

Condorcet meets Gustave (revisited)

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for

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A TALK ABOUT (NON) SEQUENTIALITY

what else?

Largely inspired from G. Heuts's
talk at GFJ 2011

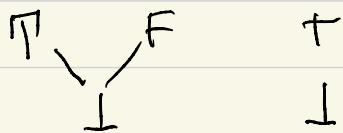
with some additions of my own

Thanks to Antonio Bucciarelli for discussions

Once upon a time in the late 1960's - early 1970's

- Scott domains and Scott continuity.

For our purpose $\text{Bool}_{\perp} = \{\perp, T, F\}$ $\mathbb{I}_{\perp} = \{\perp, T\}$



Our playground: monotone (=continuous here) functions

$$f: (\text{Bool}_{\perp})^n \rightarrow \mathbb{I}_{\perp}$$

Such functions can be recovered by their trace: the set of minimal points (x_1, \dots, x_n) s.t. $f(x_1, \dots, x_n) = T$ and hence can be described by an $m \times n$ -matrix
($m = \text{number of minimal points}$)

$$\left(\begin{array}{cccc} x_1^1 & \dots & x_n^1 \\ \vdots & \ddots & \vdots \\ \vdots & \ddots & \vdots \\ x_1^m & \dots & x_n^m \end{array} \right)$$

- Scott noticed the problematic behaviour of "poz": $(\text{Bool}_{\perp})^2 \rightarrow \mathbb{I}_{\perp}$ given by

$$\begin{pmatrix} \perp & T \\ T & \perp \end{pmatrix}$$

This launched the quest for a (genuine) fully abstract (FA) model of PCF.

Once upon a time in the late 1970's

• Berry (= Gustave, gallium.inria.fr/~huet/PUBLIC/GGJJ.pdf)

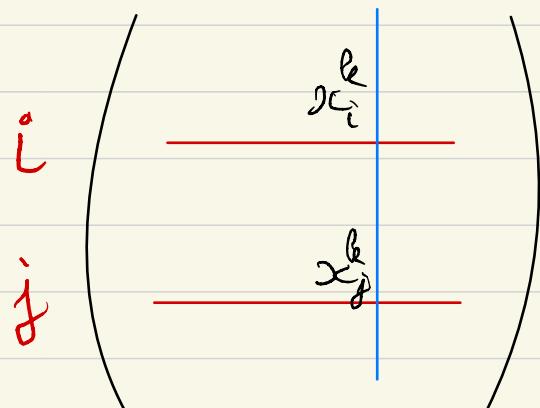
"filled" por by requiring all pairs of minimal points to be incompatible = stable functions
(rediscovered by Girard in early 1980's \rightarrow linear logic)

In the present setting, in terms of matrices:

$$\forall i, j \exists R x_i^R = T \text{ and } x_j^R = F \text{ or}$$

R

$$x_i^R = F \text{ and } x_j^R = T$$



Indeed "por" is not stable:

$$\begin{pmatrix} \perp & T \\ T & \perp \end{pmatrix} \quad \left. \begin{array}{c} (\perp, T) \\ (T, \perp) \end{array} \right\} \leq (T, T)$$

• But Berry noticed the problematic character of the function

$$\text{GUSTAVE} = \begin{pmatrix} \perp & T & F \\ F & \perp & T \\ T & F & \perp \end{pmatrix}$$

Bollemafic = non Sequential

In both cases ("por" and GUSTAVE), bollemafic means
not sequential (at (\perp, \top, \perp))

- A function $f: (\text{Bool}_\perp)^n \rightarrow \text{I}_\perp$ is sequential if

$$\exists i : (f(x_1 \dots x_n) = T) \Rightarrow x_i \neq \perp$$

so that we can start to program f by writing
if $x_i = T$ then ...

- Sequential \Rightarrow stable

Summary so far

- par is continuous but not stable
- GUSTAVE is stable but not sequential
- Then all full abstraction hunters searched ways to "kill" GUSTAVE , and Thomas is one of them, who did it (with Antonio Bucciarelli) via strong stability.
- But in this talk, we love GUSTAVE !

Definition (Huet 2011) A Gustave function is

a function $f: (\text{Bool}_\perp)^n \rightarrow \mathbb{I}_\perp$ that is

- stable, and
- not sequential at (\top, \top, \top)

Equivalent definition: each column of the matrix contains a \perp :

(in particular,
 $m \geq n$)

$$\left(\begin{array}{c c c} \perp & \dots & \\ \vdots & \perp & \dots \\ \dots & \dots & \perp \\ \vdots & \vdots & \vdots \\ \vdots & \vdots & \vdots \\ \vdots & \vdots & \vdots \end{array} \right) \quad \underbrace{\quad}_{n} \quad \underbrace{\quad}_{m} \quad (\text{up to permutation of lines})$$

Once upon a time in 1785 in the kingdom of France

ESSAI
SUR L'APPLICATION
DE L'ANALYSE
À LA
PROBABILITÉ
DES DÉCISIONS
Rendues à la pluralité des voix.

Par M. LE MARQUIS DE CONDORCET, Secrétaire perpétuel
de l'Académie des Sciences, de l'Académie Françoise, de
l'Institut de Bologne, des Académies de Pétersbourg, de
Turin, de Philadelphie & de Padoue.

Quòd si deficiant vires audacia certè
Lays erit, in magnis & voluisse sat est.



A PARIS,
DE L'IMPRIMERIE ROYALE.

M. DCCLXXXV.

Condorcet's (1743-1794) voting procedure

- We have
- a set $C = \{c_1, \dots, c_n\}$ of **candidates**
 - a set $V = \{v_1, \dots, v_{2N+1}\}$ of **voters**

Each voter gives a total order of preference of all candidates

Thus the data of a Condorcet ballot consists in a function

$$\varphi : V \rightarrow \text{Bij}(C, \{1, \dots, n\}) \quad (\text{the set of bijections from } C \text{ to } \{1, \dots, n\})$$

We write $c <_v c'$ if $\varphi(v)(c) < \varphi(v)(c')$

"v ranks c' above c "

We write $c <_r c'$ if $\text{card}\{v \mid c <_v c'\} > N$

\uparrow
 $c' \text{ beats } c$

"a majority of voters ranks c' above c "

(Strictly speaking, we should write)
 $c <^\varphi_c', c <^\varphi_r c'$

Observe that for all c, c' we have (exclusively)

$$c = c' \quad \text{or} \quad c <_r c' \quad \text{or} \quad c' <_r c$$

↑
also written
 $c >_r c'$

i.e., $<_r$ is a total strict relation.

Condorcet paradox

Warning. Unlike \prec_S , \prec_V may not be transitive. The basic example is

$$\begin{aligned} C &= \{A, B, C\}, V = \{1, 2, 3\} \\ \varphi(1) &= A \succ B \succ C \\ \varphi(2) &= B \succ C \succ A \\ \varphi(3) &= C \succ A \succ B \end{aligned}$$

We have $A \succ_V B$, $B \succ_V C$, $C \succ_V A$
(supported each by two voters over three)

Hence $A \succ_V C$ does not hold!

If \prec_V admits a (necessarily unique) maximum, i.e. c s.t. $\forall c' \neq c \quad c \succ_V c'$, then c is called Condorcet winner.

There is no winner in this example. The possible absence of a winner is called Condorcet paradox.

Note. Lack of transitivity does not prevent the existence of a winner. Just add a candidate D and put

$$\varphi(1) = D \succ A \succ B \succ C$$

$$\varphi(2) = D \succ B \succ C \succ A$$

$$\varphi(3) = D \succ C \succ A \succ B$$

Then \prec_V is not transitive, but D wins.

We have • \prec_V transitive $\Rightarrow \exists$ winner

• for $\text{card}(C) = 3$, the converse holds

• for $\text{card}(C) < 3$ there is a winner

Abstracting from the set of voters

Without loss of generality (as we shall see), we abstract from \checkmark and consider a total strict relation \prec on a set $C = \{c_1, \dots, c_n\}$ of candidates. The relation \prec can be represented as a $n \times n$ -matrix M_\prec with entries in Bool_\perp , setting

$$M_{ij} = \begin{cases} T & \text{if } c_j \prec c_i \\ I & \text{if } i=j \\ F & \text{if } c_i \prec c_j \end{cases}$$

For example, the matrix associated to the counterexample above is

$$\begin{pmatrix} I & T & F \\ F & I & T \\ T & F & I \end{pmatrix}$$

We've met
before - - -

The matrices M_\prec have the following features:

- They are square matrices ($n \times n$)
- The diagonal is filled with I , and these are the only I entries
- Setting $\overline{T} = F$, $\overline{F} = T$ and $\overline{I} = I$, we have $M_{ij} \circ c_{ji} = \overline{c_{ij}}$

Definition (PLC 2022). Such a matrix is called Semi-Condorcet

To win or not to win

ban in 1/70 not ✓

- As the *peigneur de la Police* could have said, it is super easy to detect the winner, if any, on a semi-Condorcet matrix : find a (necessarily unique) line i of the form

$$T \vdash T \perp T \vdash T \quad (c_{ij} = T \text{ for all } j \neq i)$$

- But there is another characterization that gives more information in the case of the absence of a winner: there is a uniquely determined core subset X of candidates that cause (via \perp) the paradox.

(In terms of voters, X is minimum such that if we erase the candidates in $C(X)$ from the voter, keeping the rest of the expressed preferences, then there is no winner.)

Characterising the absence of a winner

Definition (Huot 2011). We define the relation \prec^T as follows:

$c \prec^T c'$ if

- $c \prec c'$ and

- for all $c'' \neq c, c'$, if $c'' \prec c$ then $c'' \prec c'$

c' defeats c "c' beats c, and all candidates that c beats"

Lemma. The relation \prec^T is transitive.

Algorithm • Initialisation $X := C$

• while $\exists c, c' \in X$ such that $c \prec^T_{X} c'$, let $X := X - \{c'\}$

wif $X!$ (slowly, take $\prec_X = \text{restriction of } \prec \text{ to } X$, and then $\prec_X^T = (\prec_X)^T$)

Proposition (Huot 2011) • Given C and \prec total strict on C ,
there is a winner (i.e. a maximum for \prec)

↓
the algorithm terminates with $X = \{c_i\}$ for some i

The winner!

• The final state X reached by the algorithm is independent of the choices made by the algorithm (choice of c at each iteration)

• If there is no winner, the machine stops at some X with $\text{card}(X) \geq 3$, and $M_{\prec_X^T}$ displays a Gustave function.

We call $M_{\prec_X^T}$ the Condorcet witness of \prec .

(and $\text{card}(X) \neq 4$ (PLC 2022), see below)

Applying the algorithm

Algorithm

• Initialisation $X := C$

• while $\exists c, c' \in X$ such that $c \leq_X^+ c'$, let $X := X - \{c'\}$

• With a winner

$$\begin{array}{l} c_1 \perp T T \\ c_2 F \perp F \\ c_3 F T \perp \end{array}$$

$$\begin{array}{l} c_1 \perp T \\ c_2 F \perp \end{array}$$

$c_2 \perp$

• Without a winner (obtained by reverse engineering!)

$$\begin{array}{l} c_1 \perp T F T F \\ c_2 F \perp T F T \\ c_3 T F \perp T T \\ c_4 F T F \perp F \\ c_5 T F F T \perp \end{array}$$

$$\begin{array}{l} c_1 \perp T F T \\ c_2 F \perp T F \\ c_3 T F \perp T \\ c_4 F T F \perp \end{array}$$

$$\begin{array}{l} c_1 \perp T F \\ c_2 F \perp T \\ c_3 T F \perp \end{array}$$

↑
Final: no winner

Proof of the soundness and completeness of Huet's algorithm

Algorithm • Initialisation $X := C$

• while $\exists c, c' \in X$ such that $c >_X^T c'$, let $X := X - \{c'\}$

Proof of the proposition.

• If there is a winner c_i , it a position defeats all candidates,
Hence taking $C \setminus \{c_i\} = \{c_1, \dots, c_{i-1}, c_{i+1}, \dots, c_n\}$ in any order we can
let $X := C \setminus \{c_i\}$, $X := C \setminus \{c_i, c_{i+1}\}$ etc. until $X := C \setminus \{c_1, \dots, c_{i-1}\} = \{c_i\}$

• The converse is an immediate consequence of the following claim:

If ① $X \not\subseteq C$, $c' \in C \setminus X$, $c_1, c_2 \in X$

② $c_1 \in X$ wins relatively to X

③ c_2 defeats c' relatively to $X \cup \{c'\}$

then c_1 wins relatively to $X \cup \{c'\}$.

Proof of the claim. We have

• $c_1 >_X^T c_2$ by ②, or equivalently $c_1 >_{X \cup \{c'\}}^T c_2$

• Hence $c_1 >_{X \cup \{c'\}}^T c_2 >_{X \cup \{c'\}}^T c' \xrightarrow[3]{\text{transitivity lemma}} c_1 >_{X \cup \{c'\}}^T c' \Rightarrow c_1 >_{X \cup \{c'\}}^T c'$

Which Gustave functions arise as Condorcet witnesses?

By construction, a Condorcet witness is a (sub) set X of candidates such that $\forall c_i, c_j \in X \ c_i >_X c_j, \alpha$, equivalently

$$\forall c_i, c_j (c_i >_X c_j \Rightarrow \exists k \neq i, j (c_j >_X c_k \text{ and } c_i <_X c_k))$$

Translating this in terms of matrices, we arrive at:

Definition. A semi-Condorcet matrix M is called a Condorcet matrix iff the following additional condition holds:

- $\forall i, j$, if $M_{ij} = T$ (and hence $M_{ji} = F$), then there exists $k \neq i, j$ s.t. $M_{ik} = F$ and $M_{jk} = T$. Such a k is called a Condorcet witness (of stability of the associated function) for i, j .

$$\begin{matrix} & i & j & k \\ i & \left(\begin{array}{ccc} \dots & \dots & \dots \\ -1 & T & F \\ \dots & \dots & \dots \\ -F & 1 & T \\ \dots & \dots & \dots \end{array} \right) \\ j & & & \end{matrix}$$

A function is called a Condorcet function if its matrix is Condorcet

Thus, by definition, Condorcet \subseteq Gustave

The eight 3×3 Gustave functions

LFF	LFF	LFT	LFT
TLT	F+T	TLF	F+T
FTL	T+T	FTL	TTL
LTF	LTF	LTF	LTF
T+T	F+T	F+T	F+T
FTL	T+T	FTL	FTL
LTF	LTF	LTF	LTF
T+T	F+T	F+T	F+T

- Each of the six excluded functions is refuted

for two reasons:

- not semi-Condorcet
- no Condorcet witness of stability

This is special to $n=3$!

- The remaining ones are GUSTAVE and its mirror

Gérard (= Gustave = GB) could not
have been closer to
the Marquis de Condorcet!

Summary:

for $n=3$

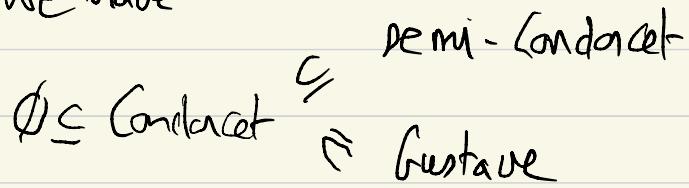
Condorcet = semi-Condorcet = {GUSTAVE, co-GUSTAVE} $\not\subseteq$ Gustave

A curiosity: There is no 4×4 Condorcet function

1 $a=T$ $\begin{bmatrix} \perp T F C \\ F \perp T e \end{bmatrix}$ $b=F$ $T F \perp f$ $d=T$ $\bar{c} \bar{e} \bar{f} \perp$	1.1 $\perp T F C$ $e=F$ $\begin{bmatrix} \perp F \perp T F \\ \perp T F \perp f \\ \bar{c} T \bar{f} \perp \end{bmatrix}$ <i>forces</i> $\bar{b}=F$	$\perp T F C$ $F \perp T F$ $T F \perp T$ $\bar{c} T F \perp$	<i>compatible!</i> <i>No</i>	
1.2 $e=T$ $\begin{bmatrix} \perp T F C \\ F \perp T T \end{bmatrix}$ $. .$ $\perp T F \perp f$ $\bar{c} F \bar{f} \perp$	1.2 $\perp T F C$ $e=T$ $\begin{bmatrix} \perp F \perp T T \\ \perp T F \perp f \\ \bar{c} F \bar{f} \perp \end{bmatrix}$ <i>forces</i> $\bar{c}=T$	$\perp T F F$ $F \perp T T$ $T F \perp f$ $T F \bar{f} \perp$	<i>compatible!</i> <i>No</i>	
2 $a=T$ $\begin{bmatrix} \perp T b F \\ F \perp d T \end{bmatrix}$ $c=F$ $\bar{b} \bar{d} \perp f$ $e=T$ $T F \bar{f} \perp$	2.1 $\perp T b F$ $f=T$ $F \perp d T$ $. .$ $\perp \bar{b} \bar{d} \perp T$ $\tau F F \perp$	<i>forces</i> $\bar{b}=F$	$\perp T T F$ $F \perp d T$ $F \bar{d} \perp T$ $T F F \perp$	<i>compatible!</i> <i>No</i>
2.2 $f=F$ $F \perp d T$ $. .$ $\perp \bar{b} \bar{d} \perp F$ $\tau F T \perp$	2.2 $\perp T b F$ $f=F$ $F \perp d T$ $. .$ $\perp \bar{b} \bar{d} \perp F$ $\tau F T \perp$	<i>force</i> $\bar{d}=T$	$\perp T b F$ $F \perp F T$ $\bar{b} T \perp F$ $\tau F T \perp$	<i>compatible!</i> <i>No</i>
3 $a=F$ $\begin{bmatrix} \perp F T C \\ T \perp F e \end{bmatrix}$ $b=T$ $F T \perp f$ $d=F$ $\bar{c} \bar{e} \bar{f} \perp$	3.1 $\perp F T C$ $f=T$ $T \perp F e$ $. .$ $\perp F T \perp T$ $\bar{c} \bar{e} F \perp$	<i>forces</i> $\bar{c}=T$	$\perp F T F$ $T \perp F e$ $F T \perp T$ $\bar{T} \bar{e} F \perp$	<i>compatible!</i> <i>No</i>
3.2 $f=F$ $T \perp F e$ $. .$ $\perp F T \perp F$ $\bar{c} \bar{e} T \perp$	3.2 $\perp F T C$ $f=F$ $T \perp F e$ $. .$ $\perp F T \perp F$ $\bar{c} \bar{e} T \perp$	<i>force</i> $\bar{e}=F$	$\perp F T C$ $T \perp F T$ $F T \perp F$ $\bar{c} F T \perp$	<i>compatible!</i> <i>No</i>
4 $a=F$ $\begin{bmatrix} \perp F b T \\ T \perp d F \end{bmatrix}$ $c=T$ $\bar{b} \bar{d} \perp f$ $e=F$ $F T \bar{f} \perp$	4.1 $\perp F b T$ $f=T$ $T \perp d F$ $. .$ $\perp \bar{b} \bar{d} \perp T$ $F T F \perp$	<i>force</i> $\bar{d}=F$	$\perp F b T$ $T \perp T F$ $\bar{b} F \perp T$ $F T F \perp$	<i>compatible!</i> <i>No</i>
4.2 $f=F$ $T \perp d F$ $. .$ $\perp \bar{b} \bar{d} \perp F$ $F T T \perp$	4.2 $\perp F b T$ $f=F$ $T \perp d F$ $. .$ $\perp \bar{b} \bar{d} \perp F$ $F T T \perp$	<i>force</i> $\bar{b}=T$	$\perp F F T$ $T \perp d F$ $\bar{T} \bar{d} \perp F$ $F T T \perp$	<i>compatible!</i> <i>No</i>

Gustave vs semi-Condorcet vs Condorcet for $n \leq 4$

For all n , we have



• $n=2$ $\text{Condorcet} = \text{Gustave} = \emptyset \not\subseteq \text{Demi-Condorcet} = \left\{ \begin{pmatrix} \perp & \top \\ F & \perp \end{pmatrix}, \begin{pmatrix} \perp & F \\ \top & \perp \end{pmatrix} \right\}$

• $n=3$

$$\text{Condorcet} = \text{semi-Condorcet} = \{\text{GUSTAVE}, \text{co-GUSTAVE}\} \not\subseteq \text{Gustave}$$

• $n=4$

$$\text{Condorcet} = \emptyset \not\subseteq \text{Gustave}$$

\approx

semi-Condorcet

$$\begin{matrix} \perp & T & F & F \\ F & \perp & T & F \\ F & F & \perp & T \\ T & F & T & \perp \end{matrix}$$

$$\begin{matrix} \perp & T & F & F \\ F & \perp & T & F \\ T & F & \perp & F \\ T & T & T & \perp \end{matrix}$$

An example of a 5x5 Condorcet function

T	T	F	T	F
F	L	T	F	F
T	F	L	T	T
F	T	F	L	T
T	T	F	F	L

L	T	F	T	F
F	L	T	F	F
T	F	L	T	T
F	T	F	L	T
T	T	F	F	L

L	T	F	T	F
F	L	T	F	F
T	F	L	T	T
F	T	F	L	T
T	T	F	F	L

L	T	F	T	F
F	L	T	F	F
T	F	L	T	T
F	T	F	L	T
T	T	F	F	L

L	T	F	T	F
F	L	T	F	F
T	F	L	T	T
F	T	F	L	T
T	T	F	F	L

L	T	F	T	F
F	L	T	F	F
T	F	L	T	T
F	T	F	L	T
T	T	F	F	L

L	T	F	T	F
F	L	T	F	F
T	F	L	T	T
F	T	F	L	T
T	T	F	F	L

L	T	F	T	F
F	L	T	F	F
T	F	L	T	T
F	T	F	L	T
T	T	F	F	L

L	T	F	T	F
F	L	T	F	F
T	F	L	T	T
F	T	F	L	T
T	T	F	F	L

L	T	F	T	F
F	L	T	F	F
T	F	L	T	T
F	T	F	L	T
T	T	F	F	L

L	T	F	T	F
F	L	T	F	F
T	F	L	T	T
F	T	F	L	T
T	T	F	F	L

L	T	F	T	F
F	L	T	F	F
T	F	L	T	T
F	T	F	L	T
T	T	F	F	L

Synthesising a 6×6 Condorcet function

L	T	F	T	F	T
F	L	T	F	F	.
T	F	L	T	T	.
F	T	F	L	T	
T	T	F	F	L	F
F	.	.	.	T	L

L	T	F	T	F	T
F	L	T	F	F	T
T	F	L	T	T	
F	T	F	L	T	
T	T	F	F	L	F
F	F	.	.	T	L

L	T	F	T	F	T
F	L	T	F	F	T
T	F	L	T	T	F
F	T	F	L	T	
T	T	F	F	L	F
F	F	T	T	L	

L	T	F	T	F	T
F	L	T	F	F	T
T	F	L	T	T	F
F	T	F	L	T	F
T	T	F	F	L	F
F	F	T	T	T	L

Question.

Does

$\emptyset \neq$ Condorcet

\nexists Gustave

Hold for all $n \geq 5$?

(In particular, are there Condorcet functions for all $n \neq 1, 2, 4$?)

Back to voting

Proposition (PLC 2022) For any set $C = \{c_1, \dots, c_n\}$ of candidates, for any total strict relation \prec on C , there exists a set of voters (of odd cardinality) and a Condorcet ballot such that $\prec_V = \prec$.

Lemma For fixed C , if (V, φ) is a Condorcet ballot, then, taking

$$W = (V.1) \cup (V.2) \cup \{\star\} \quad \text{and } \psi \text{ defined as follows:}$$

- $\psi(v.1) = \varphi(v)$
- $\psi(v.2) = \varphi(v)$
- $\psi(\star) = \text{whatever choice}$

we have $\prec_V = \prec_W$.

Proof. We have, for all $c, c' \in C$:

$$|\{w \mid w \in W \setminus \{\star\} \text{ and } c \prec_w c'\}| - |\{w \mid w \in W \setminus \{\star\} \text{ and } c' \prec_w c\}| \geq 2$$

And hence the single vote of \star cannot make a difference.

Proof of Proposition. We proceed by induction on the number of candidates.

Assume we have found V such that $\prec_V = \text{restriction of } \prec \text{ to } X \subseteq C$, and pick $c \in C \setminus X$. Then take W, ψ as in the Lemma (relatively to X),

- extending ψ on $W \setminus \{\star\}$ by setting

- every $v.1$ places c in first position
- every $v.2$ places c in last position

- constraining the choice of the vote of \star so as to have

- \star prefers c to all candidates c' such that $c' \prec c$
- \star prefers all candidates c' such that $c' \prec c$ to c

Once upon a time in the late 1980's



CHAPEAU
BAS À
THOMAS!