## CSC2556

## Lecture 2

## Voting II

Credit for many visuals: Ariel D. Procaccia

## Which rule to use?

- We just introduced infinitely many rules
> (Recall positional scoring rules...)
- How do we know which is the "right" rule to use?
> Various approaches
> Axiomatic, statistical, utilitarian, ...
- How do we ensure good incentives without using money?
> Bad luck! [Gibbard-Satterthwaite, next lecture]


## Is Social Choice Practical?

- UK referendum: Choose between plurality and STV for electing MPs
- Academics agreed STV is better...
- ...but STV seen as beneficial to the hated Nick Clegg
- Hard to change political elections!




## Voting: <br> For the People, By the People

- Voting can be useful in day-to-day activities
- On such a platform, easy to deploy the rules that we believe are the best


## AI-Driven Decisions

RoboVote is a free service that helps users combine their preferences or opinions into optimal decisions. To do so, RoboVote employs state-of-the-art voting methods developed in artificial intelligence research. Learn More

## Poll Types

RoboVote offers two types of polls, which are tailored to different scenarios; it is up to users to indicate to RoboVote which scenario best fits the problem at hand.


## Objective Opinions

In this scenario, some alternatives are objectively better than others, and the opinion of a participant reflects an attempt to estimate the correct order. RoboVote's proposed outcome is guaranteed to be as close as possible - based on the available information - to the best outcome. Examples include deciding which product prototype to develop, or which company to invest in, based on a metric such as projected revenue or market share. Try the demo.

## Subjective Preferences

In this scenario participants' preferences reflect their subjective taste; RoboVote proposes an outcome that mathematically makes participants as happy as possible overall. Common examples include deciding which restaurant or movie to go to as a group, which destination to choose for a family vacation, or whom to elect as class president. Try the demo


## Ready to get started?

## CREATE A POLL

## Incentives

- Can a voting rule incentivize voters to truthfully report their preferences?
- Strategyproofness
> A voting rule is strategyproof if a voter cannot submit a false preference and get a more preferred alternative (under her true preference) elected, irrespective of the preferences of other voters
> Formally, a voting rule $f$ is strategyproof if for every preference profile $\vec{\succ}$, voter $i$, and preference $>_{i}^{\prime}$, we have

$$
f(\vec{\succ}) \succcurlyeq_{i} f\left(\vec{\succ}_{-i}, \succ_{i}^{\prime}\right)
$$

> Question: What is the relation between $f(\overrightarrow{>})$ and $f\left(\vec{\succ}_{-i},>_{i}^{\prime}\right)$ according to $\succcurlyeq_{i}^{\prime}$ ?

## Strategyproofness

- None of the rules we saw are strategyproof!
- Example: Borda Count
> In the true profile, $b$ wins
> Voter 3 can make $a$ win by pushing $b$ to the end

|  | 1 | 2 | 3 | 1 | 2 | 3 |  |
| :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: |
|  | b | b | a | b | b | a |  |
| Winner | a | a | b | a | a | C | Winner |
| b | c | c | c | C | C | d | a |
|  | d | d | d | d | d | b |  |

## Borda’s Response to Critics

## My scheme is intended only for honest men!



Random $18^{\text {th }}$ century
French dude

## Strategyproofness

- Are there any strategyproof rules?
> Sure
- Dictatorial voting rule
> The winner is always the most preferred alternative of voter $i$
- Constant voting rule
> The winner is always the same
- Not satisfactory (for most cases)



## Three Properties

- Strategyproof: Already defined. No voter has an incentive to misreport.
- Onto: Every alternative can win under some preference profile.
- Nondictatorial: There is no voter $i$ such that $f(\vec{\gamma})$ is always the alternative most preferred by voter $i$.


## Gibbard-Satterthwaite

- Theorem: For $m \geq 3$, no deterministic social choice function is strategyproof, onto, and nondictatorial simultaneously $: \%$
- Proof: We will prove this for $n=2$ voters.
> Step 1: Show that SP $\Rightarrow$ "strong monotonicity" [Assignment]
> Strong Monotonicity (SM): If $f(\vec{\succ})=a$, and $\vec{\succ}^{\prime}$ is such that $\forall i \in N, x \in A: a>_{i} x \Rightarrow a>_{i}^{\prime} x$, then $f\left(\overrightarrow{>}^{\prime}\right)=a$.
- If, for each $i$, the set of alternatives defeated by $a$ in $\succ_{i}^{\prime}$ is a superset of what it defeats in $>_{i}$, then if it was winning under $\rangle$, it should also win under $\overrightarrow{>}^{\prime}$


## Gibbard-Satterthwaite

- Theorem: For $m \geq 3$, no deterministic social choice function is strategyproof, onto, and nondictatorial simultaneously $:+$
- Proof: We will prove this for $n=2$ voters.
> Step 2: Show that SP + onto $\Rightarrow$ "Pareto optimality" [Assignment]
> Pareto Optimality (PO): If $a>_{i} b$ for all $i \in N$, then $f(\overrightarrow{>}) \neq b$.
- If there is a different alternative $a$ that everyone prefers to $b$, then $b$ should not be the winner.


## Gibbard-Satterthwaite

- Proof for $\mathrm{n}=2$ : Consider problem instance $I(a, b)$



## Gibbard-Satterthwaite

- Proof for $\mathrm{n}=2$ :
> If $f$ outputs $a$ on instance $I(a, b)$, voter 1 can get $a$ elected whenever she puts $a$ first.
- In other words, voter 1 becomes dictatorial for $a$.
- Denote this property by the notation $D(1, a)$.
> If $f$ outputs $b$ on $I(a, b)$
- Voter 2 becomes dictatorial for $b$, i.e., we have $D(2, b)$.
- For every $(a, b), f$ either satisfies the property $D(1, a)$ or the property $D(2, b)$.
> We're not done! (Why?)


## Gibbard-Satterthwaite

- Proof for $\mathrm{n}=2$ :
> Fix $a^{*}$ and $b^{*}$. Suppose $D\left(1, a^{*}\right)$ holds.
> Then, we show that voter 1 is a dictator.
- That is, $D(1, c)$ also holds for every $c \neq a^{*}$
> Take $c \neq a^{*}$. Because $|A| \geq 3$, there exists $d \in A \backslash\left\{a^{*}, c\right\}$
> Consider $I(c, d) ; f$ sastisifies either $D(1, c)$ or $D(2, d)$
> But $D(2, d)$ is incompatible with $D\left(1, a^{*}\right)$
- Who would win if voter 1 puts $a^{*}$ first and voter 2 puts $d$ first?
> Thus, we have $D(1, c)$, as required


## Circumventing G-S

- Restricted preferences (later in the course)
> Not allowing all possible preference profiles
> Example: single-peaked preferences
- Alternatives are on a line (say 1D political spectrum)
- Voters are also on the same line
- Voters prefer alternatives that are closer to them
- Use of money (later in the course)
> Require payments from voters that depend on the preferences they submit
> Prevalent in auctions


## Circumventing G-S

- Randomization (later in this lecture)
- Equilibrium analysis
> How will strategic voters act under a voting rule that is not strategyproof?
> Will they reach an "equilibrium" where each voter is happy with the (possibly false) preference she is submitting?
- Restricting information required for manipulation
> Can voters successfully manipulate if they don't know the votes of the other voters?


## Circumventing G-S

- Computational complexity
> We need to use a rule that is the rule is manipulable
> Can we make it NP-hard for voters to manipulate? [Bartholdi et al., SC\&W 1989]
> NP-hardness can be a good thing!
- $f$-Manipulation problem (for a given voting rule $f$ )
> Input: Manipulator $i$, alternative $p$, votes of other voters (nonmanipulators)
> Output: Can the manipulator cast a vote that makes $p$ uniquely win under $f$ ?


## Example: Borda

- Can voter 3 make $a$ win?
> Yes

| 1 | 2 | 3 |
| :--- | :--- | :--- |
| b | b |  |
| a | a |  |
| c | c |  |
| $d$ | $d$ |  |


| a |
| :--- | | 1 | 2 | 3 |
| :---: | :---: | :---: |
| b | b | a |
| a | a | c |
| c | c | d |
| d | d | b |

## A Greedy Algorithm

- Goal:
> The manipulator wants to make alternative $p$ win uniquely
- Algorithm:
> Rank $p$ in the first place
> While there are unranked alternatives:
- If there is an alternative that can be placed in the next spot without preventing $p$ from winning, place this alternative.
- Otherwise, return false.


## Example: Borda

| 1 | 2 | 3 | 1 | 2 | 3 | 1 | 2 | 3 |
| :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: |
| b | b | a |  | b |  | b | b | a |
| a | a |  | a |  | b | a | a | C |
| C | C |  |  |  |  | C | C |  |
| d | d |  |  | d |  | d | d |  |
|  | 2 | 3 | 1 | 2 | 3 | 1 | 2 | 3 |
|  | b |  | b | b | a | b | b | a |
| a |  | C | a | a | C | a | a | C |
|  |  |  | C | C | d | C | C | d |
|  | d |  | d | d |  | d | d | b |

## Example: Copeland

| 1 | 2 | 3 | 4 | 5 |
| :---: | :---: | :---: | :---: | :---: |
| a | b | e | e | a |
| b | a | c | c |  |
| c | d | b | b |  |
| d | e | a | a |  |
| e | c | d | d |  |

Preference profile

|  | a | b | c | d | e |
| :---: | :---: | :---: | :---: | :---: | :---: |
| a | - | 2 | 3 | 5 | 3 |
| b | 3 | - | 2 | 4 | 2 |
| c | 2 | 2 | - | 3 | 1 |
| d | 0 | 0 | 1 | - | 2 |
| e | 2 | 2 | 3 | 2 | - |

Pairwise elections

## Example: Copeland

| $\mathbf{1}$ | $\mathbf{2}$ | $\mathbf{3}$ | $\mathbf{4}$ | 5 |
| :---: | :---: | :---: | :---: | :---: |
| a | b | e | e | a |
| b | a | c | c | c |
| c | d | b | b |  |
| d | e | a | a |  |
| e | c | d | d |  |

Preference profile

|  | a | b | c | d | e |
| :---: | :---: | :---: | :---: | :---: | :---: |
| a | - | 2 | 3 | 5 | 3 |
| b | 3 | - | 2 | 4 | 2 |
| c | 2 | 3 | - | 4 | 2 |
| d | 0 | 0 | 1 | - | 2 |
| e | 2 | 2 | 3 | 2 | - |

Pairwise elections

## Example: Copeland

| $\mathbf{1}$ | $\mathbf{2}$ | $\mathbf{3}$ | $\mathbf{4}$ | 5 |
| :---: | :---: | :---: | :---: | :---: |
| a | b | e | e | a |
| b | a | c | c | c |
| c | d | b | b | d |
| d | e | a | a |  |
| e | c | d | d |  |

Preference profile

|  | a | b | c | d | e |
| :---: | :---: | :---: | :---: | :---: | :---: |
| a | - | 2 | 3 | 5 | 3 |
| b | 3 | - | 2 | 4 | 2 |
| c | 2 | 3 | - | 4 | 2 |
| d | 0 | 1 | 1 | - | 3 |
| e | 2 | 2 | 3 | 2 | - |

Pairwise elections

## Example: Copeland

| 1 | 2 | 3 | 4 | 5 |
| :---: | :---: | :---: | :---: | :---: |
| a | b | e | e | a |
| b | a | c | c | c |
| c | d | b | b | d |
| d | e | a | a | e |
| e | c | d | d |  |

Preference profile

|  | a | b | c | d | e |
| :---: | :---: | :---: | :---: | :---: | :---: |
| a | - | 2 | 3 | 5 | 3 |
| b | 3 | - | 2 | 4 | 2 |
| c | 2 | 3 | - | 4 | 2 |
| d | 0 | 1 | 1 | - | 3 |
| e | 2 | 3 | 3 | 2 | - |

Pairwise elections

## Example: Copeland

| $\mathbf{1}$ | $\mathbf{2}$ | $\mathbf{3}$ | $\mathbf{4}$ | $\mathbf{5}$ |
| :---: | :---: | :---: | :---: | :---: |
| a | b | e | e | a |
| b | a | c | c | c |
| c | d | b | b | d |
| d | e | a | a | e |
| e | c | d | d | b |

Preference profile

|  | a | b | c | d | e |
| :---: | :---: | :---: | :---: | :---: | :---: |
| a | - | 2 | 3 | 5 | 3 |
| b | 3 | - | 2 | 4 | 2 |
| c | 2 | 3 | - | 4 | 2 |
| d | 0 | 1 | 1 | - | 3 |
| e | 2 | 3 | 3 | 2 | - |

Pairwise elections

## When does this work?

- Theorem [Bartholdi et al., SCW 89]:

Fix voter $i$ and votes of other voters. Let $f$ be a rule for which $\exists$ function $s\left(\succ_{i}, x\right)$ such that:

1. For every $\succ_{i}, f$ chooses candidates maximizing $s\left(\succ_{i}, \cdot\right)$
2. $\left\{y: x>_{i} y\right\} \subseteq\left\{y: x>_{i}^{\prime} y\right\} \Rightarrow s\left(>_{i}, x\right) \leq s\left(>_{i}^{\prime}, x\right)$

Then the greedy algorithm solves $f$-MANIPULATION correctly.

- Question: What is the function $s$ for the plurality rule?


## Proof of the Theorem

- Suppose for contradiction:
> Algo creates a partial ranking $>_{i}$ and then fails, i.e., every next choice prevents $p$ from winning
> But $>_{i}^{\prime}$ could have made $p$ uniquely win
- $U \leftarrow$ alternatives not ranked in $>_{i}$
- $u \leftarrow$ highest ranked alternative in $U$ according to $>_{i}^{\prime}$
- Complete $>_{i}$ by adding $u$ next, and then other alternatives arbitrarily



## Proof of the Theorem

- $s\left(\succ_{i}, p\right) \geq s\left(\succ_{i}^{\prime}, p\right)$
> Property 2
- $s\left(>_{i}^{\prime}, p\right)>s\left(>_{i}^{\prime}, u\right)$
> Property $1 \& p$ uniquely wins under $>_{i}^{\prime}$
- $s\left(\succ_{i}^{\prime}, u\right) \geq s\left(>_{i}, u\right)$
> Property 2
- Conclusion
> Putting $u$ in the next position wouldn't have prevented $p$ from winning
> So the algorithm should have continued



## Hard-to-Manipulate Rules

- Natural rules
> Copeland with second-order tie breaking [Bartholdi et al. SCW 89]
- In case of a tie, choose the alternative for which the sum of Copeland scores of defeated alternatives is the largest
> STV [Bartholdi \& Orlin, SCW 91]
> Ranked Pairs [Xia et al., IJCAI 09]
- Iteratively lock in pairwise comparisons by their margin of victory (largest first), ignoring any comparison that would form cycles.
- Winner is the top ranked candidate in the final order.
> Can also "tweak" easy to manipulate voting rules [Conitzer \& Sandholm, IJCAI 03]


## Example: Ranked Pairs



## Example: Ranked Pairs



## Example: Ranked Pairs



## Example: Ranked Pairs



## Example: Ranked Pairs



## Example: Ranked Pairs



## Example: Ranked Pairs



## Randomized Voting Rules

- Input: preference profile
- Output: distribution over alternatives
> To think about successful manipulations, we need numerical utilities
- $u_{i}$ is consistent with $>_{i}$ if

$$
a>_{i} b \Rightarrow u_{i}(a) \geq u_{i}(b)
$$

- Strategyproofness:
> For all $i, \overrightarrow{>}_{-i},>_{i},>_{i}^{\prime}$, and $u_{i}$ consistent with $>_{i}$

$$
\left.\mathbb{E}\left[u_{i}(f(\overrightarrow{>}))\right] \geq \mathbb{E}\left[u_{i}\left(f\left(\overrightarrow{( }_{-i},\right\rangle_{i}^{\prime}\right)\right)\right]
$$

where $>_{i}$ is consistent with $u_{i}$.

## Randomized Voting Rules

- A (deterministic) voting rule is
> unilateral if it only depends on one voter
> duple if its range contains at most two alternatives
- Question:
> What is a unilateral rule that is not strategyproof?
> What is a duple rule that is not strategyproof?


## Randomized Voting Rules

- A probability mixture $f$ over rules $f_{1}, \ldots, f_{k}$ is a rule given by some probability distribution $\left(\alpha_{1}, \ldots, \alpha_{k}\right)$ s.t. on every profile $\vec{\succ}, f$ returns $f_{j}(\vec{\succ})$ w.p. $\alpha_{j}$.
- Example:
> With probability 0.5 , output the top alternative of a randomly chosen voter
> With the remaining probability 0.5 , output the winner of the pairwise election between $a^{*}$ and $b^{*}$
- Theorem [Gibbard 77]
> A randomized voting rule is strategyproof only if it is a probability mixture over unilaterals and duples.


## Approximating Voting Rules

- Idea: Can we use strategyproof voting rules to approximate popular voting rules?
- Fix a rule (e.g., Borda) with a clear notion of score denoted $\operatorname{sc}(\vec{\succ}, a)$
- A randomized voting rule $f$ is a $c$-approximation to sc if for every profile $\vec{\succ}$

$$
\frac{\mathbb{E}[\operatorname{sc}(\vec{\succ}, f(\vec{\succ}))}{\max _{a} \operatorname{sc}(\vec{\succ}, a)} \geq c
$$

## Approximating Borda

- Question: How well does choosing a random alternative approximate Borda?

1. $\Theta(1 / n)$
2. $\Theta(1 / m)$
3. $\Theta(1 / \sqrt{m})$
4. $\Theta(1)$

- Theorem [Procaccia 10]:

No strategyproof voting rule gives $1 / 2+\omega(1 / \sqrt{m})$ approximation to Borda.

## Interlude: Zero-Sum Games



## Interlude: Minimiax Strategies

- A minimax strategy for a player is
> a (possibly) randomized choice of action by the player
$>$ that minimizes the expected loss (or maximizes the expected gain)
$>$ in the worst case over the choice of action of the other player
- Intuition
> Suppose I were to act first
> And the other player could observe my strategy and respond to it (thus picking a response that is the worst case for me)
> Then, which randomized choice would I make?
- In the previous game, the minimax strategy for each player is $(1 / 2,1 / 2)$. Why?


## Interlude: Minimiax Strategies



- In the game above, if the shooter uses $(p, 1-p)$ :
> If goalie jumps left: $p \cdot\left(-\frac{1}{2}\right)+(1-p) \cdot 1=1-\frac{3}{2} p$
> If goalie jumps right: $p \cdot 1+(1-p) \cdot(-1)=2 p-1$
$>$ Shooter chooses $p$ to maximize $\min \left\{1-\frac{3 p}{2}, 2 p-1\right\}$
- $p^{*}=4 / 7$, reward of shooter $=+1 / 7$


## Interlude: Minimax Theorem

- Theorem
[von Neumann, 1928]:
Every 2-player zero-sum game has a unique value $v$ such that
> Player 1 can guarantee value at least $v$
> Player 2 can guarantee loss at most $v$
> This value is achieved when each player plays their own minimax strategy.



## Yao's Minimax Principle

- Rows as inputs
- Columns as deterministic algorithms
- Cell numbers = running times
- Best randomized algorithm
> Minimax strategy for the column player

$$
\begin{gathered}
\min _{\text {rand algo input }} \max E[\text { time }]= \\
\max _{\text {dist over inputs det algo }} E[\text { time }]
\end{gathered}
$$

## Yao’s Minimax Principle

- To show a lower bound $T$ on the best worst-case running time achievable through randomized algorithms:
> Show a "bad" distribution over inputs $D$ such that every deterministic algorithm takes time at least $T$ on average, when inputs are drawn according to $D$

$$
\min _{\text {rand algo input }} E[\text { time }] \geq \min _{\text {det algo }} E[\text { time }]
$$

For any distribution over inputs

## Randomized Voting Rules

|  | $<^{1}$ | $\ldots$ | $\ldots$ | $\ldots$ | $\ldots$ | $<^{t}$ |
| :---: | :---: | :---: | :---: | :---: | :---: | :---: |
| $U_{1}$ | $\frac{1}{15}$ | $\ldots$ | $\ldots$ | $\ldots$ | $\ldots$ | $\frac{2}{21}$ |
| $\ldots$ | $\ldots$ | $\ldots$ | $\ldots$ | $\ldots$ | $\ldots$ | $\ldots$ |
| $U_{k}$ | $\frac{7}{15}$ | Approximation ratio |  | $\frac{5}{21}$ |  |  |
| $D_{1}$ | $\frac{4}{15}$ | $\ldots$ | $\ldots$ | $\ldots$ | $\ldots$ | $\frac{8}{21}$ |
| $\ldots$ | $\ldots$ | $\ldots$ | $\ldots$ | $\ldots$ | $\ldots$ | $\ldots$ |
| $D_{S}$ | $\frac{13}{15}$ | $\ldots$ | $\ldots$ | $\ldots$ | $\ldots$ | $\frac{17}{21}$ |

## Randomized Voting Rules

- Rows = unilaterals and duples
- Columns = preference profiles
- Cell numbers = approximation ratios
- Quantity of interest
> Expected ratio of the best distribution over unilaterals and duples on the worst-case profile
- Equivalent quantity
> Expected ratio of the best unilateral or duple rule when the profiles are drawn from the worst distribution $D$
> Any distribution $D$ gives a lower bound on the quantity of interest


## Back to Borda

- Assume $m=n+1$
- A bad distribution:
> Choose a random alternative $X^{*}$
> Each voter $i$ chooses a random number $k_{i} \in$ $\{1, \ldots, \sqrt{m}\}$ and places $x^{*}$ in position $k_{i}$
> The other alternatives are ranked cyclically

| 1 | 2 | 3 |
| :---: | :---: | :---: |
| c | b | d |
| b | a | b |
| a | d | c |
| d | c | a |

$$
\begin{aligned}
& x^{*}=b \\
& k_{1}=2 \\
& k_{2}=1 \\
& k_{3}=2
\end{aligned}
$$

## Back to Borda

- Question: What is the best lower bound on $\operatorname{sc}\left(\vec{\succ}, x^{*}\right)$ that holds for every profile $\overrightarrow{>}$ generated under this distribution?
$\begin{array}{ll}\text { 1. } & \sqrt{n} \\ \text { 2. } & \sqrt{m} \\ \text { 3. } & n \cdot(m-\sqrt{m}) \\ \text { 4. } & n \cdot m\end{array}$


## Back to Borda

- How bad are other alternatives?
> For every other alternative $x, \operatorname{sc}(\vec{\succ}, x) \sim \frac{n(m-1)}{2}$
- How surely can a unilateral/duple rule return $x^{*}$ ?
> Unilateral: By only looking at a single vote, the rule is essentially guessing $x^{*}$ among the first $\sqrt{m}$ positions and captures it with probability at most $1 / \sqrt{m}$.
> Duple: By fixing two alternatives, the rule captures $x^{*}$ with probability at most $2 / \mathrm{m}$.
- Putting everything together...


## Quantitative GS Theorem

- Regarding the use of NP-hardness to circumvent GS
> NP-hardness is hardness in the worst case
> What happens in the average case?
- Theorem [Mossel-Racz '12]:
> For every voting rule that is at least $\epsilon$-far from being a dictatorship or having range of size 2 ...
> ...the probability that a uniformly random profile admits a manipulation is at least $p(n, m, 1 / \epsilon)$ for some polynomial $p$


## Coalitional Manipulations

- What if multiple voters collude to manipulate?
> The following result applies to a wide family of voting rules called "generalized scoring rules".
- Theorem [Conitzer-Xia ‘08]:


Powerful = can manipulate with high probability

## Interesting Tidbit

- Detecting a manipulable profile versus finding a beneficial manipulation
- Theorem [Hemaspaandra, Hemaspaandra, Menton '12] If integer factoring is NP-hard, then there exists a generalized scoring rule for which:
> We can efficiently check if there exists a beneficial manipulation.
> But finding such a manipulation is NP-hard.


## Axiomatic Approach

## Axiomatic Approach

- Axiom:
> A requirement that the voting rule must behave in a certain way
- Goal:
> Define a set of reasonable axioms, and search for voting rules that satisfy them together
> Ultimate hope: a unique voting rule satisfies the set of axioms simultaneously!
> What often happens: no voting rule satisfies the axioms together $*$


## We have already seen axioms!

- Condorcet consistency
- Majority consistency
- Strategyproofness
- Ontoness
- Non-dictatorship
- Strong monotonicity
- Pareto optimality


## Axiomatic Approach

- Some axioms are weak and satisfied by all natural rules
> Unanimity:
- If all voters have the same top choice, that alternative is the winner.

$$
\left(\operatorname{top}\left(\succ_{i}\right)=a \forall i \in N\right) \Rightarrow f(\vec{\succ})=a
$$

> Q : How does this compare to Pareto optimality?
> Pareto optimality is weak but still violated by natural voting methods like voting trees


## Axiomatic Approach

- Anonymity:
> Permuting the votes does not change the winner
> In other words, voter identities don't matter
> Example: these two profiles must have the same winner:
\{voter 1: $a>b>c$, voter 2: $b>c>a\}$ \{voter 1: $b>c>a$, voter 2: $a>b>c$ \}
- Neutrality:
> Permuting alternative names just permutes the winner accordingly
> Example:
- Say $a$ wins on $\{$ voter 1: $a>b>c$, voter $2: b \succ c>a\}$
- We permute all names: $a \rightarrow b, b \rightarrow c$, and $c \rightarrow a$
- New profile: \{voter 1: $b>c>a$, voter $2: c>a>b\}$
- Then, the new winner must be $b$


## Axiomatic Approach

- Neutrality is tricky for deterministic rules
> Incompatible with anonymity
- Consider the profile \{voter 1: $a>b$, voter 2: $b>a\}$
- Without loss of generality, say $a$ wins
- Imagine a different profile: \{voter 1: $b>a$, voter 2: $a>b\}$
- Neutrality $\Rightarrow$ we exchanged $a \leftrightarrow b$, so winner must be $b$
- Anonymity $\Rightarrow$ we exchanged the votes, so winner must be $a$
- We usually only require neutrality for...
> Randomized rules: E.g., a rule could satisfy both by choosing $a$ and $b$ as the winner with probability $1 / 2$ each, on both profiles
> Deterministic rules that return a set of tied winners: E.g., a rule could return $\{a, b\}$ as tied winners on both profiles.


## Axiomatic Approach

- Consistency: If $a$ is the winner on two profiles, it must be the winner on their union.

$$
f\left(\overrightarrow{>}_{1}\right)=a \wedge f\left(\overrightarrow{>}_{2}\right)=a \Rightarrow f\left(\overrightarrow{>}_{1}+\overrightarrow{>}_{2}\right)=a
$$

> Example: $\overrightarrow{>}_{1}=\{a \succ b \succ c\}, \overrightarrow{>}_{2}=\{a>c>b, b \succ c>a\}$
> Then, $\overrightarrow{>}_{1}+\overrightarrow{>}_{2}=\{a \succ b \succ c, a>c>b, b \succ c>a\}$

- Theorem [Young '75]:
> Subject to mild requirements, a voting rule is consistent if and only if it is a positional scoring rule!


## Axiomatic Approach

- Weak monotonicity: If $a$ is the winner, and $a$ is "pushed up" in some votes, $a$ remains the winner.
$>f(\vec{\succ})=a \Rightarrow f\left(\vec{\succ}^{\prime}\right)=a$, where
$\circ b \succ_{i} c \Leftrightarrow b \succ_{i}^{\prime} c, \forall i \in N, b, c \in A \backslash\{a\}$ (Order of others preserved)
$\circ a>_{i} b \Rightarrow a>_{i}^{\prime} b, \forall i \in N, b \in A \backslash\{a\} \quad$ ( $a$ only improves)
- Contrast with strong monotonicity
> SM requires $f\left(\overrightarrow{>}^{\prime}\right)=a$ even if $\overrightarrow{>}^{\prime}$ only satisfies the $2^{\text {nd }}$ condition
> Too strong; only satisfied by dictatorial or non-onto rules [GS Theorem]


## Axiomatic Approach

- Weak monotonicity is satisfied by most voting rules
> Popular exceptions: STV, plurality with runoff
- But violation of weak monotonicity helps STV be hard to manipulate
> Theorem [Conitzer-Sandholm '06]:
"Every weakly monotonic voting rule is easy to manipulate on average."


## Axiomatic Approach

- STV violates weak monotonicity

| 7 voters | $\mathbf{5}$ voters | 2 voters | $\mathbf{6}$ voters |
| :---: | :---: | :---: | :---: |
| a | b | b | c |
| $b$ | $c$ | $c$ | $a$ |
| c | a | a | $b$ |

- First $c$, then $b$ eliminated
- Winner: $a$

| $\mathbf{7}$ voters | $\mathbf{5}$ voters | $\mathbf{2}$ voters | $\mathbf{6}$ voters |
| :---: | :---: | :---: | :---: |
| a | b | a | c |
| b | c | b | a |
| c | a | $c$ | $b$ |

- First $b$, then $a$ eliminated
- Winner: c


## Axiomatic Approach

- Arrow's Impossibility Theorem
> Applies to social welfare functions (profile $\rightarrow$ ranking)
> Independence of Irrelevant Alternatives (IIA): If the preferences of all voters between $a$ and $b$ are unchanged, the social preference between $a$ and $b$ should not change
> Pareto optimality: If all prefer $a$ to $b$, then the social preference should be $a>b$
> Theorem: IIA + Pareto optimality $\Rightarrow$ dictatorship
- Interestingly, automated theorem provers can also prove Arrow's and GS impossibilities!


## Axiomatic Approach

- Polynomial-time computability
> Can be thought of as a desirable axiom
> Two popular rules which attempt to make the pairwise comparison graph acyclic by inverting edges are NP-hard to compute:
- Kemeny's rule: invert edges with minimum total weight
- Slater's rule: invert minimum number of edges
> Both rules can be implemented by straightforward integer linear programs
- For small instances (say, up to 20 alternatives), NP-hardness isn't a practical concern.

