FLOCKING AND INVARIANCE OF VELOCITY ANGLES

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Abstract. Motsch and Tadmor considered an extended Cucker-Smale model to investigate the flocking behavior of self-organized systems of interacting species. In this extended model, a cone of the vision was introduced so that outside the cone the influence of one agent on the other is lost and hence the corresponding influence function takes the value zero. This creates a problem to apply the Motsch-Tadmor and Cucker-Smale method to prove the flocking property of the system. Here, we examine the variation of the velocity angles between two arbitrary agents, and obtain a monotonicity property for the maximum cone of velocity angles. This monotonicity permits us to utilize existing arguments to show the flocking property of the system under consideration, when the initial velocity angles satisfy some minor technical constraints.

1. Introduction. Flocking, where agents in a network adapt by their relative locations to achieve an uniform velocity, is a universal phenomenon in biological, social and economical systems. Examples include bird migration, fish schooling \([12, 13, 4, 3, 2, 8]\) and emergent economic behavior including common belief in a price system in a complex market environment \([5, 3]\).

Reynolds \([10]\) gave three simple rules for flocking: Separation–avoid crowding neighbors (short range repulsion); Alignment–steer towards average heading of neighbors; Cohesion–steer towards average position of neighbors (long range attraction). Later, Vicsek\([14]\) characterized flocking in terms of bounded distance–individuals stay at bounded distance from each other; and alignment–they all move in the same direction. There were substantial researches including modelling studies on flocking, but with models seemingly too complex to analyze. In 2007, Cucker
and Smale [4, 3] developed a model, referred to as CS model [4, 3] here, that provides a basic framework to describe how agents interact with each other in order to achieve flocking and this model has inspired very intensive activities to explain self-organized behavior in various complex systems. See [1, 9, 11, 6] and references therein.

The CS model describes how agents interact with each other following the simple rule below[10]:

$$\frac{dx_i}{dt} = v_i, \quad \frac{dv_i}{dt} = \alpha \sum_{j=1}^{N} \phi_{ij}(v_j - v_i),$$

(1)

where $x_i \in \mathbb{R}^d$ and $v_i \in \mathbb{R}^d$ are the location and velocity of the agent “$i$”. In the model, $\alpha$ is a positive constant, and $\phi_{ij}$ quantifies the pairwise influence of agent “$j$” on the alignment of agent “$i$” as a function of their distance. More precisely, in the CS model, we have

$$\phi_{ij} = \frac{\phi(||x_j - x_i||)}{N}, \quad \phi(||x_j - x_i||) = \frac{1}{(\sigma^2 + ||x_j - x_i||^2)^{\beta}},$$

where $\phi$ is given above or, in general, is a strictly positive decreasing function, and $\beta$ is a parameter. This influence function is symmetric, that is, agent “$i$” and agent “$j$” have the same influence on the alignment of each other ($\phi_{ij} = \phi_{ji}$). Motsch and Tadmor [9] later introduced an influence function, which is non-symmetric and takes into account the relative distance between agents, as follows

$$\phi_{ij} = \frac{\phi(||x_j - x_i||)}{\sum_{k=1}^{N} \phi(||x_k - x_i||)},$$

(2)

with $\phi$ as defined in the CS model. In their celebrated work [9], Motsch and Tadmor also called attention to a more general situation in which signal transmission is via vision. In this configuration, it is possible that agent “$i$” can see agent “$j$”, but agent “$j$” may fail to see agent “$i$” outside a cone of vision.

Here we show that in this revised CS-model and MT-model, flocking is still achieved. We provide a proof based on the “cone invariance” which implies that self-organization does keep all agents within the cone of version and hence the influence remains once initiated. We will formulate the Motsch-Tadmor (MT) model in Section 2, and then establish the cone invariance and flocking in dimension 2 (section 3) and dimension 3 (Section 4).

2. The model and some preliminaries. We consider a self-organized group with $N$ agents. For agent “$i$”, its position is denoted by $x_i \in \mathbb{R}^d$ and its velocity by $v_i \in \mathbb{R}^d$, where $d > 1$ is an integer. Motsch and Tadmor proposed the revised CS and/or MT model which is incorporating a cone of vision[9]:

$$\frac{dx_i}{dt} = v_i, \quad \frac{dv_i}{dt} = \alpha \sum_{j=1}^{N} \kappa(\omega_i, x_j - x_i)\phi_{ij}(v_j - v_i).$$

(3)

Here, $\alpha (\alpha > 0)$ measures the interaction strength, $\kappa(\omega_i, x_j - x_i)$ determines whether the agent “$j$” can be “seen” by the agent “$i$” who heads in direction $\omega_i := v_i/||v_i||$:

$$\kappa(\omega_i, x_j - x_i) = \begin{cases} 1, & \text{if } \omega_i \cdot \frac{x_j - x_i}{||x_j - x_i||} \geq \gamma > -1 \\ 0, & \text{if otherwise} \end{cases}$$
with $2\gamma$ being the angle of the cone of vision. The $\phi'_{ij}$'s determine the pairwise alignment within the cone of vision $[9]$, and is defined similarly to the CS or MT model. Namely, either

$$\phi_{ij} = \frac{1}{N_i} \phi(||x_j - x_i||), \quad N_i := \{ j \neq i | \kappa(\omega_i, x_j - x_i) = 1 \},$$

or

$$\phi_{ij} = \frac{\phi(||x_j - x_i||)}{\sum_{k \in N_i} \phi(||x_k - x_i||)}, \quad j \in N_i.$$ 

Here the influence function $\phi$ is defined as above.

We can rewrite the model as follows:

$$\frac{dv_i}{dt} = \alpha \sum_{j \in N_i} a_{ij}(v_j - v_i), \quad a_{ij} = \kappa(\omega_i, x_j - x_i) \phi_{ij}. \quad (4)$$

In the CS model, we let $a_{ii} = 1 - \sum_{j \in N_i} a_{ij}$ and $\tilde{N}_i = \{i\} + N_i$. Then

$$\frac{dv_i}{dt} = \alpha \sum_{j \in N_i} a_{ij}(v_j - v_i) = \alpha \sum_{j \in N_i} a_{ij}(v_j - v_i) + \alpha a_{ii}(v_i - v_i) = \alpha \sum_{j \in N_i} a_{ij}(v_j - v_i).$$

From the equation $\sum_{j \in \tilde{N}_i} a_{ij} = 1$ and $\sum_{j \in N_i} a_{ij} \leq 1$, we can easily deduce $a_{ii} \geq 0$ and

$$\sum_{j \in \tilde{N}_i} \sum_{k \in \tilde{N}_k} a_{ij}a_{kl} = \sum_{j \in \tilde{N}_i} a_{ij}(\sum_{k \in \tilde{N}_k} a_{kl}) = 1.$$ 

Then,

$$\frac{dv_p}{dt} = \alpha \sum_{j \in N_p} a_{pj}(v_j - v_p) = \alpha \sum_{j \in \tilde{N}_p} a_{pj}v_j - \alpha \sum_{j \in \tilde{N}_p} a_{ij}v_p = \alpha \sum_{j \in \tilde{N}_p} a_{pj}v_j - \alpha v_p(\sum_{j \in \tilde{N}_p} a_{ij}) = \alpha \sum_{j \in \tilde{N}_p} a_{pj}v_j - \alpha v_p.$$ 

In the MT model, we can easily deduce $\sum_{j \in \tilde{N}_i} a_{ij} = 1$, so we also have

$$\sum_{j \in \tilde{N}_i} \sum_{k \in \tilde{N}_k} a_{ij}a_{kl} = \sum_{j \in \tilde{N}_i} a_{ij}(\sum_{k \in \tilde{N}_k} a_{kl}) = 1,$$
Here and in what follows, the function \( d(t) \) are given by for every such solution, we have

\[
\lim_{t \to \infty} d_X(t) < \infty \quad \text{and} \quad \lim_{t \to \infty} d_V(t) = 0
\]  

then we say system (3) converges to a flock. If the above property holds for a particular solution, then we say the solution flock.

3. Flocking behavior in 2-D spaces. When agents under consideration are animals moving on the land such as wolf packs and elephant herds, we can consider the system posed in a 2-dimensional spaces. In this section, we consider the case where \( x_i \in \mathbb{R}^2 \), \( v_i \in \mathbb{R}^2 \) for a solution of the system (3).

**Lemma 3.1.** (Cone Invariance) Let \((x_i, v_i)\) be the solution of system (3), where \( x_i \in \mathbb{R}^2 \) and \( v_i \in \mathbb{R}^2 \). For the group of agents, \( \theta_{ij}(t) = \theta_{ij}(t) \) is the angle of velocity \( v_i \) and \( v_j \). Denote by \( \bar{\theta}(t) = \max_{i,j \in N} \theta_{ij}(t) \). If \( \bar{\theta}(0) = \theta_{ij}(0) < \pi \), for some \( i, j \) and if \( \theta_{ij}(0) = \theta_{ik}(0) + \theta_{kj}(0) \) holds for all such \( i, j \) and for all \( k \), then we have \( \bar{\theta}(t) \leq \bar{\theta}(0) \) for \( t > 0 \).

**Proof.** As \( \theta_{ij}(t) =\angle v_i(t), v_j(t) \), we get \( \cos \theta_{ij}(t) = \frac{v_i(t) \cdot v_j(t)}{\|v_i(t)\| \|v_j(t)\|} \). Then we have

\[
\theta_{ij}(t) = \arccos \frac{v_i(t) \cdot v_j(t)}{\|v_i(t)\| \|v_j(t)\|}, \quad \bar{\theta}(t) = \max_{i,j \in N} \frac{v_i(t) \cdot v_j(t)}{\|v_i(t)\| \|v_j(t)\|}.
\]

For any given \( t \), there exist two agents \( i_0 = i_0(t) \) and \( j_0 = j_0(t) \) such that \( \bar{\theta}(t) = \theta_{i_0j_0}(t) = \angle v_{i_0}(t), v_{j_0}(t) \). We have

\[
\theta_{i_0j_0}'(t) = \left( \arccos \frac{v_{i_0}(t) \cdot v_{j_0}(t)}{\|v_{i_0}(t)\| \|v_{j_0}(t)\|} \right)' = -\frac{1}{\sqrt{1 - \left( \frac{v_{i_0} \cdot v_{j_0}}{\|v_{i_0}\| \|v_{j_0}\|} \right)^2}} \cdot g(t),
\]

where

\[
g(t) = \frac{(v_{i_0} \cdot v_{j_0})' \cdot (\|v_{i_0}\| \cdot \|v_{j_0}\|) - (\|v_{i_0}\| \cdot \|v_{j_0}\|)' \cdot (v_{i_0} \cdot v_{j_0})}{\|v_{i_0}\|^2 \cdot \|v_{j_0}\|^2}.
\]

Here and in what follows, \( \theta_{i_0j_0}'(t) \) means to fix \( i_0 \) and \( j_0 \) and take the derivative of the function \( \theta_{i_0j_0}(t) \) with respect to \( t \). In other words, \( \theta_{i_0j_0}'(t) = \theta_{i,j}'(t) \big|_{i = i_0, j = j_0} \).
In the case of the CS-model, we have
\[
\frac{dv_{i0}}{dt} = \alpha \sum_{k \in N_{i0}} a_{i0k} v_k - \alpha v_{i0},
\]
\[
\frac{dv_{j0}}{dt} = \alpha \sum_{l \in N_{j0}} a_{j0l} v_l - \alpha v_{j0},
\]
\[
\frac{d\|v_{i0}\|^2}{dt} = 2 < \dot{v}_{i0}, v_{i0} > = 2\alpha \left( \sum_{k \in N_{i0}} a_{i0k} v_k - v_{i0} \right) \cdot v_{i0}.
\]
Hence, we get
\[
\frac{d\|v_{i0}\|}{dt} = \frac{1}{\|v_{i0}\|} \left( \sum_{k \in N_{i0}} a_{i0k} v_k - v_{i0} \right) \cdot v_{i0} = \alpha \left( \sum_{k \in N_{i0}} a_{i0k} \frac{v_k \cdot v_{i0}}{\|v_{i0}\|} - \|v_{i0}\| \right),
\]
\[
\frac{d\|v_{j0}\|}{dt} = \frac{1}{\|v_{j0}\|} \left( \sum_{l \in N_{j0}} a_{j0l} v_l - v_{j0} \right) \cdot v_{j0} = \alpha \left( \sum_{l \in N_{j0}} a_{j0l} \frac{v_l \cdot v_{j0}}{\|v_{j0}\|} - \|v_{j0}\| \right).
\]
Let
\[
f(t) = (v_{i0} \cdot v_{j0})' \left( \|v_{i0}\| \cdot \|v_{j0}\| \right) - (\|v_{i0}\| \cdot \|v_{j0}\|)' \left( v_{i0} \cdot v_{j0} \right).
\]
Then
\[
f(t) = \alpha \left( \sum_{k \in N_{i0}} a_{i0k} v_k v_{j0} + \sum_{l \in N_{j0}} a_{j0l} v_l v_{i0} - 2v_{i0} v_{j0} \right) \cdot \|v_{i0}\| \cdot \|v_{j0}\|
\]
\[
- \alpha \left( \sum_{k \in N_{i0}} a_{i0k} \frac{v_k \cdot v_{i0}}{\|v_{i0}\|} \|v_{j0}\| + \sum_{l \in N_{j0}} a_{j0l} \frac{v_l \cdot v_{j0}}{\|v_{j0}\|} \|v_{i0}\| \right)
\]
\[
- 2\|v_{i0}\| \cdot \|v_{j0}\| \cdot v_{i0} v_{j0},
\]
and
\[
(a_{i0k} v_k v_{j0}) \cdot \|v_{i0}\| \cdot \|v_{j0}\| - a_{i0k} \frac{v_k \cdot v_{i0}}{\|v_{i0}\|} \|v_{j0}\| \cdot v_{i0} v_{j0}
\]
\[
= a_{i0k} \|v_k\| \cdot \|v_{j0}\| \cdot \|v_{i0}\| \cdot \|v_{j0}\| \cdot (\cos \theta_{k0} - \cos \theta_{k1}).
\]
In what follows, we try to show that \(\theta(t) \leq \theta(0)\) for all t by proving that \(D^+ \theta(t) \leq 0\) for all \(t \geq 0\), where \(D^+\) is the Dini-upper derivative.
Recall that for any given t, \(k \in i_0 = i(t) \in N, j_0 = j(t) \in N\) such that \(\theta(t) = \theta_{i0j0}(t)\). We prove the following

**Claim.** \(\theta(t) = \theta_{i0k}(t) + \theta_{k0}(t)\) for every \(k \in N\).

We prove this claim by contradiction. Note that for a given \(k\), we have only two cases: either **Case 1:** \(\theta_{i0k}(t) = \theta_{i0k}(t) + \theta_{k0j0}(t)\); or **Case 2:** \(\theta_{i0k}(t) = \theta_{i0k}(t) + \theta_{k0}(t)\). If Case 2 occurs, then \(\exists t_0 > 0, i_0 \in N, j_0 \in N\) such that \(\theta(t_0) = \theta_{i0j0}(t_0) + \theta_{i0k}(t_0) + \theta_{k0}(t_0) = 2\pi\) for some \(k \in N\). Assume, without loss of generosity, that \(\theta_{i0k}(0) = \max\{\theta_{i0j0}(0), \theta_{i0k}(0)\}\). Since \(\theta(0) < \pi\), we must have \(\theta_{i0k}(0) = \theta_{i0k}(0) + \theta_{k0}(0) < \pi\). Using the continuity of \(\theta_i(t)\), we conclude that there must be the first \(t_0 \leq t_0\) such that \(\theta_{i0k}(t_0) + \theta_{i0k}(t_0) + \theta_{k0}(t_0) = 2\pi\). Consequently, there must be the first \(t_1 > 0\) and integers \(i_1 \in N\) and \(j_1 \in N\) such that \(\theta_{i1k}(t_1) + \theta_{k1j}(t_1) + \theta_{i1j}(t_1) = 2\pi\).

Suppose \(\theta_{i1k}(t_1)\) is the largest angle among \(\theta_{i1k}(t_1), \theta_{k1j}(t_1)\) and \(\theta_{i1j}(t_1)\). As \(\theta_{k1j}(0) \leq \theta(0) < \pi, \theta_{k1j}(0) \leq \theta(0) < \pi\) and \(\theta_{i1j}(0) \leq \theta(0) < \pi,\) we have \(\theta(t_1) = \sum_{i=1}^{k=n} a_{i0k} \frac{v_k \cdot v_{i0}}{\|v_{i0}\|} \|v_{j0}\| \cdot v_{i0} v_{j0} \)

\[
= a_{i0k} \|v_k\| \cdot \|v_{j0}\| \cdot \|v_{i0}\| \cdot \|v_{j0}\| \cdot (\cos \theta_{k0} - \cos \theta_{k1}).
\]
\( \theta_{k_j}(t_1) = \pi \). Therefore, we can find time \( 0 < t_2 < t_1 \) such that \( \theta_{k_j}(t) = \bar{\theta}(t) < \pi \) and \( \theta_{k_j}(t) = \theta_{k_j}(t) + \theta_{l_j}(t) \) for all \( l \in N \) and \( t \in (t_2, t_1) \).

We now prove that \( \theta'_{k_j}(t) \leq 0 \) for \( t \in (t_2, t_1) \) by showing that \( f(t) \geq 0 \) on the interval. When \( 0 \leq \theta_{k_j}(t) \leq \frac{\pi}{2} \), \( \cos \theta_{k_j}(t) - \cos \theta_{l_j}(t) \cos \theta_{k_l}(t) \geq 0 \) holds obviously. We only need to consider the case where \( \frac{\pi}{2} < \theta_{k_j}(t) < \pi \) and \( \frac{\pi}{2} \leq \theta_{l_j}(t) < \theta_{k_j}(t) \). Denote by

\[
\theta_{l_j}(t) = \cos \theta_{l_j} - \cos \theta_{k_l} \cos \theta_{k_l}.
\]

We have \( \frac{\frac{\pi}{2} < \theta_{k_j}(t) < \pi \) and \( \frac{\pi}{2} \leq \theta_{l_j}(t) < \theta_{k_j}(t) \), we have \( \cos \theta_{l_j}(t), \cos \theta_{k_l}(t) > 0 \), and \( \theta(\theta_{l_j}(t)) > 0 \). When \( \frac{\pi}{2} < \theta_{k_j}(t) < \pi \) and \( 0 < \theta_{l_j}(t) < \theta_{k_j}(t) - \frac{\pi}{2} \), we get \( \cos \theta_{l_j}(t) > |\cos \theta_{k_l}(t)| \) and hence, \( \theta(\theta_{l_j}(t)) > 0 \). Based on the analysis above, we have \( \theta'(t_1) \leq 0 \) for \( t \in (t_2, t_1) \), from which we conclude that \( \theta_{k_j}(t) \leq \theta_{k_j}(t_2) < \pi \).

Thus, \( \theta_{k_j}(t_1) \neq \pi \), a contradiction. This proves the claim.

Then, for any given \( t \), there exists \( i_* \) \( i, j \in N \) such that \( \bar{\theta}(t) = \theta_{i_*, j}(t) \) and \( \theta_{i_*, j}(t) = \theta_{i_*, k}(t) + \theta_{l_j}(t) \) for every \( k \in N \). Using the same argument as above, we conclude that \( \theta_{i_*, j}(t) \leq 0 \).

Now we consider \( D^+ \bar{\theta}(t) \). For any given time \( t \), there exist finitely many \( i \times j \in I \times J = \{ i \times j | \theta_{i_*, j}(t) = \bar{\theta}(t), i \in N, j \in N \} \), infinitely \( h_n \) with \( h_n \geq 0, \lim_{n \to \infty} h_n = 0 \) and \( \bar{\theta}(t + h_n) = \theta_{i_*, j}(t + h_n) \). Then we can find a subsequence \( \{ h_n \} \) of \( \{ h_n \} \) and a fixed \( i_* \times j_* \in I \times J \) such that \( \bar{\theta}(t + h_n) = \theta_{i_*, j_*}(t + h_n) \) holds. Therefore,

\[
D^+ \bar{\theta}(t) = \lim_{h_n \to 0} \sup_{h_m \to 0} \frac{\bar{\theta}(t + h_n) - \bar{\theta}(t)}{h_m} = \lim_{h_n \to 0} \sup_{h_m \to 0} \frac{\theta_{i_*, j_*}(t + h_n) - \theta_{i_*, j_*}(t)}{h_m} = 0.
\]

This concludes that \( \bar{\theta}(t) \leq \bar{\theta}(0) \) for all \( t > 0 \), completing the proof. \( \Box \)

Lemma 3.1 ensures that monotonicity of the maximal cone of vision. As will be shown below, this ensures that agents will eventually move towards the same direction. To describe our arguments, for the \( i \)th-agent’s position \( x_i \in R^2 \) and its velocity \( v_i \in R^2 \), we introduce the rectangular coordinates:

\[
v_i = v_{i_1} + v_{i_2},
\]

\[
d_X = \max_{i, j \in N} ||x_i - x_j||,
\]

\[
d_{V_{m}} = \max_{i, j \in N} ||v_{n_i} - v_{n_j}||,
\]

\[
\frac{dv_{n_i}}{dt} = \alpha \sum_{j \in N} a_{ij}(v_{n_j} - v_{n_i}),
\]

for \( n = 1, 2 \). Here \( a_{ij} = k(\omega_{ij}, x_j - x_i) \phi_{ij} \).

For \( v_i = v_{i_1} + v_{i_2} \), we can get

\[
\frac{dx_i}{dt} = v_i,
\]

\[
\frac{dv_i}{dt} = \frac{dv_{i_1}}{dt} + \frac{dv_{i_2}}{dt} = \alpha \sum_{j \in N} a_{ij}(v_{i_1} - v_{i_1}) + \alpha \sum_{j \in N} a_{ij}(v_{i_2} - v_{i_2})
\text{(6)}
\]
By Lemma 3.1, for any
\[ \pi \]
Proof.

Lemma 3.2. Let \( x_i, v_i \in \mathbb{R}^2 \) and \( (x_i, v_i) \) be a solution of (6). Let \( \bar{\theta}(0) = \theta_{ij}(0) \), and assume \( \theta_{ij}(0) = \theta_{ik}(0) + \theta_{kj}(0) \) for every other agent \( k \in N \). If \( \bar{\theta}(0) < 2\gamma - \pi \) with \( \gamma \leq \frac{\pi}{2} < \pi \), then we have
\[
\frac{d}{dt} d_{Vn} \leq -\frac{\alpha^2 (d_X)}{N^2} d_{Vn}, \quad n = 1, 2.
\]
Proof. By Lemma 3.1, for any \( t \geq 0 \), we have
\[
\bar{\theta}(t) \leq \bar{\theta}(0) < 2\gamma - \pi.
\]
This implies that any agent “i” and agent “j” satisfy one of the following three situations
1). \( \kappa(\omega_i, x_j - x_i) = \kappa(\omega_j, x_i - x_j) = 1 \),
2). \( \kappa(\omega_i, x_j - x_i) = 0 \) and \( \kappa(\omega_j, x_i - x_j) = 1 \),
3). \( \kappa(\omega_i, x_j - x_i) = 1 \) and \( \kappa(\omega_j, x_i - x_j) = 0 \).

When \( n = 1 \), we can choose the agents \( p \) and \( q \) which satisfy \( d_{V1} = ||v_{1p} - v_{1q}|| \) for any given \( t \). We now consider \( \phi_{1j} \) defined in the MT model[9].

If case 1) occurs, we have \( a_{pq} \neq 0 \) and \( a_{qp} \neq 0 \). Then
\[
\frac{d}{dt} d_{V1}^2 = 2 < v_{1p} - v_{1q}, \dot{v}_{1p} - \dot{v}_{1q} > \\
= 2 < v_{1p} - v_{1q}, \alpha \sum_{i \in N_p, j \in N_q} a_{pi} a_{qj} (v_{1i} - v_{1j}) > -2\alpha d_{V1}^2 \\
= 2 < v_{1p} - v_{1q}, \alpha \sum_{i \in N_p - \{q\}, j \in N_q - \{p\}} a_{pi} a_{qj} (v_{1i} - v_{1j}) > \\
+ 2 < v_{1p} - v_{1q}, \alpha a_{pq} a_{qp} (v_{1p} - v_{1q}) > -2\alpha d_{V1}^2 \\
\leq 2 < v_{1p} - v_{1q}, \alpha \sum_{i \in N_p - \{q\}, j \in N_q - \{p\}} a_{pi} a_{qj} (v_{1i} - v_{1j}) > -2\alpha d_{V1}^2 \\
\leq 2\alpha \sum_{i \in N_p, j \in N_q} a_{pi} a_{qj} < v_{1p} - v_{1q}, \dot{v}_{1p} > \\
- v_{1q} > -2\alpha a_{pq} a_{qp} < v_{1p} - v_{1q}, \dot{v}_{1p} > (v_{1p} - v_{1q}) > -2\alpha d_{V1}^2 \\
= -2\alpha a_{pq} a_{qp} < v_{1p} - v_{1q}, \dot{v}_{1p} - \dot{v}_{1q} > \\
= -2\alpha a_{pq} a_{qp} d_{V1}^2.
\]

If case 2) occurs, then we have \( a_{pq} = 0 \) and \( a_{qp} \neq 0 \), and
\[
\frac{d}{dt} d_{V1}^2 = 2 < v_{1p} - v_{1q}, \dot{v}_{1p} - \dot{v}_{1q} > \\
Theorem 3.3. Let \((x_i, v_i)\) be a solution of (3), with \(x_i, v_i \in \mathbb{R}^2\). Assume that the influence function \(\phi(r)\) satisfies \(\int_0^\infty \phi^2(r) = \infty\) and the angle of the cone of vision \(\gamma\) satisfies \(\frac{\pi}{2} \leq \gamma < \pi\). Furthermore, assume the initial angle of velocities
satisfies $\bar{\theta}(0) < 2\gamma - \pi$, and assume when $\hat{\theta}(0) = \theta_{ij}(0)$ for some $(i,j)$, we have $\theta_{ij}(0) = \theta_i(0) + \theta_j(0)$ for every $k \in N$. Then system (3) converges to a flock.

Proof. From Lemma 3.1 and Lemma 3.2 we have

$$
d \frac{dV_n}{dt} \leq -\alpha \frac{\phi^2(d_X)}{N^2} dV_n, \quad n = 1, 2.
$$

Let $d_X = \max_{i,j \in N} \|x_i - x_j\| = \|x_k - x_i\|$ for some $k$ and $l$. Then,

$$D^+ d_X^2 = 2 \leq x_k - x_l, \bar{x}_k - \bar{x}_l >
= 2 \leq x_k - x_l, v_k - v_l >
\leq 2 \|x_k - x_l\| \|v_k - v_l\|
\leq 2d_X dV.
$$

Hence, $D^+ d_X \leq dV$.

The argument below is similar to that in [9]. Namely, we introduce an energy function $E(d_X, dV_1, dV_2)(t) = dV_1(t) + dV_2(t) + \alpha \int_0^{d_X(t)} \Psi(r) dr$, where $\Psi(r) = \frac{\phi^2(r)}{N^2}$. Then

$$D^+ E(d_X, dV_1, dV_2)(t)
\leq dV_1(t) + dV_2(t) + \alpha \phi(d_X)^2 \frac{\phi^2(d_X)}{N^2} dV(t)
\leq -\alpha \phi(d_X)^2 dV_1(t) - \alpha \phi(d_X)^2 dV_2(t) + \alpha \phi(d_X)^2 dV(t)
\leq -\alpha \phi(d_X)^2 dV_1(t) - \alpha \phi(d_X)^2 dV_2(t) + \alpha \phi(d_X)(dV_1(t) + dV_2(t))
= 0.
$$

So the function $E(d_X, dV_1, dV_2)(t) = dV_1(t) + dV_2(t) + \alpha \int_0^{d_X(t)} \Psi(r) dr$ is non-increasing along the pathway $(d_X(t), dV_1(t), dV_2(t))$, and we deduce

$$dV_1(t) + dV_2(t) + \alpha \int_0^{d_X(t)} \Psi(r) dr \leq dV_1(0) + dV_2(0) + \alpha \int_0^{d_X(0)} \Psi(r) dr. \quad (7)
$$

As $\int_0^\infty \Psi^2(r) = \infty$, there must be a constant $d^* < \infty$, satisfying $d_X(0) \leq d^*$, such that $dV_1(0) + dV_2(0) = \alpha \int_0^{d^*} \Psi(r) dr$. Inequality (7) can be rewritten as

$$dV_1(t) + dV_2(t) \leq \alpha \int_0^{d_X(t)} \Psi(r) dr.
$$

Obviously, we have $d_X(t) \leq d^*$ for all $t \geq 0$. As $\phi(r)$ is decreasing on $(0, +\infty)$, we obtain

$$D^+ dV_n \leq -\alpha \frac{\phi^2(d^*)}{N^2} dV_n, \quad n = 1, 2.
$$

By using the Gronwall’s inequality, we easily get $\lim_{t \to \infty} dV_n(t) = 0, \quad n = 1, 2$. Combining with $dV \leq dV_1 + dV_2$, we conclude $\lim_{t \to \infty} dV(t) = 0$. \qed

4. Flocking behavior in 3-D spaces and remarks. Some of the arguments can be adopted to the case of phase spaces, as we outlined below. So, we now consider agent $i$, with its position $x_i \in \mathbb{R}^3$ and its velocity $v_i \in \mathbb{R}^3$. 


Lemma 4.1. Let \((x_i, v_i)\) be a solution of (3), where \(x_i \in \mathbb{R}^3, v_i \in \mathbb{R}^3\). For the group of agents, define \(\theta_{ij}(t) = \left< v_i(t), v_j(t) \right>\) as the angle of velocity \(v_i\) and \(v_j\), and define \(\bar{\theta}(t) = \max_{i,j \in N} \left< v_i(t), v_j(t) \right>\). Suppose \(\bar{\theta}(0) = \theta_{ij}(0) < \frac{\pi}{2}\). Then we have \(\bar{\theta}(t) \leq \bar{\theta}(0)\), for any \(t > 0\).

Proof. Like in the 2D-space, we have

\[
\cos \theta_{ij}(t) = \frac{v_i \cdot v_j}{\|v_i\| \cdot \|v_j\|}, \quad \theta_{ij}(t) = \arccos \left( \frac{v_i \cdot v_j}{\|v_i\| \cdot \|v_j\|} \right), \quad \bar{\theta}(t) = \max_{i,j \in N} \arccos \left( \frac{v_i \cdot v_j}{\|v_i\| \cdot \|v_j\|} \right).
\]

For any given \(t\), there exist two agents \(i_0\) and \(j_0\), satisfying \(\bar{\theta}(t) = \left< v_{i_0}(t), v_{j_0}(t) \right>\). Let \(h_1(t) = \frac{(v_{i_0} \cdot v_{j_0}) \cdot \|v_{i_0}\| \cdot \|v_{j_0}\| - (\|v_{i_0}\| \cdot \|v_{j_0}\|)^2}{\|v_{i_0}\|^2 \cdot \|v_{j_0}\|^2}\). Then we get

\[
\theta_{i_0,j_0}(t) = (\arccos \frac{v_{i_0}(t) \cdot v_{j_0}(t)}{\|v_{i_0}(t)\| \cdot \|v_{j_0}(t)\|})' = -\frac{1}{\sqrt{1 - (\|v_{i_0}\| \cdot \|v_{j_0}\|)^2}} \cdot h_1(t).
\]

By Lemma 3.1, we have

\[
f_1(t) := (v_{i_0} \cdot v_{j_0})' \cdot (\|v_{i_0}\| \cdot \|v_{j_0}\|) - (\|v_{i_0}\| \cdot \|v_{j_0}\|)' \cdot (v_{i_0} \cdot v_{j_0})
= \alpha \left( \sum_{k \in N_{i_0}} a_{i_0k} v_k \cdot v_{j_0} + \sum_{l \in N_{j_0}} a_{j_0l} v_l \cdot v_{i_0} - 2v_{i_0} \cdot v_{j_0} \right) \cdot \|v_{i_0}\| \cdot \|v_{j_0}\|
- \alpha \left( \sum_{k \in N_{i_0}} a_{i_0k} \frac{v_k \cdot v_{i_0}}{\|v_{i_0}\|} \|v_{j_0}\| + \sum_{l \in N_{j_0}} a_{j_0l} \frac{v_l \cdot v_{j_0}}{\|v_{j_0}\|} \|v_{i_0}\| \right)
- 2\|v_{i_0}\| \cdot \|v_{j_0}\| \cdot \|v_{i_0}\| \cdot v_{j_0}.
\]

Note that

\[
(a_{i_0k} v_k \cdot v_{j_0}) \cdot \|v_{i_0}\| \cdot \|v_{j_0}\| - a_{i_0k} \frac{v_k \cdot v_{i_0}}{\|v_{i_0}\|} \|v_{j_0}\| \cdot \|v_{i_0}\| \cdot v_{j_0}
= a_{i_0k} \|v_k\| \cdot \|v_{i_0}\| \cdot \|v_{j_0}\| \cdot \cos \theta_{k_{i_0}} \cos \bar{\theta}(0).
\]

If \(\theta_{i_1k_{1i}}, \theta_{k_{1j}} \leq \theta_{i_1j} \leq \theta_{i_1k_1}, \theta_{k_{1j}} \leq \theta_{i_1j} \leq 0, \pi \) for \(i_1, j_1 \in N\), we get

\[
\cos \theta_{k_{1j}} \geq \cos \theta_{i_1j} \geq 0.
\]

Using a similar argument in Lemma 3.1, we claim that for any given \(t\), \(\exists i_\ast \in N, j_\ast \in N\) such that \(\bar{\theta}(t) = \theta_{i_\ast j_\ast}(t) < \frac{\pi}{2}\) and \(D^+ \bar{\theta}(t) \leq 0\). We then conclude that \(\bar{\theta}(t) \leq \bar{\theta}(0)\) for all \(t > 0\). \(\Box\)

For the agent’s position \(x_i \in \mathbb{R}^3\) and its velocity \(v_i \in \mathbb{R}^3\), denote by \(d_{X} = \max_{i,j \in N} \|x_i - x_j\|, d_{V} = \max_{i,j \in N} \|v_{ni} - v_{nj}\|\), \(n = x, y, z\). We introduce the spatial rectangular coordinate system \(v_i = v_{x_i} + v_{y_i} + v_{z_i}\). Then, we have

\[
\frac{dv_{x_i}}{dt} = \alpha \sum_{j \in N} a_{ij} (v_{x_j} - v_{x_i}), \quad a_{ij} = \kappa (\omega_i x_j - x_i) \phi_{ij},
\]

\[
\frac{dv_{y_i}}{dt} = \alpha \sum_{j \in N} a_{ij} (v_{y_j} - v_{y_i}), \quad a_{ij} = \kappa (\omega_i x_j - x_i) \phi_{ij},
\]

\[
\frac{dv_{z_i}}{dt} = \alpha \sum_{j \in N} a_{ij} (v_{z_j} - v_{z_i}), \quad a_{ij} = \kappa (\omega_i x_j - x_i) \phi_{ij}.
\]
From \( \mathbf{v}_i = \mathbf{v}_{x_i} + \mathbf{v}_{y_i} + \mathbf{v}_{z_i} \), we can get \( \frac{d\mathbf{v}_i}{dt} = \mathbf{v}_i \), and

\[
\frac{d\mathbf{v}_i}{dt} = \frac{d\mathbf{v}_{x_i}}{dt} + \frac{d\mathbf{v}_{y_i}}{dt} + \frac{d\mathbf{v}_{z_i}}{dt}
\]

\[
= \alpha \sum_{j \in N_i} a_{ij}(\mathbf{v}_{x_j} - \mathbf{v}_{x_i}) + \alpha \sum_{j \in N_i} a_{ij}(\mathbf{v}_{y_j} - \mathbf{v}_{y_i})
\]

\[
+ \alpha \sum_{j \in N_i} a_{ij}(\mathbf{v}_{z_j} - \mathbf{v}_{z_i})
\]

\[
= \alpha \sum_{j \in N_i} a_{ij}(\mathbf{v}_{x_j} + \mathbf{v}_{y_j} + \mathbf{v}_{z_j} - \mathbf{v}_{x_i} - \mathbf{v}_{y_i} - \mathbf{v}_{z_i})
\]

\[
= \alpha \sum_{j \in N_i} a_{ij}(\mathbf{v}_j - \mathbf{v}_i).
\]

**Lemma 4.2.** Let \( \mathbf{x}_i, \mathbf{v}_i \in \mathbb{R}^3 \), and \( (\mathbf{x}_i, \mathbf{v}_i) \) be a solution of (8). If

i). \( \frac{\pi}{2} \leq \gamma \leq \frac{3\pi}{2} \) and the initial condition \( \tilde{\theta}(0) \) satisfies \( \tilde{\theta}(0) \leq 2\gamma - \pi \), or

ii). \( \frac{3\pi}{2} < \gamma < \pi \) and the initial condition \( \tilde{\theta}(0) \) satisfies \( \tilde{\theta}(0) \leq \frac{\pi}{2} \),

then

\[
\frac{d}{dt} dV_n \leq -\alpha \frac{\phi^2(d_X)}{N^2} dV_n \quad (n = x, y, z).
\]

**Proof.** In both i) and ii), we have \( \tilde{\theta}(0) \leq \frac{\pi}{2} \). By Lemma 4.1, we obtain \( \tilde{\theta}(t) \leq \tilde{\theta}(0) \leq 2\gamma - \pi \) for any \( t \geq 0 \). Then, for any agent \( i \) and agent \( j \), one of the following three situations can occur

1). \( \kappa(\omega_i, \mathbf{x}_j - \mathbf{x}_i) = \kappa(\omega_j, \mathbf{x}_i - \mathbf{x}_j) = 1 \);

2). \( \kappa(\omega_i, \mathbf{x}_j - \mathbf{x}_i) = 0 \) and \( \kappa(\omega_j, \mathbf{x}_i - \mathbf{x}_j) = 1 \);

3). \( \kappa(\omega_i, \mathbf{x}_j - \mathbf{x}_i) = 1 \) and \( \kappa(\omega_j, \mathbf{x}_i - \mathbf{x}_j) = 0 \).

We can then use a similar argument to that of Lemma 3.2 to prove

\[
\frac{d}{dt} dV_n \leq -\alpha \frac{\phi^2(d_X)}{N^2} dV_n, \quad n = x, y, z.
\]

**Theorem 4.3.** Let \( (\mathbf{x}_i, \mathbf{v}_i) \) be a solution of (3) and \( \mathbf{x}_i, \mathbf{v}_i \in \mathbb{R}^3 \). Assume the influence function \( \phi(r) \) satisfies \( \int_0^\infty \phi^2(r) = \infty \) and the angle of the cone of vision \( \gamma \) satisfies \( \frac{\pi}{2} \leq \gamma < \pi \). If the initial conditions satisfy one of i) and ii) in Lemma 4.2, then the solution flocks.

**Proof.** We consider the case where the initial condition satisfies i), and a similar argument applies to case ii). From Lemma 4.1 and Lemma 4.2, we have

\[
\frac{d}{dt} dV_n \leq -\alpha \frac{\phi^2(d_X)}{N^2} dV_n, \quad n = x, y, z.
\]

Introduce a function \( E(d_X, d_{Vx}, d_{Vy}, d_{Vz})(t) = d_{Vx}(t) + d_{Vy}(t) + d_{Vz}(t) + \alpha \int_0^{d_{Vx}(t)} \Psi(r)dr \), where \( \Psi(r) = \frac{\phi^2(r)}{N^2} \). We have

\[
D^+ E(d_X, d_{Vx}, d_{Vy}, d_{Vz})(t) = D^+ d_{Vx}(t) + \dot{d}_{Vy}(t) + D^+ d_{Vz}(t) + \alpha \varphi(d_X)D^+ d_{Vx}(t)
\]

\[
\leq -\alpha \varphi(d_X) d_{Vx}(t) - \alpha \varphi(d_X) d_{Vy}(t) - \alpha \varphi(d_X) d_{Vz}(t)
\]

\[
+ \alpha \varphi(d_X) d_{Vx}(t)
\]

\[
\leq -\alpha \varphi(d_X) d_{Vx}(t) - \alpha \varphi(d_X) d_{Vy}(t) - \alpha \varphi(d_X) d_{Vz}(t)
\]
+ \alpha \varphi (d_X)(d_{Vx} + d_{Vy} + d_{Vz})(t) = 0.

Using a similar argument as in the proof of Theorem 3.3, we can get a constant $d^{**} < \infty$, $(d_X(0) \leq d^{**})$ such that

$$d_{Vx}(t) + d_{Vy}(t) + d_{Vz}(t) = \alpha \int_{d_X(0)}^{d^{**}} \varphi(r) \, dr.$$  

Then, we have $d_X(t) \leq d^{**}$ for any $t \geq 0$. Hence, we have

$$\frac{d}{dt} d_{Vn} \leq -\alpha \frac{\varphi^2(d^{**})}{N^2} d_{Vn}, \quad n = x, y, z.$$  

By the Gronwall’s inequality, we obtain $\lim_{t \to \infty} d_{Vn}(t) = 0$, $n = x, y, z$. As $d_V \leq d_{Vx} + d_{Vy} + d_{Vz}$, we conclude that $\lim_{t \to \infty} d_V(t) = 0$. 

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