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“Seas, Probabilities & Memories”

Variational modelling of rotational
free-surface flows

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Literature review: the direction of Clebsch

- Starting point of the **variational study of rotational flows** is the **pioneering work of (Clebsch 1857; 1859)**. Especially in the latter work, he:
 - Showed that the **velocity field** may be expressed via the -now celebrated- **Clebsch potentials** (or **variables**) as
$$\mathbf{u} = \nabla \varphi + m \nabla \psi$$
 - Recast the **incompressible Euler equations** in terms of the **new variables φ, m, ψ**
 - Provided an **unconstrained variational principle** for the new equations, with the **pressure** as the Lagrangian density
- Despite its significance for modern applications, his work was not recognized until decades later [(Grimberg and Tassi 2021)]

English translations were not available until August 2021!



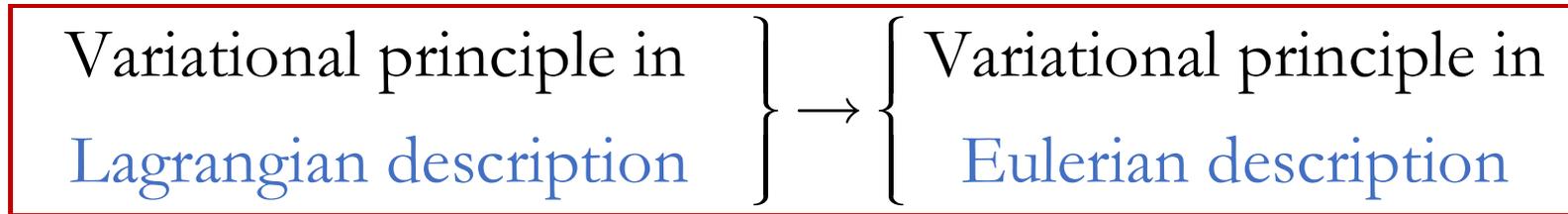
Literature review: the direction of Clebsch

- It was 70 years later, when (Bateman 1929; 1944) extended Clebsch's approach to compressible flows
- Since then, several authors have been involved with the advantages and the limitations of Clebsch potentials
[see e.g. (Eckart 1960), (Bretherton 1970), (Graham and Henyey 2000), (Wu, Ma, and Zhou 2006), (Kambe 2009), (Yoshida 2009), (Feldmeier 2020)]
- Also, Clebsch potentials have been used in numerous applications of various fields
[see e.g. references in (Grimberg and Tassi 2021)]
- However, **as far as nontrivial boundary conditions go**, we were only able to find:
 - the suggestion of (Luke 1967), regarding the extension of the Clebsch-Bateman principle to free-surface flows, and
 - the very recent implementation of it by (Timokha 2015), for the problem of wave sloshing

Literature review: using Hamilton's principle



- In another line of work, the emphasis is on the transition:



In the **Lagrangian description**, the variational formulation is a **straightforward extension of Hamilton's principle**

- In this direction, the **primitive (energy) functional** is:
- rewritten in **Eulerian variables**
 - augmented with appropriate **constraints**
(nature of the system, equivalence with Lagrangian counterpart)
- (**Herivel 1955**) made an initial attempt, imposing the **constraints of the mass and entropy conservations**:
- **Clebsch-like representation** of the velocity field
 - **Issue**: necessarily **irrotational flow for constant entropy**

Literature review: using Hamilton's principle



- The issue was fixed by (Lin 1963), who noticed that, for an equivalent Eulerian principle, the variations must be carried out following the fluid motion [see, also, (Serrin 1959)]:

Lin's conservation of identity (or **constraint**)

$$\frac{D \mathbf{a}(\mathbf{x}, t)}{Dt} = 0, \quad \mathbf{a} : \text{parcel labels}$$

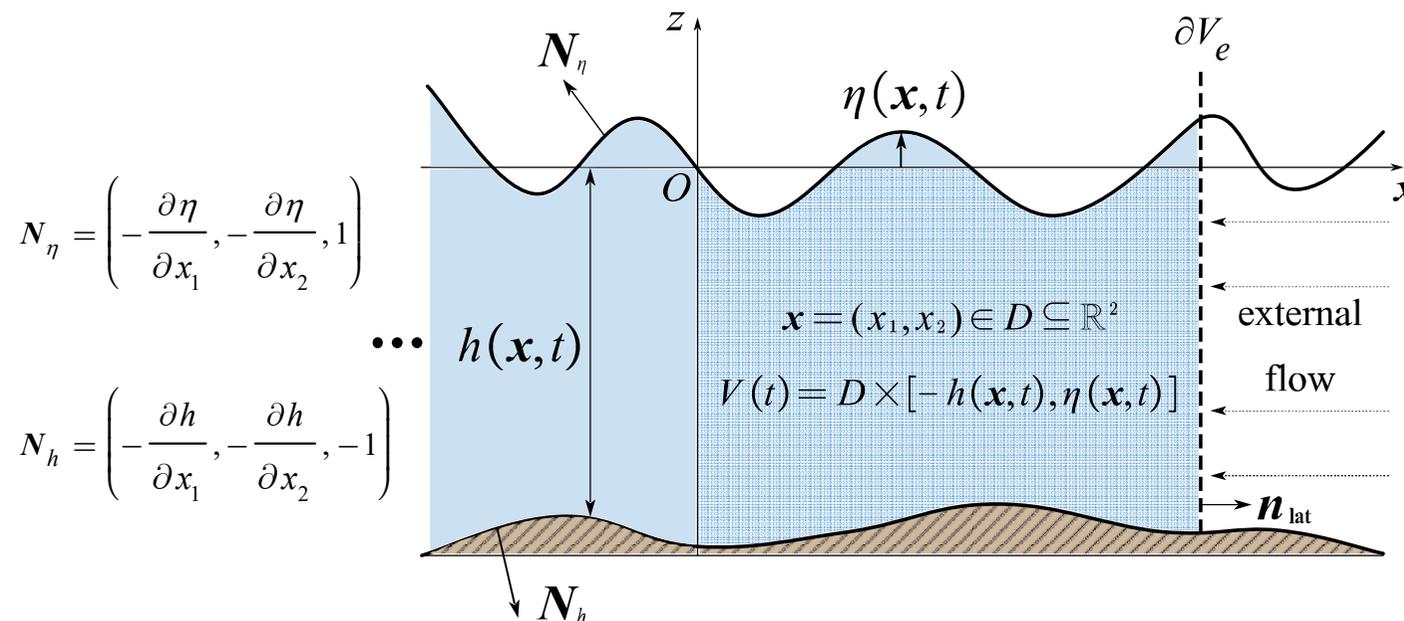
additional constraint
in the action functional

- ❖ Extended or “classic” Clebsch representation, depending on the chosen number of conserved label components!
- Lin's constraint has been justified and/or used by many authors [e.g. (Seliger and Whitham 1968), (Bretherton 1970), (Van Saarloos 1981), (Bampi and Morro 1984), (Salmon 1988), (Fukagawa and Fujitani 2010)]
- Though, **boundary conditions seem to be overlooked in this direction, as well!**
 - The Eulerian free-surface flow is treated by (Berdichevsky 2009), but kinematic conditions are a priori imposed



Problem description & notation

- Ideal barotropic fluid with **free surface**, over **moving seabed** [density $\rho(\mathbf{x}, z, t)$, internal energy $E(\rho)$]
- Subject to **applied pressure** $\bar{p} = \bar{p}(\mathbf{x}, t)$ and **conservative body (gravitational) forces** given by potential $P = P(\mathbf{x}, z)$
- The (vertical) lateral boundary, ∂V , consists of two types:
 - ∂V_w : fixed rigid wall
 - ∂V_e : **entrance (open) boundary**





Action functional of the problem

$$\tilde{\mathcal{I}}[\mathbf{a}, \mathbf{u}, \rho, A, k, \eta] = \underbrace{\int_T \int_D \int_{-h}^{\eta} \rho \left(\frac{\mathbf{u}^2}{2} - E(\rho) - P \right) dz d\mathbf{x} dt}_{\text{primitive (energy) action functional}}$$

$$- \underbrace{\int_T \int_D \int_{-h}^{\eta} \left\{ k \left(\frac{\partial \rho}{\partial t} + \nabla \cdot (\rho \mathbf{u}) \right) + \rho A \frac{D\mathbf{a}}{Dt} \right\} dz d\mathbf{x} dt}_{\text{constraints of mass \& identity conservations}}$$

$$+ \underbrace{\int_T \int_D \bar{p} \eta d\mathbf{x} dt}_{\text{applied-pressure term}} + \underbrace{B.T. \Big|_{\partial V_e}^{(\text{ext})}}_{\text{appropriate boundary terms on } \partial V_e \text{ for the matching of the two flows (internal \& external)}}$$

$B.T. \Big|_{\partial V_e}^{(\text{ext})}$ is expected to be determined from the variational procedure!



Are the integral constraints enough ?

- Within the fluid domain, we may consider independent $\delta\rho$, δa & δu , due to the mass and identity integral constraints

- The situation is different on the boundary:
 - No a priori reason to believe that such constraints, acting on the interior of the 3D fluid domain, work equally well on the lower-dimension boundary surface

 - In fact, if the variational procedure in the Eulerian formalism is attempted without additional constraints on $\delta\rho$, δa & δu on the boundary, implied by the Lagrangian nature of the boundary parcels, the derivation of any dynamic boundary condition is impossible (disintegration in separate parts)

 - On the free surface, the additional $\delta\eta$ occurs, whose relation with the rest of the variations should also be considered

Introducing a Lagrangian concept: virtual displacements



To overcome the issues on the boundary, we seek the relation between:

- the **Eulerian variations** $(\delta\rho, \delta\mathbf{a}, \delta\mathbf{u}, \delta\eta)$, and
- the **virtual displacements** of the fluid parcels, $\delta_L \mathbf{X}$, which are the **natural variations of the system from the viewpoint of Analytical Dynamics**

For any Eulerian field of the flow, it may be shown that

$$\delta(\cdot) = \delta_L(\cdot) - (\delta_L \mathbf{X} \cdot \nabla)(\cdot) \quad (1)$$

where:

- $\delta_L(\cdot)$ is the Lagrangian variational operator, and
- $\delta_L \mathbf{X} = \delta_L \mathbf{X}(\mathbf{a}(\mathbf{x}, z, t), t)$ is the **Eulerian representation of the virtual displacements**

(Gelfand and Fomin 1963; Bretherton 1970; Mottaghi, et al. 2019)



Differential-variational constraints, in terms of $\delta_L \mathbf{X}$

Given that [(Bretherton 1970)]:

$$\delta_L \rho = -\rho (\nabla \cdot \delta_L \mathbf{X}), \quad \delta_L \mathbf{a} = 0, \quad \delta_L \mathbf{u} = \delta_L (D\mathbf{X} / Dt),$$

Eq. (1) yields the **differential-variational constraints**:

$$\delta \rho = -\nabla \cdot (\rho \delta_L \mathbf{X})$$

$$\delta \mathbf{a} = -(\delta_L \mathbf{X} \cdot \nabla) \mathbf{a}$$

$$\delta \mathbf{u} = \frac{D}{Dt} (\delta_L \mathbf{X}) - (\delta_L \mathbf{X} \cdot \nabla) \mathbf{u}$$

(2a,b,c)

- Point-wise conditions, **applicable to any fluid parcel**
- If used in the interior of the fluid domain, they render the **integral constraints redundant** and lead to the **standard Euler equation**
[“hybrid” approach of (Bretherton 1970)]
- On the boundary, they should be combined with any **additional constraints on $\delta_L \mathbf{X}$** , implied by the boundary motion/dynamics



Virtual displacements on the boundaries

Free surface

- Arbitrary variations $\delta_L \mathbf{X}_\eta$ of the free-surface parcels
- If $S_\eta \equiv z - \eta(\mathbf{x}, t) = 0$ is the geometric representation of the free surface, then Eq. (1) leads to ($\delta_L S_\eta = 0$):

$$\boxed{\delta \eta = \delta_L \mathbf{X}_\eta \cdot \mathbf{N}_\eta}, \quad \mathbf{N}_\eta = (-\partial_{x_1} \eta, -\partial_{x_2} \eta, 1)$$

Seabed

- Variations $\delta_L \mathbf{X}_h$ of the seabed parcels, for which:

$$\delta_L \mathbf{X}_h \cdot \mathbf{N}_h = 0, \quad \mathbf{N}_h = (-\partial_{x_1} h, -\partial_{x_2} h, -1)$$

Lateral boundary

- Entrance boundary. Arbitrary variations $\delta_L \mathbf{X}_{\text{lat}}$
(allowing for the matching of the dynamics of the two flows)
- Rigid wall. Variations $\delta_L \mathbf{X}_{\text{lat}}$, for which:

$$\delta_L \mathbf{X}_{\text{lat}} \cdot \mathbf{n}_{\text{lat}} = 0, \quad \mathbf{n}_{\text{lat}} \text{ unit normal vector}$$

Back to $\tilde{\mathcal{J}}$: steps of the variational procedure



Based on the above remarks, the **variational equation** $\delta \tilde{\mathcal{J}} = 0$ (for the augmented action functional) is treated as follows:

Step 1: Calculation of the partial Gateaux derivatives

$$\delta_q \tilde{\mathcal{J}} [\mathbf{a}, \rho, \mathbf{A}, k, \mathbf{u}, \eta; \delta q], \quad q \in \{\mathbf{a}, \rho, \mathbf{A}, k, \mathbf{u}, \eta\}$$

Step 2: Consideration of **variations that vanish on the boundaries** and derivation of the **Euler-Lagrange equations** corresponding to

$$\int_{\Gamma} \int_D \int_{-h}^{\eta} (\dots) \delta q \, dz \, d\mathbf{x} \, dt = 0, \quad q \in \{\mathbf{a}, \rho, \mathbf{A}, k, \mathbf{u}\}$$

[δq independent inside V , due to the mass/identity constraints]

Step 3: Expression of the **boundary remainder** of $\delta \tilde{\mathcal{J}} = 0$ in terms of $\delta_L \mathbf{X}_\eta$, $\delta_L \mathbf{X}_h$ and $\delta_L \mathbf{X}_{\text{lat}}$, via the **differential-variational constraints**



What was the motivation ?

Flashback to an early attempt →

independent
Eulerian variations
on the boundary

- The kinematic conditions are correctly derived, but repetitively, for different “independent” variations
- The dynamic free-surface condition cannot be derived, unless one recognizes that at least $\delta\eta$ & $\delta u_{z=\eta}$ depend on each other via the respective differential-variational constraints
- The dynamic conditions on the entrance boundary cannot be derived without all the differential-variational constraints

This **redundancy** and **insufficiency** led to the introduction of the **differential-variational constraints** and to **Step 3!**



Variations in the interior of V : Euler-Lagrange equations

Conservations of mass & identity

$$\delta k : \frac{\partial \rho}{\partial t} + \nabla \cdot (\rho \mathbf{u}) = 0, \quad \delta A : \frac{D \mathbf{a}}{D t} = 0$$

Conservation of Lagrange multipliers $A = (A_1, A_2, A_3)$

$$\delta a : \frac{D A}{D t} = 0$$

Evolution of Lagrange multiplier k (pressure-related)

$$\delta \rho : \frac{D k}{D t} = - \frac{\mathbf{u}^2}{2} + E(\rho) + \rho \frac{\partial E(\rho)}{\partial \rho} + P$$

Extended Clebsch representation for the velocity field

$$\delta \mathbf{u} : \mathbf{u} = - \nabla k + A \nabla \mathbf{a}$$



Remainder of the variational equation on the boundary

After treating the volume terms, the variational equation reduces to a **boundary variational equation**, of the form $\delta_b \tilde{\mathcal{J}} = 0$:

$$\begin{aligned}
 & \int_T \int_D \left\{ \left[\left(\frac{\partial \eta}{\partial t} - \mathbf{u} N_\eta \right) (k \delta \rho + \rho A \delta a) - \rho k \delta \mathbf{u} N_\eta \right]_{z=\eta} \right. \\
 & \quad \left. + \left[\bar{p} + \rho \left(\frac{\mathbf{u}^2}{2} - E - P \right) - k \left(\frac{\partial \rho}{\partial t} + \nabla \cdot (\rho \mathbf{u}) \right) - \rho A \frac{D a}{D t} \right]_{z=\eta} \delta \eta \right\} d\mathbf{x} dt \quad \text{Free surface} \\
 & + \int_T \int_D \left\{ \left[\left(\frac{\partial h}{\partial t} - \mathbf{u} N_h \right) (k \delta \rho + \rho A \delta a) - \rho k \delta \mathbf{u} N_h \right]_{z=-h} \right\} d\mathbf{x} dt \quad \text{Seabed} \\
 & - \int_T \oint_{\partial D} \int_{-h}^{\eta} \left\{ (k \delta \rho + \rho A \delta a) \mathbf{u} \mathbf{n}_{\text{lat}} + \rho k \delta \mathbf{u} \mathbf{n}_{\text{lat}} \right\} dz dl dt + \delta B.T. \Big|_{\partial V_e}^{(\text{ext})} = 0 \quad \text{Lateral boundary}
 \end{aligned}$$



Invoking the differential-variational constraints

- The variations $\delta\rho$, $\delta\mathbf{a}$ and $\delta\mathbf{u}$, in the boundary remainder, are substituted with the differential-variational constraints of Eqs. (2)
- Also, it can be easily verified that $\delta\eta = \delta_L \mathbf{X}_\eta \cdot \mathbf{N}_\eta$

Thus, the variational boundary remainder is rewritten in terms of $\delta_L \mathbf{X}_\eta$, $\delta_L \mathbf{X}_h$ and $\delta_L \mathbf{X}_{\text{lat}}$

Attention should be paid to the form of Eqs. (2) on the boundary, due to the nature of the Eulerian representations $\delta_L \mathbf{X}_b$:

E.g. $\delta_L \mathbf{X}_\eta$ is independent of z and, consequently,

$$[\delta\rho]_{z=\eta} = -[\nabla\rho]_{z=\eta} \cdot \delta_L \mathbf{X}_\eta - [\rho]_{z=\eta} \left(\nabla_2 \cdot (\delta_L X_{\eta,1}, \delta_L X_{\eta,2}) \right),$$

$$[\delta\mathbf{a}]_{z=\eta} = -[\nabla\mathbf{a}]_{z=\eta} \cdot \delta_L \mathbf{X}_\eta,$$

$$[\delta\mathbf{u}]_{z=\eta} \mathbf{N}_\eta = \frac{D_{2\text{-dim}}}{Dt} (\delta_L \mathbf{X}_\eta \mathbf{N}_\eta) - \left(\frac{\partial \mathbf{N}_\eta}{\partial t} + [\nabla(\mathbf{u} \mathbf{N}_\eta)]_{z=\eta} \right) \delta_L \mathbf{X}_\eta$$



Normal and tangential components of $\delta_L \mathbf{X}_b$

In the boundary variational equation, some terms are accompanied by $\delta_L \mathbf{X}_b$, and others by the normal components $\delta_L \mathbf{X}_b \mathbf{N}_b$.

Thus, to facilitate the analysis, we express $\delta_L \mathbf{X}_b$ as:

$$\delta_L \mathbf{X}_b = \delta_L \mathbf{X}_{b,\perp} + \delta_L \mathbf{X}_{b,\parallel}, \quad b \in \{\eta, h, \text{lat}\}$$

normal & tangential components

where:

$$\delta_L \mathbf{X}_{\{\eta, h\}, \perp} = \delta B_{\{\eta, h\}, \perp} \frac{\mathbf{N}_{\{\eta, h\}}}{\|\mathbf{N}_{\{\eta, h\}}\|^2}, \quad \delta_L \mathbf{X}_{\text{lat}, \perp} = \delta B_{\text{lat}, \perp} \mathbf{n}_{\text{lat}}$$

$$\delta_L \mathbf{X}_{b, \parallel} = \delta B_{b,1} \mathbf{T}_{b,1} + \delta B_{b,2} \mathbf{T}_{b,2}, \quad b \in \{\eta, h, \text{lat}\}$$

$\mathbf{T}_{b, \{1,2\}}$: **tangent vectors** - local basis of boundary's tangent plane

(parametric representation of free surface/seabed & known ∂V_{lat})

Independent variations $\delta B_{b, \{\perp, 1, 2\}}$ in the place of $\delta_L \mathbf{X}_{b, \{1, 2, 3\}}$



Free-surface term: tangential variations

Free surface

Considering, first, **tangential variations**:

$$\delta_L \mathbf{X}_{\eta, \parallel} = \text{arbitrary}, \quad \delta_L \mathbf{X}_{\eta, \perp} = 0,$$

leads (after the required calculations) to the variational equation:

$$\int_T \int_D \left[\rho \left(\frac{\partial \eta}{\partial t} - \mathbf{u} \mathbf{N}_\eta \right) (-\nabla k + \mathbf{A} \nabla \mathbf{a}) \right]_{z=\eta} \mathbf{T}_{\eta, i} \delta B_{\eta, i} d\mathbf{x} dt = 0,$$

from which we obtain the **free-surface kinematic condition**:

$$\delta_L \mathbf{X}_{\eta, \parallel} : \frac{\partial \eta}{\partial t} - \mathbf{u} \mathbf{N}_\eta = 0, \quad z = \eta$$



Free-surface term: normal variations

Considering, next, **normal variations**:

$$\delta_L \mathbf{X}_{\eta, \perp} = \text{arbitrary}, \quad \delta_L \mathbf{X}_{\eta, \parallel} = 0,$$

and using the derived kinematic condition, ultimately results in the variational equation:

$$\int_T \int_D \left\{ \bar{p} + \rho \frac{Dk}{Dt} - \rho A \frac{D\mathbf{a}}{Dt} + \rho \left(\frac{\mathbf{u}^2}{2} - E - P \right) \right\} \delta B_{\eta, \perp} d\mathbf{x} dt = 0 \quad z = \eta$$

Accordingly, we obtain the free-surface dynamic condition:

$$\delta_L \mathbf{X}_{\eta, \perp} : \quad -\frac{Dk}{Dt} + A \frac{D\mathbf{a}}{Dt} - \frac{\mathbf{u}^2}{2} + E + P = \frac{\bar{p}}{\rho}, \quad z = \eta$$

Free-surface dynamic condition: Clebsch form



If we combine the **free-surface boundary condition** with the derived **representation of the velocity**, then the former becomes:

$$-\frac{\partial k}{\partial t} + \mathbf{A} \frac{\partial \mathbf{a}}{\partial t} + \frac{\mathbf{u}^2}{2} + E + P = \frac{\bar{p}}{\rho}, \quad z = \eta$$

(\mathbf{u} is understood as a symbol for $-\nabla k + \mathbf{A} \nabla \mathbf{a}$)

- This expression is **essentially the same as the Lagrangian density provided by (Clebsch 1859)**, with additional terms due to the inclusion of compressibility, conservative body forces and applied pressure
- In Sec. 9.3 of **(Berdichevsky 2009)**, **the same relation is derived for incompressible fluid**, but **the arbitrary addition of the zero term $\mathbf{A} (D\mathbf{a}/Dt)$ is required** to the initial dynamic condition of his variational procedure



Seabed term & lateral boundary's rigid wall

Due to the nature of the **seabed and the rigid wall**, inducing the constraints $\delta_L \mathbf{X}_h \cdot \mathbf{N}_h = \delta_L \mathbf{X}_{\text{lat}} \cdot \mathbf{n}_{\text{lat}} = 0$, the virtual displacements on them are only **tangential**:

Moving seabed

$$\int_{\Gamma} \int_D \left[\rho \left(\frac{\partial h}{\partial t} - \mathbf{u} \mathbf{N}_h \right) (-\nabla k + \mathbf{A} \nabla \mathbf{a}) \right]_{z=-h} \mathbf{T}_{h,i} \delta B_{h,i} d\mathbf{x} dt = 0$$

$$\implies \text{impermeability condition: } \frac{\partial h}{\partial t} - \mathbf{u} \mathbf{N}_h = 0, \quad z = -h$$

Rigid wall of the lateral boundary

$$\int_{\Gamma} \int_{\partial D_w} \int_{-h}^{\eta} \rho (\mathbf{u} \mathbf{n}_{\text{lat}}) (-\nabla k + \mathbf{A} \nabla \mathbf{a}) \delta_L \mathbf{X}_{\text{lat}, \parallel} dz dl dt = 0$$

$$\implies \text{impermeability condition: } \mathbf{u} \mathbf{n}_{\text{lat}} = 0, \quad (\mathbf{x}, z) \in \partial V_w$$

Open-boundary conditions: tangential variations



Open (entrance) boundary

Since it is an **open boundary**, we consider both tangential and normal variations, $\delta_L \mathbf{X}_{\text{lat},\parallel}$ and $\delta_L \mathbf{X}_{\text{lat},\perp}$, which yield **appropriate matching conditions** between the internal flow and the known external one

- For arbitrary **tangential variations** $\delta_L \mathbf{X}_{\text{lat},\parallel}$, and after the required calculations, we obtain the condition:

$$\rho(\mathbf{u} \mathbf{n}_{\text{lat}}) \underbrace{(-\nabla k + A \nabla a)}_{\mathbf{u}} = B.T. \Big|_{\partial V_e, \parallel}^{(\text{ext})},$$

which constitutes the **continuity of the momentum flux** between the two parts of the flow



Open-boundary conditions: normal variations

- For **normal variations** $\delta_L \mathbf{X}_{\text{lat}, \perp}$, using again standard algebraic manipulations, we derive the condition

$$\underbrace{\rho (\mathbf{u} \mathbf{n}_{\text{lat}}) (-\nabla k + A \nabla a) \mathbf{n}_{\text{lat}}}_{\text{normal component of momentum flux}} + \underbrace{\rho (Dk/Dt)}_{\text{pressure-related term}} = B.T. \Big|_{\partial V_{e, \perp}}^{(\text{ext})},$$

which is interpreted as the **continuity of the pressure** between the two flows

- From terms on the line boundary of the entrance-boundary surface (boundary of co-dimension 2), we also obtain the **matching of the velocity and gradient of the geometrical free surface and seabed**

These open-boundary conditions appear for the first time, and, in retrospect, they seem very natural!



Where to, next?

- Despite the positive results, this is a very complicated and “inconvenient” variational principle, requiring several new concepts and lemmata in the process
- However, it also is a variational principle constructed on solid “physical ground”, capable of producing the full equations of motion, along with the complete set of required boundary and matching conditions
- Thus, it equips us with all we need to implement our **next goal/step**, which is the construction of an:

unconstrained action functional w.r.t. the velocity potentials (a priori velocity representation), with independent arguments whose variations lead to a similar complete set of equations



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