January 20 to February  
102 4), and used the remaining observed data for evaluation (February 5 to May 10). Similarly,  
103 for South Korea we used data from February 15 to March 4 as training and leave the rest  
104 for evaluation (March 5 to May 10). Italy is the first European country confronted by a  
105 large outbreak and currently has passed its peak. We estimate the effect of the nation-wide  
106 lockdown in Italy (dated March 11) using 10 weeks data (February 20 to April 29). For  
107 the US, since after May 1 some mitigation measures were lifted in various states, we also  
108 included about 10 weeks data (February 21 to May 1) to assess the effect of its mitigation  
109 strategies.

## 110 2.2 Survival-Convolution Model

111 Let  $t$  denote the calendar time (in days) and let  $N_0(t)$  be the number of individuals who  
 112 are newly infected by COVID-19 at time  $t$ . Let  $t_j$  denote the time when individual  $j$  is  
 113 infected ( $t_j = \infty$  if never infected), and let  $T_j$  be the duration of this individual remain-  
 114 ing infectious to any other individual and in the transmission chain. Let  $t_0$  be the un-  
 115 known calendar time when the first patient (patient zero) is infected. Therefore, at time  
 116  $t$ , the total number of individuals who can infect others is  $\sum_j I(t_j \leq t, T_j \geq t - t_j) =$   
 117  $\sum_{m=0}^C \sum_{\{j: j \text{ is infected at } (t-m)\}} I(T_j \geq m)$ , where  $C = \min(t - t_0, C_1)$  with  $C_1$  as the max-  
 118 imum incubation period (i.e., 21 days for SARS-CoV-2) and  $I(E)$  denotes an indicator  
 119 function with  $I(E) = 1$  if event  $E$  occurs and  $I(E) = 0$  otherwise. Since the total number of  
 120 individuals who are newly infected at time  $(t - m)$  is  $N_0(t - m)$ , the number of individuals  
 121 who remain infectious at time  $t$  is  $M(t) = \sum_{m=0}^C N_0(t - m)S(m)$ , where  $S(m)$  denotes the  
 122 proportion of individuals remaining infectious after  $m$  days of being infected, or equivalently,  
 123 the survival probability at day  $m$  for  $T_j$ . On the other hand, right after time  $t$ , some individ-  
 124 uals will no longer be in the transmission chain (e.g., due to testing positive and quarantine  
 125 or out of infectious period) with duration  $T_j = (t - t_j)$ . The total number of these individuals  
 is  $\sum_j I(t_j \leq t, T_j = t - t_j) = \sum_{m=0}^C \sum_{\{j: j \text{ is infected at } (t-m)\}} I(T_j = m)$ , or equivalently

$$126 \quad Y(t) = \sum_{m=0}^C N_0(t - m)[S(m) - S(m + 1)]. \quad (1)$$

127 Therefore,  $(M(t) - Y(t))$  is the number of individuals who can still infect others after time  
 128  $t$ . Assuming the infection rate at  $t$  to be  $a(t)$ , then at time  $(t + 1)$  the number of newly  
 infected patients is  $a(t)[M(t) - Y(t)]$ , which yields

$$129 \quad N_0(t + 1) = a(t) \sum_{m=0}^C N_0(t - m)S(m + 1). \quad (2)$$

130 Note that  $a(t)$  is time-varying because the infection rate depends on how many close contacts  
 131 an infected individual may have at time  $t$ , which is affected by public health interventions (e.g.,

132 stay-at-home order, lockdown), and saturation level of the infection in the whole population.  
133 Define  $R_t = \sum_{m=0}^C a(t+m)S(m)$ , the expected number of secondary cases infected by  
134 a primary infected individual in a population at time  $t$  while accounting for the entire  
135 incubation period of the primary case. Thus,  $R_t$  is the instantaneous time-varying effective  
136 reproduction number<sup>22</sup> that measures temporal changes in the disease spread.

137 Models (1) and (2) provide a robust dynamic model to characterize COVID-19 epidemic.  
138 Equation (2) gives a convolution update for the new cases using the past numbers, while  
139 equation (1) gives the number of cases out of transmission chain at time  $t$ , and  $M(t)$  computes  
140 the number of latent pre-symptomatic cases by the end of time  $t$ . This model considers three  
141 important quantities to characterize COVID-19 transmission: the initial date,  $t_0$ , of the first  
142 (likely undetected) case in the epidemic, the survival function of time to out of transmission,  
143  $S(m)$ , and the infection rate over calendar time,  $a(t)$ .

144 We model infection rate  $a(t)$  as a non-negative, piece-wise linear function with knots  
145 placed at meaningful event times. The simplest model consists of a constant and a single  
146 linear function with three parameters (infection date of patient zero, intercept and slope  
147 of  $a(t)$ ). When a massive public health intervention (e.g., nation-wide lockdown) is imple-  
148 mented at some particular date, we introduce an additional linear function afterwards with  
149 a new slope parameter. Thus, the difference in slope parameters of  $a(t)$  before and after an  
150 intervention reflects its effect on reducing the rate of change in disease transmission (i.e.,  
151 “flattening the curve”). Since the intervention effect may diminish over time, we introduce  
152 another slope parameter two weeks after intervention to capture the longer-term effect. We  
153 use existing knowledge of SARS-CoV-2 virus incubation period<sup>1</sup> to approximate  $S(m)$  and  
154 perform sensitivity analysis assuming different parameters. For estimation, we minimize a  
155 loss function measuring differences between model predicted and observed daily number of  
156 cases. For statistical inference, we use permutation based on standardized residuals. All  
157 mathematical details are in Supplementary Material.

## 158 2.3 Utility of Our Model

159 First, with parameters estimated from data and assuming that the future infection rate  
160 remains the same trend, we can use models (1) and (2) to predict future daily new cases, the  
161 peak time, expected number of cases at the peak, when  $R_t$  will be reduced to below 1.0, and  
162 when the epidemic will be controlled (the number of daily new cases below a threshold or  
163 decreases to zero). Furthermore, our model provides the number of latent cases cumulative  
164 over the incubation period at each future date, which can be useful to anticipate challenges  
165 and allocate resources effectively.

166 Second, we can estimate the effects of mitigation strategies, leveraging the nature of  
167 quasi-experiments where subjects receive different interventions before and after the initia-  
168 tion of the intervention. The longitudinal pre-post intervention design allows valid inferences  
169 assuming that pre-intervention disease trend would have continued had the intervention not  
170 taken place and local randomization holds (whether a subject falls immediately before or  
171 after the initiation date of an intervention may be considered as random, and thus the  
172 “intervention assignment” may be considered to be random). Applying this design, the in-  
173 tervention effects will be estimated as the difference in the rate of change of the infection  
174 rate function before and after an intervention takes place.

175 Third, we study the impact of an intervention (e.g., lifting mitigation measures) that  
176 changes the epidemic at a future date. Using permutations, we obtain the joint distribution  
177 of the parameter estimators and construct confidence intervals (CI) for the projected case  
178 numbers and interventions effects.

## 179 3 Results

180 For China, the infection rate  $a(t)$  is a single linear function (estimates in Table 1). The first  
181 community infection was estimated to occur on January 3, 17 days before the first reported

182 case (Table 1). Figure 1A shows that the model captures the peak date of new cases, the  
183 epidemic end date, and the prediction interval contains the majority of observed number of  
184 cases except one outlier (due to a change of diagnostic criteria). The reproduction number  
185  $R_t$  decreases quickly from 3.34 to below 1.0 in 14 days (Figure 2A). We only used data up to  
186 February 4 to estimate our model. The observed total number of cases by May 10 is 82,901,  
187 which is inside the 95% CI of the estimated total number of cases (58,415; 95% CI: (42,516,  
188 133,083)). There are two outlier days (February 12, 13) with a total of 19,198 cases reported  
189 in the testing set. Excluding two outliers, the observed number of cases 62,356.

190 For South Korea, Figure 1B shows that the model captures the general trend of the  
191 epidemic except at the tail area (after March 15) where some small and enduring outbreak  
192 is observed. The effective reproduction number decreases dramatically from 5.37 at the  
193 beginning of the outbreak to below 1.0 in 14 days (Figure 2B). The predicted number of new  
194 cases at the peak is 665 and the total number of predicted cases at the peak time is close to  
195 the observed total (4,300 vs 4,335). The predicted total number by March 15 is 7,816 and  
196 the observed total is 8,162.

197 For Italy, we model  $a(t)$  as a four-piece linear function to account for the change in  
198 mitigation strategies with a knot placed at the lockdown (March 11), and two additional  
199 knots at 2-week intervals (March 25, April 8) to account for time-varying intervention effect.  
200 Difference on the rate of change before and after the first knot measures the immediate  
201 effect of lockdown on reducing the infection rate. Change before and after the second and  
202 third knot measures whether the lockdown effect can be maintained in longer term. The  
203 rate of change in  $R_t$  is not significantly different before and two weeks after the lockdown  
204 (Figure 2C). The reproduction number decreased from 3.73 at the beginning to 1.02 two  
205 weeks post-lockdown. However, starting from the third week post-lockdown (March 26),  
206  $R_t$  stops decreasing and remains close to 1.0 until April 16. The slope of  $a(t)$  (infection  
207 rate) increases by 116% to a slightly positive value after March 26 (Table 1, comparing  $a_2$



208 and  $a_3$  for Italy). This is consistent with a relatively flat trend of observed daily new cases  
209 during this period (Figure 1C). The estimated total by May 10 is 216,300 (95%CI: (214,863,  
210 228,406)) and close to the observed total (219,070). Recent daily cases in the testing set also  
211 closely follow our predicted trend (Figure 1C).

212 In the US, we fit a three-piece model for  $a(t)$  with a knot on March 13 (the declaration of  
213 national emergency) and an additional knot two weeks after (March 27). The predicted peak  
214 date is May 3 (Figure 3A) with a total number of 1,176,915 cases by May 3, which is close  
215 to the observed total (1,188,122).  $R_t$  increases during the early phase but decreases sharply  
216 after the declaration of national emergency (Figure 3B) up to two weeks after. During  
217 the next period (March 28 to April 10),  $R_t$  decreases at a much slower rate. If this trend  
218 continues, the end of epidemic date is predicted to be July 26 (scenario 1, Figure 3A), and the  
219 predicted total over the entire epidemic will be 1,626,950 (CI: (1,501,036, 1,918,602), Table  
220 1). However, since states in the US are gradually lifting mitigation measures after May 1,  
221 the trend of infection rate may change. We predicted epidemic control date assuming  $a(t)$   
222 decreases slower after May 1 by 50% (scenario 2), 75% (scenario 3), and 100% (scenario 4)  
223 in Table 1. Under scenario 4 where the temporal effect of mitigation measures is completely  
224 lost (i.e.,  $a(t)$  is a constant over time), the projected total number of cases will be more  
225 than 2 million, and the epidemic cannot be controlled until November 19 (with less than 100  
226 daily cases, Table 1). Assuming a case fatality rate of 6% as observed by May 10, the total  
227 number of deaths would be around 120,000.

228 We show the estimated number of latent cases present on each day (i.e., including  
229 pre-symptomatic patients infected  $k$  days before but have not shown symptoms) in Supple-  
230 mentary Material (Figure S1). For all countries, there were a large number of latent cases  
231 around the peak time. We performed a sensitivity analysis using different distributions of  
232  $S(m)$  assuming a delay in reporting confirmed cases. The results show that predicted daily  
233 new cases were similar under different parameters of  $S(m)$  for both US and Italy (Sup-

234 plementary Material Figures S2 and S3), demonstrating robustness of our method to the  
235 assumptions of  $S(m)$ .

## 236 4 Discussion

237 In this study, we propose a parsimonious and robust survival convolution model to predict  
238 daily new cases of the COVID-19 outbreak and use a natural quasi-experimental design to  
239 estimate the effects of mitigation measures. Our model accounts for major characteristics of  
240 COVID-19 (long incubation period and highly contagious during incubation) with a small  
241 number of parameters (up to six) and assumptions, directly targets prediction accuracy, and  
242 provides measures of uncertainty and inference based on permuting the residuals. We allow  
243 the infection rate to depend on time and modify the basic reproduction number  $R_0$  as a  
244 time-dependent measure  $R_t$  to estimate change in disease transmission over time. Thus,  $R_t$   
245 corrects for the naturally impact of time on the disease spread. Our estimated reproduction  
246 number at the beginning of the epidemic ranges from 2.81 to 5.37, which is consistent with  $R_0$   
247 reported in other studies<sup>23</sup> (range from 1.40 to 6.49, with a median of 2.79). For predicting  
248 daily new cases, our analyses suggest that the model estimated from early periods of outbreak  
249 can be used to predict the entire epidemic if the disease infection rate dynamic does not  
250 change dramatically over the disease course (e.g., about two weeks data is sufficient for  
251 China and fits the general trend of South Korea).

252 Comparing the effective reproduction numbers across countries,  $R_t$  decreased much more  
253 rapidly in South Korea and China than Italy (Figure 2). In South Korea, the effective  
254 reproduction number had been reduced from 5.37 to under 1.0 in a mere 13 days and the  
255 total number of cases is low. The starting reproduction number in South Korea was high  
256 possibly due to many cases linked to patient 31 and outbreaks at church gatherings. Similarly  
257 for China, the reproduction number reduced to below 1.0 in 14 days. Italy's  $R_t$  decreased  
258 until almost reaching 1.0 on March 25, but remained around 1.0 for 3 weeks. The US

259 followed a fast decreasing trend during a two-week period after declaring national emergency  
260 ( $a_2 = -1.031$ ), which is faster than the first two weeks in China ( $a_1 = -0.693$ ), but its  $R_t$   
261 decreased at a much slower rate ( $a_3 = -0.042$ ) afterwards and was below 1.0 on May 5.

262 Comparing mitigation strategies across countries, the fast decline in  $R_t$  in China sug-  
263 gests that the initial mitigation measures put forth on January 23 (lockdown of Wuhan city,  
264 traffic suspension, home quarantine) were successful in controlling the transmission speed of  
265 COVID-19. Additional mitigation measures were in place after February 2 (centralized quar-  
266 antine and treatment), but did not seem to have significantly changed the disease course. In  
267 fact, our model assuming the same infection rate trajectory after February 2 fits all observed  
268 data up to May 10. A recent analysis of Wuhan's data<sup>24,25</sup> arrived at a similar conclu-  
269 sion, and their estimated  $R_t$  closely matches with our estimates. However, their analyses  
270 were based on self-reported symptom onset and other additional surveillance data, where we  
271 used only widely available official reports of confirmed cases. Another mechanistic<sup>26</sup> study  
272 confirmed the effectiveness of early containment strategies in Wuhan.

273 South Korea did not impose a nation-wide lockdown or closure of businesses, but at  
274 the very early stage (when many cases linked to patient 31 were reported on February  
275 20) conducted extensive broad-based testing and detection (drive through tests started on  
276 February 26), rigorous contact tracing, isolation of cases, and mobile phone tracking. Our  
277 results suggest that South Korea's early mitigation measures were also effective.

278 Italy's initial mitigation strategies in the most affected areas reduced  $R_t$  from 3.73 to  
279 1.92 in 20 days. To estimate the intervention effect of the nation-wide lockdown as in a  
280 natural experiment, we require local randomization and the continuity assumption. The  
281 former requires that characteristics of subjects who are infected right before or after the  
282 lockdown are similar. Since in a very short time period, whether a person is infected at  
283 time  $t$  or  $t + 1$  is likely to be random, the local randomization assumption is likely to be  
284 valid. Continuity assumption refers to that the infection rate before the lockdown would

285 continue to capture the trend afterwards had the intervention not been implemented. Under  
286 this assumption, the lockdown in Italy is not effective to further reduce the transmission  
287 speed (slopes of  $a(t)$  are similar before and after lockdown on March 11). There were 10,149  
288 cases reported in Italy as of March 10, suggesting that the lockdown was placed after the  
289 wide community spread had already occurred. Nevertheless, it is possible that without  
290 the lockdown the infection rate would have had increased, i.e., the lockdown enhanced and  
291 maintained the effect of quarantine for two weeks. In fact, after two weeks of lockdown, we  
292 observe a loss of temporal effect so that  $R_t$  has remained around 1.0 for about 2-3 weeks  
293 before it starts to decrease again.

294 For the US,  $R_t$  ranges between 2.81 and 4.50 before the declaration of national emergency  
295 on March 13, but  $R_t$  declines rapidly over a two-week period after March 13. Although the  
296 disease trend and mitigation strategies vary across states in the US, since the declaration  
297 of national emergency, many states have implemented social distancing and ban of large  
298 gathering. The large difference before and after March 13 is likely due to states with large  
299 numbers of cases that implemented state-wide mitigation measures (e.g., New York, New  
300 Jersey). Our model predicted a continued decrease in  $R_t$  from March 27 to May 1 but at  
301 a much slower rate (95.9% slower; Table 1, comparing  $a_2$  and  $a_3$  for the US). If the trend  
302 continues after May 1, the first wave of epidemic will be controlled by July 26 (CI: July 9,  
303 August 27). However, after May 1 many states enter a re-opening phase. If the guidelines  
304 on quarantine measures are relaxed so that the effect of quarantine cannot be maintained,  
305 the control date can be delayed by 32 days (50% slower decrease in the infection rate) or  
306 70 days (75% slower). If the temporal effect of quarantine measures is completely lost, the  
307 predicted total number of cases is more than 2 million, with a long delay in controlling the  
308 epidemic (less than 100 cases by November 19, and no new case by May, 2021).

309 Other studies reported transmission between asymptomatic individuals<sup>6</sup>, which is not  
310 accounted for here. However, asymptomatic individuals can only be identified and confirmed

311 by serological tests which are not widely available. When there is a delay in reporting some  
312 symptomatic patients, the daily reported cases are a mixture of new symptomatic cases and  
313 patients presenting after having had symptoms for a few days. In this case, the average  
314 number of days to testing positive may be higher than the virus incubation period of 5.2  
315 days. However, as shown in our sensitivity analysis, the prediction of daily reported cases  
316 was not affected by using a larger mean value for  $S(m)$ , demonstrating robustness of the  
317 model. Our model does not consider subject-specific covariates and focuses on predicting  
318 population-level quantities. Neither have we considered borrowing information from multiple  
319 countries or state-level analysis for the US, which are worthy of study in a mixed effects model  
320 framework. We do not consider prediction of daily new deaths or hospitalizations. These  
321 data can be included to enhance the prediction of new cases by linking the distribution of  
322 time to COVID symptom onsets, hospitalization, or death. Lastly, we can consider a broader  
323 class of models for infection rate  $a(t)$  to allow discontinuity in both intercepts and slopes  
324 before and after an intervention under a regression discontinuity design<sup>21,27</sup>.

325 Despite these limitations, our study offers several implications. Implementing mitigation  
326 measures earlier in the disease epidemic reduces the disease transmission rate at a faster speed  
327 (South Korea, China). Thus for regions at the early stage of disease epidemic, mitigation  
328 measures should be introduced early. Nation-wide lockdown may not further reduce the  
329 speed of  $R_t$  reduction compared to regional quarantine measures as seen in Italy. In countries  
330 where disease transmissions have slowed down, lifting of quarantine measures may lead to a  
331 persistent infection rate delaying control of epidemic and thus should be implemented with  
332 caution and close monitoring.

## 333 **Data sharing**

334 All data and optimization codes are publicly available at [<https://github.com/COVID19BIostat>].

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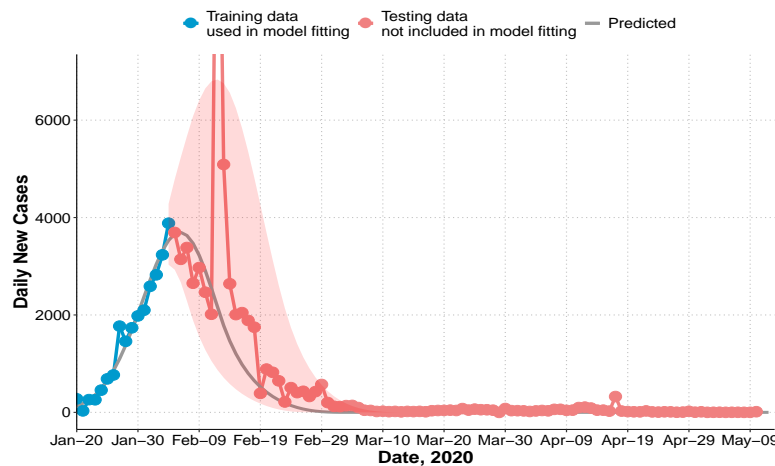
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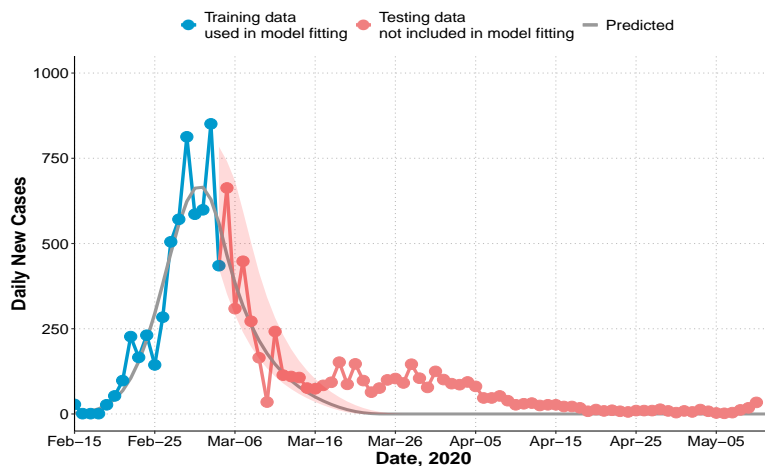
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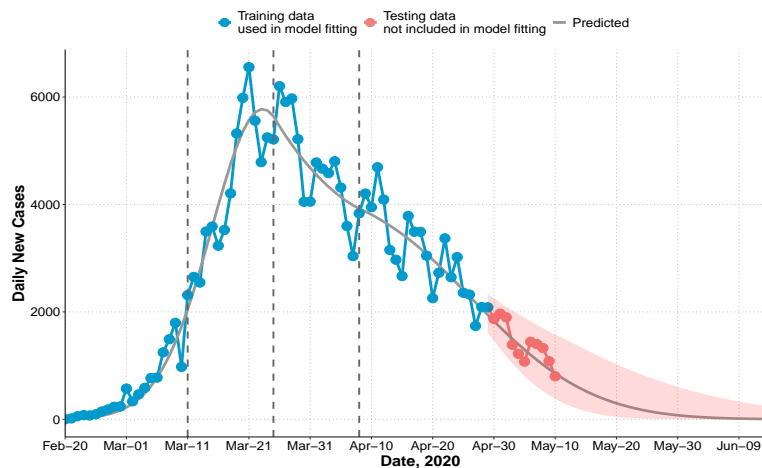
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(A)

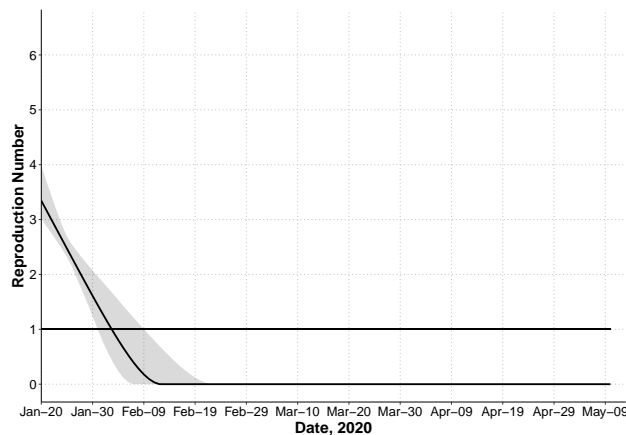


(B)

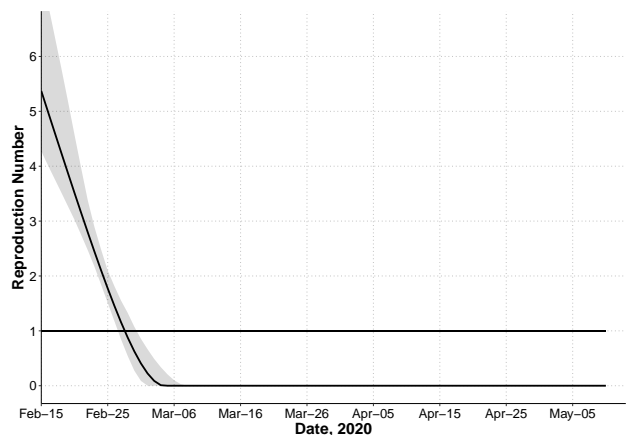


(C)

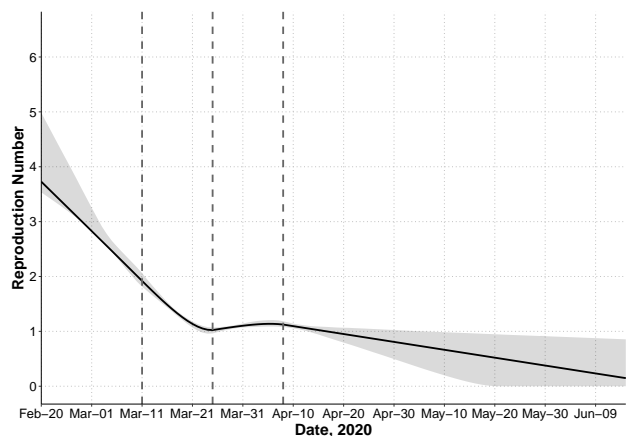
**Figure 1:** Observed and predicted daily new cases and 95% prediction interval (shaded). (A) China. Training data: January 20 to February 4; testing data: February 5 to May 10. 14,108 cases were reported on February 12 and not shown on figure. The recent cases since April are imported cases. (B) South Korea. Training data: February 15 to March 4; testing data: March 5 to May 10. (C) Italy. First dashed line indicates the nation-wide lockdown (March 11). Second and third dashed line indicates two or four weeks after. Training data: February 20 to April 29 (7 weeks after the lockdown); testing data: April 30 to May 10.



(A)

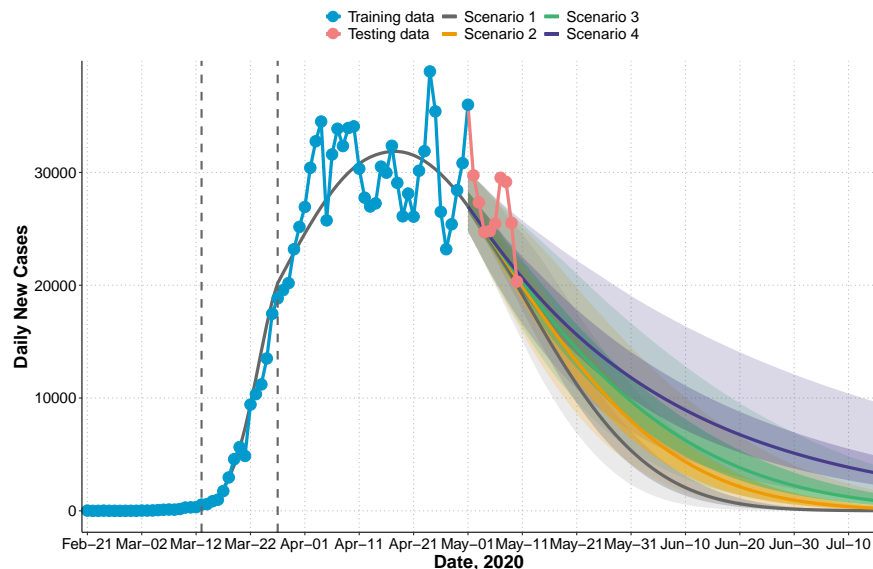


(B)

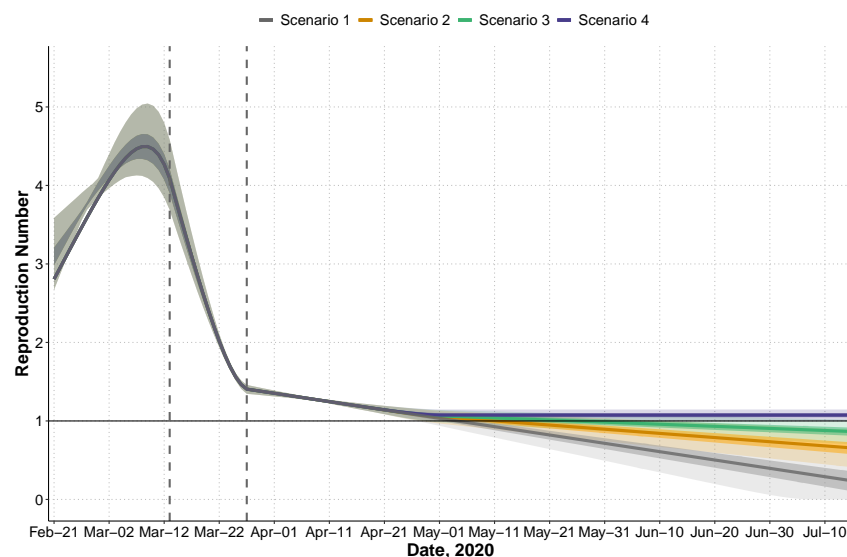


(C)

**Figure 2:** Effective reproduction number  $R_t$  for each country computed as the average number of secondary infections generated by a primary case at time  $t$  accounting for the incubation period of the primary case. Dashed lines indicate knots for infection rate  $a(t)$ . (A) China. (B) South Korea. (C) Italy.



(A)



(B)

**Figure 3:** United States: observed and predicted daily new cases, 95% prediction intervals (lighter shaded) and 50% prediction intervals (darker shaded) under four scenarios that assume relaxation of mitigation measures occurs after May 1. Scenario 1: infection rate  $a(t)$  follows the same trend after May 1 as observed between March 27 and May 1. Scenario 2: rate of decrease of  $a(t)$  slows by 50% after May 1. Scenario 3: rate of decrease of  $a(t)$  slows by 75% after May 1. Scenario 4: rate of decrease of  $a(t)$  slows by 100% after May 1 (complete loss of temporal decreasing effect). First dashed line indicates the declaration of national emergency (March 13). Second dashed line indicates two weeks after (March 27). Training data: February 21 to May 1 (7 weeks after declaring national emergency); testing data: May 2 to May 10. (A) Observed and predicted daily new cases. (B) Effective reproduction number  $R_t$ .

**Table 1:** Model Estimated Parameters in Each Country

Country	Parameter or Prediction*	Estimate	95% CI	
China Training data: Jan 20 to Feb 4 Testing data: Feb 5 to May 10	$t_0(d)$	Jan 3 (17)	(12, 21)**	
	$a_0$	0.793	(0.68, 1.02)	
	$a_1$	-0.693	(-1.13, -0.42)	
	Duration	44	(39, 55)	
	End date	Mar 4	(Feb 28, Mar 15)	
	Total	58,415	(42,516, 133,083)	
South Korea Training data: Feb 15 to Mar 4 Testing data: Mar 5 to May 10	$t_0(d)$	Feb 11 (4)	(1, 7)	
	$a_0$	1.363	(1.03, 1.98)	
	$a_1$	-1.496	(-2.39, -0.96)	
	Duration	39	(37, 43)	
	End date	Mar 25	(Mar 23, Mar 29)	
	Total	7,977	(7,307, 10,562)	
Italy Training data: Feb 20 to Apr 29 Testing data: Apr 30 to May 10	$t_0(d)$	Feb 10 (10)	(4, 11)	
	$a_0$	0.789	(0.73, 1.10)	
	$a_1$	-0.358	(-0.68, -0.26)	
	$a_2$	-0.372	(-0.46, -0.31)	
	$a_3$	0.061	(0.02, 0.12)	
	$a_4$	-0.057	(-0.12, -0.01)	
	Duration	123	(103, 179)	
	Total	223,410	(216,848, 257,710)	
United States Training data: Feb 21 to May 1 Testing data: May 2 to May 10	$t_0(d)$	Feb 15 (6)	(1, 4)	
	$a_0$	0.410	(0.34, 0.62)	
	$a_1$	0.526	(0.23, 0.72)	
	$a_2$	-1.031	(-1.24, -0.86)	
	$a_3$	-0.042	(-0.06, -0.03)	
	Scenario 1: Continue current <sup>†</sup>	Duration	156	(139, 188)
		End date	Jul 26	(Jul 9, Aug 27)
		Total	1,626,950	(1,501,036, 1,918,602)
	Scenario 2: 50% slower after May 1	Duration	188	(163, 233)
		End date	Aug 27	(Aug 2, Oct 11)
	Total	1,731,992	(1,563,122, 2,113,294)	
Scenario 3: 75% slower after May 1	Duration	226	(190, 289)	
	End date	Oct 4	(Aug 29, Dec 5)	
	Total	1,832,291	(1,616,574, 2,324,552)	
Scenario 4: 100% slower after May 1	Duration <sup>‡</sup>	272	(201, 448)	
	Control date <sup>‡</sup>	Nov 19	(Sep 9, May 13 (2021))	
	Total <sup>‡</sup>	2,084,235	(1,728,028, 3,094,518)	

\*:  $t_0$  is the estimated date of the first undetected community infection;  $d$  is the estimated gap days between the first undetected case and the first reported case;  $a_0$  is the infection rate before the reported first case;  $a_1$ ,  $a_2$  and  $a_3$  are rates of change of  $a(t)$  in each period measured as change per 21 days; “Duration” is the number of days from the date of the first reported case to “End date”; “End date” is the date when predicted new case decreases to zero; “Total” is the total number of predicted cases by the “End date”. \*\*: CI for  $d$ . †: Scenario 1 assumes the infection rate decreases at the same rate (i.e.,  $a_3$ ) after May 1; Scenarios 2 to 4 assume the relaxation of quarantine measures after May 1 will lead to a slower decrease of infection rate by 50%, 75% and 100% (complete loss of temporal effect over time). ‡: Under scenario 4, “Duration” and “Control date” is defined by the date when the predicted daily new case is less than 100 since the distribution of new cases has an extremely long tail (the end date defined by zero new case is May 3, 2021; CI: Dec 27, 2021 to Mar 16, 2022); and “Total” is the total predicted cases by the “Control date”.