SIR Epidemic Control Using a 2DoF IMC-PID with Filter Control Strategy

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Abstract: The COVID-19 pandemic has given rise to many significant research activities, among these a resurgence of the use of control-oriented approaches for modeling and controlling epidemics. An examination of a SIR (Susceptible-Infectious-Recovered) dynamic model under endemic conditions using Internal Model Control (IMC) shows that a two-degree-of-freedom (2DoF) PID with filter structure is a natural solution for understanding how to manage a pandemic, with model-based IMC-PID tuning being extremely effective when evaluated on a first-principles, nonlinear plant model. Dynamic modeling (nonlinear and linearized), PID controller design, and closed-loop evaluation (under conditions that include vaccination and the loss of immunity/potential for re-infection) are presented, with the results demonstrating the deep insights that can be gained from simple models and control policies. Computational models as presented in this work could be used to inform the actions of governments and individuals.

Keywords: Process control applications, epidemic modeling and control, model-based PID controller tuning.

1. INTRODUCTION

The COVID-19 pandemic is a significant world event that remains among us, and has touched every individual on the planet in some way. It is difficult to find someone whose family or loved ones have been unaffected or not impacted. The pandemic nonetheless has brought about unexpected opportunities for education and research, which include contributions to the field of process control (in general) and PID controller tuning (in particular).

This work is based on experiences using an epidemic model, namely, a Susceptible-Infectious-Recovered (SIR) model, to teach process dynamics and control to chemical engineering undergraduates taking CHE 461: Process Dynamics and Control, a required course in the chemical engineering curriculum at Arizona State University. Our initial efforts were documented in a paper presented at the 13th IFAC Workshop on Advances in Control Education (ACE 2022; Rivera et al. (2022)). While that paper focused on educational outcomes and how the problem was integrated in CHE 461, this paper takes a more expansive look, providing a broader, more comprehensive problem statement (that includes vaccination and loss of immunity); important details (such as the derivation of the model-based IMC-PID tuning rules) are also explained.

The paper is organized as follows. Section 2 describes an open-loop dynamical model and linearization, Section 3 describes the IMC-PID controller design, Section 4 shows some simulations, and Section 5 describes future work. We conclude with a description of extensions and current and future efforts on the problem.

2. SIR MODEL FOR DISEASE TRANSMISSION

Compartmental models used in epidemiology to model infectious disease can be understood using a chemical reactor analogy, where disease transmission and remission correspond to an autocatalytic reaction with catalyst deactivation (Simon, 2020). In particular, we are interested in developing a dynamical model for a variation of the classical Susceptible-Infectious-Recovered (SIR) problem (Kermack and McKendrick, 1927) that considers births, deaths, and time-varying transmission \( \beta(t) \) and recovery \( \gamma(t) \) rates. A problem schematic is shown in Figure 1, illustrating the problem in terms of a continuously-stirred tank reactor (Levenspiel, 1998).

The goal of the model is to determine how the populations of Susceptible (\( S(t) \)), Infectious (\( I(t) \)), and Recovered/Removed (\( R(t) \)) individuals, as well as the rates of infection, deactivation, vaccination, and loss of immunity change over time during an epidemic. For simplicity, the inflow to the reactor \( B_r \) (the number of births/day) is considered constant, as well as mortality rates per day for each of the populations (\( \mu = \mu_S = \mu_I = \mu_R \), respectively). Correspondingly, the total population \( N = S(t) + I(t) + R(t) \) remains constant, with the population of Removed individuals \( R(t) \) computed from the solutions to \( S(t) \) and \( I(t) \). The incidence rate, i.e., the number of new infections per day, is determined by the autocatalytic reaction with constitutive expression,

\[
S + I \xrightarrow[\beta(t)]{} 2I \quad r_{infect} = \beta(t)S(t)I(t)
\]  

(1)

The time-varying transmission rate \( \beta(t) \) is influenced by government mandates for social distancing and hygienic procedures (e.g., mask-wearing). Hence, it is a variable that could be considered to be “adjustable” by society and...
Fig. 1. SIR disease modeling as a continuously-stirred tank reactor (CSTR) featuring autocatalytic (infection) and deactivation (recovery) reactions, as well as the effects of vaccination and loss of immunity. Thus falls as manipulated. A lower value for $\beta$ results in a decrease in the infection rate, and would result in a decrease in the number of infected individuals. Recovery (i.e., deactivation) of infected individuals per day is described by a first-order reaction

$$I \xrightarrow{\gamma(t)} R \quad r_{\text{deact}} = \gamma(t)I(t) \quad (2)$$

The recovery rate $\gamma(t)$ is time-varying, with $\gamma^{-1}$ corresponding to the average duration of infectiousness. Increasing $\gamma$ implies that infected individuals remain infectious for a shorter amount of time, which would ultimately result in a decrease in the infected population. Actions such as the availability of more effective treatments and therapeutics can influence $\gamma$. In this work, we will consider $\gamma(t)$ as an exogenous variable that is external to the process and can thus be treated as a disturbance.

A natural consideration in this problem is to examine the influence of vaccination rates. The effect of vaccines is to take susceptible individuals directly to the removed category. Vaccination of susceptible individuals per day can be described by a first-order reaction

$$S \xrightarrow{k_v(t)} R \quad r_{\text{vacc}} = k_v(t)S(t) \quad (3)$$

with the rate of vaccination $k_v(t)$ now serving as an additional disturbance to the problem. Incorporating this problem feature in the nonlinear model and step testing this additional disturbance (from $k_v = 0$ to some value) will have a significant positive influence on the problem.

Finally, an important aspect of the problem that has been an unavoidable reality in the current pandemic is the possibility of loss of immunity, where recovered individuals can return to the susceptible population, and hence are candidates for possible re-infection. Loss of immunity can be described as a first-order reaction according to:

$$R \xrightarrow{\rho(t)} S \quad r_{\text{reinfect}} = \rho(t)R(t) \quad (4)$$

As with $\gamma(t)$ and $k_v(t)$, we consider that the loss of immunity parameter $\rho(t)$ is also an exogenous influence to the problem (and acts as a disturbance to the problem).

With this information in hand, it becomes possible to write species accounting equations that describe the dynamics of this system; these equations can then be expressed as a nonlinear lumped parameter model amenable to integration in computational tools such as MATLAB w/Simulink:

$$\frac{dx}{dt} = f(x, u, d) \quad (5)$$
$$y = g(x, u, d) \quad (6)$$

The nonlinear lumped parameter system consistent with the problem statement can be obtained from (7)-(11):

$$\frac{dS(t)}{dt} = \frac{B_v}{\text{Births (inflow)}} - \frac{\beta(t)S(t)I(t)}{\text{Infection (consumption)}} - \frac{\mu S(t)}{\text{Mortality (outflow)}} = f_1(x, u, d)$$
$$\frac{dI(t)}{dt} = \frac{\beta(t)S(t)I(t)}{\text{Infection (consumption)}} - \frac{\mu I(t)}{\text{Mortality (outflow)}} - \frac{\gamma(t)}{\text{Deactivation (consumption)}} = f_2(x, u, d)$$
$$\frac{dR(t)}{dt} = \frac{\mu S(t)}{\text{Mortality (outflow)}} + \frac{B_v}{\text{Births (inflow)}} - \frac{\beta(t)S(t)I(t)}{\text{Infection (consumption)}} - \frac{\gamma(t)}{\text{Deactivation (consumption)}}$$

Linearization leads to a model in state-space form,

$$\frac{d\Delta x}{dt} = A \Delta x + B \Delta u + G \Delta d$$

where $A$, $B$, $G$, $C$, $D_u$, and $D_d$ are constant-valued matrices, while $\Delta$ denotes deviation variables. $x$, $u$, and $d$ represent initial steady-state conditions obtained by solving $f(x, u, d) = 0$. For the problem at hand there are two steady-state conditions, with the most interesting case (denoting endemic conditions) consisting of (shown here for $R_0 = 0$):

$$S = \left(\frac{\mu + \gamma}{\beta}\right)$$
$$I = \left(\frac{\mu \rho^2 + \beta \rho^2 + \mu^3 - B_v \beta \rho - B_v \beta \rho + \gamma \mu \rho}{\beta \gamma + \beta \rho + \mu^2}\right)$$
$$R = \frac{B_v}{\mu} - S - I$$

The steady-state according to (13)-(15) results in $\dot{I} \neq 0$ from which an informative linearized model useful for control design can be obtained.

An effective computational model (such as one from MATLAB and Simulink) can be used to generate representative...
step responses for independent changes in each input variable (β, γ, kv, and ρ) for the base parameters (Br = 500, µ = 0.1). For each input, it is possible to produce a non-trivial change that shows when the linear model is a valid approximation for this system and a second change that highlights process nonlinearity. To illustrate some desired simulation results, a set of model responses (linear and nonlinear) to a β change of -0.0004 (at time t = 10 days), a γ change of +0.4 (at time t = 40 days), a kv change of +0.2 (at time t=80 days), and a ρ change of +0.25 (at time t = 120 days) for parameters Br = 500, µ = 0.1, β = 0.0008, γ = 0.25, kv = 0, and ρ = 0.1 are shown in Figure 2. A symbolic transfer function for all problem inputs (from MATLAB’s Symbolic Math Toolbox) is shown in Figure 3, with the numerical transfer function generated by MATLAB (in gain-time constant form) (for Figure 3, with the numerical transfer function generated by MATLAB’s Symbolic Math Toolbox).

3. PID CONTROLLER DESIGN

The control strategy to be evaluated relies on the transmission rate constant β(t) as a manipulated variable (u(t)) to reduce the infected population I(t) (the controlled variable y(t)) to a desired setpoint, αl while in the presence of “disturbances” arising from changes in the rate constants γ(t), kv(t), and ρ(t). Design requirements for the control system are as follows:

1. All model responses agree with physical intuition, i.e., increasing β increases the infected population while increasing γ reduces it.
2. The linearized and nonlinear model responses agree qualitatively (e.g., shape, speed, and direction) but can differ quite substantially in magnitude.
3. Despite this, the linearized transfer function expressions are useful in predicting the intrinsic dynamic behavior of this system.

The linearized plant model (both numerical and symbolic) includes the following insights:

- The plant response characteristics can range from underdamped to overdamped, based on operating conditions.
- The nominal linearized transfer function model describing the dynamics between β(t) and I(t) conforms to a second-order transfer function according to:

$$\tilde{p}(s) = \frac{b_1 s + b_2}{s^2 + a_1 s + a_2} \quad (16)$$

- The symbolic transfer function model from Fig. 3 shows that, over all operating conditions, 1) the steady-state gain for (16) is always greater than zero, which implies that lowering β will always reduce the infected population, and 2) the plant zero in the transfer function (16) will always lie in the Left-Half Plane (LHP). This latter characteristic greatly simplifies the application of the IMC design procedure to obtain a feedback control law, as the IMC controller \( q = \tilde{p}^{-1} \) will always be stable and causal, requiring only a first-order filter to be made semiproper.

On the basis of this modeling effort and insights gained from open-loop responses and transfer functions, it becomes possible to examine PID controller design for this problem, as explained in the ensuing section.

### Fig. 2. Susceptible, infected, removed population responses and infection rate for linear and nonlinear models to a β change of -0.0004 (occurring at time t = 10 days), a γ change of +0.15 (occurring at time t = 40 days), a kv change of +0.2 (occurring at time t = 80 days), and a ρ change of +0.15 (occurring at time t = 120 days) for parameters Br = 500, µ = 0.1, β = 0.0008, γ = 0.25, kv = 0, and ρ = 0.1.

1. The control system must not differentiate step setpoint changes;
2. Controlled variable responses should be smooth with little or no oscillation; preferably no more than 10% overshoot (or undershoot) for a step setpoint change;
3. The closed-loop speed of response should be comparable (and preferably faster) than the open-loop speed of response;
4. While an abrupt change may initially be necessary in the manipulated variable response, the controller should avoid taking β(t) to 0 (i.e., full lockdown)
Fig. 3. Symbolic transfer functions for the linearized model, obtained from the Symbolic Math Toolbox in MATLAB. The absence of RHP zeros in the (2,1) element (i.e., the transfer function between $\Delta \beta(s)$ and $\Delta I(s)$) over all practical operating conditions simplifies the use of IMC, and has a significant impact on control design.

Fig. 4. MATLAB-generated numerical transfer functions in gain-time constant form (for $\beta$ changes only) resulting from steady-state conditions obtained from parameters $B_r = 500$, $\mu = 0.1$, $\beta = 0.0008$, $\gamma = 0.25$, $k_v = 0$, and $\rho = 0.1$. Under these conditions, the system is overdamped in the open loop.

and avoid oscillations and significant variations (e.g., imagine what this response might imply for society).

(5) The control system must demonstrate robustness to nonlinearity; that is, the ability to maintain the system under control despite changes in operating conditions.

The Internal Model Control design procedure (Rivera et al., 1986; Morari and Zafiropou, 1989) is particularly well-suited to the controller design requirements previously noted, and can be applied to the linearized second-order model with zero shown in (16), augmented with a first-order filter with adjustable parameter $\lambda_d$. The design steps are summarized as follows:

**Step 1**: Obtain the IMC controller $\tilde{q}$. For this, the plant model must be factored into $\tilde{p}_+(s)$ and $\tilde{p}_-(s)$, corresponding to the non-minimum and minimum phase portions of the model respectively, as follows:

$$\tilde{p}(s) = \tilde{p}_+(s)\tilde{p}_-(s)$$

Considering that there is no delay or RHP zero in (16),

$$\tilde{p}_+(s) = 1$$

the controller $\tilde{q}$ is then given by:

$$\tilde{q}(s) = \tilde{p}_+(s)\tilde{p}_-(s)^{-1} = \frac{s^2 + a_1 s + a_2}{b_1 s + b_2} \frac{1}{\lambda_d s + 1}$$

The controller $\tilde{q}$, although stable and causal, is improper.

**Step 2**: Augment (19) with a first-order filter $f(s)$ with adjustable parameter $\lambda_d$:

$$q = \tilde{p}_+(s)f(s) = \frac{s^2 + a_1 s + a_2}{b_1 s + b_2} \frac{1}{\lambda_d s + 1}$$

The result is a controller that is stable, causal, and semi-proper. Finally, it is necessary to obtain a classical feedback controller $c(s)$:

$$c(s) = \frac{q}{1 - \tilde{p}q} = \frac{s^2 + a_1 s + a_2}{(b_1 s + b_2)(\lambda_d s + 1)}$$

It can be shown that $\frac{s^2 + a_1 s + a_2}{(b_1 s + b_2)(\lambda_d s + 1)}$ conforms to an ideal PID with filter structure:
\[ c(s) = \frac{s^2 + a_1 s + a_2}{\lambda_d s} \left( \frac{1}{b_1 s + b_2} \right) \]
\[ \lambda_d \]
\[ B_1 \]
\[ B_2 \]
\[ \gamma \]
\[ \beta \]
\[ \tau \]
\[ \rho \]
\[ \mu \]
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\[ \text{Fig. 6. Closed-loop response (for infected population, linear and nonlinear) to a setpoint change corresponding to a 90% reduction in the endemic infected population (occurring at time } t = 5 \text{), a } \gamma \text{ change of } +0.8 \text{ (occurring at time } t = 40 \text{ days), a } k_v \text{ change of } +0.3 \text{ (occurring at time } t = 80 \text{ days), and a } \rho \text{ change of } +0.25 \text{ (occurring at time } t = 120 \text{ days) for a single DoF IMC-PID with filter controller } (\lambda_r = \lambda_d = 1) \text{ and model parameters } B_r = 500, \mu = 0.1, \beta = 0.0008, \gamma = 0.25, k_v = 0 \text{ and } \rho = 0.1. \]
\[ \text{Fig. 7. Closed-loop responses (for infected population, linear and nonlinear) to a setpoint change corresponding to a 90% reduction in the endemic infected population (occurring at time } t = 5 \text{), a } \gamma \text{ change of } +0.8 \text{ (occurring at time } t = 40 \text{ days), a } k_v \text{ change of } +0.3 \text{ (occurring at time } t = 80 \text{ days), and a } \rho \text{ change of } +0.25 \text{ (occurring at time } t = 120 \text{ days) for a 2DoF IMC-PID with filter controller } (\lambda_r = \lambda_d = 1) \text{ and model parameters } B_r = 500, \mu = 0.1, \beta = 0.0008, \gamma = 0.25, k_v = 0 \text{ and } \rho = 0.1. \]
\[ I(t) \text{ avoids undershoot, and keeps } \beta \text{ from ever reaching } 0. \text{ In this case, controller response resulting from the } \gamma \text{ change of } +0.8 \text{ and } k_v \text{ change of } +0.3 \text{ (as before) leads to excellent setpoint tracking while allowing } \beta \text{ to increase substantially, close to its initial value (implying a return to normalcy and pre-pandemic conditions). However, this implies the existence of more effective treatments (reducing...} \]
Fig. 8. Closed-loop responses (for infected population, linear and nonlinear stochastic disturbance in \( \gamma(t) \) (\( \alpha = 0.85 \)), no setpoint change for a 2DoF IMC-PID with filter controller (\( \lambda_r = 5, \lambda_d = 0.4 \)) and model parameters \( B_r = 500, \mu = 0.1, \beta = 0.0008, \gamma = 0.25, k_d = 0 \) and \( \beta = 0.1 \).

the duration of infectiousness) and a societal willingness for high rates of vaccination (30% of the susceptible population per day). Effective control is not just a product of sensible tuning, but also of "process design" considerations leading to these beneficial disturbance changes (in terms of increases in \( \gamma \) and \( k_d \)). If the virus mutates (resulting in increases in \( \rho \)), then the control system responds by reducing \( \beta \), leading to more restrictive conditions that maintain the infected population at desired levels.

Fig. 8 shows the results of a stochastic simulation for the case of changes in \( \gamma(t) \) (only) corresponding to a first-order autoregressive model with \( \alpha = 0.85 \). Increases in \( \gamma \) (which denote reduced infectiousness) are addressed by the controller with corresponding increases in \( \beta(t) \). Nonlinearity effects are evident in the responses shown in Fig. 8; these can be mitigated through adjustments in \( \lambda_d \).

5. SUMMARY AND CONCLUSIONS

The paper has presented an SIR epidemic model (featuring vaccination and loss of immunity) and shown that a natural feedback control system for this problem is obtained by applying IMC, leading to a 2DoF PID with filter controller. Its effectiveness has been shown in a demanding deterministic scenario involving a 90% reduction of the infected population under endemic conditions, as well as a stochastic scenario.

While this is clearly a very simplified evaluation of infectious disease control, the result is a simple and accessible computational model that could, in principle, be helpful to public health officials, and help inform the general public.

Many extensions of the work are possible. Enhancements to the SIR model through the inclusion of additional compartments have been proposed by many (Giordano et al., 2020); evaluating these would potentially be interesting. However, additional compartments would lead to higher-order systems and consequently (from applying IMC) to feedback control structures that would go beyond PID.

There is interest in applying both nonlinear IMC and MPC controller approaches to the problem. Dynamic theories of behavior change such as Social Cognitive Theory (Martín et al., 2020) can be incorporated into the model to address how \( \beta(t) \) and \( \gamma(t) \) are affected by behavioral constructs.

We are furthermore interested in examining how Model Predictive Control (MPC) and data-driven frameworks such as "Model-on-Demand" MPC (Banerjee et al., 2024) could be used in this application.

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