

Individual level analysis of digital proximity tracing for COVID-19 in Belgium highlights major bottlenecks

Authors: Caspar Geenen^{*,#1}, Joren Raymenants^{#1,2}, Sarah Gorissen¹, Jonathan Thibaut¹, Jodie McVernon^{3,4}, Natalie Lorent^{5,6}, Emmanuel André^{1,2}

* Corresponding author: Caspar Geenen, KU Leuven, Laboratory of Clinical Microbiology, Herestraat 49, Leuven, Belgium

Contributed equally

Author affiliations:

¹ KU Leuven, Dept of Microbiology, Immunology and Transplantation, Laboratory of Clinical Microbiology, Leuven, Belgium

² University Hospitals Leuven, Laboratory Medicine, Leuven, Belgium

³ Department of Infectious Diseases, The University of Melbourne at the Peter Doherty Institute for Infection and Immunity, Melbourne, Victoria, Australia

⁴ Victorian Infectious Diseases Laboratory Epidemiology Unit, Royal Melbourne Hospital at The Peter Doherty Institute for Infection and Immunity, Melbourne, Victoria, Australia

⁵ University Hospitals Leuven, Respiratory Diseases, Leuven, Belgium

⁶ KU Leuven, Dept of CHROMETA, Laboratory of Thoracic Surgery and Respiratory Diseases (BREATHE), Leuven, Belgium

Abstract

To complement labour-intensive conventional contact tracing, digital proximity tracing was implemented widely during the COVID-19 pandemic. However, the privacy-centred design of the dominant Google-Apple exposure notification framework has hindered assessment of its effectiveness. Between October 2021 and January 2022, we systematically collected app use and notification receipt data within a test and trace programme for university students in Leuven, Belgium. Due to low success rates in each studied step of the digital notification cascade, only 4.3% of exposed contacts (CI: 2.8-6.1%) received such notifications, resulting in 10 times more cases detected through conventional contact tracing. Moreover, the infection risk of digitally traced contacts (5.0%; CI: 3.0-7.7%) was lower than that of conventionally traced non-app users (9.8%; CI: 8.8-10.7%; $p=0.002$). Contrary to common perception as near instantaneous, there was a 1.2-day delay (CI: 0.6-2.2) between case PCR result and digital contact notifications. These results highlight major limitations of the dominant digital proximity tracing framework.

NOTE: This preprint reports new research that has not been certified by peer review and should not be used to guide clinical practice.

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Author contributions

C.G., J.R., and E.A. conceptualized the study. C.G. and J.R. designed the analysis. C.G., J.R., and J.T. performed the analysis. C.G. and J.R. wrote the manuscript. All authors critically revised the manuscript.

Competing interests

We declare that none of the authors have competing financial or non-financial interests.

1 Introduction

2 Contact tracing aims to slow the spread of an infectious disease. By identifying and alerting
3 contacts (persons exposed to an infectious case or to the same potential source of infection), they
4 can take steps to prevent onward spread, for example by quarantining or testing. Information
5 gathered through contact tracing is also used to study and monitor transmission¹.

6 Throughout the COVID-19 pandemic, large-scale manual contact tracing (MCT), which involves
7 case interviews to identify contacts, has successfully contributed to limiting disease spread².
8 However, it has well-known weaknesses, such as recall decay and poor scalability. Especially as
9 incidence increased and contact restrictions were eased, an overwhelmed workforce could result in
10 slower and less comprehensive contact tracing, reducing effectiveness^{3,4}. Additionally, central
11 collection of personal identifiable information has caused privacy and security concerns^{5,6}.

12 Attempting to mitigate some of these weaknesses, newly developed digital proximity tracing (DPT)
13 through mobile phone apps was implemented in parallel. Using these systems, speed could
14 potentially improve, as contacts are alerted through an automated exposure notification (AEN)⁷.
15 Comprehensiveness could improve, as casual contacts can be alerted of their exposure, even if the
16 index case (the infected person whose contacts are being traced) has no recollection, personal
17 knowledge or contact details of the exposed person. An automated digital system could also be more
18 scalable than manual case interviews and notifications.

19 As in MCT, the DPT notification cascade involves a series of steps, many influenced by factors
20 outside the technical workings of the app. When assessing effectiveness, it is useful to analyse each
21 step of the cascade, to identify bottlenecks in the system⁸. First, a proximity event needs to be
22 recorded, requiring both the case and their contact to have installed the app and enabled proximity
23 detection, as well as sufficient technical sensitivity of the detection system (*Figure 1, panel a*).
24 When the case later becomes symptomatic (or is identified by other means), a series of time-
25 sensitive steps leads to case diagnosis, contact notification, and eventually altered behaviour
26 (*Figure 1, panel b*).

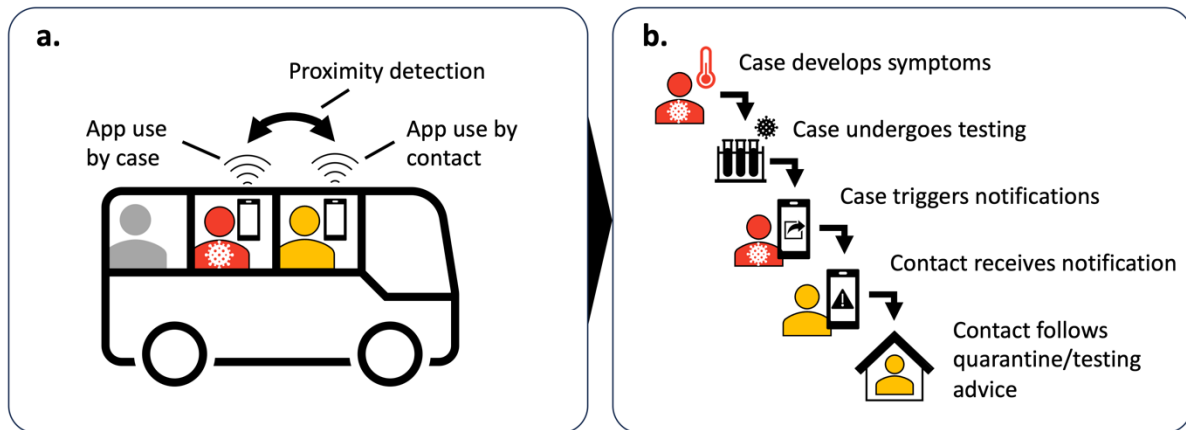


Figure 1. Steps involved in digital proximity tracing (DPT). Panel a illustrates three key requirements for DPT to record a proximity event. Both the index case (red) and the contact must have the app installed and use it correctly, implying access to a smartphone, digital and health literacy, and willingness to participate in contact tracing. In this example, one of two casual close contacts on public transport uses the app (yellow), whereas the other (grey) does not. In addition to use of the app, adequate technical sensitivity of the system is required to detect the proximity event. Panel b shows five subsequent time-sensitive steps in the notification cascade: the index case develops a symptomatic infection after the encounter, tests positive, and triggers contact notifications within the app, leading to detected close contacts being alerted (notification receipt) and altered behaviour such as quarantine or testing. Delays or failures in any of these steps would reduce the effect of DPT on epidemic control.

In this article, we define the technical sensitivity of a DPT app as the probability that a contact receives an AEN, given that both the case and the contact are active app users and the case triggers notifications. An effective app requires a technical sensitivity sufficient to notify a reasonable proportion of exposed contacts. For the app to be efficient, the proportion of notified contacts who are infected should be high enough to outweigh the societal cost of quarantine or testing. Here, we describe this proportion as the contact’s “infection risk” rather than the “secondary attack rate”, which seems to imply that the direction of transmission is known.

The Google-Apple Exposure Notification framework (GAEN), which directly integrates into the two dominant mobile operating systems (Android and iOS), became the technical backbone of most DPT apps. Despite their promise, doubts were raised from the outset regarding the potential of DPT systems in general and GAEN in particular. First, they require high app uptake, i.e., the proportion of active users in a population. As their efficacy is dependent on both the index case and their contacts being active users, it is proportional to the square of app uptake^{7,9,10}. Unfortunately, uptake turned out to be modest at best in most countries, influenced, amongst other factors, by perceived effectiveness, risks to privacy, and trust in science and government^{6,11–14}. Second, the

1 limitations of proximity estimation through Bluetooth Low Energy (BLE) signal strength were well
2 known. The types of smartphones, how they are carried, their relative orientation, and the radio
3 environment in which the proximity estimation takes place have a large impact on the estimated
4 exposure risk^{15–20}. Experimental field studies of BLE-based exposure notifications — with and
5 without GAEN — registered technical sensitivities under 10% in a healthcare and public transport
6 setting^{16,19,21}. Methodological improvements in analytical processing of individual signal strength
7 measurements were deemed, however, to greatly improve accuracy^{22,23}. Third, the willingness of
8 anonymously, digitally alerted contacts to follow recommendations may be lower than for manually
9 traced individuals, as has been suggested in several survey studies^{24–27} and one cohort study²⁸.
10 Fourth, by only recording proximity events rather than location, and storing these locally rather
11 than centralising individual-level data, the GAEN system — while safeguarding privacy — cannot
12 be used to study transmission chains, or track certain performance indicators such as the
13 sensitivity, specificity, and timeliness of AENs^{29–32}.

14 Several observational studies have used aggregated data gathered by DPT systems to estimate the
15 real-life impact of DPT^{10,33,34}. Notably, a study on the NHS COVID-19 app in the United Kingdom
16 estimated that it reduced the total number of cases by 5 to 33% in its first three months, with
17 regular use by 28% of the population^{35,36}. Although such modelling studies can give an idea of the
18 overall impact of DPT in specific contexts, they rely on a set of strong assumptions and cannot
19 compare DPT directly to MCT in terms of overlap in detected cases or timeliness. They have also
20 been unable to quantify technical sensitivity.

21 These aspects require individual-level DPT data, which, as of July 2023, only two previous studies
22 have collected within a real-life contact tracing programme. Vogt et al evaluated a BLE-based
23 system in New South Wales, Australia³⁷. This system, not based on the GAEN framework, stored
24 digitally detected proximity events in a centralised database. During the conventional case
25 interview, contact tracers queried the database for recent digitally registered contacts and
26 determined, along with the index case, the circumstances of their exposure. The proportion of
27 digitally registered contacts fitting the close contact definition for manual contact tracing, i.e., the
28 positive predictive value of DPT for detecting a close contact, was 39%. App-registered contacts
29 who did not fit the criteria were often persons present in the same building, but not the same room.
30 The Zurich SARS-CoV-2 Cohort Study, which evaluated the GAEN-based SwissCovid app by
31 surveying participating cases and contacts, estimated the technical sensitivity at 58%²⁹. This study
32 highlighted that only a minority of contacts who were traced both digitally and manually received
33 the AEN before the manual notification²⁸. However, it also suggested that non-household contacts
34 who received an AEN quarantined significantly faster than those who did not. An important
35 limitation is that, due to low participation rates, selection bias resulted in substantially higher
36 proportions of app uptake and infected app users triggering notifications, compared to both the
37 national and local population³³.

1 Thus, crucial aspects of the real-life effectiveness of DPT – especially with the GAEN framework –
2 remain understudied, such as the technical sensitivity, the number of cases detected in addition to
3 manual tracing, and the steps in the notification cascade responsible for delays.

4 In this study, we combined digital and manual contact tracing data on an individual level, to
5 investigate the effectiveness of the Belgian GAEN-based contact tracing app (Coronalert) in a
6 population of higher education students in Leuven. Between October 2021 and January 2022, we
7 systematically questioned cases and their manually traced contacts on their use of the Coronalert
8 app, triggering of notifications, and receipt of an AEN.

9 Our first aim, relating to the efficiency of DPT, was to quantify the infection risk of students
10 booking an appointment at the university test centre after receiving an AEN. We compared this to
11 a control group of students who attended the test centre solely based on MCT and who denied using
12 the app.

13 Second, to quantify comprehensiveness and speed of DPT, we sought to determine the proportion
14 of cases and contacts progressing through each step of the notification cascade, and the delays
15 involved in each step.

16 We combined these results to model the impact of DPT and MCT on the effective reproduction
17 number (R_{eff}) in our setting.

Results

Infection risk by test indication

Between 18 October 2021 and 9 January 2022, 21,655 PCR test bookings were recorded at the university test centre (exclusion chart: *Supplementary Figure 1*). To determine whether these persons were infected, we combined the results of all their tests in the subsequent 14 days. Therefore, any test bookings within 14 days after a previous test (5,187; 24.0%) or test booking (1,262; 7.7%) were not included as additional observations. In other words, for contacts booking multiple successive tests, only the first reported test indication was considered. Persons were excluded if they already had a positive test in the preceding 60 days (79; 0.5%). From the remaining tests bookings, we excluded another 4,219 (27.9%) because the main test indication was not any of the following: suggestive symptoms, an AEN or a manually traced close contact (see *Supplementary table 1* for accepted test indications). Finally, thirty persons were excluded because of conflicting answers to questions on AEN receipt.

The proportion of these students reporting recent use of the Coronalert app was 41.3% (CI: 40.4-42.2%). The 10,878 included test bookings were divided into three groups according to the main test indication: manually traced close contact (67.0%), suggestive symptoms (29.1%) or an AEN (3.9%). The manual tracing and symptomatic groups were further subdivided according to app use and AEN receipt. The proportion of app users was similar in the manual tracing (38.8%) and symptomatic (39.2%) groups.

In the manually traced group, the overall infection risk was 9.6% (CI: 8.9-10.4%) and not significantly affected by app use or receipt of an AEN (*Figure 2*). In the group with suggestive symptoms, the infection risk was significantly lower for app users without an AEN (10.8%; CI: 8.9-12.8%; $p=0.025$), but not significantly different for app users with an AEN (16.7%; CI: 9.2-26.8%; $p=0.467$), compared to those not using the app (13.8%; CI: 12.1-15.5%).

The infection risk was 5.0% (CI: 3.0-7.7%) in the group attending for an AEN, which was significantly lower than for non-app users with a manually traced close contact (9.8%; $p=0.002$).

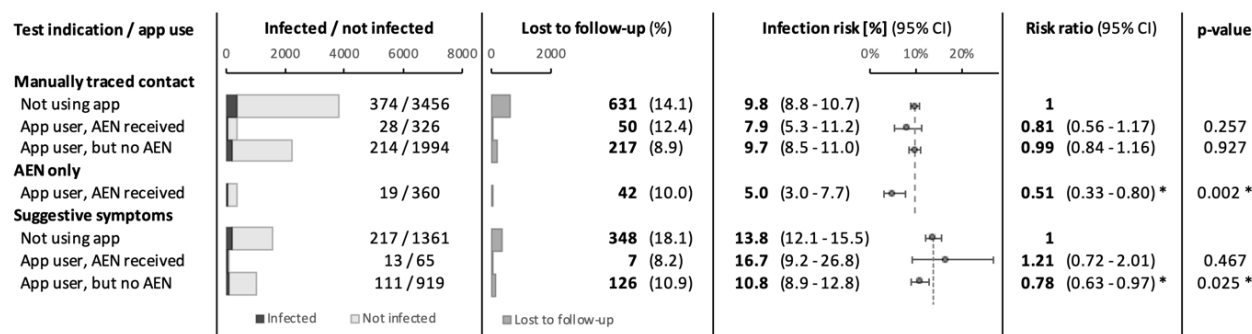


Figure 2. Number of tests, infection risk and risk ratio by self-reported test indication, for persons undergoing a test at the university test centre in the main study period (18 October 2021 - 9 January 2022). Persons were grouped according to self-reported main test indication: manually traced close contact, receipt of an automated exposure notification (AEN), or symptoms suggestive for COVID-19. These groups were further subdivided according to app use and AEN receipt. For each subgroup, the number of infected and uninfected persons, the number of persons lost to follow-up, and the infection risk are listed. Error bars indicate 95% confidence intervals. In addition, the risk ratio is shown relative to non-app users who were manually traced or had suggestive symptoms. Dashed lines indicate the infection risk in these control groups.

Using only this data from the test booking forms, we calculated an initial estimate of digital notification cascade completion, from case diagnosis to contact AEN receipt: the proportion of AEN receipt amongst persons attending after being manually traced as a close contact (irrespective of app use or outcome) was 5.5% (CI: 5.0-6.1%). In the next section, we provide a more detailed analysis of the notification cascade and validate this initial estimate.

Similar results were obtained when including all data from the same test centre between 1 February 2021 and 21 March 2022 (*Supplementary Figures 2 and 3*). For symptomatic persons tested in this extended study period, we additionally found an increased infection risk in case of a concurrent AEN (risk ratio: 1.34; CI: 1.07-1.67; p=0.013).

Individual level analysis of the DPT notification cascade

To investigate the comprehensiveness and timeliness of each step in the DPT notification cascade on an individual level, we started from all cases with a positive test in the main study period. We aimed to determine how many of their manually traced close contacts received an AEN, and to identify bottlenecks in the cascade. From the target population, 2,076 cases were reported to the contact tracing team. Nine were excluded because their test result was interpreted as a previous infection or false positive (*Figure 3, panel a*).

The proportion of female cases was 54.1% (missing data: 6.4%), while the mean age was 21.6 years (standard deviation: 3.2 years; missing data: 8.1%).

1 Of the included cases, 46% indicated that they had used the DPT app regularly in the previous
2 week (883 cases; CI: 44%-48%; excluding missing data: 7.0%). App users and non-users had a
3 similar mean age (21.4 and 21.7, respectively) and proportion of female cases (54.9% and 54.5%,
4 respectively). For cases with missing data on sex or age, app use was lower (25% and 26%,
5 respectively).

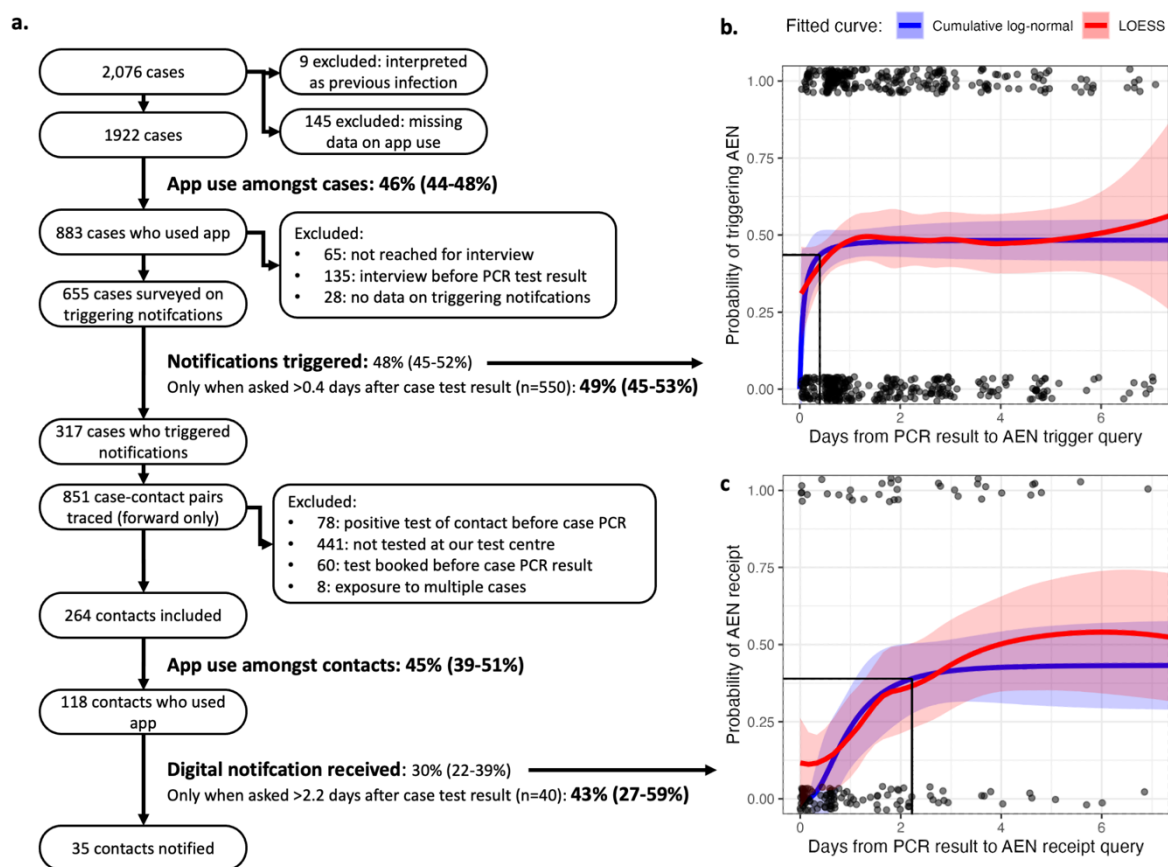
6 The university contact tracing team attempted telephone interviews with each of the 883 cases
7 who were app users. The phone call was successful for 818 cases (92.6 %), but 135 were excluded
8 because the interview took place before the PCR test result was known (often because of a positive
9 self-administered antigen test, see *Methods*). Data on whether AENs were triggered was missing
10 for another 28 cases. Of the remaining 655 cases, 48% (317 cases; CI: 45-52%) indicated during
11 their interview that they had authorised the upload of their identifier in the app, triggering contact
12 notifications.

13 To determine delays in this step, we plotted this proportion by time from PCR test result to case
14 interview, which is when we asked whether notifications had been triggered (*Figure 3, panel b*).
15 LOESS regression (locally estimated scatterplot smoothing) suggested that many cases triggered
16 notifications almost instantly after reporting of the test result. The proportion of cases having
17 triggered notifications then increased, until a plateau was reached less than one day after the PCR
18 result became available. The fitted cumulative log-normal curve indicated a mean delay from case
19 PCR result to triggering of notifications of 0.2 days (CI: 0.0-0.8). By only including cases
20 interviewed after the 90th percentile delay of 0.4 days, the proportion of infected app users
21 eventually triggering notifications was 49% (CI: 45-53%).

22 Manual forward contact tracing for the 317 cases who confirmed triggering AENs, resulted in 851
23 case-contact pairs (2.7 contacts per index case), of which 78 were excluded because they had already
24 been diagnosed with COVID-19 in the previous 60 days. Out of the resulting pairs, 332 contacts
25 (43%) booked a test at the university test centre, which means they were also students at the same
26 institution. We excluded 60 of these contacts, because their only test booking was before the case
27 PCR result, and 8 because they were already included in a previously identified case-contact pair
28 (they were exposed to multiple cases). Of the remaining 264 contacts, 45% (118 contacts; CI: 39-
29 51%) indicated having used the Coronalert app, similar to the proportion of app users amongst
30 cases.

31 For these contacts, we plotted the answers to the question on whether they had received an AEN,
32 by time elapsed since the case PCR result (*Figure 3, panel c*). The fitted cumulative log-normal
33 curve showed a mean delay from case PCR result to contact AEN receipt of 1.2 days (CI: 0.6-2.2
34 days), with a 90th percentile of 2.2 days. To calculate the technical sensitivity of the Coronalert
35 app, we only included the 40 contacts who answered the question on AEN receipt after the 90th
36 percentile delay.

1 The technical sensitivity of the app, defined as the proportion of these close contacts who received
 2 a notification – given that the case shared the result in the app, both were active users and
 3 sufficient time had elapsed – was 43% (17 out of 40 included contacts; CI: 27-59%).



4
 5 **Figure 3. Individual level analysis of the DPT notification cascade.** Panel a shows
 6 the exclusion chart, starting from all cases diagnosed during the main study period (18
 7 October 2021 – 9 January 2022), and the comprehensiveness of four studied steps in the
 8 DPT notification cascade. Panel b shows the proportion of infected app users claiming to
 9 have triggered notifications, by time since their PCR result became available (N cases with
 10 data for both timepoints = 550). Panel c shows the proportion of contacts indicating that
 11 they had received an AEN, by time since the PCR result of the index case who triggered
 12 notifications. Dots indicate individual data points, with a value of one for success and zero
 13 for failure. The red and blue lines show LOESS and cumulative log-normal regression
 14 curves, respectively, with 95% confidence intervals indicated by the shaded areas. For
 15 clarity, x-axis values over 7 days are not shown, but they are still included for curve fitting.
 16 We derive from the cumulative log-normal curves a mean delay of 0.2 (CI: 0.0-0.8) and 1.2
 17 (CI: 0.6-2.2) days, respectively, from case PCR result to their triggering notifications and
 18 contact AEN receipt. The time required to reach 90% of the final success rate, and the value
 19 of that success rate are indicated with solid black lines.

1 Finally, we combined the success rates obtained for each step of the notification cascade, to
 2 estimate the probability that the entire notification cascade (from case diagnosis to contact AEN
 3 receipt) was completed for any case-contact pair in our population. Using a simple stochastic model,
 4 we estimated this probability at 4.3% (CI: 2.8-6.1%). Basically, this is the result of multiplying the
 5 success rate of each step: app use by the case (46%), identifier upload by the case (49%), app use
 6 by the contact (45%), and AEN receipt by the contact (43%).

7 **Estimating the epidemiological impact of manual and digital contact tracing**

8 To estimate the success rate of MCT and combined MCT and DPT in our population, we compared
 9 the number of infected contacts who would have been identified by each contact tracing strategy.
 10 Based on self-reported test indications, we detected 616 cases through MCT and 341 through
 11 symptomatic screening, of which 28 and 13, respectively, also indicated having received an AEN
 12 (*Figure 2*). In addition, 19 cases were found through DPT alone, without concurrent symptoms or
 13 an MCT notification. Thus, a maximum of 60 cases could be identified by DPT, compared to 616 by
 14 MCT and 648 by a combined strategy.

15 If we assume that each notification was triggered by the actual infector, this implies an MCT
 16 success rate over 10 times that of DPT. Using the DPT notification success rate of 4.3% determined
 17 above, we thus estimated the success rate of the MCT programme at 44% (29-63%), and that of the
 18 combined MCT and DPT strategy at 47% (30-66%).

	Case isolation with MCT	Case isolation with DPT	Case isolation with MCT and DPT
Notification cascade success rate	44% (29-63%)	4.3% (2.8-6.1%)	47% (30-66%)
Mean delay from PCR result to contact notification	2.3 days (2.1-2.4)	1.2 days (0.6-2.2)	2.1 days (2.0-2.4)
Mean R_{eff} reduction relative to case isolation only	158%	106%	163%

19 *Table 1. Estimated effectiveness measures of manual and digital contact tracing in our*
 20 *setting. Where applicable, 95% confidence intervals are shown between brackets.*

21 By inputting our estimates of comprehensiveness and speed (*Table 1, Supplementary Figure 4*) in
 22 a previously published model^{38,39}, we estimated the effect of different case isolation and contact
 23 tracing strategies on the effective reproduction number (R_{eff}) in our setting. The effect of each
 24 contact tracing strategy on R_{eff} increased almost linearly with the proportion of cases detected
 25 through symptomatic screening (*Supplementary Figure 5*). Compared to case isolation only, MCT
 26 with case isolation achieved the largest reduction in R_{eff} (mean: 1.58 times the effect of case

1 isolation only), while the impact of DPT was minimal in comparison (mean: 1.06 times the effect
2 of case isolation only). Model parameters are listed in *Supplementary Table 2*. The relative
3 effectiveness of each strategy was robust to variations in input parameters (see *Supplementary*
4 *Table 3*).

5 **Changes in effectiveness over time**

6 Next, we included additional data from the longer period between 1 February 2021 and 21 March
7 2022, aiming to reveal associations between incidence, engagement with contact tracing, a change
8 in app configuration on 26 April 2021 and the timeliness and comprehensiveness of DPT and MCT
9 (*Figure 4, Supplementary Figure 6*)⁴⁰. There was a downward trend over this period in both app
10 uptake and participation in manual contact tracing. While the number of tests largely followed
11 epidemic waves, DPT contributed only a small minority of test indications throughout, and the
12 fraction of tests performed for symptoms gradually increased with the easing of national test and
13 trace guidelines. The contribution of DPT to test indications did not seem to change substantially
14 with an update to the transmission risk estimation algorithm (aimed at increasing notification
15 thresholds) on 26th April 2021. We saw longer delays in MCT when incidence peaked, indicating a
16 limitation in scalability, but the proportion of DPT as a test indication did not seem to rise with
17 incidence. While the positive predictive value of DPT was usually lower compared to MCT, it rose
18 during high incidence periods, especially the wave attributed to the Omicron variant of concern
19 (VOC) from January 2022.

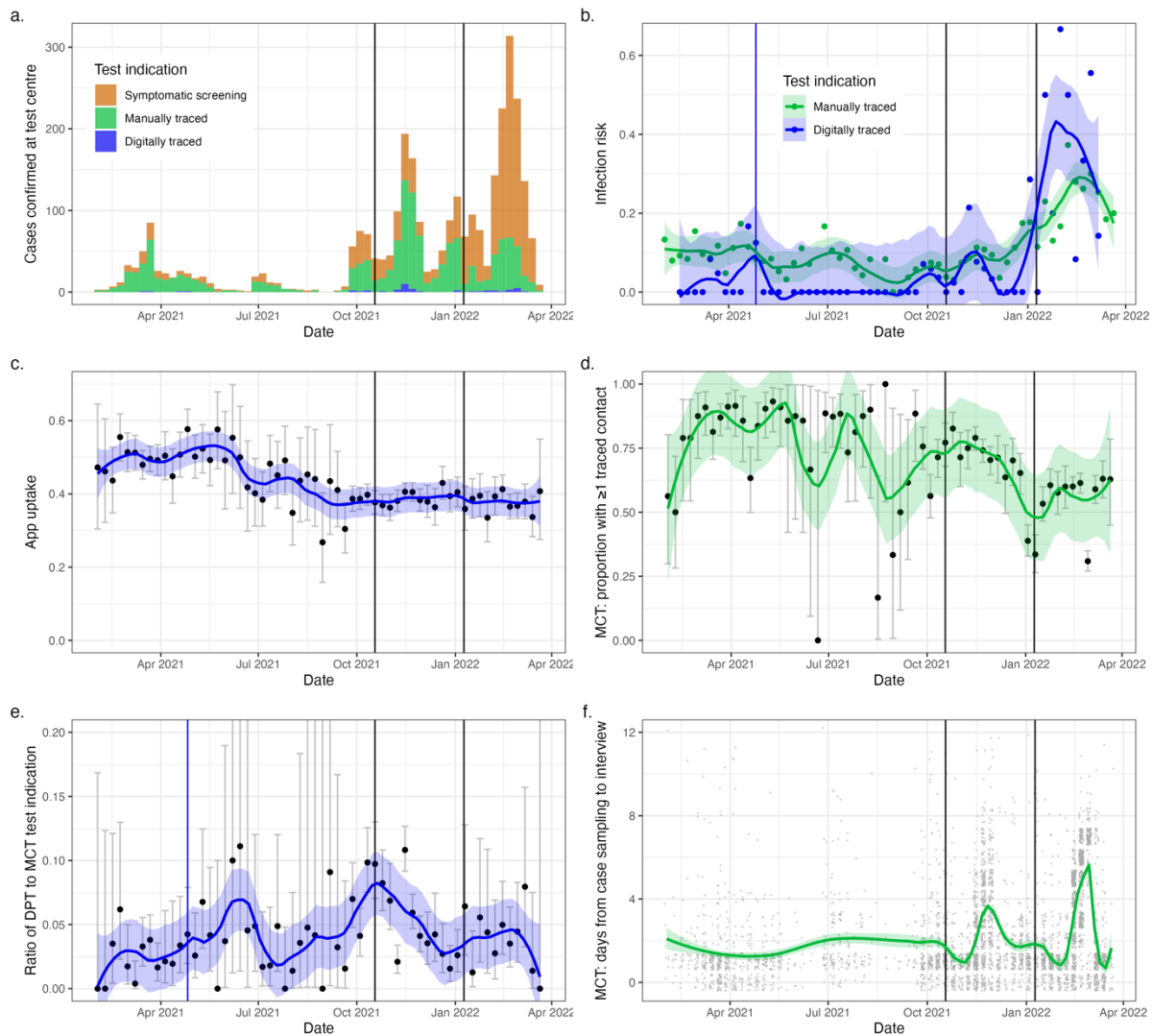


Figure 4. Evolution of test indications and contact tracing performance over time. Panels a and b show the number of cases identified and the infection risk, respectively, at the university test centre by test indication. Panels c and d show the evolution over time of DPT app uptake and the proportion of cases with at least one manually traced contact. In panel e, we show the ratio between persons attending the test centre after a digital and a manual notification. Panel f shows the delay from case PCR sampling to case interview. Dots show weekly proportions, and error bars the 95% confidence interval, except in panel f, where grey dots are individual data points. Coloured lines show local polynomial regression curves, and the shaded areas their 95% confidence intervals. Vertical black lines show the beginning and end of the main study period, with the latter corresponding to the end of government-mandated testing for close contacts. A change in app configuration, intended to reduce the number of notified contacts, is indicated with a blue vertical line.

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Discussion

This study provides unique individual level data on the comprehensiveness and speed of digital proximity tracing for COVID-19. By overlaying the manual and digital contact tracing cascades, we determine bottlenecks in each step of the notification cascade and compare the epidemiological impact of both strategies. As of July 2023, this is the first study to determine the technical sensitivity of a DPT system by consistently querying app use, triggering of notifications and AEN receipt within a manual contact tracing programme. It is also the first to evaluate a DPT system in this later phase of the COVID-19 pandemic, characterised locally by dominance of the Delta and Omicron VOCs, relaxed social contact restrictions, and high vaccination rates.

Previous studies have associated digital notifications with an increased infection risk compared to the general population^{26,36}. Our analysis additionally shows that, for app users who were symptomatic, the absence of a concurrent AEN reduced the risk of infection (*Figure 2*). For contacts whose exposure had already been established through manual tracing, an AEN did not provide any additional predictive value. Crucially, for contacts traced only digitally, the infection risk was significantly lower (risk ratio: 0.51, CI: 0.33-0.80) compared to manually traced non-app users, indicating a lower positive predictive value of DPT (*Figure 2*). This is consistent with a previous study, which estimated the fraction of digitally notified contacts who fit the close contact definition at only 39% in a centralised BLE-based app³⁷. We conclude that the infection risk of digitally traced contacts, although non-negligible (5.0%; CI: 3.0-7.7%), was lower than that of manually traced contacts, indicating less efficient allocation of testing and quarantine.

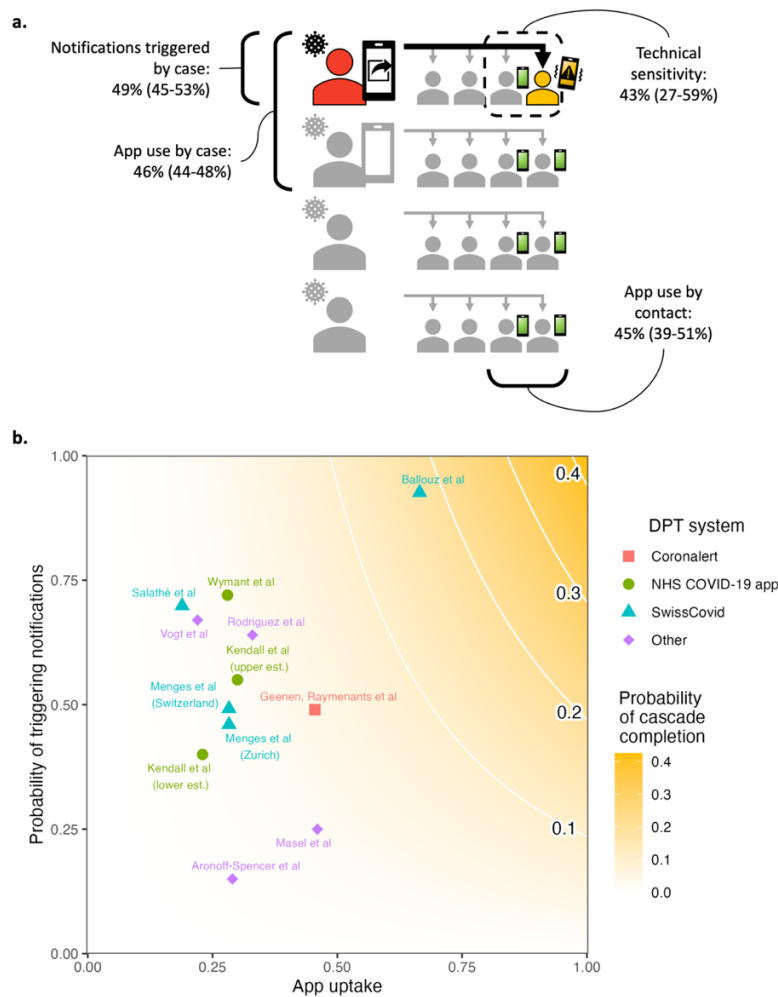
App uptake was similar amongst cases and contacts at 46% (CI: 44-48%) and 45% (CI: 39-51%), respectively, corresponding with the 48.7% of respondents intending to use the app in a Belgian study prior to its launch and the 46% of Belgian smartphone owners who downloaded the app by October 2022^{41,42}. This was a high proportion compared to other countries which had well-established DPT apps^{10,14,34,36,37}.

The proportion of infected app users who triggered notifications (49%; CI: 45-53%) was lower than in previous studies on the GAEN-based SwissCovid app (86-88%) and the NHS COVID-19 app (72%)^{10,28,35}. It was similar to an estimate in a later report on the NHS COVID-19 app (40-55%)³⁶. Lower proportions were observed in a study in California (15%) and on a national scale in Belgium (36%)^{34,41}.

The technical sensitivity in our setting of 43% (CI: 27-59%) was similar to a previous report of 58.5% for the SwissCovid app²⁹. This means that, when both the case and the contact used the app and the case triggered notifications, the probability that the contact received a notification was 43%.

Overall, we estimated the probability that the entire DPT notification cascade (from case diagnosis to contact AEN receipt) was completed for any case-contact pair in our population at only 4.3% (CI:

1 2.8-6.1%), a result of these compounding failure rates throughout the notification cascade (*Figure*
 2 *5, panel a*). This is consistent with the 5.5% (CI: 5.0-6.1%) who had received an AEN, out of all
 3 manually traced close contacts attending the test centre, supporting the validity of this latter
 4 measure to track DPT comprehensiveness.



5
 6 **Figure 5. Illustrations of observed success rates in the DPT notification cascade.**
 7 *The total probability of completing the notification cascade was estimated at 4.3% (CI: 2.8-*
 8 *6.1). Panel a shows how each step contributes to cascade failures. In a hypothetical scenario*
 9 *of 4 diagnosed cases (left) with 4 contacts each (right), the entire cascade is completed for*
 10 *only one out of 16 case-contact pairs (black arrow). Observed success rates are indicated for*
 11 *each step, with 95% confidence intervals between brackets. Panel b compares our results to*
 12 *previous reports of app uptake and the proportion of infected app users triggering*
 13 *notifications, and indicates the expected cascade completion rate when combined with the*
 14 *technical sensitivity we observed. Here, we assume that app uptake is equal amongst*
 15 *contacts and cases and that mixing patterns remain as in the studied population. Est.:*
 16 *estimate.*

1 Previously reported estimates of app uptake and the proportion of cases triggering notifications
2 are shown in *Figure 5, panel b*^{10,29,33–37,43,44}. It is clear that, even in settings with high app uptake,
3 only limited digital cascade completion rates can be achieved, in the absence of efforts to tackle
4 notification sharing and technical sensitivity. Unfortunately, simply changing app parameters to
5 increase technical sensitivity could come at a cost of lowering DPT’s positive predictive value,
6 which was already disappointing compared to MCT in this study. If lowering the thresholds for
7 DPT results in a higher quarantine burden per detected case compared to MCT, expanding MCT
8 criteria (e.g., the close contact definition or the contact elicitation window) may be the more
9 efficient intervention.

10 In terms of timeliness, we observed no significant lag between reporting of a positive PCR result
11 and triggering of AENs by the case, indicating that results were reported rapidly in the app, and
12 index cases consented to DPT promptly, if they intended to do so (*Figure 3, panel b*). However, a
13 mean delay of 1.2 days (CI: 0.6-2.2) was observed from case PCR result to contact AEN receipt
14 (*Figure 3, panel c*), compared to 2.3 days (CI: 2.1-2.4) for MCT. Possible sources of this delay could
15 lie in the publication of the case identifier on the server, the retrieval and analysis of this
16 information by the contact’s device, or the display of an AEN on this device. Rodriguez et al
17 observed similar delays in a controlled population experiment on the Spanish Canary Islands,
18 where 98% of index cases who opted to share their code did so within 24 hours, while the average
19 delay between a simulated index case introducing the code and the alerted close contact following
20 up with the call centre was 2.35 days⁴⁴. Ballouz et al. also showed that, of contacts who were both
21 manually and digitally notified, only a minority received the AEN before being notified through
22 MCT²⁶.

23 In our setting, MCT detected over 10 times the number of infected contacts found through DPT
24 alone, although in a combined strategy, DPT could identify 5.2% of additional cases not found
25 through MCT. The resulting modelled effect of MCT on R_{eff} was also nearly 10 times that of DPT
26 alone (58% additional R_{eff} reduction relative to case isolation only, compared to 6%). This result
27 was robust to variations in input parameters (*Supplementary Table 3*). As in previous modelling
28 research, the effect of both strategies correlated with the comprehensiveness of detection through
29 diagnostic screening for indications other than contact tracing³⁹. This is consistent with the notion
30 of fast, comprehensive detection of (symptomatic) cases as a requirement for effective contact
31 tracing³.

32 These results contrast starkly with several early modelling studies estimating DPT
33 effectiveness^{3,4,7,9}. While many considered the importance of app uptake, they likely overestimated
34 the fraction of index cases triggering notifications, the app’s technical sensitivity and the
35 willingness of AEN recipients to follow recommendations to quarantine and undergo diagnostic
36 testing^{3,4,7}. Also, they assumed DPT to be instantaneous, which was refuted in several other studies
37 and in this one^{28,29,44}. More recent modelling studies highlighted that all exposed contacts,

1 including super spreaders — from which most transmission occurs — are in principle discoverable
2 through manual contact tracing⁴⁵. In contrast, digital proximity tracing can only sample from a
3 limited network of app users, resulting in lower comprehensiveness, which may be more important
4 than speed.

5 Our effectiveness estimate compared to MCT may appear to contradict the generally positive
6 assessment in two analyses using aggregated empirical data from the NHS COVID-19 app in the
7 United Kingdom^{35,36}. However, based on the estimates of app uptake (23-30%) and the fraction of
8 index cases triggering notifications (40-55%), we would expect a notification cascade success rate
9 similar to our setting (*Figure 5, panel b*). Importantly, these studies could not make a direct
10 comparison between cases identified by MCT, DPT, symptomatic screening, or a combination, and
11 thus had to rely on multiple assumptions regarding the speed, comprehensiveness, and efficiency
12 of different case detection strategies.

13 In an exploratory analysis, we report additional data from the period of February 2021 to March
14 2022, aiming to reveal associations between incidence, engagement with contact tracing, a change
15 in app configuration on 26 April 2021 and the timeliness and comprehensiveness of DPT and
16 MCT⁴⁰. The absolute number of individuals undergoing testing after an AEN increased with
17 incidence, as previously reported^{33,36}. As an illustration of DPT's scalability advantage, we expected
18 to see an increase in the proportion of traced contacts through DPT relative to MCT during
19 incidence surges. However, we did not observe this sign of scalability, even though the entire DPT
20 cascade could be completed without manual input from a healthcare professional. The change in
21 app configuration on 26 April 2021, aimed at increasing the threshold for digital notifications, did
22 not noticeably change the fraction of contacts attending the university test centre citing an AEN,
23 relative to manually traced contacts⁴⁰. Throughout the extended study period, we observed a
24 gradual decline in both app uptake and engagement with MCT (quantified as the fraction of cases
25 reporting at least one contact).

26 For future implementations of DPT, many countries would not resort to mandatory app use to
27 improve uptake, considering the impact on individual rights. More limited mandatory use however,
28 such as the requirement to register attendance at certain high-risk venues, may increase overall
29 uptake, as it did in the United Kingdom³⁶. Small financial rewards for using the app may also be
30 considered⁶, as well as increasing the general usefulness of the app¹³. To avoid index cases deciding
31 not to share their notification in the app, (monetary) incentives can again be considered. An a
32 priori, once-off consent procedure for exposure notifications in case of a positive test might
33 outweigh any resulting reduction in app uptake or testing¹³. The app's technical sensitivity may
34 benefit from more advanced proximity sensing technologies, such as ultra-wide band (UWB).
35 Extending the contact elicitation window backward in time may help to identify source and sibling
36 cases^{46,47}. Finally, the integration of proximity sensing with an estimate of transmission risk in the

1 immediate environment, e.g., through interaction with climate sensors, may further improve the
2 transmission risk estimation algorithm⁴⁸.

3 This study has several limitations. First, our population consisted of highly educated young adults,
4 with near-universal smartphone coverage, which may have resulted in higher-than-average
5 willingness and ability to engage in digital contact tracing³⁷. We do not expect this to influence our
6 estimates of technical sensitivity or infection risk, which should be independent of app uptake and
7 the proportion consenting to contact tracing.

8 Second, we could only determine cascade success rates up the point where a contact receives an
9 AEN. Thus, we could not assess whether digitally alerted contacts were less likely to follow
10 quarantine and testing advice. However, our estimate of the epidemiological impact is based on all
11 persons undergoing a test citing a manual or digital notification, thus taking into account any
12 difference in compliance with testing advice. On the other hand, we did not evaluate behavioural
13 changes of digitally alerted app users who did not attend the test centre, which may have
14 contributed to lower onward transmission.

15 Finally, we could not assess the number of exposures leading to each digital notification. It is
16 possible that many notifications were triggered by a combination of low-risk exposures to multiple
17 cases, rather than a single high-risk exposure. If so, it is possible that DPT could detect more cases
18 than suggested by its ability to notify high-risk contacts. However, our estimate of the
19 epidemiological impact already takes this into account, as it is based on actual numbers of cases
20 detected.

21 In conclusion, our study confirms previous results showing that current implementations of DPT
22 are not a replacement for comprehensive MCT. We show that, in a supportive role to MCT, the
23 impact was real but relatively limited. Our individual level analysis of the digital notification
24 cascade highlights limitations in each step, which should be considered in future implementations.

1 Methods

2 **Study type**

3 This observational study complied with the STROBE guidelines.

4 The study protocol was approved by the Ethics Committee Research UZ/KU Leuven (reference
5 number: S64919). Informed consent was waived as the data gathered did not exceed what was
6 required for the purpose of safeguarding public health.

7 **Context**

8 The study was performed in the context of a COVID-19 test and trace programme targeting around
9 50,000 higher education students at the KU Leuven Association in Leuven, Belgium. This
10 programme was previously described in detail^{47,49}. Smartphone coverage was nearly universal, as
11 both internet access and a phone number were required for test booking (in Dutch or English), and
12 we received only a handful of requests for an alternative during the 1.5-year programme.
13 Vaccination rates increased from 2.8% in February 2021 to 10% in May 2021 and over 90% in
14 September 2021⁴⁷.

15 The main study period ran from 18 October 2021 – when we started systematically asking cases
16 whether they triggered AENs – to 9 January 2022, when government-mandated testing for all close
17 contacts was abandoned. The Delta and Omicron BA.1 VOCs were dominant⁵⁰. Moderate contact
18 restrictions were in place, with the weighted average Oxford COVID-19 government stringency
19 index for vaccinated and non-vaccinated individuals ranging between 32 and 34⁵¹.

20 For an additional analysis of variations over time, we also investigated a longer period spanning
21 Alpha, Delta, and Omicron VOC dominance, from 1 February 2021 – when an AEN became an
22 accepted test indication at the university test centre – to 21 March 2022, when it stopped accepting
23 contact tracing as a test indication. Contact restrictions were high in the beginning of this period,
24 peaking at an Oxford COVID-19 government stringency index of 76 in April 2021, and declined
25 progressively thereafter, reaching 14 and the end of the period⁵¹.

26 **Coronalert**

27 The Coronalert mobile phone app was a Belgian government-sponsored implementation of the
28 GAEN framework.

29 For a notification to be triggered using the GAEN framework, a case needs to undergo a diagnostic
30 test and upload an identifier code to a central database. This upload requires authorisation by the
31 public health authority and explicit permission from the user. The identifier code is then published
32 on a server, retrieved by the contact's device, and contributes to the contact's risk estimation. Once
33 a threshold is reached, an automated notification is displayed to the contact, who can subsequently
34 decide whether to act on it.

1 Coronalert was released to the public on 30th September 2020. It used a simple exposure risk
2 estimator, based on binned Received Signal Strength Indicator (RSSI) values, timing, and duration
3 of exposure, to determine whether a proximity event with risk of transmission took place. The
4 contact elicitation window started four days before symptom onset or positive PCR test of the case,
5 whichever was earlier. The app made a distinction, based on these parameters, between low-risk
6 contacts and high-risk contacts. In this study, we only consider high-risk contacts, because only
7 they received instructions to quarantine and get tested⁵².

8 Parameters used to determine whether a proximity event took place have differed between
9 countries and time periods^{23,40,53}. A change to the Coronalert app, intended to reduce the sensitivity
10 of proximity detection, took place on 26 April 2021. Both sets of configuration details can be
11 accessed online⁴⁰. The app was deactivated on 9 November 2022 as the epidemiological situation
12 improved.

13 Apart from DPT, the Coronalert app provided automatic reports of individual PCR test results and
14 a dashboard with national statistics, such as COVID-19 incidence and vaccination coverage.

15 Throughout its lifetime, the app was downloaded 4.2 million times, corresponding to 46% of Belgian
16 smartphone owners. No active user numbers were collected on a national level. 1.76 million test
17 results, including 340,000 positive results, were received through the app, which corresponds to
18 5.4% of the registered COVID-19 tests and 6.9 % of the positive COVID-19 tests in the same period.
19 123,000 persons receiving a positive test through the app proceeded to trigger notifications
20 (36%)^{41,54}.

21 As part of the sampling process for COVID-19 tests, healthcare providers in Belgium were
22 instructed to ask app users for a pseudonym code generated by their app. This code was linked to
23 the test in a central database. The app could determine the result of the test by querying a central
24 server for the pseudonym code. App users who had chosen not to input their pseudonym code into
25 the database at the time of sampling, could still do so after receiving their test result, by using an
26 online form or by calling the contact tracing centre.

27 If the test result was positive, the app automatically prompted the user to consent to notifying
28 their close contacts. If accepted, the identifier code was uploaded to the central database and close
29 contacts received an AEN.

30 The results of self-administered rapid antigen tests, which gradually become more popular
31 throughout the extended study period, could not be linked to the Coronalert app. All persons with
32 a positive self-administered test were advised to undergo a confirmatory PCR or rapid antigen test,
33 performed by a healthcare professional.

34 For our analysis, we summarised the notification cascade to four key steps: app use by the index
35 case, identifier upload by the index case, app use by the contact, and receipt of an AEN. We could

1 not determine the proportion of all cases who were diagnosed, or the proportion of notified contacts
2 complying with quarantine or testing advice.

3 **Data collection**

4 Any student could book a PCR test at the university test centre by filling out an online form, which
5 included the following statements requiring a yes or no answer: “The Coronalert app has been
6 active on my phone for more than a week” and “I received an alert through the Coronalert app that
7 I have had a high-risk contact”. They were also asked to input one main test indication, with
8 options including, amongst others, suggestive symptoms, an AEN, and a manually traced close
9 contact. A full list of test indications implemented throughout the study period is added in
10 *Supplementary table 1*.

11 As per national guidelines, Coronalert users attending for a PCR test were consistently encouraged
12 to register their test in the app at the time of sampling, as observed by other researchers conducting
13 in-depth interviews in the same population¹³.

14 A contact tracing team attempted to phone each student with a positive PCR test result for a case
15 interview. They were systematically asked for details of their close contacts and whether they had
16 triggered notifications in the Coronalert app.

17 **Study participants: infection risk analysis**

18 In the first part of this study, we determined the infection risk of students attending the test centre,
19 grouped by their test indication and whether they had received an AEN. This analysis compares
20 the positive predictive value of digital and manual notifications.

21 We included all students who filled out an online test booking form and indicated a manually traced
22 contact, suggestive symptoms, or an AEN as the main test indication. Students were excluded if
23 they had already been identified as infected in the previous 60 days. To avoid selection bias and
24 ambiguous test indications, we also excluded students who had already booked or undergone a test
25 in the preceding 14 days. Finally, we excluded persons who indicated an AEN as the test indication
26 but answered “no” in the same questionnaire, when asked whether an AEN was received.

27 Students with any positive test in the 14 days after test booking were considered infected, while
28 others with any negative test in the same period were considered not infected. If no test was
29 performed, the student was marked as lost to follow-up.

30 Risk ratios were calculated relative to control groups of students with the same main test
31 indication who did not use the app.

32 For students indicating an AEN as the main test indication, we used manually traced non-app
33 users as the control group. As such, we obtain a measure of the positive predictive value of AEN
34 for detecting infection relative to manual contact tracing.

Study participants: notification cascade

For a detailed analysis of the notification cascade, we started from all infected students referred to the university contact tracing team for a positive test in the study period. This includes students tested at the test centre, but also elsewhere.

During the case interview, we asked whether they had triggered notifications in the Coronalert app. Cases who had used the AEN app were actively encouraged to consent to AEN in their app. They also received basic assistance in case of technical difficulties. If the contact tracer considered the positive test as likely due to a previous infection, or if data on app use was missing, the case was excluded. When determining success rates and delays in the AEN triggering step, we also excluded cases who could not be reached for an interview, cases interviewed only before their PCR test result, and cases with missing information on whether they triggered notifications.

Manual contact tracing was performed for each case, using the same definition for close contact as the national guidelines: either direct physical contact, an interaction at less than 1.5 metres without face masks, an interaction at less than 1.5 metres for more than 15 minutes, or an interaction without face masks for more than 15 minutes. We additionally labelled as close contacts co-attendants at a “high-risk event” of up to 20 attendees, defined as fitting at least two of the following three criteria: crowding (at least five individuals belonging to at least two households), close contact (within 1.5 metres without masks) and closed environment (indoor)⁴⁷. All manually traced close contacts were encouraged to undergo PCR testing as soon as possible and again 7 days after their last exposure, even when this advice differed from national guidelines.

Contacts of cases who triggered AENs were included in the analysis if the contact filled out an online PCR test booking form for the test centre, 0 to 14 days after the case PCR result was reported. Contacts were excluded if they already had a positive test up to 60 days before the case. If a contact was exposed to several cases, only the first reported case-contact pair was retained.

Analysis of notification cascade

We considered four main steps in the notification cascade: (1) app use by the case, (2) triggering of AEN, (3) app use by the contact, and (4) AEN receipt by the contact. The order of these steps was not chronological but selected to facilitate the analysis. We determined the proportion of cases and contacts progressing through each step, conditional on successful completion of all previous steps.

For the notification trigger step and the AEN receipt step, we plotted the proportion of cases who indicated having triggered notifications, or contacts having received an AEN, by time since PCR test result. For both plots, we fitted the data to a cumulative log-normal curve, assuming that the proportions of cases having triggered AENs and contacts having received an AEN would reach a plateau after a certain delay. The fitted curves were used to estimate the mean delay in each step. We also determined the time required to reach 90% of the supremum, i.e., the time required to

1 reach 90% of the final success rate. Excluding any observations before this time, we determined
2 the proportion of cases and contacts progressing through these two steps of the notification cascade.

3 To estimate the probability of completing the entire cascade, we used a simple stochastic model.
4 The probability of completing each step, conditional on having completed the previous one, was
5 modelled as a Beta function with shape parameters a (the observed number of successes plus one)
6 and b (the observed number of failures plus one). The probability of completing the entire cascade
7 was modelled by multiplying 100,000 random samples from the probability distributions of each
8 step. A Beta distribution was then fitted to the results, with the mean of the probability density
9 function taken as the estimated probability of completing the cascade. The 95% confidence interval
10 was determined by inputting the values 0.025 and 0.975 in the quantile function of this Beta
11 distribution.

12 **Effect on epidemic growth**

13 To compare the influence of different case isolation and contact tracing strategies on epidemic
14 growth in our setting, we modelled their effect on the effective reproduction number (R_{eff}), which
15 is the average number of secondary infections caused by one case.

16 The baseline R_{eff} is the result of prevailing general contact restrictions, barrier measures,
17 virological factors (e.g., the dominant VOC) and immunity (natural or vaccine induced) in the
18 absence of case isolation or contact tracing. As the national Belgian R_{eff} varied between 0.69 and
19 1.68 during the main study period (based on case numbers), we used 1.5 as a baseline^{55,56}. We note
20 that, given the transmissibility of Delta or Omicron variants, these values for the baseline R_{eff} can
21 only be achieved with some combination of immunity, general contact restrictions, and barrier
22 measures^{57,58}.

23 We modelled the effect of four strategies: case isolation only, case isolation with DPT, case isolation
24 with MCT, and case isolation with DPT and MCT combined.

25 In the absence of unbiased community prevalence surveys, we varied the comprehensiveness of
26 detection through surveillance (diagnostic screening for indications other than contact tracing)
27 from 0.1 to 0.9 in this model.

28 To estimate the comprehensiveness of MCT, we first determined the total number of infected
29 contacts identified through MCT and DPT. We assumed that digital or manual exposure
30 notifications were always triggered by the actual infector. We also assumed that our estimate of
31 DPT cascade success rate applied to all contacts attending the test centre, which is possibly
32 incorrect, as this includes contacts exposed to cases outside our target population. We also did not
33 account for persons who did not undergo a test after being manually or digitally notified.

34 To estimate the speed of case isolation and manual contact notification, we determined the mean
35 delays from symptom onset to test result of symptomatic cases and timing to contact quarantine

1 for their contacts. As we only queried symptoms at the time of the case interview, rather than
2 follow up on symptom development throughout the infection, we could not differentiate pre-
3 symptomatic from asymptomatic cases.

4 We then inputted these parameters into a previously published compartmental model to determine
5 the effect of different case isolation and contact tracing strategies on R_{eff} (*Supplementary Tables 2*
6 *and 3*)^{38,39}.

7 **Extended study period**

8 In an exploratory analysis over an extended time period, with variations in case numbers,
9 vaccination rate, app configuration (a single change to reduce sensitivity took place on April 26
10 2021), and engagement with MCT and DPT, we plotted the following parameters: confirmed
11 COVID-19 case numbers and infection rate by test indication, app uptake, the percentage of
12 manually traced cases reporting at least one contact (as a measure of active participation in MCT),
13 the delay between PCR test result and MCT (as a measure of speed), and the proportion of contacts
14 identified through DPT relative to MCT.

15 **Statistical methods**

16 No power analysis was performed, because the study size was a direct result of the number of cases
17 and contacts during the study periods, which were chosen as broadly as possible, as described
18 above. No randomization or blinding was performed in this observational study.

19 For continuous variables, t-based two-sided 95% confidence intervals were calculated. For binomial
20 variables, the Clopper-Pearson method was used to determine two-sided 95% confidence intervals,
21 and small sample adjusted risk ratios were determined with two-sided normal approximation 95%
22 confidence intervals. We used a two-sided Pearson's chi-squared test to determine whether there
23 was a difference between two proportions.

24 For the mean delay of each notification cascade step, we calculated the mean of a (cumulative) log-
25 normal curve fitted to the observed data. The 95% confidence interval was determined as 1.96
26 times the standard error, either side of the mean on a logarithmic scale. This value was then
27 converted to the equivalent mean on a linear scale. The confidence interval of the digital
28 notification cascade completion rate was determined using a fitted Beta curve, as described above.

29 When considering outcome data, cases and contacts lost to follow-up were excluded from the
30 analyses.

1 Data availability

2 All data produced in the present study are available upon reasonable request to the authors.

3 Code availability

4 Code to reproduce these results will be made available from: [https://github.com/c-geenen/DPT-](https://github.com/c-geenen/DPT-leuven)
5 leuven

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