

Article

# Hull shape design optimization with parameter space and model reductions, and self-learning mesh morphing

Nicola Demo<sup>1,\*</sup>, Marco Tezzele<sup>1</sup>, Andrea Mola<sup>1</sup> and Gianluigi Rozza<sup>1</sup>

<sup>1</sup> Mathematics Area, mathLab, SISSA, via Bonomea 265, I-34136 Trieste, Italy

\* Corresponding author: nicola.demo@sisssa.it

Version February 2, 2021 submitted to J. Mar. Sci. Eng.

**Abstract:** In the field of parametric partial differential equations, shape optimization represents a challenging problem due to the required computational resources. In this contribution, a data-driven framework involving multiple reduction techniques is proposed to reduce such computational burden. Proper orthogonal decomposition (POD) and active subspace genetic algorithm (ASGA) are applied for a dimensional reduction of the original (high fidelity) model and for an efficient genetic optimization based on active subspace property. The parameterization of the shape is applied directly to the computational mesh, propagating the generic deformation map applied to the surface (of the object to optimize) to the mesh nodes using a radial basis function (RBF) interpolation. Thus, topology and quality of the original mesh are preserved, enabling application of POD-based reduced order modeling techniques, and avoiding the necessity of additional meshing steps. Model order reduction is performed coupling POD and Gaussian process regression (GPR) in a data-driven fashion. The framework is validated on a benchmark ship.

**Keywords:** Shape optimization; reduced order modeling; high-dimensional optimization; parameter space reduction; computational fluid dynamics

## 1. Introduction

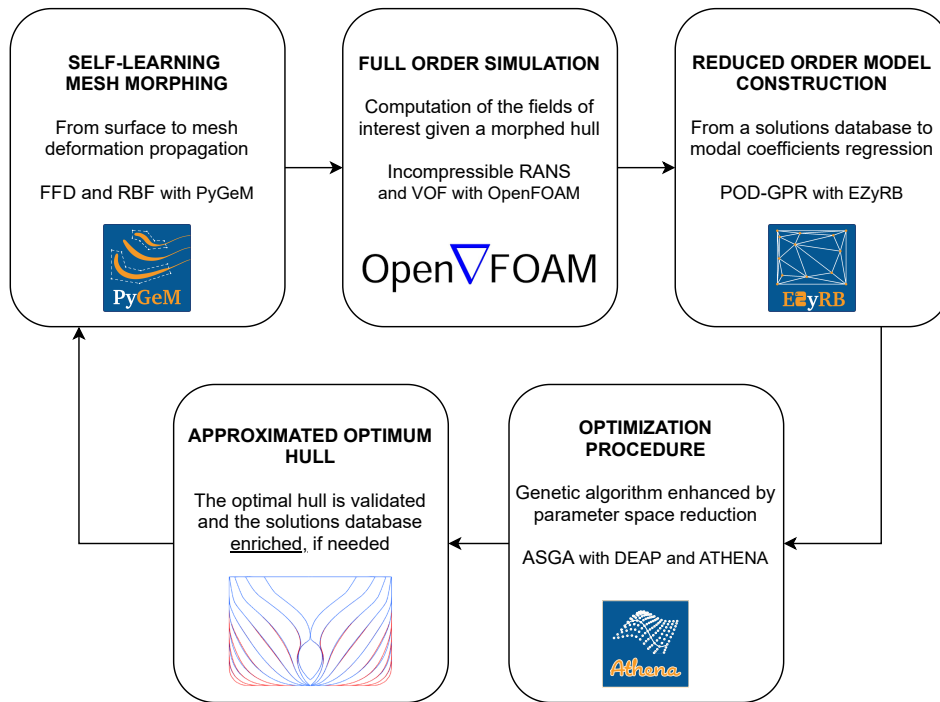
In the framework of parameterized partial differential equation (PDE) problems for engineering, reduced order models (ROMs) and optimization algorithms are two instruments that particularly benefit a synergic use. In several cases of engineering interest in which PDEs solution require considerable computational effort, ROMs enable in fact a remarkable reduction in the resources required for each calculation. There are of course several ways to reduce the dimensionality of discretized PDEs. The most naive approaches, such as coarsening the computational grids clearly have negative effects on the quality of the solutions. This is particularly true for problems characterized by complex physics and geometrical features, which in most cases require a very high number of degrees of freedom, ultimately resulting in expensive computations. In the context of an optimization algorithm execution, where many discretized PDE solutions must be computed, the overall computational load often becomes unaffordable. With only modest negative effects on the PDE solution accuracy, ROMs can be conveniently exploited to reduce the high dimensionality of the original discrete problem — to which we will herein refer to as full order model (FOM) or *high fidelity* model. ROM algorithms can be employed in several industrial design processes, and in particular to shape optimization, in which the objective of the computations is to find the best shape of a particular product or artifact. Such problems are in fact typically modeled through parametric PDEs, in which input parameters control the geometric features of the object at hand. ROMs efficiently approximate the numerical solution of the full order PDE with a suitable reduced surrogate, enabling drastic reduction in the computational burden of the overall optimization procedure.

35 There are of course several different algorithms which allow for an efficient reduction of the  
36 dimensionality of parametric problem. In the present contribution, we make use of a data-driven  
37 approach based on proper orthogonal decomposition (POD) [1,2]. The equation-free nature of  
38 such method is often an essential feature in the industrial sector, where modularity and solvers  
39 *encapsulation* play a fundamental role. Indeed, the data-driven POD based ROM employed in the  
40 present optimization framework can be coupled with any PDE solver, as the data integration is  
41 enforced through the output of interest of the full order problem. Similar reduced methods have been  
42 proposed in [3,4] for the shape optimization of a benchmark hull, while additional improvements have  
43 been made coupling the ROM with active subspace analysis and different shape parameterization  
44 algorithms in [5–8]. We refer the readers interested in parametric hull shape variations using ROMs  
45 to [9], while we mention [10,11] for design-space dimensionality reduction in shape optimization with  
46 POD. Moving from hulls to propellers, data-driven POD has also been successfully incorporated in the  
47 study of marine propellers efficiency [12,13] as well as hydroacoustics performance [14].

48 A further aspect of novelty of the optimization framework proposed is related to the  
49 parameterization of the geometry. In typical shape optimization cycles, the surface of the object  
50 under study is deformed before the domain discretization takes place. Thus, the meshing phase is  
51 repeated for any deformed entity. Such approach has the clear advantage of allowing for good control  
52 of the quality of the computational grid produced for each geometry tested. Yet, it suffers of two main  
53 problems: *i*) the meshing step may be expensive, both because its CPU time might be comparable to the  
54 resolution of the problem itself, and because mesh generation is specially intensive in terms of human  
55 operator hours required; *ii*) a different mesh for each geometry does not allow for the application of  
56 POD or several other ROM approaches, which require that the mesh topology, as well as the number  
57 of degrees of freedom of the discretized problem, are conserved across all the shapes tested. Thus,  
58 assuming a generic deformation map is available, which morphs the initial object surface — not the  
59 grid —, we exploit such deformation to train a radial basis function (RBF) interpolation that will  
60 extend the surface deformation to the nodes of the PDE volumetric mesh. In this sense, the method is  
61 capable to learn and propagate any deformation to a given mesh. Properly selecting the RBF kernel,  
62 we can then obtain a smooth deformation in all the discretized domain, not only ensuring that the  
63 overall parameterization map preserves the initial mesh quality but also its topology. We remark that  
64 in this work, free-form deformation (FFD) is used to deform the surface of the object under study. Yet,  
65 we stress that the RBF extension methodology is completely independent from the parameterization  
66 method chosen for the object geometry. A similar approach has been recently investigated in [15].

67 The optimization algorithm used in this work is the recently developed active subspaces extension  
68 of the classical genetic algorithm called ASGA [16], which performs the mutation and cross-over steps  
69 on a reduced dimensional space for a faster convergence.

70 All the algorithms used in this work are implemented in open source software libraries [17–20],  
71 which we will briefly introduce in the discussions of the corresponding numerical methods. In Figure 1  
72 we depicted an outline of the whole numerical pipeline we are going to present, emphasizing the  
73 methods and the softwares used. One of the main goals of this contribution it that of testing the full  
74 pipeline composed by data-driven POD ROM, combined FFD-RBF shape parameterization algorithm  
75 and ASGA optimizer on a problem that can be both meaningful to the ship hydrodynamics community  
76 and easily reproducible. For such reason, the test case considered is that of the DTC hull [21], for  
77 which online tutorials are available to run fairly accurate flow simulations in fixed sink and trim  
78 conditions. Since in such set up, the hull optimizing resistance is a trivial, zero volume hull, the  
79 DTC benchmark hull is here optimized based on the total resistance coefficient  $C_t$ . We organize the  
80 contribution as follows: Section 2 presents a deeper discussion about the parameterization of the  
81 object and of the computational grid; Section 3 describes the full order model and the reduced order  
82 one, while Section 4 is devoted to an algorithmic discussion about the optimization algorithm and its  
83 supporting mathematical tools. The final sections, 5 and 6, show the numerical results obtained and  
84 present the conclusive summary, respectively.



**Figure 1.** Illustration of the key steps of the proposed optimization pipeline with the methods and the softwares used.

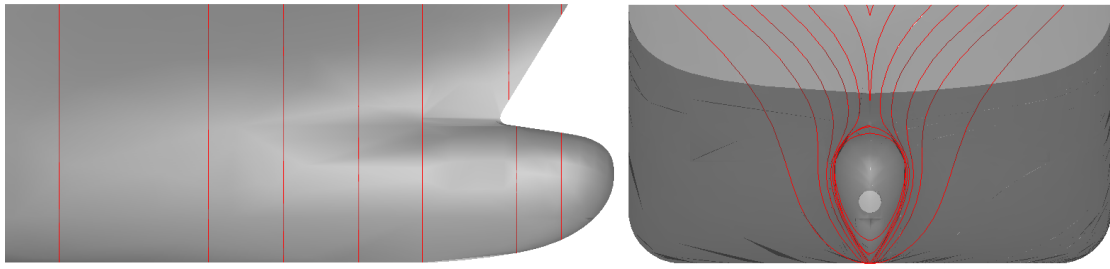
## 85 2. Shape and grid parameterization

86 Whenever industrial design processes as the ones discussed in this work are aimed at improving,  
 87 among other aspects, the geometric features of a particular artifact, a shape parameterization  
 88 algorithm is a cornerstone of the whole optimization pipeline. Optimization tools, as well as the  
 89 non-intrusive model reduction techniques employed in the present investigation, are in fact based  
 90 on the parameterized PDEs paradigm introduced in the previous section. In such framework, a set  
 91 of geometric input parameters affects the output of a parametric PDE through the deformation of its  
 92 domain geometry. Thus, the shape parameterization algorithm role is that of mapping the variation  
 93 of a set of numerical parameters, to the corresponding deformation of the PDE domain geometry. In  
 94 other words, since optimization tools are mathematical algorithms which must be fed with numbers,  
 95 the shape parameterization algorithms translate shape deformations into variations of the numeric  
 96 quantities they need.

### 97 2.1. How to combine different shape parametrization strategies

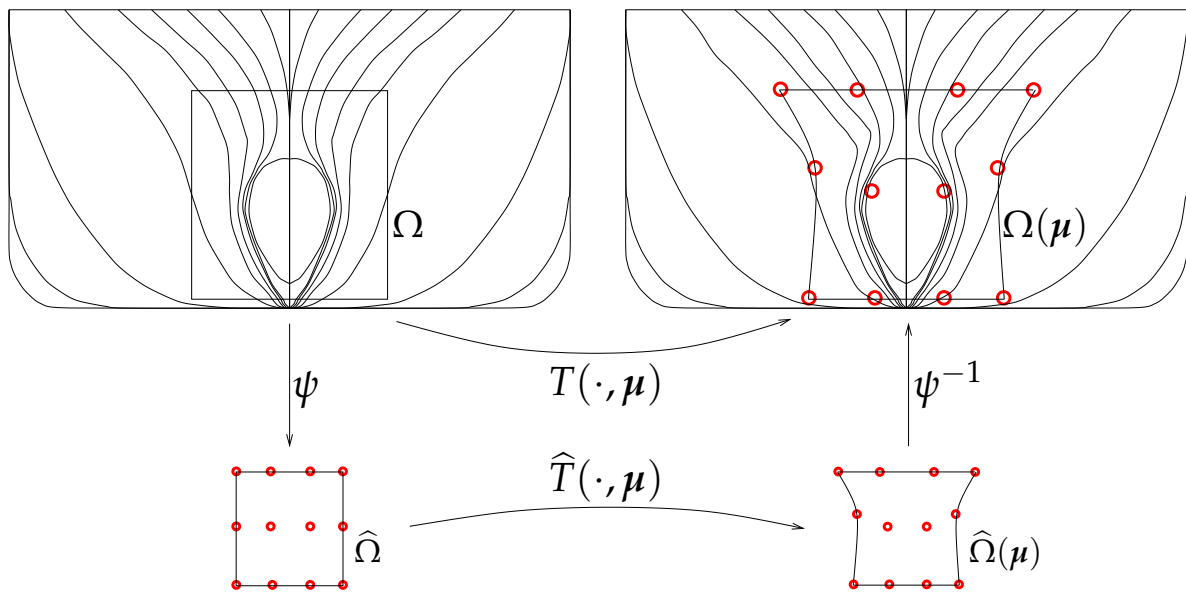
98 In this work, we make combined use of two general purpose shape parameterization algorithms  
 99 to deform the three dimensional geometry of a ship hull, and accordingly update the volumetric  
 100 grid used for ship hydrodynamics simulations in a fully automated fashion. More specifically, free  
 101 form deformation (FFD) is first used to generate a family of deformations of the surface of a base  
 102 hull. In a second step, radial basis functions (RBF) interpolation is used to propagate the hull surface  
 103 deformation to the internal nodes of the fluid dynamic simulation computational grid. For visual  
 104 reference, Figure 2 depicts the side view (on the left) and front view (on the right) of a container  
 105 ship hull bow region. In the picture, several sections perpendicular to the hull longitudinal axis are  
 106 indicated by red lines.

107 Despite an extensive discussion of FFD and RBF theoretical foundations is clearly beyond the scope  
 108 of the present contribution, this section will introduce the key concept upon which both algorithms are  
 109 based and describe their combined deployment in the framework of our optimization pipeline.



**Figure 2.** Side view (left) and front view (right) of a typical container ship hull bow region.

110 The first shape parameterization algorithm applied in this work is the free form deformation [22–  
 111 24]. As mentioned, it is a general purpose algorithm, designed to be applied to arbitrarily shaped  
 112 geometries. FFD is fundamentally made up of three different geometrical transformations, as illustrated  
 113 in Figure 3. The first transformation  $\psi$  maps the physical domain  $\Omega$  into a reference domain  $\hat{\Omega}$ . In such  
 114 domain, a lattice of points is generated, and are used as the control points of a set of smooth shape  
 115 functions such as the Bernstein polynomials used in this work. Thus, once a displacement is prescribed  
 116 to one or more of the control points in the lattice, the shape functions are used to propagate such  
 117 displacement to all the points in the reference domain  $\Omega$ . The smooth displacement field obtained,  
 118 is the second and most important transformation  $\hat{T}$  in the FFD process. In the third, final step, the  
 119 deformed reference domain is mapped back into the physical one by means of  $\psi^{-1}$  to obtain the  
 resulting morphed geometry.



**Figure 3.** A two dimensional sketch of the FFD procedure applied to the surface of a container ship hull, including the three transformations  $\psi$ ,  $\hat{T}(\cdot, \mu)$  and  $\psi^{-1}$  composing the process.

120

121

122

123

124

125

126

127

128

129

130

The current description suggests that the parameters  $\mu$  of the final FFD map  $T(\cdot, \mu)$  are the displacements prescribed to one or more of the lattice control points. The procedure can account for both a variable number of lattice points and of displaced control points. For such reason, FFD deformations can be built with an arbitrary number of parameters.

We point out that the FFD algorithm results in a displacement law for each 3D space point within the control points lattice. Thus, it can be readily deployed to deform shapes specified through surface triangulations (such as STL geometries) and surface grids in general. In addition, it can be also used to directly deform volumetric grids used for fluid dynamic simulations. Yet, mainly for practical reasons, in this work we only make use of FFD to deform the STL surface triangulation describing the hull geometry. In fact, we must point out that if FFD has to be used to modify the volumetric mesh used

131 for CFD simulations, the control points lattice dimensions must be much bigger than those needed  
 132 when only deforming the hull surface, leading to infeasible optimization procedures. This is due to  
 133 the fact that when deforming volumetric meshes, it is often convenient to distribute the deformations  
 134 over a high number of cells, rather than concentrating all the displacements in a very confined region  
 135 in which cells can get distorted or even inverted. But because FFD only affects points located within  
 136 the control points lattice, this means that the latter must extend for a bigger volume. In addition, to  
 137 maximize the volumetric mesh quality, the user must include more control points in the lattice to make  
 138 sure that different deformation magnitudes are imposed in regions close to the hull and far from it.  
 139 Such *manual* control over the local mesh deformation can often become quite cumbersome.

For such reasons, after the hull surface mesh has been modified by means of FFD, we resort to RBF to propagate the hull boundary displacements to the internal nodes of the volumetric mesh for CFD simulations. In a broader sense, RBF is an interpolation algorithm, in which linear combinations of radial bases are used to approximate a function with values prescribed only in a finite number of points, in every point of a domain. In the case of interest, the displacement field function prescribed on the points of the hull surface must be interpolated in the positions corresponding to every node of the volumetric mesh. Thus, the displacement obtained from the  $m$  surface nodes original position  $\{s_1, \dots, s_m\}$  and the corresponding displaced position  $\{s'_1, \dots, s'_m\}$  must be interpolated at the positions  $\{v_1, \dots, v_n\}$  of the  $n$  volumetric mesh nodes. Such interpolation reads

$$d(x) = \sum_{j=1}^m w_j \varphi_j(x), \quad (1)$$

where the radial bases  $\varphi_j(x) = \varphi_j(\|x - x_j\|)$  are functions that only depend on the distance between evaluation point  $x$  and control point  $x_j$ . The weights  $w_j$  are computed by imposing the interpolation constraints  $d(s_i) = s'_i - s_i$ , after a radial basis has been centered at every constrained point ( $x_j = s_j$ ). This results in the linear system

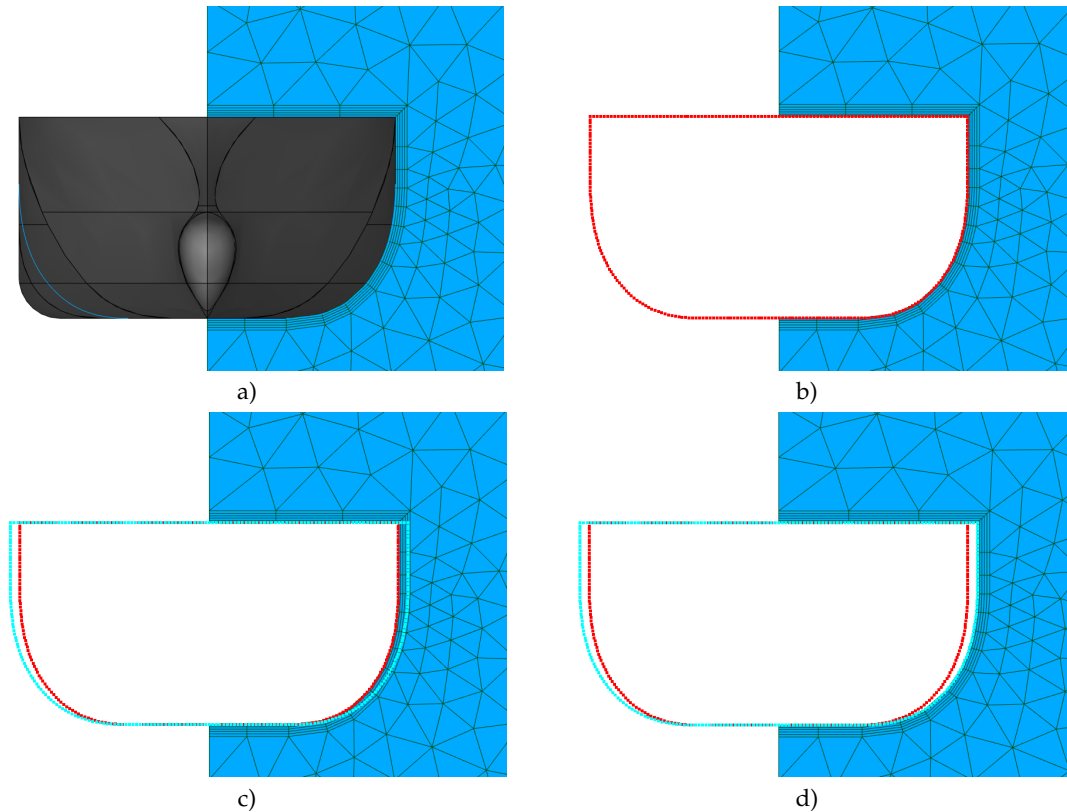
$$AX = B, \quad (2)$$

where

$$A = \begin{bmatrix} \varphi_1(s_1) & \dots & \varphi_1(s_m) \\ \vdots & \ddots & \vdots \\ \varphi_m(s_1) & \dots & \varphi_m(s_m) \end{bmatrix}, \quad X = \begin{Bmatrix} w_1 \\ \vdots \\ w_m \end{Bmatrix}, \quad B = \begin{Bmatrix} s'_1 - s_1 \\ \vdots \\ s'_m - s_m \end{Bmatrix}. \quad (3)$$

140 Linear system (2) is solved in a pre-processing phase, and the weights computed are then used  
 141 to compute the displacement of every node of the volumetric mesh by means of Equation (1). The  
 142 latter operation can be conveniently carried out in a parallel fashion, and is highly efficient. On the  
 143 other hand,  $A$  is a full  $m \times m$  matrix which can make the solution of system (2) quite time and memory  
 144 demanding when a large number of RBF control points are considered. That is why, in some cases only  
 145 a portion of the surface mesh nodes are used as RBF control points, which limits the computational  
 146 cost more than linearly, and in most cases has only modest effect on the morphing accuracy.

147 Both the FFD and RBF algorithms briefly described in this section have been implemented in  
 148 the Python library for geometrical morphing PyGeM [17], which has been used to produce all the  
 149 deformed geometries and computational grids used in this work. An example of the RBF application to  
 150 volumetric mesh morphing described in this paragraph is presented in Figure 4. The figure illustrates  
 151 all the steps involved in the procedure, which starts with a) a first volumetric mesh around the hull,  
 152 and b) a surface mesh on the hull surface. In step c) the latter mesh is then deformed and d) the surface  
 153 mesh displacement field is finally used to feed the RBF algorithm and propagate the boundary motion  
 154 to the internal volumetric mesh nodes. As it can be appreciated in the illustration, to avoid distortion  
 155 of the volumetric mesh symmetry plane, the surface mesh must include both sides of the hull. In the  
 156 present work, the deformation of the surface mesh has been carried out by means of FFD. Yet, we



**Figure 4.** A section view example illustrating the RBF morphing steps carried out to propagate the hull surface deformations to a volumetric mesh for ship hydrodynamics simulations.

157 remark that any deformation law which results in a one to one correspondence between original and  
 158 deformed surface grids can be propagated to the nodes of the volumetric mesh with RBF interpolation.

### 159 3. The mathematical model for incompressible fluids

160 The computational gain of the proposed pipeline is obtained by using a model order reduction  
 161 based on proper orthogonal decomposition (POD) to approximate the solution of the parametric PDEs  
 162 describing the studied phenomenon. This technique assumes an initial solutions database produced by  
 163 solving the full order model (FOM), for some values of the parameters. We refer to such solutions as  
 164 high-fidelity solutions, or *snapshots*. Depending on the intrusiveness of the reduced order method, also  
 165 the discrete operators of the numerical problem can be required. In this contribution, we propose a  
 166 non-intrusive approach, constructing a reduced order model (ROM) within a data driven setting using  
 167 the FOM snapshots and the corresponding parameter values (described in Section 2). This allows a  
 168 modular structure where any numerical solver, also commercial, can be adopted, since the ROM relies  
 169 only on input and output couples.

170 The following paragraphs present the full order model used in this work and the ROM constructed  
 171 with it. We briefly describe the incompressible Reynolds Averaged Navier–Stokes (RANS) equations  
 172 and its numerical solution in a finite volume framework, then we proceed with an algorithmic analysis  
 173 of the proper orthogonal decomposition with Gaussian process regression (POD-GPR).

#### 174 3.1. The full order model: incompressible RANS

175 The FOM used in this work is the Reynolds Averaged Navies–Stokes (RANS) model  
 176 complemented by a Volume of Fluid (VOF) front capturing method to deal with the multi phase  
 177 nature of the fluid surrounding the hull. The resulting govern equations are discretized by means



178 of a Finite Volumes (FV) strategy implemented in the open source library openFOAM [25]. Such  
 179 mathematical and numerical setup is nowadays adopted in many industrial naval contexts thanks  
 180 to its robustness and accuracy. The test case considered is one of the tutorials of the library, which is  
 181 designed to reproduce the DTC experiments reported in reference [21]. We here provide a minimal  
 182 overall description of the model. We refer to the original documentation of the library for all the  
 183 numerical and technical details.

The RANS equations model the turbulent incompressible flow, while the volume of fluid (VOF) technique [26] is applied to handle the biphasic nature of the fluid (water and air). The equations governing our system are the following

$$\begin{cases} \frac{\partial \bar{u}}{\partial t} + (\bar{u} \cdot \nabla) \bar{u} - \nabla \cdot (\tilde{u} \otimes \tilde{u}) = -\frac{1}{\rho} \nabla \bar{p} + \nabla \cdot \nu \nabla \bar{u} + g, \\ \nabla \cdot \bar{u} = 0, \\ \frac{\partial \alpha}{\partial t} + \nabla \cdot (\bar{u} \alpha) = 0, \end{cases} \quad (4)$$

184 where  $\bar{u}$  and  $\tilde{u}$  refer to the mean and fluctuating velocity after the RANS decomposition, respectively,  
 185  $\bar{p}$  denotes the mean pressure,  $\rho$  is the density,  $\nu$  the kinematic viscosity, and  $\alpha$  is the discontinuous  
 186 variable belonging to interval  $[0, 1]$  representing the fraction of the second flow in the infinitesimal  
 187 volume. Finally, vector  $g$  represents the body accelerations associated with gravity.

The first two equations are the continuity and momentum conservation, where the new term, the Reynolds stresses tensor  $\tilde{u} \otimes \tilde{u}$ , have to be modeled with additional equations in order to close the system. Among all the turbulence models available in literature, we use the SSTk –  $\omega$  turbulence model [27]. The third equation represents the transport of the VOF variable  $\alpha$ . Such variable controls also the density  $\rho$  and the kinematic viscosity  $\nu$ , since they are defined using an algebraic formula expressing them as a convex combination of the corresponding properties of the two flows such that

$$\rho = \alpha \rho_{\text{air}} + (1 - \alpha) \rho_{\text{water}}, \quad \nu = \alpha \nu_{\text{air}} + (1 - \alpha) \nu_{\text{water}}. \quad (5)$$

188 To compute the steady solution in a discrete environment, we apply the finite volume (FV) approach.  
 189 We set a pseudo-transient simulation, applying a first order implicit local scheme for the temporal  
 190 discretization, while for the spatial scheme we apply the linear upwind one. Regarding the software,  
 191 as mentioned the simulation is carried out using the C++ library OpenFOAM [25].

### 192 3.2. The reduced order model: POD-GPR

POD is a linear dimensional reduction technique capable to construct a reduced order model from a set of high-fidelity snapshots. Such space is spanned by (typically few) basis functions, that are computed by minimizing the error between the original snapshots and their orthogonal projection [28]. In a parametric context, it enables — provided a proper set of parameter samples — the possibility to approximate the solution manifold in a very efficient way. Formally, we define the set of parameters  $\{\mu_i\}_{i=1}^M$  such that  $\mu_i \in \mathbf{P} \subset \mathbb{R}^p$  for  $i = 1, \dots, M$ . For each parameter, the solution is computed using the FOM. Let  $\mathcal{N}$  be number of degrees of freedom of the full simulation, we obtain the solutions  $\mathbf{x}_i \in \mathbb{X}_i^{\mathcal{N}}$  for  $i = 1, \dots, M$ . Since the finite volume space is created only once and then it is deformed, all the geometric configurations have the same dimensionality even if they belong to different spaces. The vectorial solutions are arranged as columns of the snapshots matrix, such that

$$\mathbf{X} = \begin{bmatrix} | & \dots & | \\ \mathbf{x}_1 & \dots & \mathbf{x}_M \\ | & \dots & | \end{bmatrix} \in \mathbb{R}^{\mathcal{N} \times M}. \quad (6)$$

193 The basis of the POD space, composed by the so called POD modes, is computed using the singular  
 194 value decomposition (SVD) of the snapshots matrix  $\mathbf{X} = \mathbf{U}\Sigma\mathbf{V}^*$ . The unitary matrix  $\mathbf{U} \in \mathbb{R}^{\mathcal{N} \times M}$   
 195 contains the left-singular vectors of  $\mathbf{X}$ , which are the POD modes. Moreover the diagonal matrix

196  $\Sigma = \text{diag}(\lambda_1, \dots, \lambda_M)$ , where  $\lambda_1 \geq \lambda_2 \geq \dots \geq \lambda_M$ , contains the singular values, which indicate the  
 197 energetic contribution of the corresponding modes. By looking at the spectral decay we can retain the  
 198 first  $N$  most energetic modes, which span the optimal space of dimension  $N$ .

Such basis can be exploited in a Galerkin projection framework [29–31], in an hybrid framework combining data-driven methods with projection [32,33], or used to project onto the reduced space the initial snapshots. Thus we can approximate the snapshots  $x_j$  as a linear combination of the modes as

$$x_j = \sum_{i=1}^M c_j^i \psi_i \approx \sum_{i=1}^N c_j^i \psi_i \quad \text{for } j = 1, \dots, M, \quad (7)$$

199 where  $\psi_i$  refers to the  $i$ -th POD mode. The coefficients  $c_j^i$  of the linear combination represent the  
 200 low-dimensional solution and are usually called *modal coefficients*. Using the matrix notation, to  
 201 compute such coefficients it is sufficient a matrix multiplication  $\mathbf{C} = \mathbf{U}_N^T \mathbf{X}$ , where the columns of  $\mathbf{C}$  are  
 202 the vectors  $\mathbf{c}^j \in \mathbb{R}^N$  for  $j = 1, \dots, N$ , the matrix  $\mathbf{U}_N \in \mathbb{R}^{N \times N}$  contains the first  $N$  POD basis and the  
 203 superscript  $T$  indicates the matrix transpose.

The new pairs  $(\boldsymbol{\mu}_i, \mathbf{c}_i)$ , for  $i = 1, \dots, M$ , we can be exploited in order to find a function  $f : \mathbf{P} \rightarrow \mathbb{R}^N$  capable to predict the modal coefficients for untested parameters. Several options are available in literature to reach this goal: for instance  $n$ -dimensional linear interpolator [34,35], radial basis functions (RBF) interpolator [36], artificial neural networks [37], Gaussian process regression [38,39]. As anticipated, in this work we apply a GPR [40], fitting the distribution of the modal coefficients with a multivariate Gaussian distribution, such that

$$f(\boldsymbol{\mu}) \sim \text{GP}(m(\boldsymbol{\mu}), K(\boldsymbol{\mu}, \boldsymbol{\mu})), \quad (8)$$

204 where  $m(\cdot)$  and  $K(\cdot, \cdot)$  indicate the mean and the covariance of the distribution, respectively. Given a  
 205 covariance function, an optimization step is required to set the corresponding hyperparameters. In this  
 206 contribution we use the squared exponential covariance defined as  $K(x_i, x_j) = \sigma^2 \exp\left(-\frac{\|x_i - x_j\|^2}{2l}\right)$ .  
 207 Once the hyperparameters ( $\sigma$  and  $l$ ) of the covariance kernel have been fit to the input dataset, we  
 208 can query such distribution to predict the new modal coefficients. Finally the modal coefficients are  
 209 projected back to the high-dimensional vector space  $\mathbb{R}^N$  using (7). It is easy to note the differences from  
 210 the computational point of view between FOM and ROM: whereas in the full order model it is required  
 211 to solve a non-linear problem of dimension  $N$ , in the reduced order model to predict the solution  
 212 we just need to query a distribution and perform a matrix multiplication. From the computational  
 213 perspective, in fact the cost of the ROM is mainly due to its construction and not to the prediction  
 214 phase: relying on the SVD, the method shows an algorithmic complexity of  $\mathcal{O}(\min(N, M)NM)$ . Thus,  
 215 dealing with complex FOM as the one presented in this work, POD space construction can be neglected  
 216 in the overall computational need.

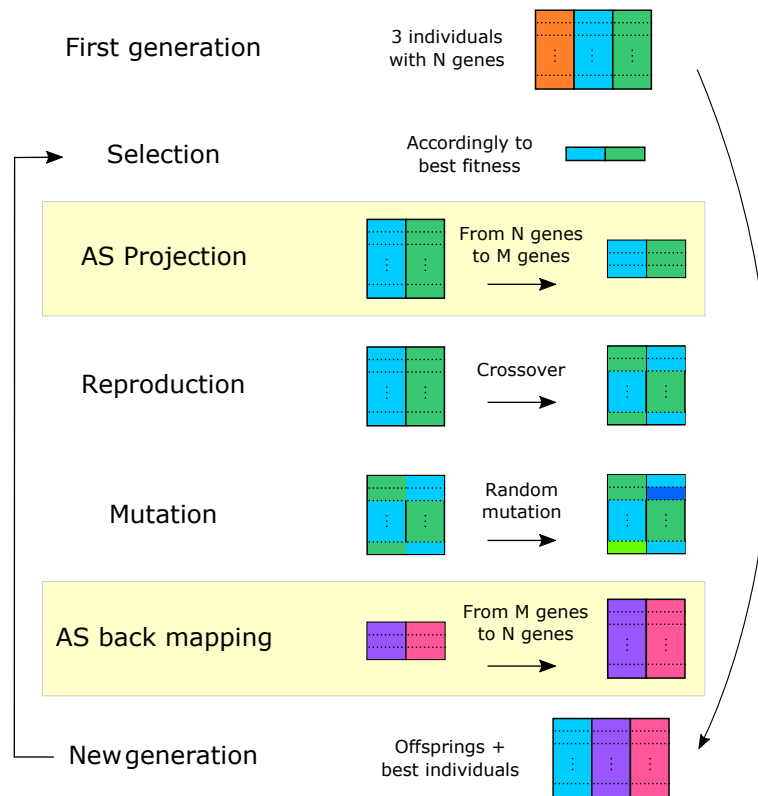
217 On the technical side, we construct and exploit the POD-GPR model using EZyRB [19], an open  
 218 source Python package which deals with several data-driven model order reduction techniques,  
 219 exploiting the library GPpy [20] for the GPR implementation.

#### 220 4. Optimization procedure with built-in parameters reduction

221 In this work we make use of the active subspaces extension of the genetic algorithm (ASGA)  
 222 introduced in [16]. Such optimization method has been selected as it outperforms standard GA,  
 223 especially when high-dimensional target functions are considered. Its performance have been proved  
 224 both for classical academic benchmark functions and for industrial CFD test cases.

225 The following sections report a description of both the classical genetic algorithm and the active  
 226 subspaces technique main features. Finally, we will discuss how the two algorithms have been  
 227 combined to obtain an efficient optimization procedure.





**Figure 5.** Active subspaces-based genetic algorithm scheme. The main step of the classical GA are depicted from top to bottom. The yellow boxes represent projections onto and from lower dimension active subspace. Thus, they are specific to ASGA.

#### 228 4.1. Genetic algorithm

229 Genetic algorithm (GA) is an optimization algorithm, first introduced by Holland in [41]. Inspired  
 230 by natural selection, it falls into the category of population based search algorithms. For a detailed  
 231 discussion of the method and its several modifications we refer the interested reader to [42–44]. Here,  
 232 we briefly present the simplest genetic algorithm, which is composed by three fundamental steps:  
 233 *selection*, *reproduction*, and *mutation*. Such phases are illustrated in Figure 5 — which also includes  
 234 yellow boxes which will be discussed in the following sections.

235 The algorithm starts with a random population  $\mathcal{S}_0$  composed of  $T$  individuals, each one having  $r$   
 236 genes. In the selection step the individuals with the best fitness value, for instance  $\mathcal{S}_0^{(1)}$  and  $\mathcal{S}_0^{(2)}$ , are  
 237 retained. During the reproduction phase, an offspring  $Q$  is produced from these two individuals with a  
 238 crossover probability  $P_C$ . Then, in the last step  $Q$  undergoes a mutation with probability  $P_M$ , generating  
 239  $Q'$ . This new offspring  $Q'$  is added in the new population  $\mathcal{S}_1$  together with the best individuals of  $\mathcal{S}_0$ .  
 240 The three steps are repeated until a predetermined computation budget is reached.

#### 241 4.2. Active subspaces

242 The active subspaces (AS) [45–47] property is an emerging technique for dimension reduction of  
 243 parameterized problems. Let us initially assume that the input/output relationship of the problem  
 244 under study is represented by function  $f(\boldsymbol{\mu}) : \Omega \subset \mathbb{R}^n \rightarrow \mathbb{R}$ . The reduction is performed by computing  
 245 a linear transformation of the original parameters  $\boldsymbol{\mu}_M = \mathbf{A}\boldsymbol{\mu}$ , in which  $\mathbf{A}$  is an  $M \times n$  matrix, and  
 246  $M < n$ . In the last years AS has been extended to vector-valued output functions [46], and to nonlinear  
 247 transformations of the input parameters using the kernel-based active subspaces (KAS) method [48].  
 248 AS has been also coupled with reduced order methods such as POD-Galerkin [49] in cardiovascular

249 studies, and POD with interpolation [50] and dynamic mode decomposition [51] for CFD applications.  
 250 Application to multi-fidelity approximations of scalar functions are also presented in [52,53].

The matrix  $\mathbf{A}$  is computed based on the second moment matrix  $\mathbf{C}$  of the target function  $f$  gradient. The latter matrix is defined as

$$\mathbf{C} := \mathbb{E} [\nabla_{\boldsymbol{\mu}} f \nabla_{\boldsymbol{\mu}} f^T] = \int (\nabla_{\boldsymbol{\mu}} f)(\nabla_{\boldsymbol{\mu}} f)^T \rho d\boldsymbol{\mu}, \quad (9)$$

where with  $\mathbb{E}[\cdot]$  we denote the expected value,  $\nabla_{\boldsymbol{\mu}} f \equiv \nabla f(\boldsymbol{\mu}) \in \mathbb{R}^n$ , and  $\rho : \mathbb{R}^n \rightarrow \mathbb{R}^+$  is a probability density function representing the uncertainty in the input parameters. The gradients appearing in  $\mathbf{C}$  are typically approximated [45] with local linear models, global linear models, GP regression, or finite difference. The second moment matrix  $\mathbf{C}$  is constructed with a Monte Carlo procedure. We proceed by decomposing the uncentered covariance matrix as  $\mathbf{C} = \mathbf{W}\Lambda\mathbf{W}^T$ , where  $\Lambda$  is the diagonal eigenvalues matrix (arranged in descending order) and  $\mathbf{W}$  is the orthogonal matrix containing the corresponding eigenvectors. To bound the error on the numerical approximation associated with Monte Carlo simulations, we make use of the gap between the eigenvalues. Looking at the energy decay, we can select a scalar  $M < n$  and decompose  $\Lambda$  and  $\mathbf{W}$  as

$$\Lambda = \begin{bmatrix} \Lambda_1 & \\ & \Lambda_2 \end{bmatrix}, \quad \mathbf{W} = [\mathbf{W}_1 \quad \mathbf{W}_2], \quad \mathbf{W}_1 \in \mathbb{R}^{n \times M}, \quad (10)$$

251 where  $M$  is the dimension of the active subspace – which can also be prescribed a priori. The  
 252 decomposition described is exploited to map the input parameters onto a reduced space. Thus, the  
 253 principal eigenspace corresponding to the first  $M$  eigenvalue defines the *active subspace* of dimension  
 254  $M$ . In particular we define the active variable as  $\boldsymbol{\mu}_M := \mathbf{W}_1^T \boldsymbol{\mu} \in \mathbb{R}^M$  and the inactive variable as  
 255  $\boldsymbol{\eta} := \mathbf{W}_2^T \boldsymbol{\mu} \in \mathbb{R}^{n-M}$ .

Exploiting the higher efficiency of most interpolation strategy in lower dimensional spaces, we can now approximate  $f$  using a response surface over the active subspace, namely

$$g(\boldsymbol{\mu}_M = \mathbf{W}_1^T \boldsymbol{\mu}) \approx f(\boldsymbol{\mu}), \quad \boldsymbol{\mu}_M \in \mathcal{P} := \{\mathbf{W}_1^T \boldsymbol{\mu} \mid \boldsymbol{\mu} \in \Omega\}, \quad (11)$$

256 where  $\mathcal{P}$  is the polytope in  $\mathbb{R}^M$  (the ranges of the parameters are intervals) defined by the AS.

257 The active subspaces technique and several other methods for parameter spaces reduction are  
 258 implemented in the ATHENA<sup>1</sup> Python package [18].

### 259 4.3. Active subspaces-based genetic algorithm

260 We enhance the classical GA by adding two fundamental steps before the reproduction and after  
 261 the mutation phase. These involve the application of the projection of the current population onto  
 262 its active subspace, given a prescribed dimension. So, the idea is to perform the crossover and the  
 263 random mutation in the smaller dimension space. Such space in fact only includes the directions in  
 264 which the highest variation of the fitness function  $f$  is observed.

By a mathematical standpoint, we add the following operations to the GA: let  $\mathbf{W}_1$  be the eigenvectors defining the active subspace of the current population, say  $\mathcal{S}_0$ . We project its best individuals onto the current active subspace with

$$s_0^{(1)} = \mathbf{W}_1^T \mathcal{S}_0^{(1)}, \quad s_0^{(2)} = \mathbf{W}_1^T \mathcal{S}_0^{(2)}, \quad (12)$$

where  $s_0^{(1)}$  and  $s_0^{(2)}$  are the reduced individuals. The reproduction and mutation steps are performed as usual. The only difference is that in the described framework they conveniently are carried out within

---

<sup>1</sup> Freely available at <https://github.com/mathLab/ATHENA>.



**Figure 6.** The surface of the DTC hull. The highlighted sections divide the ship into 20 equispaced chunks at the free-surface level.

a smaller dimension space, where reduced number of genes is exploited for speed up purposes. After these phases are completed, we obtain the offspring  $q$  and  $q'$ , respectively. Finally, the back mapping from the active subspace to the full space is performed by sampling the inactive variable  $\eta$  in order to obtain

$$Q' = \mathbf{W}_1 q' + \mathbf{W}_2 \eta, \quad \text{with } -\mathbf{1} \leq Q' \leq \mathbf{1}, \quad (13)$$

where  $\mathbf{1}$  denotes a vector with all components equal to 1 — the original parameters are usually rescaled in  $[-1, 1]^n$  before applying AS —. We remark that there is in principle the possibility that multiple points in the full space are mapped onto the same reduced point in the active subspace. Hence, the number  $B$  of individuals resulting from the back mapping is an hyperparameter which can be prescribed a priori. For the specifics about this procedure please refer to [16]. In Figure 5 we emphasized with yellow boxes the new fundamental steps represented by Equations (12) and (12). For the actual implementation of the genetic algorithm part we used DEAP [54].

## 5. Numerical results

In this section, we describe the application of the proposed optimization pipeline to the DTC hull surface. Table 1 shows the main particulars in the design loading condition at model scale (which is set to 1 : 59.407). This will provide a test case which closely simulates a typical workflow for industrial hull design problems. Figure 6 shows the original CAD geometry of the hull used in this work, where we marked 21 longitudinal sections which divide the ship into 20 equispaced chunks. Such 21 slices will be referred to as *sections* during the results discussion, and are numbered from 1 to 21 going from the ship stern to its bow.

The structure of this section mirrors that of the whole article, reporting the intermediate results of all the methods employed throughout the optimization pipeline.

### 5.1. Self-learning mesh morphing parameters

To set up the FFD hull surface deformation, we position the control points lattice in order to control the immersed part of the ship prow region. The equispaced control points are positioned as follows:

- **$x$  axis:** 7 points layers located on sections 10, 12, 14, 16, 18, 20, 22;
- **$y$  axis:** 11 points layers that cover the whole hull beam, with the second and the second-to-last positioned on the lateral walls of the ship;
- **$z$  axis:** 7 points layers that cover the whole hull draft, aligning the 2<sup>nd</sup> and the 5<sup>th</sup> of them to the hull bottom and to the waterline, respectively.

As can be appreciated by the values reported, to distribute the FFD control points, we have made use of an additional 22<sup>nd</sup> *virtual* section located ahead of the bow. The motion of the  $7 \times 11 \times 7 = 539$  points

**Table 1.** Main quantities of the DTC at scale model.

Quantity	Value
Length between perpendiculars $L_{pp}$ [m]	5.976
Waterline breadth $B_{wl}$ [m]	0.859
Draught midships $T_m$ [m]	0.244
Volume displacement $V$ [m <sup>3</sup> ]	0.827
Block coefficient $C_B$	0.661

**Table 2.** FFD control points displacement. The indices refer to the relative position of the points within the lattice. The layers order, which starts from 0, is maintained consistent with the reference system. The intervals indicated by the – symbol are inclusive.

Lattice Points			Parameter	Displacement direction
index $x$	index $y$	index $z$		
2	0	2–4	$\mu_0$	$x$
2	10	2–4	$\mu_0$	$x$
3	0	2–4	$\mu_1$	$x$
3	10	2–4	$\mu_1$	$x$
4	0	2–4	$\mu_2$	$x$
4	10	2–4	$\mu_2$	$x$
4	2–4	2	$\mu_3$	$y$
4	6–8	2	$-\mu_3^2$	$y$
4	2–4	3	$\mu_4$	$y$
4	6–8	3	$-\mu_4^2$	$y$
4	2–4	4	$\mu_5$	$y$
4	6–8	4	$-\mu_5^2$	$y$
3	2–4	2	$\mu_6$	$y$
3	6–8	2	$-\mu_6^2$	$y$
5	2–4	3	$\mu_7$	$y$
5	6–8	3	$-\mu_7^2$	$y$
4	0–1	2	$\mu_8$	$z$
4	9–10	2	$\mu_8$	$z$
5	0	3	$\mu_9$	$z$
5	10	3	$\mu_9$	$z$

is governed by only 10 parameters, which are described in Table 2. We point out that the displacement of all the boundary points in the  $x$  and  $z$  direction is set to zero so as to enforce surface continuity. In addition, the displacement of the points on the internal  $x$  and  $z$  layers closest to the boundary ones is also set to zero so as to enforce continuity of all surface derivatives. Finally, the hull symmetry along  $y$  direction is ensured by selecting symmetric values for parameters associated to  $x$  and  $z$  displacements, as well as antisymmetric values for parameters associated to  $y$  displacements (the latter points are also indicated in the table by the corresponding footnote).

Once defined the geometric parameters  $\boldsymbol{\mu} = [\mu_0, \dots, \mu_9]$ , we set the parametric space to  $\mathbf{P} = [-0.2, 0.2]^{10}$ . The parameter space boundary values are selected so as to obtain feasible deformations from an engineering point of view and, at same time, to explore a large variety of possible shapes. Figure 7 shows the two “extreme” hull deformations, obtained setting all the parameters equal to the lower and upper bound of the space, respectively.

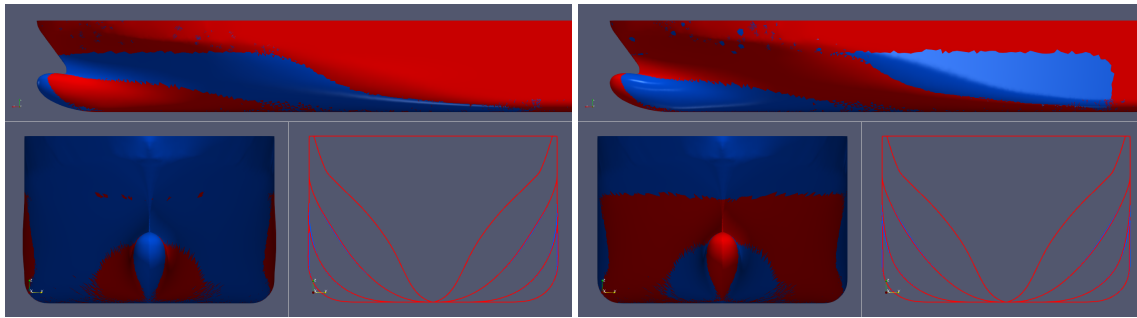
The FFD deformation of the hull points has been extended to the nodes of the volumetric grid for the CFD simulations making use of the Beckett-Wendland radial basis function kernel [55], defined as follows

$$\varphi_j(\|x - x_j\|) = \left(1 - \frac{\|x - x_j\|}{R}\right)_+^4 \left(1 + 4 \frac{\|x - x_j\|}{R}\right)_+, \quad (14)$$

where  $R > 0$  is a prescribed finite radius and the  $(\cdot)_+$  symbol indicates the positive part.

The output of the OpenFOAM library checkMesh utility has been used to assess the quality of the grids obtained with the combined FFD/RBF methodology. Figure 8 presents some of the main quality indicators of the 200 meshes generated for the present campaign, as computed by checkMesh. In particular, the indicators considered are minimum face area (top left plot), minimum cell volume (top right plot), maximum mesh non-orthogonality (bottom left plot) and average mesh non-orthogonality

<sup>2</sup> Imposed for  $y$  symmetry conservation.



**Figure 7.** Visual examples of hull deformation with  $\mu = [-0.2]^{10}$  (on left) and  $\mu = [0.2]^{10}$  (on right). The red surface refers to the deformed ships, while the blue one is the original hull.

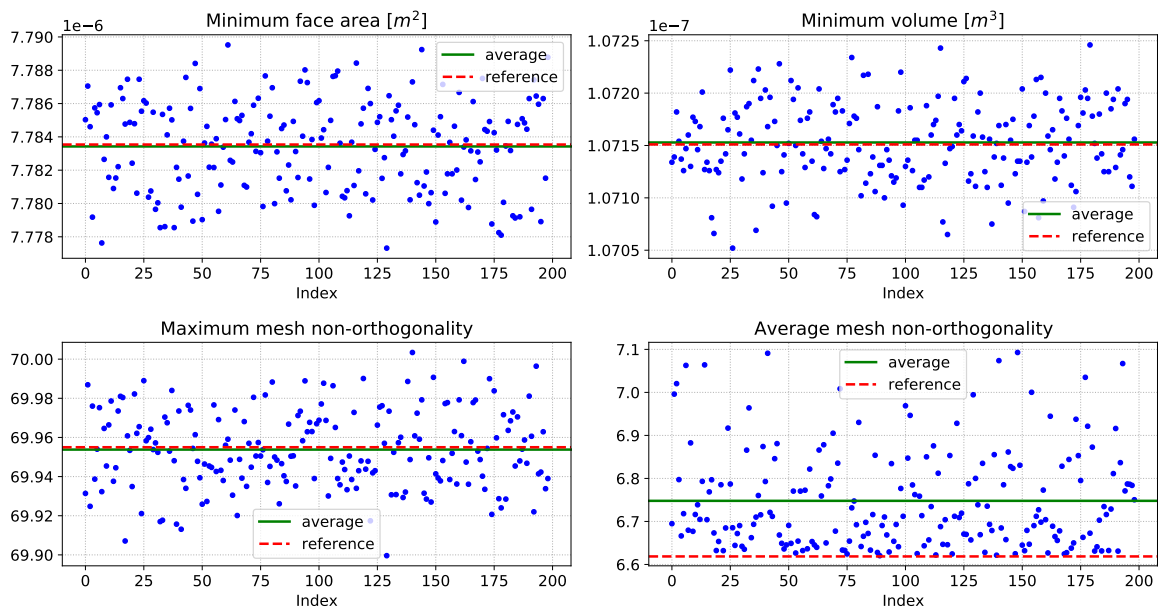
311 (bottom right plot). In all the diagrams, the vertical axis refers to the mesh quality indicator considered,  
 312 while the variable associated with the horizontal axis is the index corresponding to each of the 200  
 313 volumetric meshes produced for the simulation campaign.

314 The minimum face area and minimum cell volume results indicate that the morphing procedure  
 315 does not produce negative cells or faces which would impair the simulations. In fact, the average  
 316 of both indicators across the 200 grids produced is extremely close to the corresponding value of  
 317 the original grid. The lowest value of minimum face area observed in the 200 grids generated is  
 318 less than 0.1% off the original value, while the lowest value of minimum cell volume observed is  
 319 merely 0.01% off the original mesh minimum cell volume. Such trend is confirmed by the maximum  
 320 non-orthogonality values reported in the bottom left diagram. In the plot, it is possible to appreciate that  
 321 the average over the 200 grids produced falls exactly on value of the original mesh, and the highest  
 322 difference with respect to the original mesh non-orthogonality is merely 0.05%. These values ensured  
 323 that all the simulations in the present campaign could be completed in fully automated fashion without  
 324 crashes were reported or significant issues were observed. The results reported in the bottom right  
 325 plot indicate that the effect of the mesh morphing algorithm proposed is that of increasing the grid  
 326 average non-orthogonality values. This is somewhat expected, as the original volumetric grid in  
 327 this work was generated making use of the snappyHexMesh tool of the OpenFOAM library. In such  
 328 framework, most of the cells in the internal regions of the domain are substantially the result of an  
 329 octree refinement of an original block mesh aligned with the coordinate axes. It is clear that the RBF  
 330 procedure described in Section 2 does quite clearly alter in a non negligible way the orthogonal angles  
 331 of a portion of the hexahedral cells produced by snappyHexMesh. Yet, the average increase in the  
 332 average mesh non-orthogonality index is 2%, while the maximum increase observed is 7.2%, which  
 333 are values that should not significantly affect the results of the simulations.

## 334 5.2. Reduced order model construction

335 We set the full order model in scale 1 : 59.407, keeping it unaltered from the original work  
 336 mainly for validation purpose. The computational domain, that is a parallelepiped of dimension  
 337  $[-26, 16] \times [-19, 0] \times [-16, 4]$  along  $x$ ,  $y$  and  $z$  directions is discretized in  $8.5 \times 10^5$  cells, with anisotropic  
 338 vertical refinements located particular in the free-surface region, in order to avoid a too diffusive  
 339 treatment of the VOF variable. Boundaries of such domain are imposed as follows:

- 340 • at the *inlet* we set constant velocity, fixed flux condition for the pressure and a fixed profile for  
 341 the VOF variable;
- 342 • at the *outlet* we set constant average velocity, zero-gradient condition for the pressure and variable  
 343 height flow rate condition for VOF variable;
- 344 • at the bottom and lateral planes, we impose symmetric conditions for all the quantities;
- 345 • at the top plane, we set a pressure inlet outlet velocity condition for the velocity and nil pressure;  
 346 VOF variable is fixed to 1 (air);



**Figure 8.** Values of the main mesh quality indicators as reported by checkMesh utility of OpenFOAM library, as a function of the index corresponding to each of the 200 volumetric meshes produced for the simulation campaign.

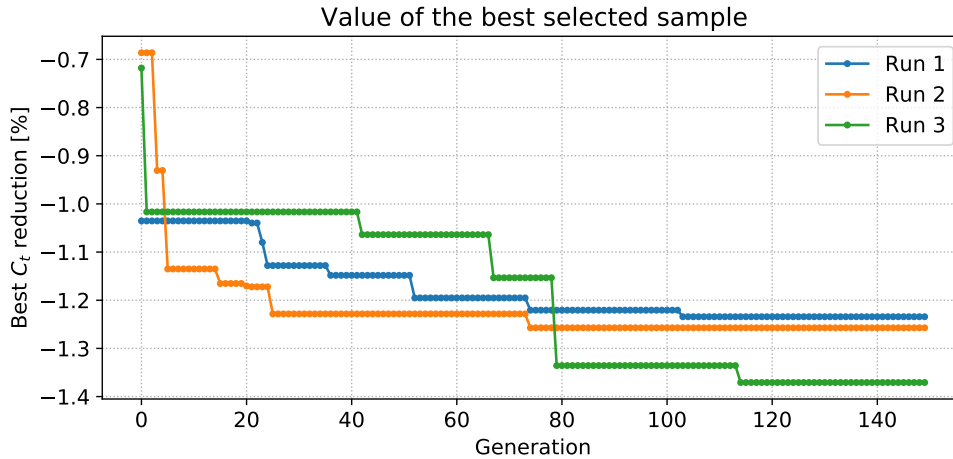
- 347 • at the hull surface, we impose no-slip condition for velocity, fixed flux condition for the pressure  
 348 and zero-gradient condition for VOF variable.

349 The adopted solver is *interFoam*, which is able to solve the Navier Stokes equations for two  
 350 incompressible, isothermal immiscible fluids. Time discretization uses a first order implicit scheme  
 351 with local-step, since we are interested to the steady solution. For the spatial discretization, we  
 352 apply a Gaussian integration using second order upwind scheme for divergence operators and linear  
 353 interpolation for gradient and laplacian operator. By imposing a inlet velocity of 1.668 m/s, the Froude  
 354 number is around 0.22. The time required to converge to the steady solution within such setting on a  
 355 parallel machine (32 processors) is approximately 2 hours.

356 For the construction of the reduced order model, we randomly sample the parametric space  
 357 with uniform distribution. We performed 203 simulations with the full order model, collecting the  
 358 corresponding pressure and shear stress distributions (the latter implicitly containing the distribution  
 359 of the VOF variable) over the hull surface. Thus, only the surface fields are considered at the reduced  
 360 level. We then flatten the shear stress vector field in order to construct two snapshots matrices, one  
 361 for the pressure and one for the stress. Both are then decomposed using POD technique. The number  
 362 of modes considered is fixed to 20. Approximating the manifold with the GPR method, we obtain  
 363 two different POD-GPR model that approximate the pressure field and the shear stress field. Such  
 364 quantities are used for the computation of the objective function during the optimization procedure.

365 Even if the difference of hardware used for full order model simulations and for reduced order  
 366 approximation limits the possible speedup obtained — a HPC facilities versus an ordinary personal  
 367 computer —, we achieve satisfactory computational gain. In fact, whereas the FOM lasts approximately  
 368 two hours, the ROM approximation only consisting in two distribution queries and two matrix  
 369 multiplications, takes less than 1 second in a single-processor environment. Such results are very  
 370 effective in the framework of an iterative process, as the optimization pipeline here proposed. The  
 371 overall time is in fact mainly constituted by the initial FOM simulations needed for the offline database,  
 372 while the ROM approximation can be considered negligible from the computational point of view.  
 373 Moreover, it can be performed on significantly less powerful machines.





**Figure 9.** ASGA runs. The reduction of the  $C_t$  is to be intended with respect to the undeformed reference hull.

374 Adopting data-driven methodologies rather than projection-based ones has different advantages  
 375 which we have already discussed, but shows also some drawback in the error bounding. For an a  
 376 posteriori quantification of the ROM accuracy we need then to validate the approximated optimal  
 377 result by carrying out a FOM simulation. We remark that we consider the output of such simulation as  
 378 truth solution. This requires an additional computational cost, but allow also for an effective refinement  
 379 of the ROM. Once a geometrical configuration is validated in such fashion, depending on the error  
 380 observed we can add this last snapshot to the database and re-build the ROMs.

### 381 5.3. Optimization procedure

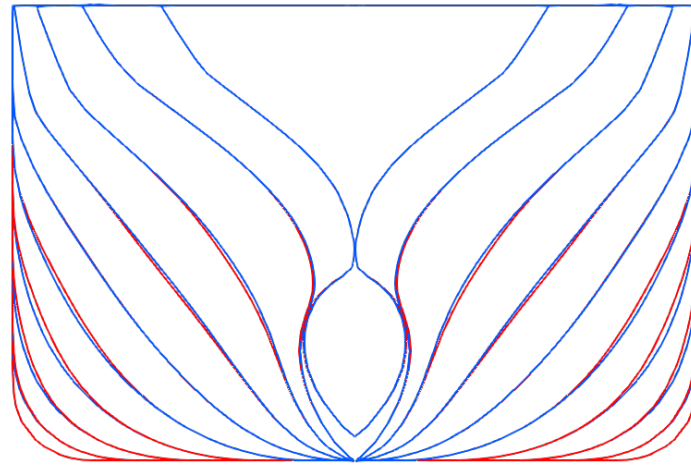
We first define the objective function we applied to the optimization procedure. The quantity to minimize is the total resistance coefficient  $C_t$ , which is defined as

$$\min_{\mu} C_t \equiv \min_{\mu} \int_{\Omega(\mu)} \frac{\tau_x \rho - p n_x}{\frac{1}{2} \rho V^2 S}, \quad (15)$$

382 where  $\tau_x$  is the  $x$ -component of the shear stress,  $\rho$  is the fluid density,  $p$  indicates the pressure,  $n_x$  the  
 383  $x$ -component of the surface normal,  $V$  and  $S = \Delta^{2/3}$  the reference fluid velocity and the reference  
 384 surface, respectively. As reported, the CFD simulations have been carried out in fixed sink and trim  
 385 conditions. Thus, the specific reference surface used to obtain  $C_t$  has been selected to penalize hulls  
 386 obtaining resistance gains through immersed volume reduction. All the geometrical quantities, as well  
 387 as the normals and the reference surface depend by the imposed deformation. Thus, to evaluate the  $C_t$   
 388 for any design, we deform the hull surface using the FFD map, then project the ROM approximated  
 389 fields — pressure and shear stress — on it to numerically compute the integral defined in Equation (15).

390 Regarding the ASGA hyperparameters, we set the probability of crossover and mutation as  
 391  $P_C = P_M = 0.5$ . For each solutions database we perform an optimization run with ASGA composed  
 392 by 150 generations, with an initial random population of 100 individuals and an offspring of 20  
 393 individuals. The number of points returned by the AS back mapping is  $B = 2$ , while the dimension of  
 394 the AS is set to 1 for every population. The covariance matrix for the active subspace computation is  
 395 approximated using local linear models [45].

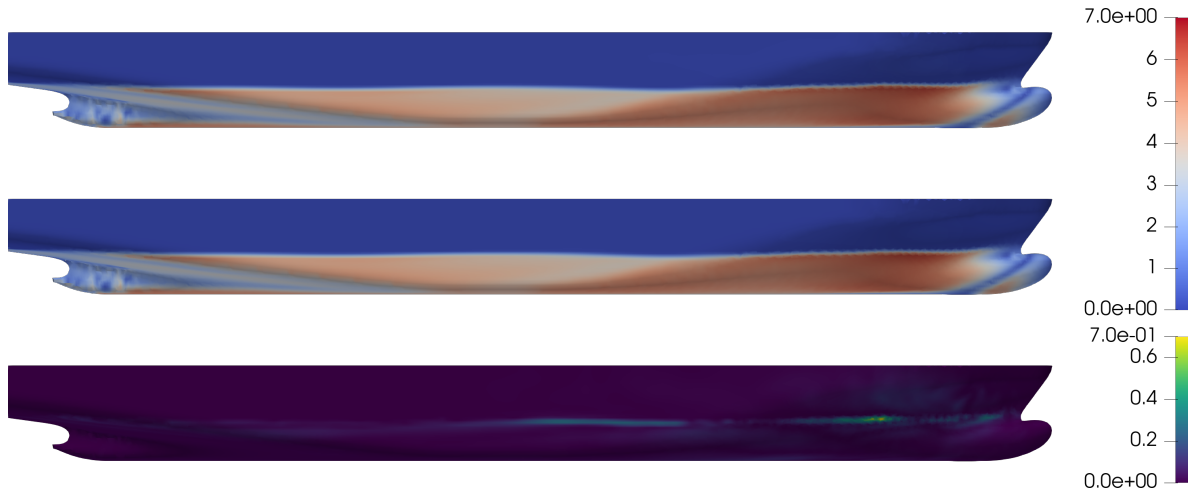
396 For each optimum found by ASGA we run a new high-fidelity simulation for validating the  
 397 approximated  $C_t$ , adding the high-fidelity snapshots to the database in order to refine the POD-GPR  
 398 model. In Figure 9 we show the comparison of all the runs. The third and last optimization reached a  
 399 reduction of  $\sim 1.4\%$  of the  $C_t$  coefficient compared to the original shape.



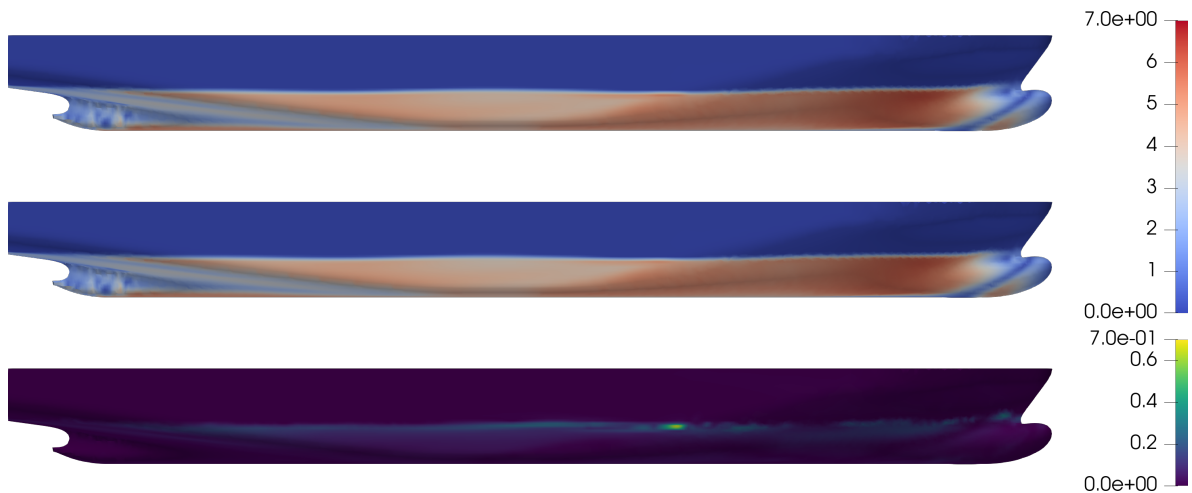
**Figure 10.** The sections (from 10 to 20) of the original ship in blue and of the optimized one in red.

400 Figure 10 presents the frontal sections of the optimal shape compared to the undeformed one,  
 401 showing a volumetric increment in the frontal part which balances the reduction near the central zone.  
 402 The a posteriori validation confirmed the positive trend: the  $C_t$  coefficient of the optimal shape is 1.2%  
 403 less, with a relative error of the ROM model of 0.18%. As is appreciable in Figure 10, the optimal hull  
 404 has a wider section in the region immediately downstream with respect to the bulbous bow, while it  
 405 appears slightly narrower in the middle ship sections. The immersed volume of the optimized hull  
 406 is only 0.08% different from that of the original hull, which suggests that the  $C_t$  reduction obtained  
 407 is the result of a total resistance reduction. A possible interpretation of such a resistance decrease is  
 408 that having a more streamlined hull along the longitudinal direction, is likely able to reduce the extent  
 409 and dimension of the separation bubble located on the side of the bulbous bow, and corresponding  
 410 to the dark blue strip visible in the wall shear stress contours presented in Figures 11 and 12. As a  
 411 consequence, the optimal hull presents slightly lower pressures with respect to the original hull, in the  
 412 region located downstream of the bulbous bow. Such a minimal reduction is hardly noticeable in the  
 413 pressure contour plots presented in Figures 13 and 14. More appreciable differences are visible instead  
 414 in the free surface elevation plot presented in Figure 15. Reducing the extent of the aforementioned  
 415 detachment bubble, the shape modification leading to the optimal hull has the effect of moving forward  
 416 the trough which follows the bow. This indicates that the pressures in the bow region are reduced,  
 417 which results in a net decrease of the resistance pressure component. In fact, this leads to a 4.92%  
 418 reduction in the pressure component of the resistance, against a more modest 0.55% reduction of  
 419 viscous resistance. Yet, considering that the latter component accounts for approximately 83% of the  
 420 total resistance, this translates into the 1.2% reduction reported. Finally, to exclude the possibility that  
 421 the differences observed in the total resistance coefficient values are a result of possible discretization  
 422 error due to the mesh morphing procedure, we report that the average and maximum values of wall  $y^+$   
 423 of the optimized hull do not significantly differ from those obtained with the original one. The average  
 424 and maximum wall  $y^+$  values for the original hull simulation are 6.18426 and 99.5631, respectively,  
 425 while the corresponding average and maximum values for the optimized hull are 6.19071 and 99.6255,  
 426 respectively. We point out that the  $y^+$  maxima here reported for the DTC tutorial appear outside of  
 427 the range prescribed for the turbulence model here used. Yet, the accuracy of the DTC tutorial results  
 428 suggests that maxima  $y^+$  is likely located outside the water. In fact, considering the small density of  
 429 air with respect to water, the impact of the resulting inaccurate estimation of surface derivatives is  
 430 minimal.

431 We remark that the POD-GPR model approximates the distribution of the output of interest, not  
 432 the objective function — which is computed using the predicted fields. For this reason, we can also  
 433 compare the pressure and shear stresses over the optimal hull with respect to the undeformed one.  
 434 Figures 11 and 13 present the graphical investigations about the ROM approximation error distribution



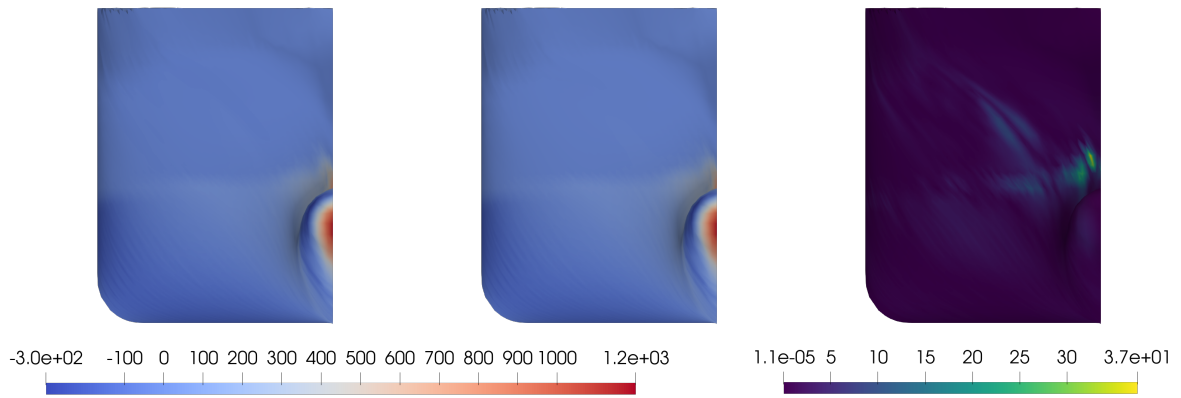
**Figure 11.** Distribution of the shear stresses measured in Pascal over the undeformed hull: the FOM validation (top) is compared to the ROM approximation (middle) and the absolute error is shown (bottom).



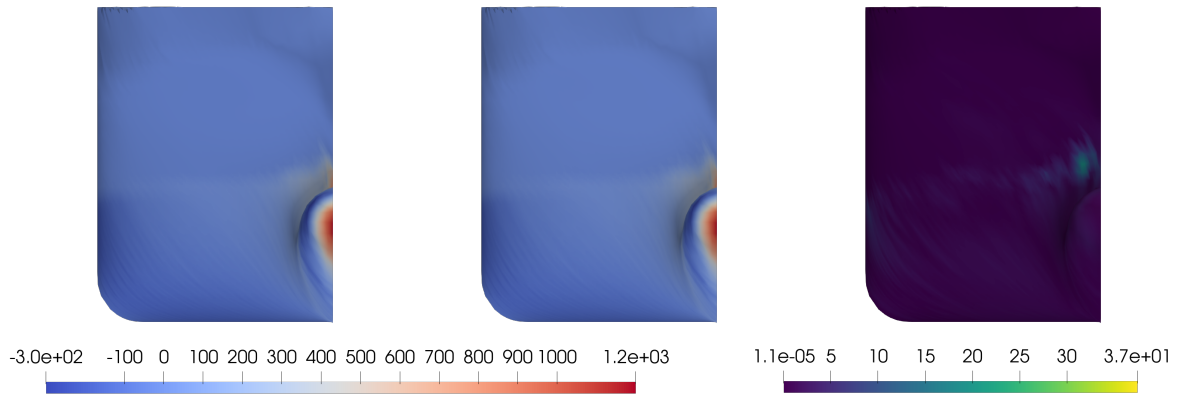
**Figure 12.** Distribution of the shear stresses measured in Pascal over the optimal hull: the FOM validation (top) is compared to the ROM approximation (middle) and the absolute error is shown (bottom).

435 over the undeformed hull, both for pressure and stresses distributions. For a more realistic comparison,  
 436 we specify that the FOM snapshots referring to the undeformed geometry has been removed from the  
 437 database, emulating the approximation any untested parameter. We proceed in the same way also  
 438 for the optimal shape (Figures 12 and 14), not only to measure the accuracy of the POD-GPR model,  
 439 but also for investigating the reasons of the  $C_t$  reduction from a physical perspective. The absolute  
 440 error is quite small, but it is possible to note that for both the fields it is mainly concentrated along the  
 441 free-surface.

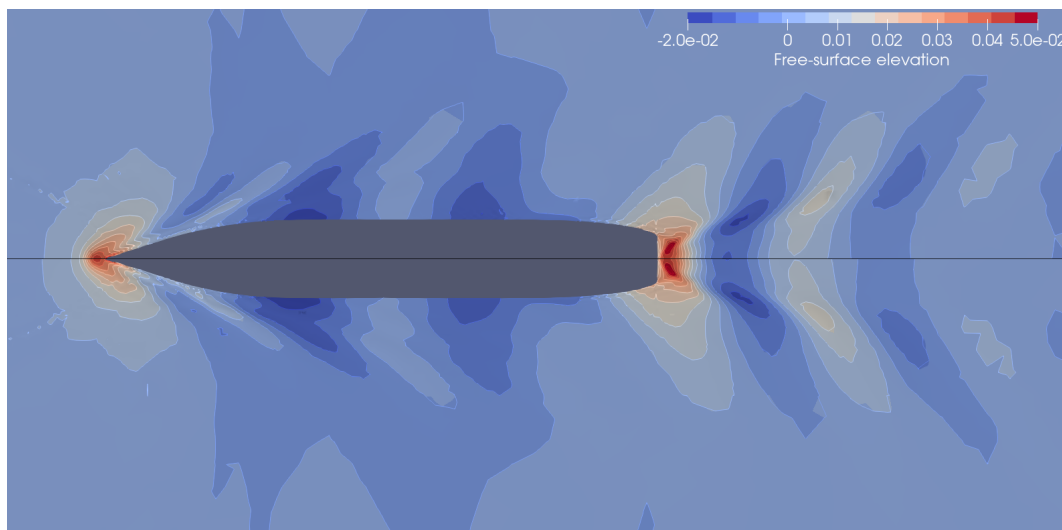
442 Comparing the original hull with the optimal one we emphasize that the optimal shape seems  
 443 to be able to slightly reduce the height of the wave created by its body, inducing a reduction of the  
 444 wet surface. The friction resistance computed as the integral of the  $x$  component of shear stresses over  
 445 the two hulls shows in fact this marginal gain: the 12.76 N of the original ship becomes 12.69 N in the  
 446 optimal configuration. However, the main contribution of the resistance reduction comes from the  
 447 pressure resistance. While in the original shape we measure 2.64 N, in the optimized such quantity  
 448 decreases to 2.51 N.



**Figure 13.** Distribution of pressure measured in Pascal over the undeformed hull: the FOM validation (left) is compared to the ROM approximation (center) and the absolute error is shown (right).



**Figure 14.** Distribution of the pressure measured in Pascal over the optimal hull: the FOM validation (left) is compared to the ROM approximation (center) and the absolute error is shown (right).



**Figure 15.** Contours of free surface elevation field around the original hull (top half) and optimal (bottom half).

## 449 6. Conclusions

450 In this work we presented a complete numerical pipeline for the hull shape design optimization  
 451 of the DTC benchmark hull. We proposed a self-learning geometrical deformation technique, where  
 452 different morphing methods are coupled together to propagate surface deformations to volumetric  
 453 meshes. Though in this work we used a FFD approach for the CAD modifications, we emphasize  
 454 that our methodology can exploit any surface deformation. The optimization procedure is based on a  
 455 coupling between active subspaces and genetic algorithm, called ASGA. For the evaluation of the total  
 456 resistance coefficient for new untested parameters we exploits the non-intrusive data driven reduced  
 457 order method called POD-GPR. This results in a great computational saving for the computation of the  
 458 pressure and viscous forces fields, while preserving a good accuracy. We performed 3 optimization  
 459 runs, with high-fidelity validation of the approximated optimum and enrichment of the solutions  
 460 database to increase the accuracy of the ROM in its neighborhood. We obtained a reduction of the total  
 461 resistance coefficient equal to 1.2% with respect to the original reference hull.

462 In the future, further investigations will be carried out to study a dynamic selection of the active  
 463 subspace dimension, and a varying number of points returned by the back mapping procedure. Further  
 464 improvements in the shape parameterization algorithms could be obtained improving the efficiency  
 465 of the RBF weights computation. This could be obtained with a smarter selection of the RBF control  
 466 points or, in a more invasive fashion, by resorting to fast algorithms — such as Fast Multipole Method  
 467 — for the computation of the control points mutual distances.

468 **Author Contributions:** Methodology, N.D., M.T., A.M., G.R.; software, N.D., M.T., A.M.; investigation, N.D., M.T.,  
 469 A.M.; writing—original draft, N.D., M.T., A.M.; writing—review and editing, N.D., M.T., A.M., G.R.; visualization,  
 470 N.D., M.T., A.M.; supervision, G.R.. All authors have read and agreed to the published version of the manuscript.

471 **Funding:** This work was partially supported by an industrial Ph.D. grant sponsored by Fincantieri S.p.A., and  
 472 partially funded by the project UBE2 - “Underwater blue efficiency 2” funded by Regione FVG, POR-FESR  
 473 2014-2020, Piano Operativo Regionale Fondo Europeo per lo Sviluppo Regionale. It was also partially supported  
 474 by European Union Funding for Research and Innovation — Horizon 2020 Program — in the framework of  
 475 European Research Council Executive Agency: H2020 ERC CoG 2015 AROMA-CFD project 681447 “Advanced  
 476 Reduced Order Methods with Applications in Computational Fluid Dynamics” P.I. Gianluigi Rozza.

477 **Conflicts of Interest:** The authors declare no conflict of interest.

## 478 Abbreviations

479 The following abbreviations are used in this manuscript:

480 AS	Active subspaces
ASGA	Active subspaces genetic algorithm
CAD	Computer-aided design
CFD	Computational fluid dynamics
FFD	Free form deformation
FOM	Full order model
GA	Genetic algorithm
GPR	Gaussian process regression
481 HPC	High performance computing
PDE	Partial differential equation
POD	Proper orthogonal decomposition
POD-GPR	Proper orthogonal decomposition with Gaussian process regression
RBF	Radial basis functions
RANS	Reynolds averaged Navier–Stokes
ROM	Reduced order method
STL	Stereolithography tessellation language
VOF	Volume of fluid

482 **References**

- 483 1. Salmoiraghi, F.; Ballarin, F.; Corsi, G.; Mola, A.; Tezzele, M.; Rozza, G. Advances in geometrical  
484 parametrization and reduced order models and methods for computational fluid dynamics problems in  
485 applied sciences and engineering: Overview and perspectives. *ECCOMAS Congress 2016 - Proceedings of  
486 the 7th European Congress on Computational Methods in Applied Sciences and Engineering* **2016**, *1*, 1013–1031.  
487 doi:10.7712/100016.1867.8680.
- 488 2. Rozza, G.; Malik, M.H.; Demo, N.; Tezzele, M.; Girfoglio, M.; Stabile, G.; Mola, A. Advances in Reduced  
489 Order Methods for Parametric Industrial Problems in Computational Fluid Dynamics. *ECCOMAS ECFD  
490 7 - Proceedings of 6th European Conference on Computational Mechanics (ECCM 6) and 7th European  
491 Conference on Computational Fluid Dynamics (ECFD 7)*; Owen, R.; de Borst, R.; Reese, J.; Chris, P., Eds.; ,  
492 2018; pp. 59–76.
- 493 3. Demo, N.; Tezzele, M.; Gustin, G.; Lavini, G.; Rozza, G. Shape optimization by means of proper orthogonal  
494 decomposition and dynamic mode decomposition. *Technology and Science for the Ships of the Future:  
495 Proceedings of NAV 2018: 19th International Conference on Ship & Maritime Research*. IOS Press, 2018,  
496 pp. 212–219. doi:10.3233/978-1-61499-870-9-212.
- 497 4. Demo, N.; Ortali, G.; Gustin, G.; Rozza, G.; Lavini, G. An efficient computational framework for naval  
498 shape design and optimization problems by means of data-driven reduced order modeling techniques.  
499 *Bollettino dell'Unione Matematica Italiana* **2020**. doi:10.1007/s40574-020-00263-4.
- 500 5. Tezzele, M.; Salmoiraghi, F.; Mola, A.; Rozza, G. Dimension reduction in heterogeneous parametric  
501 spaces with application to naval engineering shape design problems. *Advanced Modeling and Simulation in  
502 Engineering Sciences* **2018**, *5*, 25. doi:10.1186/s40323-018-0118-3.
- 503 6. Demo, N.; Tezzele, M.; Mola, A.; Rozza, G. An efficient shape parametrisation by free-form deformation  
504 enhanced by active subspace for hull hydrodynamic ship design problems in open source environment.  
505 *Proceedings of ISOPE 2018: The 28th International Ocean and Polar Engineering Conference, 2018, Vol. 3*,  
506 pp. 565–572.
- 507 7. Demo, N.; Tezzele, M.; Mola, A.; Rozza, G. A complete data-driven framework for the efficient solution of  
508 parametric shape design and optimisation in naval engineering problems. *Proceedings of MARINE 2019:  
509 VIII International Conference on Computational Methods in Marine Engineering*; Bensow, R.; Ringsberg, J.,  
510 Eds., 2019, pp. 111–121.
- 511 8. Tezzele, M.; Demo, N.; Rozza, G. Shape optimization through proper orthogonal decomposition with  
512 interpolation and dynamic mode decomposition enhanced by active subspaces. *Proceedings of MARINE  
513 2019: VIII International Conference on Computational Methods in Marine Engineering*; Bensow, R.;  
514 Ringsberg, J., Eds., 2019, pp. 122–133.
- 515 9. Villa, D.; Gaggero, S.; Coppede, A.; Vernengo, G. Parametric hull shape variations by Reduced Order Model  
516 based geometric transformation. *Ocean Engineering* **2020**, *216*, 107826. doi:10.1016/j.oceaneng.2020.107826.
- 517 10. Diez, M.; Campana, E.F.; Stern, F. Design-space dimensionality reduction in shape optimization by  
518 Karhunen–Loève expansion. *Computer Methods in Applied Mechanics and Engineering* **2015**, *283*, 1525–1544.  
519 doi:10.1016/j.cma.2014.10.042.
- 520 11. Serani, A.; Campana, E.F.; Diez, M.; Stern, F. Towards augmented design-space exploration via combined  
521 geometry and physics based Karhunen–Loève expansion. *18th AIAA/ISSMO Multidisciplinary Analysis  
522 and Optimization Conference, 2017*, p. 3665.
- 523 12. Mola, A.; Tezzele, M.; Gadalla, M.; Valdenazzi, F.; Grassi, D.; Padovan, R.; Rozza, G. Efficient reduction in  
524 shape parameter space dimension for ship propeller blade design. *Proceedings of MARINE 2019: VIII  
525 International Conference on Computational Methods in Marine Engineering*; Bensow, R.; Ringsberg, J.,  
526 Eds., 2019, pp. 201–212.
- 527 13. Gaggero, S.; Vernengo, G.; Villa, D.; Bonfiglio, L. A reduced order approach for optimal design of efficient  
528 marine propellers. *Ships and Offshore Structures* **2020**, *15*, 200–214.
- 529 14. Gadalla, M.; Cianferra, M.; Tezzele, M.; Stabile, G.; Mola, A.; Rozza, G. On the comparison of LES  
530 data-driven reduced order approaches for hydroacoustic analysis. *Computers & Fluids* **2021**, *216*, 104819.  
531 doi:10.1016/j.compfluid.2020.104819.
- 532 15. Jeong, K.L.; Jeong, S.M. A Mesh Deformation Method for CFD-Based Hull form Optimization. *Journal of  
533 Marine Science and Engineering* **2020**, *8*, 473. doi:10.3390/jmse8060473.



- 534 16. Demo, N.; Tezzele, M.; Rozza, G. A supervised learning approach involving active subspaces for an  
535 efficient genetic algorithm in high-dimensional optimization problems. *arXiv preprint arXiv:2006.07282*  
536 **Submitted, 2020.**
- 537 17. Tezzele, M.; Demo, N.; Mola, A.; Rozza, G. PyGeM: Python Geometrical Morphing. *Software Impacts* **2020**,  
538 p. 100047. doi:10.1016/j.simpa.2020.100047.
- 539 18. Romor, F.; Tezzele, M.; Rozza, G. ATHENA: Advanced Techniques for High dimensional parameter spaces  
540 to Enhance Numerical Analysis. *Submitted 2020.*
- 541 19. Demo, N.; Tezzele, M.; Rozza, G. EZyRB: Easy Reduced Basis method. *Journal of Open Source Software* **2018**,  
542 3, 661. doi:10.21105/joss.00661.
- 543 20. GPy. GPy: A Gaussian process framework in Python. <http://github.com/SheffieldML/GPy>, since 2012.
- 544 21. Moctar, O.e.; Shigunov, V.; Zorn, T. Duisburg Test Case: Post-panamax container ship for benchmarking.  
545 *Ship Technology Research* **2012**, 59, 50–64.
- 546 22. Sederberg, T.; Parry, S. Free-Form Deformation of solid geometric models. Proceedings of SIGGRAPH -  
547 Special Interest Group on GRAPHics and Interactive Techniques. SIGGRAPH, 1986, pp. 151–159.
- 548 23. Lassila, T.; Rozza, G. Parametric free-form shape design with PDE models and reduced basis method.  
549 *Computer Methods in Applied Mechanics and Engineering* **2010**, 199, 1583–1592. doi:10.1016/j.cma.2010.01.007.
- 550 24. Sieger, D.; Menzel, S.; Botsch, M. On shape deformation techniques for simulation-based design  
551 optimization. In *New Challenges in Grid Generation and Adaptivity for Scientific Computing*; Springer, 2015; pp.  
552 281–303.
- 553 25. OpenCFD. *OpenFOAM - The Open Source CFD Toolbox - User's Guide*. OpenCFD Ltd., United Kingdom, 6  
554 ed., 2018.
- 555 26. Hirt, C.; Nichols, B. Volume of fluid (VOF) method for the dynamics of free boundaries. *J. Comput. Phys.*  
556 **1981**, 39, 201–225. doi:10.1016/0021-9991(81)90145-5.
- 557 27. Menter, F. Zonal two equation k- $\omega$  turbulence models for aerodynamic flows. 23rd Fluid Dynamics,  
558 Plasmadynamics, and Lasers Conference, 1993, p. 2906. doi:10.2514/6.1993-2906.
- 559 28. Volkwein, S. Proper Orthogonal Decomposition: Theory and Reduced-Order Modelling. *Lecture Notes*,  
560 *University of Konstanz* **2012**.
- 561 29. Strazzullo, M.; Ballarin, F.; Rozza, G. POD–Galerkin Model Order Reduction for Parametrized Time  
562 Dependent Linear Quadratic Optimal Control Problems in Saddle Point Formulation. *Journal of Scientific*  
563 *Computing* **2020**, 83, 55. doi:10.1007/s10915-020-01232-x.
- 564 30. Girfoglio, M.; Quaini, A.; Rozza, G. A POD–Galerkin reduced order model for a LES filtering approach.  
565 *arXiv preprint arXiv:2009.13593* **Submitted, 2020.**
- 566 31. Hesthaven, J.S.; Rozza, G.; Stamm, B. *Certified Reduced Basis Methods for Parametrized Partial*  
567 *Differential Equations*, 1 ed.; Springer Briefs in Mathematics, Springer: Switzerland, 2015; p. 135.  
568 doi:10.1007/978-3-319-22470-1.
- 569 32. Hijazi, S.; Stabile, G.; Mola, A.; Rozza, G. Data-Driven POD–Galerkin reduced order model for turbulent  
570 flows. *Journal of Computational Physics* **2020**, 416, 109513. doi:10.1016/j.jcp.2020.109513.
- 571 33. Georgaka, S.; Stabile, G.; Star, K.; Rozza, G.; Bluck, M.J. A hybrid reduced order method  
572 for modelling turbulent heat transfer problems. *Computers & Fluids* **2020**, 208, 104615.  
573 doi:10.1016/j.compfluid.2020.104615.
- 574 34. Salmoiraghi, F.; Scardigli, A.; Telib, H.; Rozza, G. Free-form deformation, mesh morphing and  
575 reduced-order methods: enablers for efficient aerodynamic shape optimisation. *International Journal*  
576 *of Computational Fluid Dynamics* **2018**, 32, 233–247. doi:10.1080/10618562.2018.1514115.
- 577 35. Garotta, F.; Demo, N.; Tezzele, M.; Carraturo, M.; Reali, A.; Rozza, G. Reduced Order Isogeometric Analysis  
578 Approach for PDEs in Parametrized Domains. In *Quantification of Uncertainty: Improving Efficiency and*  
579 *Technology: QUIET selected contributions*; D'Elia, M.; Gunzburger, M.; Rozza, G., Eds.; Springer International  
580 Publishing: Cham, 2020; Vol. 137, *Lecture Notes in Computational Science and Engineering*, pp. 153–170.  
581 doi:10.1007/978-3-030-48721-8\_7.
- 582 36. Tezzele, M.; Demo, N.; Mola, A.; Rozza, G. An integrated data-driven computational pipeline with model  
583 order reduction for industrial and applied mathematics. *Special Volume ECMI, In Press* **2020.**
- 584 37. Wang, Q.; Hesthaven, J.S.; Ray, D. Non-intrusive reduced order modeling of unsteady flows using  
585 artificial neural networks with application to a combustion problem. *Journal of computational physics* **2019**,  
586 384, 289–307. doi:10.1016/j.jcp.2019.01.031.

- 587 38. Ortali, G.; Demo, N.; Rozza, G. Gaussian process approach within a data-driven POD framework for fluid  
588 dynamics engineering problems. *arXiv preprint arXiv:2012.01989 Submitted, 2020.*
- 589 39. Guo, M.; Hesthaven, J.S. Reduced order modeling for nonlinear structural analysis using Gaussian  
590 process regression. *Computer Methods in Applied Mechanics and Engineering* **2018**, *341*, 807–826.  
591 doi:10.1016/j.cma.2018.07.017.
- 592 40. Williams, C.K.; Rasmussen, C.E. *Gaussian Processes for Machine Learning*; Adaptive Computation and  
593 Machine Learning series, MIT press Cambridge, MA, 2006.
- 594 41. Holland, J.H. Genetic algorithms and the optimal allocation of trials. *SIAM Journal on Computing* **1973**,  
595 *2*, 88–105.
- 596 42. Katoch, S.; Chauhan, S.S.; Kumar, V. A review on genetic algorithm: past, present, and future. *Multimedia  
597 Tools and Applications* **2020**, pp. 1–36.
- 598 43. El-Mihoub, T.A.; Hopgood, A.A.; Nolle, L.; Battersby, A. Hybrid Genetic Algorithms: A Review. *Engineering  
599 Letters* **2006**, *13*, 124–137.
- 600 44. Sivaraj, R.; Ravichandran, T. A review of selection methods in genetic algorithm. *International journal of  
601 engineering science and technology* **2011**, *3*, 3792–3797.
- 602 45. Constantine, P.G. *Active subspaces: Emerging ideas for dimension reduction in parameter studies*; Vol. 2, *SIAM  
603 Spotlights*, 2015.
- 604 46. Zahm, O.; Constantine, P.G.; Prieur, C.; Marzouk, Y.M. Gradient-based dimension reduction of  
605 multivariate vector-valued functions. *SIAM Journal on Scientific Computing* **2020**, *42*, A534–A558.  
606 doi:10.1137/18M1221837.
- 607 47. Rozza, G.; Hess, M.; Stabile, G.; Tezzele, M.; Ballarin, F. Basic Ideas and Tools for Projection-Based Model  
608 Reduction of Parametric Partial Differential Equations. In *Model Order Reduction*; Benner, P.; Grivet-Talocia,  
609 S.; Quarteroni, A.; Rozza, G.; Schilders, W.H.A.; Silveira, L.M., Eds.; De Gruyter: Berlin, Boston, 2020;  
610 Vol. 2, chapter 1, pp. 1–47. doi:10.1515/9783110671490-001.
- 611 48. Romor, F.; Tezzele, M.; Lario, A.; Rozza, G. Kernel-based Active Subspaces with application to CFD  
612 parametric problems using Discontinuous Galerkin method. *arXiv preprint arXiv:2008.12083 Submitted,  
613 2020.*
- 614 49. Tezzele, M.; Ballarin, F.; Rozza, G. Combined parameter and model reduction of cardiovascular  
615 problems by means of active subspaces and POD-Galerkin methods. In *Mathematical and Numerical  
616 Modeling of the Cardiovascular System and Applications*; Boffi, D.; Pavarino, L.F.; Rozza, G.; Scacchi, S.;  
617 Vergara, C., Eds.; Springer International Publishing, 2018; Vol. 16, *SEMA-SIMAI Series*, pp. 185–207.  
618 doi:10.1007/978-3-319-96649-6\_8.
- 619 50. Demo, N.; Tezzele, M.; Rozza, G. A non-intrusive approach for reconstruction of POD modal coefficients  
620 through active subspaces. *Comptes Rendus Mécanique de l'Académie des Sciences, DataBEST 2019 Special Issue  
621 2019*, *347*, 873–881. doi:10.1016/j.crme.2019.11.012.
- 622 51. Tezzele, M.; Demo, N.; Stabile, G.; Mola, A.; Rozza, G. Enhancing CFD predictions in shape design  
623 problems by model and parameter space reduction. *Advanced Modeling and Simulation in Engineering  
624 Sciences* **2020**, *7*. doi:10.1186/s40323-020-00177-y.
- 625 52. Romor, F.; Tezzele, M.; Rozza, G. Multi-fidelity data fusion for the approximation of scalar functions with  
626 low intrinsic dimensionality through active subspaces. *Proceedings in Applied Mathematics & Mechanics*,  
627 2020.
- 628 53. Liu, B.; Lin, G. High-Dimensional Nonlinear Multi-Fidelity Model with Gradient-Free Active Subspace  
629 Method. *Communications in Computational Physics* **2020**, *28*, 1937–1969. doi:10.4208/cicp.OA-2020-0195.
- 630 54. Fortin, F.A.; De Rainville, F.M.; Gardner, M.A.; Parizeau, M.; Gagné, C. DEAP: Evolutionary algorithms  
631 made easy. *The Journal of Machine Learning Research* **2012**, *13*, 2171–2175.
- 632 55. Beckert, A.; Wendland, H. Multivariate interpolation for fluid-structure-interaction problems using radial  
633 basis functions. *Aerospace Science and Technology* **2001**, *5*, 125–134. doi:10.1016/S1270-9638(00)01087-7.

636 © 2021 by the authors. Submitted to *J. Mar. Sci. Eng.* for possible open access  
637 publication under the terms and conditions of the Creative Commons Attribution (CC BY) license  
638 (<http://creativecommons.org/licenses/by/4.0/>).