

Biplane wing planform and flight performance of the feathered dinosaur *Microraptor gui*

Sankar Chatterjee*[†] and R. Jack Templin[‡]

*Department of Geosciences, Museum of Texas Tech University, P.O. Box 43191, Lubbock, TX 79401-3191; and [‡]2212 Aster Street, Ottawa, ON, Canada K1H 6R6

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Microraptor gui, a four-winged dromaeosaur from the Early Cretaceous of China, provides strong evidence for an arboreal-gliding origin of avian flight. It possessed asymmetric flight feathers not only on the manus but also on the pes. A previously published reconstruction shows that the hindwing of *Microraptor* supported by a laterally extended leg would have formed a second pair of wings in tetrapteryx fashion. However, this wing design conflicts with known theropod limb joints that entail a parasagittal posture of the hindlimb. Here, we offer an alternative planform of the hindwing of *Microraptor* that is concordant with its feather orientation for producing lift and normal theropod hindlimb posture. In this reconstruction, the wings of *Microraptor* could have resembled a staggered biplane configuration during flight, where the forewing formed the dorsal wing and the metatarsal wing formed the ventral one. The contour feathers on the tibia were positioned posteriorly, oriented in a vertical plane for streamlining that would reduce the drag considerably. Leg feathers are present in many fossil dromaeosaurs, early birds, and living raptors, and they play an important role in flight during catching and carrying prey. A computer simulation of the flight performance of *Microraptor* suggests that its biplane wings were adapted for undulatory “phugoid” gliding between trees, where the horizontal feathered tail offered additional lift and stability and controlled pitch. Like the Wright 1903 Flyer, *Microraptor*, a gliding relative of early birds, took to the air with two sets of wings.

arboreal origin of flight | Chinese feathered dinosaurs | phugoid gliding | Wright 1903 Flyer

The evolution of powered flight in birds from theropod dinosaurs is recognized as the key adaptive breakthrough that contributed to the biological success of this group. The transformation of wing design from nonavian dinosaurs to early birds is beginning to unravel in recent times from a wealth of fossil record from China. Hundreds of small, exquisitely preserved, feathered theropods were discovered in the Early Cretaceous Jehol Group of northeastern China as they died some 125 million years ago, smothered in the “Cretaceous Pompeii.” Both anatomy and phylogeny strongly suggest that these theropods, including *Sinosauropteryx* (1), *Caudipteryx* and *Protarchaeopteryx* (2), *Microraptor* (3), *Sinornithosaurus* (4), *Cryptovolans* (5), and the early bird *Confuciusornis* (6), show constructions ranging from small winged, arboreal theropods to fully winged, active flying birds. They offer new insights into the origins of feathers and flight, favoring the arboreal (“trees-down”) over the cursorial (“ground-up”) hypothesis (3–5, 7–11).

Among these recent finds, *Microraptor gui* offers the best evidence that arboreal dromaeosaurs might have acquired powered flight through a gliding stage where both forelimbs and hindlimbs were involved (12). With two sets of winged limbs, each having long, asymmetric flight feathers at the distal segments of both forelimb and hindlimb, *Microraptor* developed broad airfoil surfaces and was probably an efficient glider. There are ≈ 12 manual and ≈ 14 pedal primary feathers, which are long and asymmetric to create aerodynamic forces for lift. The longest primary on the metatarsus would be 19 cm (Fig. 1A). The

hooked, interlocking barbs gave strength and flexibility to the asymmetric feathers and prevented air from passing through it in flight (Fig. 1B). In the proximal part of the wing and hindleg, the contour feathers have symmetric vanes (Fig. 1C).

A typical contour feather is composed of a long, tapering central rachis with a broad, flexible vane on either side. Vanes are asymmetrical in flight feathers in relation to the central rachis, where the leading edge is narrower and stronger than the trailing edge. This asymmetry provides an airfoil-shaped cross-section of the feather because air pressure is greater along the leading edge. The aerodynamic function of the asymmetric feather is attributable to aeroelastic stability in the lifting feather. The forward location of the rachis suppresses a tendency for the rachis to twist elastically in response to the aerodynamic force on the lifting feather because lift is concentrated in the forward quarter of the feather’s area. The asymmetry is a sure sign that the feather has been adapted for lifting.

Xu *et al.* (12) (Fig. 1C) reconstructed limbs of four-winged *Microraptor* as tandem wings similar to those of insects and gliding fish, where all wings are spread horizontally in tetrapteryx fashion. They argued that *Microraptor* was clumsy on the ground; because it had these long feathers on its feet, it would have had trouble walking or running and would have been vulnerable on the ground. It was probably a tree-dweller, thus supporting the arboreal theory of flight, where gravity was the main source of flying energy.

The holotype specimen of *Microraptor*, with an estimated live weight of ≈ 1 kg and measuring ≈ 77 cm in length, has a long bony tail that bears asymmetric retrices on two sides that could provide additional lift and control pitch (Table 1). However, Xu *et al.* (12) did not discuss why *Microraptor* was a glider and how it used its wings during flight. The life restoration of the hindlimb of *Microraptor* in a laterally extended position by Xu *et al.* (12) (Fig. 1C) appears to be aerodynamically inefficient and so anatomically anomalous that it generated lively debate and speculation (13). In our view, the leading edge of the asymmetric flight feathers on the metatarsus should face forward against the direction of the airflow like those of the hand section, not sidewise, as they reconstructed. In all theropods (including birds), the hindlimb is held in an erect and parasagittal gait, unlike the reconstruction of *Microraptor* in a laterally extended position. Because of the critical importance of this fossil in the early evolutionary history of avian flight, we propose here a second restoration of the wing planform and estimate the flight

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Abbreviation: M, mass.

[†]To whom correspondence should be addressed. E-mail: sankar.chatterjee@ttu.edu.

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(Fig. 2D). The lower wing is placed somewhat posterior and ventral in relation to the dorsal wing (on the hand) like a staggered biplane (Fig. 2G) with unequal wing sections and different chords (16) and a ventral wing area (0.042 m^2) approximately one-half the extent of the dorsal wing (0.089 m^2) (Fig. 2J). Merely by stretching both of its wings, *Microraptor* would have been able to glide in much the same way as a mechanical glider without muscle power. The stiff mesotarsal ankle joint would prevent torsion of the ventral wing on the metatarsus. A ligament, analogous to the avian vinculum, could hold the feathers of the hindwing in place during flight and aid in folding when not in use. Using Fig. 2D as a guide, we reconstruct the dorsal view of *Microraptor* in a gliding pose to show the biplane configuration of the wing planform (Fig. 2J).

Flight Performance

Microraptor displays several anatomical features that suggest it could become airborne (12): elongate and asymmetric vanes in the flight feathers (17) at the distal segment of each limb; a scapulocoracoid whose ends are oriented at an acute angle to each other (18); a laterally facing glenoid for gentle dorsoventral movement of the wing (19); a single, enlarged sternum for attachment of the flight muscles; ossified sternal ribs and well developed uncinat processes for resisting compression force on the thoracic cavity imposed during downstroke; strongly bowed outer metacarpal; and a flattened central digit for attachment of primaries.

To analyze the flight performance of *Microraptor*, we used two computer algorithms, ANFLTPWR (animal flight power) and ANFLTSIM (animal flight simulation), which are based on the streamtube model (20) using several flight parameters (Table 1). For any flying animal or fixed-wing aircraft or helicopter, the plot of power required for level flight against airspeed is a U-shaped curve, higher at both ends than at the middle. Using the ANFLTPWR program (20), we generated the power curve of *Microraptor* (Fig. 3A), where the U-shaped curve is the power required for steady level flight and the horizontal line is the estimated maximum steady power available. Because the two curves, power required and power available, nearly coincide at flight speeds of $\approx 9\text{--}15 \text{ m/s}$, limited steady flight may have been theoretically possible.

Gliding performance is shown as a polar curve, which is a plot of horizontal speed versus sinking speed. We used the ANFLTSIM program (20) to calculate these values. Fig. 3B shows the potential gliding performance of *Microraptor* in terms of sinking speed versus horizontal speed. By this plot, *Microraptor*

was possibly a moderate glider, not as efficient as high-performance gliders, such as the long-span frigatebird (*Fregata magnificens*, $M = 1.5 \text{ kg}$) or a Cretaceous pterosaur (*Nyctosaurus*, $M = 1.86 \text{ kg}$) (21), of comparable size.

Anatomical evidence indicates that *Microraptor* was not capable of ground or running takeoff, because it lacked the supracoracoideus pulley to elevate the wings. Moreover, running takeoff would damage the ventral metatarsal wings (12). We have calculated the takeoff capability of *Microraptor* from a perch using both streamtube (20) and aircraft (22) models (Fig. 3C). When birds take off from a perch, they do not seem to use excess power; they lose height at first and then swoop up with a large-amplitude undulation to swing between two perches, known as phugoid gliding (8, 20). In Fig. 3C, we have plotted several glide paths for *Microraptor*, starting from horizontal launches at 3 m/s . Considerable height losses are involved, as shown in Fig. 3C (curve 1), but they are minimized by the use of a simulated pitch damper, which may imitate the tail motion of *Microraptor* to control the phugoid oscillations. The pitch damper adjusts the wing lift in synchrony with speed changes to reduce or eliminate the oscillations. By using phugoid gliding, *Microraptor* could potentially have traveled from one tree to another tree by undulating flight covering a horizontal distance of $>40 \text{ m}$. This mode of transportation would have been energetically very efficient for *Microraptor*. The long feathered tail would provide pitch damping as well as general stability. The minimum speed during the pitchup is 4.5 m/s , which may have been safe for landing.

The combined wing appears to be too small to serve as a parachute that would withstand a fatal fall. We plotted curve 4 in Fig. 3C, a trajectory for a flat parachute descent in which *Microraptor* has high drag with outstretched wings, while generating no lateral force. The trajectory is not simply a vertical line because of the horizontal jump-off. The terminal velocity is $\approx 8.7 \text{ m/s}$, a potentially crashing speed against a solid surface but perhaps safe for landing on padded ground cover or on a flexible tree branch.

Drag could be dramatically reduced in a gliding *Microraptor* by streamlining the vertically held tibia with feathers so that the turbulent spaces behind are filled in and the front areas are rounded or tapered (Fig. 2 E–G). Without leg feathers, the cross-section of the tibia would be circular, so the airflow behind the bone would break up into eddies, producing turbulence. With the presence of tibial feathers, *Microraptor* could reduce 40% of drag when the legs were held in z-fashion [see supporting information (SI)].

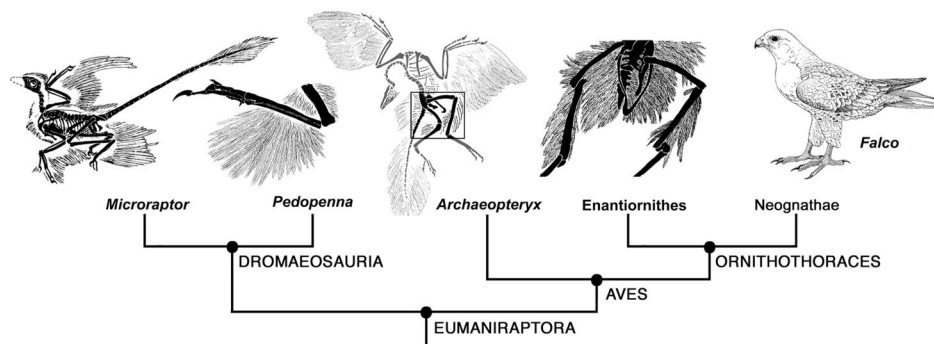


Fig. 4. A simple cladogram of eumaniraptoran theropods showing the distribution of leg feathers in selected taxa (modified from refs. 23, 25, and 26). In *Microraptor*, the contour feathers are present on the femur, tibia, and metatarsus, but only the metatarsal feathers are asymmetric and form the ventral wing of the biplane design; the feathers on the femur and tibia are symmetrical (12). In *Pedopenna*, long metatarsal feathers are present to form the ventral wing of the biplane layout, but they appear to be symmetrical (25). In *Archaeopteryx*, long contour feathers are present on the femur and tibia, but they appear to be lost on the metatarsus (15). At this stage, the evolution of monoplane design probably took place. In an unnamed enantiornithine bird, long contour feathers are present on the femur and tibia but absent in the metatarsal region (26). In modern raptors such as the falcon *Falco*, similar contour leg feathers persist on the femur and tibia for streamlining, but metatarsal feathers are generally reduced or absent.

Discussion and Conclusion

Phylogenetically, *Microraptor* belongs to eumaniraptorans, which also include a series of feathered theropods and *Archaeopteryx* (23), possessing long arms and hands for the attachment of vaned, barbed feathers (Fig. 4A). Although *Microraptor* appears to have been a glider, there are two phylogenetic and biomechanical interpretations for this unusual biplane wing configuration of *Microraptor*: either (i) avian flight went through a *Microraptor*-like biplane stage to become a monoplane configuration when the hindlimb became decoupled from its gliding function (with the loss of ventral wing); or (ii) the biplane wing configuration may represent a failed or temporary experiment in the deployment of aerodynamic feathers among one branch of deinonychosaurians that dallied with gliding.

Both scenarios are equally possible. However, the former view finds support from current fossil and recent evidence in a broad phylogenetic context indicating a gradual shift in locomotory dominance from the hindlimb to forelimb during the evolution of avian flight (Fig. 4). Several Chinese maniraptorans including *Caudipteryx* (24), *Sinornithosaurus* (4), and *Cryptovolans* (5), as well as modern raptors, show contour feathers on the hindlimbs, where tibial feathers were probably used for streamlining. The recent discovery of *Pedopenna* (25) from the Middle or Late Jurassic of China, another feathered maniraptoran with long metatarsal feathers, may support the biplane wing configuration of gliding dromaeosaurs before the *Archaeopteryx* stage (Fig. 4). *Archaeopteryx* shows long contour feathers on the hindlimb, especially in the tibial region in the Berlin specimen (15); it apparently lacked the metatarsal feathers, which were compensated with larger forewing and long asymmetric retrices on the tail for additional lift. Long contour tibial feathers also are known in an unnamed Early Cretaceous enantiornithine bird from China, but metatarsal feathers appear to be absent (26). Symmetric contour feathers occur on the femur and tibia in living raptors, even on the proximal part of the tarsometatarsus (Fig. 4). Unlike other birds, raptors keep their hindlegs in a z-configuration during preparation for aerial attack and carrying prey, dangling their tibiae in a vertical plane (Fig. 2H). The feathered “trousers” are a conspicuous costume of predatory birds, keeping their prey-catching legs streamlined during aerial attack. *Microraptor* provided the crucial clue about the role of leg feathers in the flight of living raptors.

Aircraft designers have mimicked many of nature’s flight “inventions,” usually inadvertently. Leading edge slats delay stalling, as does the alula of birds; birds’ feet act as airbrakes, and streamlining reduces drag. Now, it seems likely that *Microraptor* invented the biplane 125 million years before the Wright 1903 Flyer.

Methodology

Various flight parameters such as wingspan (b), body length, and forewing and tailwing areas (S) were calculated from a high-fidelity cast of the holotype specimen at the National Museum of Rio de Janeiro in Brazil. The hindwing area was estimated from a modified dorsal reconstruction of *Microraptor* (Fig. 2J). We have digitized the body outline in dorsal aspect with a computer program by Rohlf (<http://life.bio.sunysb.edu/morph/>) and estimated the combined wing area (forewing plus hindwing) as well as the area from tail feathers (Table 1). Our method of estimating the mass of *Microraptor* used a multivariate analysis proposed by Atanassov and Strauss.[†] The predicted mass of *Microraptor* was calculated to be 0.95 kg, which is approximately the mass of medium-sized extant predatory birds [i.e., the common black hawk (*Buteogallus anthracinus*) or the northern goshawk (*Accipiter gentilis*)] (27). To analyze the flight performance of *Microraptor*, we used two computer algorithms, ANFLTPWR and ANFLTSIM, which are based on the streamtube model (20) and also described above. In all cases, the body and wing drag coefficients are computed as functions of the Reynolds number (see §, ref. 20, and SI for detailed methodology).

[†]Atanassov, M. N., Strauss, R. (2002) *J Vertebr Paleontol* 22:33A (abstr.).

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