# Emergence of flocking and consensus



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In collaboration with:

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#### Transport phenomena in collective dynamics, ETH Zürich

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# Outline

## Introduction

## 2 Flocking

- Cucker-Smale model
- Non-symmetric model

#### 3 Consensus

- Cluster formation
- Heterophilious dynamics

### 4 Conclusion

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# Flocking & Consensus

Flocking and consensus are typical collective behaviors. They result from **long-term social-interactions**.

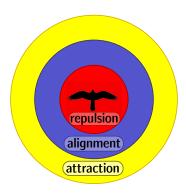




### **Open questions:**

- What are the social-interactions? (inverse problem)
- Given the rules of interactions, will a flock/consensus emerge? (*direct problem*)

# Introduction



**Ref.:** Aoki, Huth & Wessel, Reynolds, Couzin...

#### Comparison experimental data

pattern formation (e.g. vortex)
 Bayesian statistics

Ref.: Deneubourg, Theraulaz, Giardina....

#### Convergence to equilibrium/stability

○ analytic study
 ○ energy estimate
 Ref.: Bertozzi, Carrillo, Raoul, Fetecau...

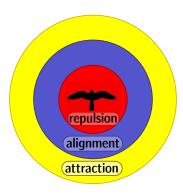
#### Macroscopic models

• statistical physics

kinetic equation

Ref.: Degond, Peurichard, Klar, Haskovec...

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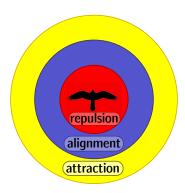
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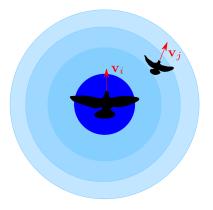
Consensus

# Cucker-Smale model

N agents  $(x_i, v_i)$ :

$$egin{array}{rcl} \dot{x}_i &=& v_i, \ \dot{v}_i &=& rac{1}{N}\sum_{j=1}^N \phi_{ij}(v_j-v_i) \end{array}$$

where  $\phi_{ij} = \phi(|x_j - x_i|)$  is the influence function ( $\phi$  decays).

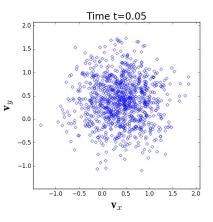


Introduction	Flocking o●oooooo	Consensus 0000000	Conclusion
Numerical e	xample		

Evolution of the positions  $x_i$ 

Time: 0.00

Evolution of the velocities  $v_i$ 



minoduction	0000000	0000000	Conclusion
Energy estin	nate:		
21	$-1 \sum  y_{1} y_{2} ^{2}$	(kinatia anarry)	1

$$\mathcal{H} = \frac{1}{2N^2} \sum_{i,j} |v_j - v_i|^2$$
 (kinetic energy)

Using the symmetry  $\phi_{ij} = \phi_{ji}$  (e.g. conservation of mean velocity):

$$rac{d\mathcal{H}}{dt} = -rac{1}{2N^2}\sum_{i,j}\phi_{ij}|v_j-v_i|^2 \leq -\phi(\max_{ij}|x_i-x_j|)\cdot\mathcal{H}.$$

10.1

	Flocking oo●ooooo	Consensus 0000000	Conclusion
Energy esti	mate:		
H	$=\frac{1}{2N^2}\sum_{i,j} v_j-v_i ^2$	(kinetic energy)	
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$\frac{d\mathcal{H}}{dt} =$	$= -\frac{1}{2N^2} \sum_{i,j} \phi_{ij}  \mathbf{v}_j - \mathbf{v}_i ^2$	$\frac{1}{2} \leq -\phi(\max_{ij} x_i - x_j ) \cdot \gamma$	Н.
Theorem			
	ice function $\phi$ decays s = $+\infty$ , then the dynam	lowly enough, nics converges to a <b>floc</b>	k.

**Proof**. Gronwall lemma + linearly growth of  $|x_i - x_j|$ :  $\Rightarrow v_i(t) \xrightarrow{t \to \infty} v_*$  for all *i* 

**Ref.** Cucker-Smale ('07), Ha-Tadmor ('08), Carrillo-Fornasier-Rosado-Toscani ('09), Ha-Liu ('09)...

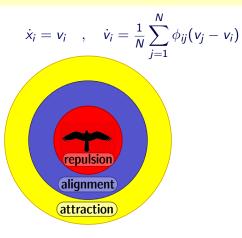
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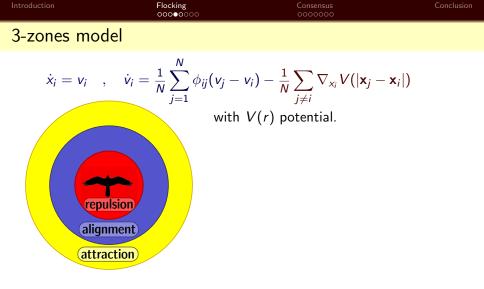
Emergence of flocking and consensus

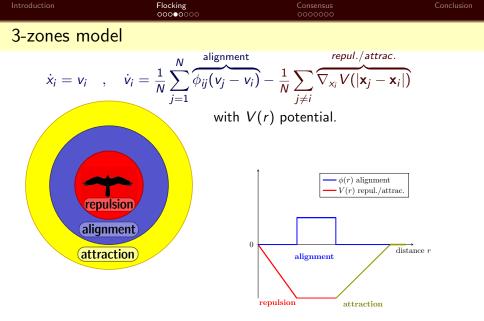
Flocking 000●0000

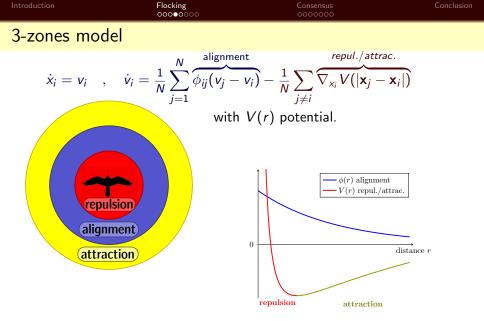
Consensus

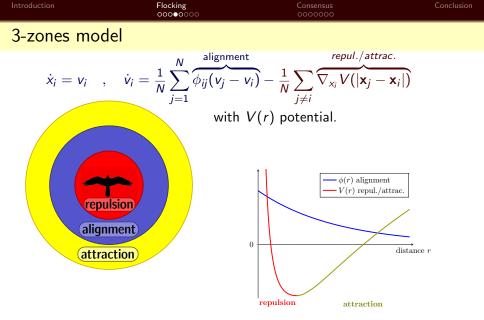
## 3-zones model

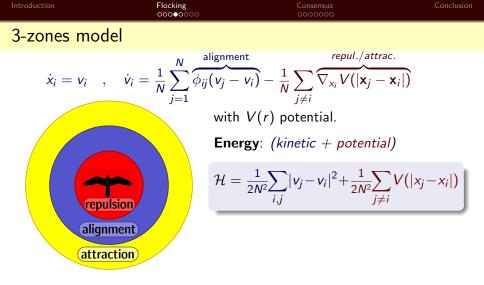


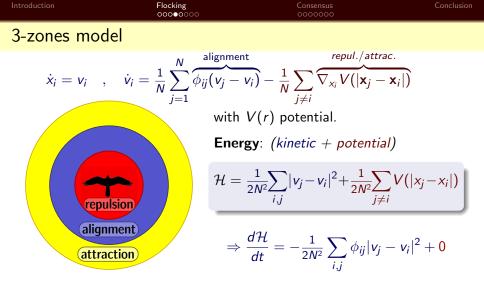


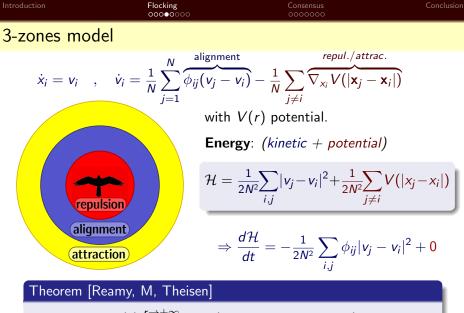






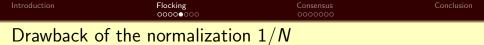






If  $\phi > 0$  and  $V(r) \xrightarrow{r \to +\infty} +\infty$  (confinement potential), then the dynamics converges to a **flock**.

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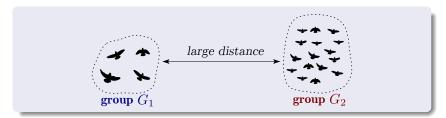


In the "small" group  $G_1$  alone:

$$\dot{\mathbf{v}}_i = -rac{1}{N_1} - \sum_{j=1}^{N_1} \phi_{ij}(\mathbf{v}_j - \mathbf{v}_i)$$



## Drawback of the normalization 1/N

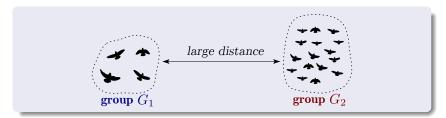


In the "small" group  $G_1$  with the "large" group  $G_2$ :

$$\dot{v}_i = rac{1}{N_1 + N_2} \sum_{j=1}^{N_1 + N_2} \phi_{ij}(v_j - v_i)$$



## Drawback of the normalization 1/N



In the "small" group  $G_1$  with the "large" group  $G_2$ :

$$\dot{v}_{i} = \frac{1}{N_{1} + N_{2}} \sum_{j=1}^{N_{1} + N_{2}} \phi_{ij}(v_{j} - v_{i}) \approx \frac{1}{N_{1} + N_{2}} \sum_{j=1}^{N_{1}} \phi_{ij}(v_{j} - v_{i}) \approx 0!$$

Introduction	Flocking	Consensus	Conclusion
	00000000		

We propose the following dynamical system:

$$\dot{x}_i = v_i, \qquad \dot{v}_i = \frac{1}{\sum_{k=1}^N \phi_{ik}} \sum_{j=1}^N \phi_{ij} (v_j - v_i),$$

We weight by the total influence  $\sum_{k=1}^{N} \phi_{ik}$  rather than N.

Introduction	Flocking	Consensus	Conclusion
	00000000		

We propose the following dynamical system:

$$\dot{x}_i = v_i, \qquad \dot{v}_i = \sum_{j=1}^N \frac{a_{ij}(v_j - v_i)}{v_j},$$

with 
$$a_{ij} = \frac{\phi_{ij}}{\sum_{k=1}^{N} \phi_{ik}}$$
,  $A = [a_{ij}]$  stochastic matrix  $(\sum_{j} a_{ij} = 1)$ .

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We weight by **the total influence**  $\sum_{k=1}^{N} \phi_{ik}$  rather than N.

**Consequences**:  $\circ$  non-symmetric interaction:  $a_{ij} \neq a_{ji}$  $\circ$  momentum  $\overline{v}$  not preserved:  $\frac{d}{dt}\overline{v} \neq 0$ .

**Question:** Can we prove flocking for this dynamics?

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Introduction	Flocking ○○○○○○●○	Consensus 0000000	Conclusion
Flocking: $\ell$	$^{\infty}$ approach		

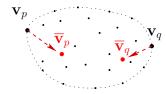
• **Trick**: 
$$\dot{v}_i = \sum_j a_{ij}(v_j - v_i)$$

Introduction	Flocking ○○○○○○●○	Consensus 0000000	Conclusion
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Introduction	Flocking ○○○○○●○	Consensus 0000000	Conclusion
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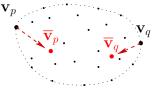


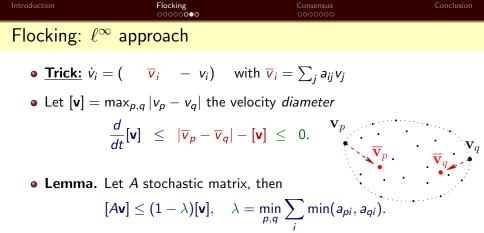
Introduction		Flocking ○○○○○○●○	Consensus 0000000	Conclusion
<b>FI</b> 1 ·	$n\infty$	1		

## Flocking: $\ell^{\infty}$ approach

• **Trick**: 
$$\dot{v}_i = ($$
  $\overline{v}_i - v_i )$  with  $\overline{v}_i = \sum_j a_{ij} v_j$ 

• Let  $[\mathbf{v}] = \max_{p,q} |v_p - v_q|$  the velocity diameter  $\frac{d}{dt} [\mathbf{v}] \leq |\overline{v}_p - \overline{v}_q| - [\mathbf{v}] \leq 0.$ 





 $\lambda$  is a measure of the **connectivity** of *A*.

IntroductionFlocking<br/>concoseConclusionFlocking: $\ell^{\infty}$  approach• Trick: $\dot{v}_i = ( \overline{v}_i - v_i )$  with  $\overline{v}_i = \sum_j a_{ij} v_j$ • Let  $[\mathbf{v}] = \max_{p,q} |v_p - v_q|$  the velocity diameter

$$\frac{d}{dt}[\mathbf{v}] \leq |\overline{\mathbf{v}}_p - \overline{\mathbf{v}}_q| - [\mathbf{v}] \leq 0.$$

• Lemma. Let A stochastic matrix, then  $[A\mathbf{v}] \leq (1-\lambda)[\mathbf{v}], \quad \lambda = \min_{p,q} \sum_{i} \min(a_{pi}, a_{qi}).$ 

 $\lambda$  is a measure of the **connectivity** of *A*.

• Here,  $\lambda \ge \phi([\mathbf{x}])$ , where  $[\mathbf{x}]$  is the diameter of positions. Thus,  $\frac{d}{dt}[\mathbf{x}] \le [\mathbf{v}]$ ,  $\frac{d}{dt}[\mathbf{v}] \le -\phi([\mathbf{x}])[\mathbf{v}]$ .

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# Flocking: non-symmetric interactions

Using a Lyapunov functional (Ha-Liu), we deduce:

### Theorem [M,Tadmor]

If the influence function  $\phi$  decays slowly enough,  $\int_0^{\infty} \phi(r) dr = +\infty$ , then the dynamics converges to a **flock**.

#### Remarks.

• Extensions for various non-symmetric model

 $\Rightarrow$  add leaders

- The asymptotic velocity v<sub>\*</sub> is unknown:
  - $\Rightarrow$  emergent quantity

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Introduction	Flocking	Consensus	Conclusion

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- Extension to kinetic equation: **Ref.**: Karper-Mellet-Trivisa, Kang-Vasseur...

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Consensus mo	del		

Opinions are represented by a vector  $x_i \in \mathbb{R}^d$ 

$$\dot{x}_i = \sum_j a_{ij}(x_j - x_i), \qquad a_i = rac{\phi_{ij}}{\sum_k \phi_{ik}},$$

with  $\phi_{ij} = \phi(|x_j - x_i|^2)$  and  $\phi$  has a **compact support** in [0, 1].

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Consensus model			

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Discretization: 
$$x_i^{n+1} = \frac{\sum_j \phi_{ij} x_j^n}{\sum_k \phi_{ik}}$$

Hegselmann-Krause model. Ref. Blondel, Hendricks, Tsitsiklis...

Introduction	Flocking 0000000	Consensus ●000000	Conclusion
Consensus mode	2		

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Hegselmann-Krause model. Ref. Blondel. Hendricks. Tsitsiklis...

Question 1: do we have formation of consensus?  $x_i(t) \xrightarrow{t \to \infty} x_*.$ 

#### Short answers:

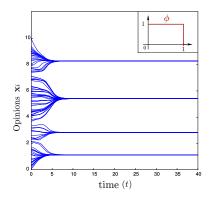
- yes if  $|x_i(0) x_j(0)| < 1$  for all  $i, j \ (\Rightarrow \text{ global interaction})$
- otherwise, it depends...

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Introduction	Flocking 00000000	Consensus o●ooooo	Conclusion

## Numerical examples

## Simulation 1D

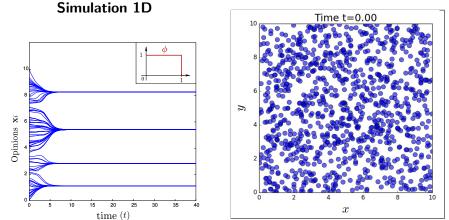


Flocking

Consensus

# Numerical examples

Simulation 2D

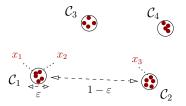


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Convergence to a stationary state

We observe the formation of **clusters**.

Question II: do the dynamics always converge? i.e.  $x_i(t) \xrightarrow{t \to \infty} \overline{x}_i.$ 



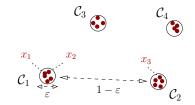


## Convergence to a stationary state

We observe the formation of **clusters**.

**Question II:** *do the dynamics always converge? i.e.* 

 $x_i(t) \xrightarrow{t \to \infty} \overline{x}_i.$ 



#### Theorem [Jabin, M]

Suppose the interaction function  $\phi$  satisfies  $|\phi'(r)|^2 \leq C\phi(r)$ , then the dynamics converges.

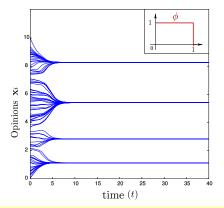
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**Question III:** how can we 'enhance' consensus formation? Which interaction function  $\phi$  is more likely to lead to a consensus?

Components			
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Introduction	Flocking	Consensus	Conclusion

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We investigate several influence functions  $\phi$ .

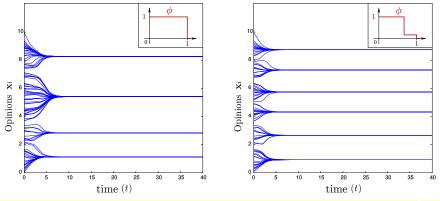


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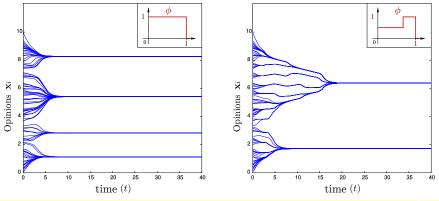


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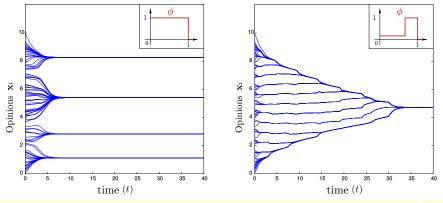


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#### Key Observation:

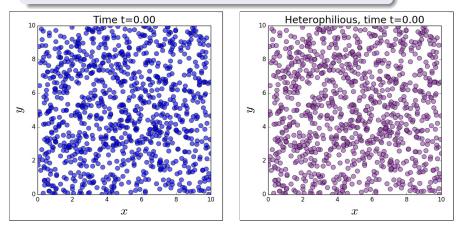
the stronger the influenced of 'close' neighbors, the less likely a consensus will form.

 $\Rightarrow$  heterophily (*love of the different*) enhances consensus.

#### Key Observation:

the stronger the influenced of 'close' neighbors, the less likely a consensus will form.

 $\Rightarrow$  heterophily (*love of the different*) enhances consensus.



# Heterophilious dynamics

Analytic study is challenging

 $\Rightarrow$  trace the connectivity of the graph A (e.g. eigenvalues)

Simplified model: nearest-neighbor interactions

$$\dot{x}_i = \sum_{i-1,i+1} \phi_{ij}(x_j - x_i).$$

## Theorem [M,Tadmor]

if  $\phi$  increases (on its support) then the connectivity is preserved:  $\Rightarrow$  if  $\{x_i(0)\}_i$  connected, then it converges to a **consensus**.

**Proof**. Let  $\Delta_i = x_{i+1} - x_i$  and  $\Delta_p = \max_i \Delta_i$ :

$$\frac{d}{dt} |\Delta_{\rho}|^{2} \leq \left( \phi_{(\rho-1)\rho} - 2\phi_{\rho(\rho+1)} + \phi_{(\rho+1)(\rho+2)} \right) |\Delta_{\rho}|^{2} \leq 0.$$

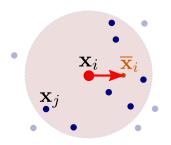
Introduction	Flocking 00000000	Consensus ○○○○○●	Conclusion

## "No-one left behind" dynamics

Consensus dynamics

 $\dot{x}_i = \overline{x}_i - x_i$ 

with  $\overline{x}_i = \sum_j a_{ij}(x_j - x_i)$ 

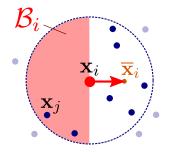


Flocking 0000000 Consensus

Conclusion

# "No-one left behind" dynamics

Consensus dyn. *no-one left behind*   $\dot{x}_i = \mu_i (\overline{x}_i - x_i)$ with  $\overline{x}_i = \sum_j a_{ij} (x_j - x_i)$  and  $\mu_i = \begin{cases} 0 & \text{if } x_j \in B_i \\ 1 & \text{otherwise} \end{cases}$ 

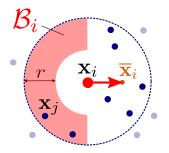


Flocking 0000000 Consensus

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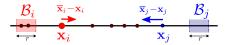
Introduction	Flocking 0000000	Consensus 000000	Conclusion

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Consensus dyn. *no-one left behind*  $\dot{x}_i = \mu_i (\overline{x}_i - x_i)$ 

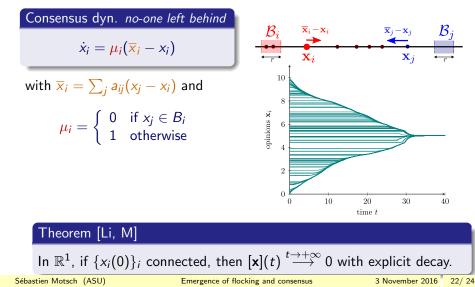
with  $\overline{x}_i = \sum_j a_{ij}(x_j - x_i)$  and

$$\mu_i = \begin{cases} 0 & \text{if } x_j \in B_i \\ 1 & \text{otherwise} \end{cases}$$



Introduction	Flocking 00000000	Consensus ○○○○○○	Conclusion

## "No-one left behind" dynamics

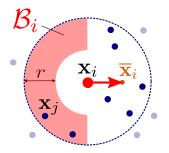


Flocking 0000000 Consensus

Conclusion

# "No-one left behind" dynamics

Consensus dyn. no-one left behind  $\dot{x}_i = \mu_i(\overline{x}_i - x_i)$ with  $\overline{x}_i = \sum_j a_{ij}(x_j - x_i)$  and  $\mu_i = \begin{cases} 0 & \text{if } x_j \in B_i \\ 1 & \text{otherwise} \end{cases}$ 



Introduction

Flocking 00000000 Consensus

Conclusion

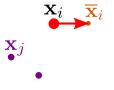
# "No-one left behind" dynamics

Consensus dyn. no-one left behind

 $\dot{x}_i = \mu_i (\overline{x}_i - x_i)$ 

with  $\overline{x}_i = \sum_i a_{ij}(x_j - x_i)$  and

$$\mu_i = \left\{egin{array}{cc} 0 & ext{if } x_j \in B_i \ 1 & ext{otherwise} \end{array}
ight.$$



Consensus

# "No-one left behind" dynamics

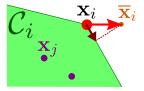
Consensus dyn. no-one left behind

 $\dot{x}_i = P_{\mathcal{C}_i}(\overline{x}_i - x_i)$ 

with  $\overline{x}_i = \sum_j a_{ij}(x_j - x_i)$  and

 $P_{C_i}$  orthogonal projection on

 $C_i = \{ v \mid \langle v, x_j - x_i \rangle \ge 0, \forall x_j \in B_i \}.$ 



Consensus

# "No-one left behind" dynamics

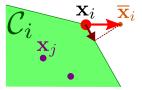
Consensus dyn. no-one left behind

 $\dot{x}_i = P_{\mathcal{C}_i}(\overline{x}_i - x_i)$ 

with  $\overline{x}_i = \sum_j a_{ij}(x_j - x_i)$  and

 $P_{C_i}$  orthogonal projection on

$$\mathcal{C}_i = \{ \mathbf{v} \mid \langle \mathbf{v}, x_j - x_i \rangle \geq 0, \, \forall x_j \in \mathcal{B}_i \}.$$



#### Theorem [Li, M]

In  $\mathbb{R}^d$ , if  $\{x_i(0)\}_i$  connected, then  $[\mathbf{x}](t) \xrightarrow{t \to +\infty} 0$  with explicit decay.

Sébastien Motsch (ASU)

# Outline

## Introduction

## 2 Flocking

- Cucker-Smale model
- Non-symmetric model

#### 3 Consensus

- Cluster formation
- Heterophilious dynamics

## 4 Conclusion

# Summary/Perspectives

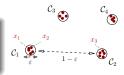
#### Summary

- Large time behavior for model of flocking
  - $\Rightarrow$  flocking for the 3-zones model
  - $\Rightarrow$  method for non-symmetric models



- $\Rightarrow$  convergence to cluster formation
- $\Rightarrow$  enhancing consensus ("heterophilia")
- $\Rightarrow$  enforcing consensus ( "no-one left behind")





## Perspectives

- Control the dynamics
  - ⇒ M. Caponigro, N. Pouradier-Duteil, B. Piccoli...
- Mixing behaviors (heterogeneity)
  - $\Rightarrow \textit{Daniel Weser}$