



Efficient collective swimming by harnessing vortices through deep reinforcement learning

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Fish in schooling formations navigate complex flow fields replete with mechanical energy in the vortex wakes of their companions. Their schooling behavior has been associated with evolutionary advantages including energy savings, yet the underlying physical mechanisms remain unknown. We show that fish can improve their sustained propulsive efficiency by placing themselves in appropriate locations in the wake of other swimmers and intercepting judiciously their shed vortices. This swimming strategy leads to collective energy savings and is revealed through a combination of high-fidelity flow simulations with a deep reinforcement learning (RL) algorithm. The RL algorithm relies on a policy defined by deep, recurrent neural nets, with long-short-term memory cells, that are essential for capturing the unsteadiness of the two-way interactions between the fish and the vortical flow field. Surprisingly, we find that swimming in-line with a leader is not associated with energetic benefits for the follower. Instead, “smart swimmer(s)” place themselves at off-center positions, with respect to the axis of the leader(s) and deform their body to synchronize with the momentum of the oncoming vortices, thus enhancing their swimming efficiency at no cost to the leader(s). The results confirm that fish may harvest energy deposited in vortices and support the conjecture that swimming in formation is energetically advantageous. Moreover, this study demonstrates that deep RL can produce navigation algorithms for complex unsteady and vortical flow fields, with promising implications for energy savings in autonomous robotic swarms.

fish schooling | deep reinforcement learning | autonomous navigation | energy harvesting | recurrent neural networks

There is a long-standing interest for understanding and exploiting the physical mechanisms used by active swimmers in nature (nektons) (1–4). Fish schooling, in particular, one of the most striking patterns of collective behavior and complex decision-making in nature, has been the subject of intense investigation (5–9). A key issue in understanding fish-schooling behavior, and its potential for engineering applications (10), is the clarification of the role of the flow environment. Fish sense and navigate in complex flow fields full of mechanical energy that is distributed across multiple scales by vortices generated by obstacles and other swimming organisms (11, 12). There is evidence that their swimming behavior adapts to flow gradients (rheotaxis), and, in certain cases, it reflects energy-harvesting from such environments (13, 14). Hydrodynamic interactions have also been implicated in the fish-schooling patterns that form when individual fish adapt their motion to that of their peers, while compensating for flow-induced displacements. Recent experimental studies have argued that fish may interact beneficially with each other (9, 15, 16), but in ways that challenge (17) the earlier proposed mechanisms (5, 6) governing fish schooling. However, the role of hydrodynamics in fish schooling is not embraced universally (8, 18, 19), and there is limited quantitative information regarding the physical mechanisms that would explain such energetic benefits. Experimental (15, 16) and computational (20) studies of collective swimming have been hampered by the presence of multiple deforming bodies and their interactions with the flow field. Moreover, numerical

simulations have demonstrated that a coherent swimming group cannot be sustained without exerting some form of control strategy on the swimmers (21, 22). Here, we use deep reinforcement learning [deep RL (23)] to discover such strategies for two autonomous and self-propelled swimmers and elucidate the physical mechanisms that enable efficient and sustained coordinated swimming.

During fish propulsion, body undulations and the sideways displacement of the caudal fin generate and inject a series of vortex rings in its wake (24–26). When fish swim in formation, these vortices may assist the locomotion of fish that intercept them judiciously, which in turn can reduce the collective swimming effort. Such vortex-induced benefits have been observed in trout, which curtail muscle use by capitalizing on energy injected in the flow by obstacles present in streams (13, 27). Here, we examine configurations of two and three self-propelled swimmers in a leader(s)–follower(s) arrangement and investigate the physical mechanisms that lead to energetically beneficial interactions by considering four distinct scenarios. Two of these involve smart followers that can make autonomous decisions when interacting with a leader’s wake and are referred to as interacting swimmers (*IS*) (e.g., the follower in Fig. 1). Additionally, we consider two distinct solitary swimmers (*SS*) that swim in isolation in an unbounded domain. In the case of interacting swimmers, *IS_η* denotes swimmers that learn the most efficient way of swimming in the leader’s wake (without any positional constraints) and acquire a policy π_η in the process. In turn, swimmer *IS_d* attempts to minimize lateral deviations from the leader’s path, resulting in a locally optimal policy π_d . These autonomous

Significance

Can fish reduce their energy expenditure by schooling? We answer affirmatively this longstanding question by combining state-of-the-art direct numerical simulations of the 3D Navier–Stokes equations with reinforcement learning, using recurrent neural networks with long short-term memory cells to account for the unsteadiness of the flow field. Surprisingly, we find that swimming behind a leader is not always associated with energetic benefits for the follower. In turn, we demonstrate that fish can improve their sustained propulsive efficiency by placing themselves at appropriate locations in the wake of other swimmers and intercepting their wake vortices judiciously. The results show that autonomous, “smart” swimmers may exploit unsteady flow fields to reap substantial energetic benefits and have promising implications for robotic swarms.

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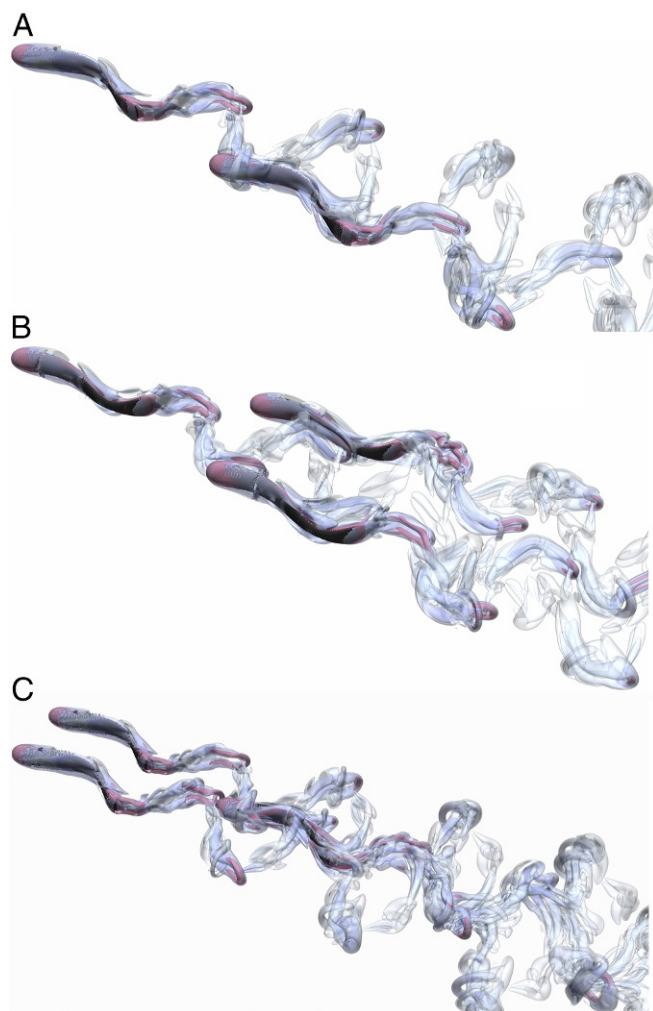


Fig. 1. Efficient coordinated swimming of two and three swimmers. (A) DNS of two swimmers, in which the leader swims steadily and the follower maintains a specified relative position such that it increases its efficiency by interacting with one row of the vortex rings shed by the leader. The flow is visualized by isosurfaces of the Q criterion (28). (B) DNS of three swimmers, where the two followers maintain specified positions that increase their efficiency by interacting with both rows of the vortex rings shed by the leader. (C) DNS of three swimmers with the follower benefiting from one row of wake vortices generated by each leader. Animations of the 3D simulations are provided in [Movies S1–S3](#).

swimmers take decisions by virtue of deep RL, using visual cues from their environment (Fig. 24). The solitary swimmers SS_η and SS_d execute actions identical to IS_η and IS_d , respectively, and serve as “control” configurations to assess how the absence of a leader’s wake impacts swimming-energetics.

Deep RL for Swimmers

RL (29) has been introduced to identify navigation policies in several model systems of vortex dipoles, soaring birds and microswimmers (30–32). These studies often rely on simplified representations of organisms interacting with their environment, which allows them to model animal locomotion with reduced physical complexity and manageable computational cost. However, the simplifying assumptions inherent in such models often do not account for feedback of the animals’ motion on the environment. High-fidelity numerical simulations, although significantly more computationally demanding, can account for such important considerations to a greater extent, for instance,

by allowing flapping or swimming motions that closely mimic the interaction of real animals with their environment. This makes them invaluable for investigating concepts that may be carried over readily to bioinspired robotic applications, with minimal modification. This consideration has motivated our present study, where we expand on our earlier work (33), combining RL with direct numerical simulations (DNSs) of the Navier–Stokes (NS) equations for self-propelled autonomous swimmers. We first investigate 2D swimmers in a tandem configuration to scrutinize the strategy adopted by the RL algorithm for attaining the specified goals. Based on the observed behavior and the physical intuition we gain from examining these smart swimmers, we formulate simplified rules for implementing active control in significantly more complex 3D systems. This reverse-engineering approach allows us to determine simple and effective control rules from a data-driven perspective, without having to rely on simplistic models which may introduce errors owing to underlying assumptions.

Efficient Autonomous Swimmers

We first analyze the kinematics of swimmers IS_η and IS_d (Fig. 2), which were described previously, and were trained to attain specific high-level objectives via deep RL (see *Methods* for details). In both cases, the swimmer trails a leader representing an adult zebrafish of length L , swimming steadily at a velocity U , with tail-beat period T [Reynolds number $Re = L^2/(T\nu) \approx 5000$]. After training, we observe that IS_d is able to maintain its position behind the leader quite effectively ($\Delta y \approx 0$; Fig. 2D), in accordance to its reward ($R_d = 1 - |\Delta y|/L$). Surprisingly, IS_η with a reward function proportional to swimming efficiency ($R_\eta = \eta$), also settles close to the center of the leader’s wake (Fig. 2D and [Movie S4](#)), although it receives no reward related to its relative position. This decision to interact actively with the unsteady wake has significant energetic implications, as described later in the text. Both IS_d and IS_η maintain a distance of $\Delta x \approx 2.2L$ from their respective leaders (Fig. 2C). IS_η shows a greater proclivity to maintain this separation and intercepts the periodically shed wake vortices just after they have been fully formed and detach from the leader’s tail. In addition to $\Delta x = 2.2L$, there is an additional point of stability at $\Delta x = 1.5$ (Fig. 2E). The difference $0.7L$ matches the distance between vortices in the wake of the leader. In both positions, the lateral motion of the follower’s head is synchronized with the flow velocity in the leader’s wake, thus inducing minimal disturbance on the oncoming flow field. We note that a similar synchronization with the flow velocity has been observed when trout minimize muscle use by interacting with vortex columns in a cylinder’s wake (13). IS_η undergoes relatively minor body deformation while maneuvering (Fig. 2F), whereas IS_d executes aggressive turns involving large body curvature. Trout interacting with cylinder wakes exhibit increased body curvature (27), which is contrary to the behavior displayed by IS_η . The difference may be ascribed to the widely spaced vortex columns generated by large-diameter cylinders used in the experimental study; weaving in and out of comparatively smaller vortices generated by like-sized fish encountered in a school (Fig. 2B) would entail excessive energy consumption.

We note that maintaining $\Delta y = 0$ requires significant effort by IS_d ([SI Appendix, Fig. S2D](#)), which is expected, as this swimmer’s reward (R_d) is insensitive to energy expenditure. One of our previous studies (33) demonstrated that minimizing lateral displacement led to enhanced swimming efficiency (compared with the leader), albeit with noticeable deviation from $\Delta y = 0$. This conclusion is markedly different from our current observation and can be attributed to the use of improved learning techniques which are better able to achieve the specified goal. In the present study, recurrent neural networks augmented with “long short-term memory” cells ([SI Appendix, Fig. S3](#)) help encode time dependencies in the value function and

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