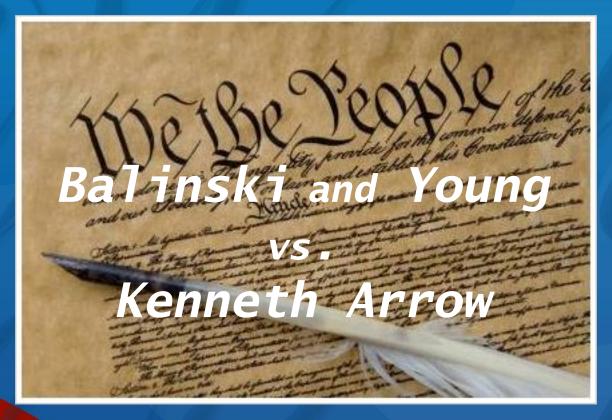
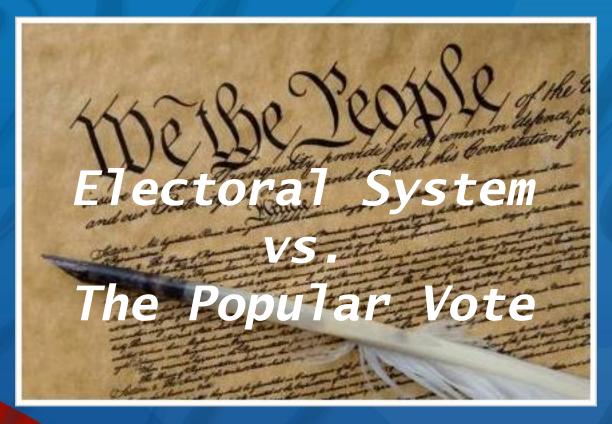


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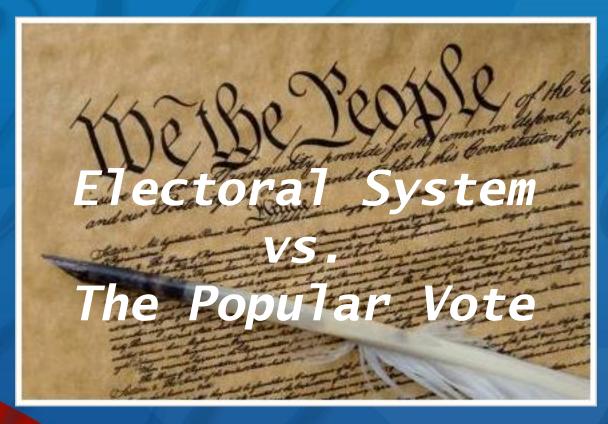


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Advice

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Question

What is an election?

Question

What is the difference between a war and an election?

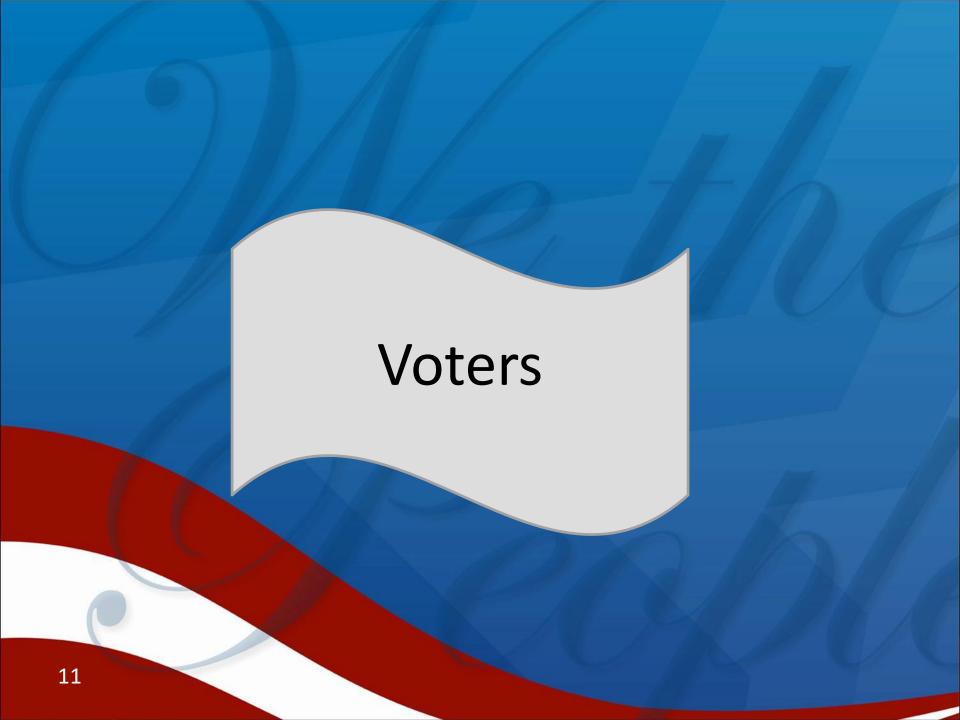
Question

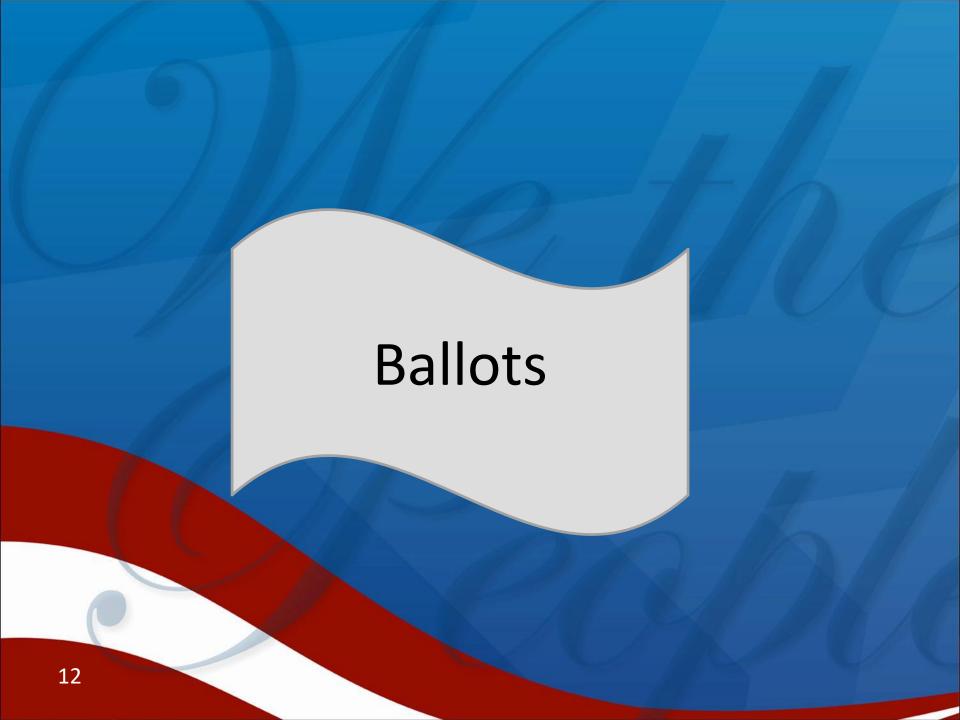
A prime goal of democracy is to replace wars with elections by replacing bullets with ballots.

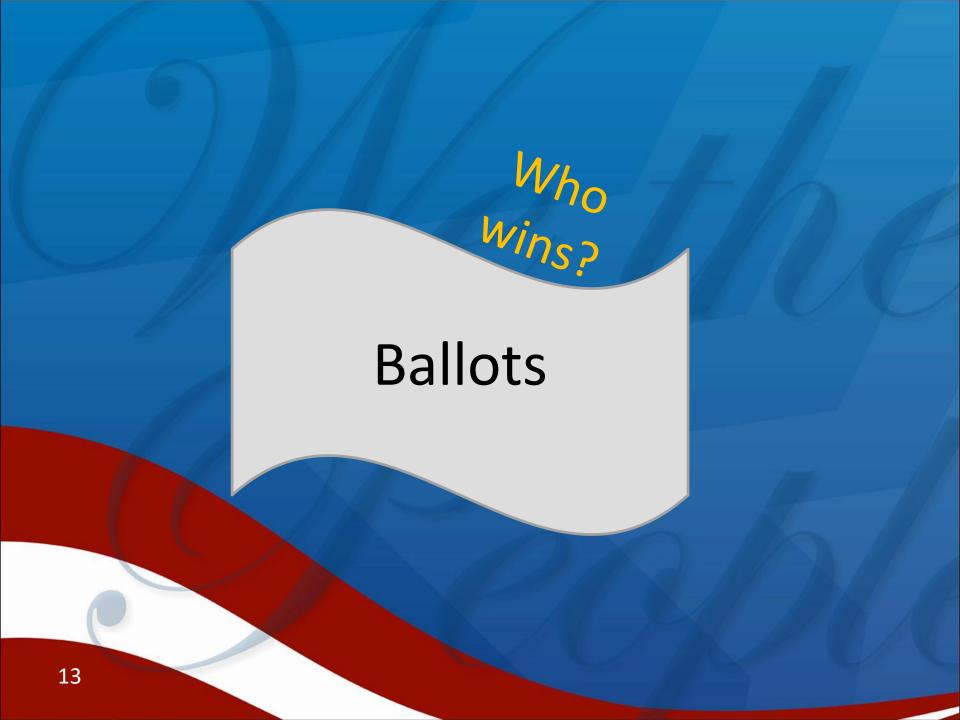
An *Election* is an example of a basic problem.

An *Election* is an example of a basic problem.

How can one say something informative about a group when the individuals in the group are all different?







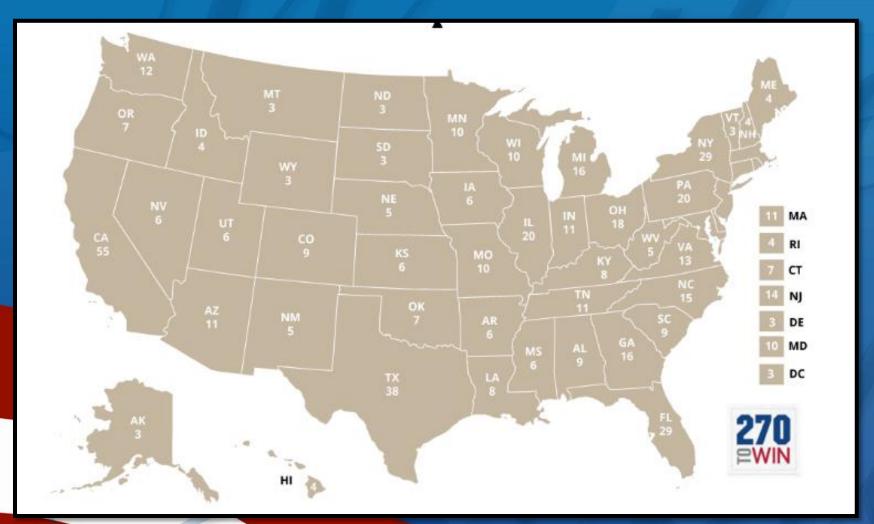
What do you see?



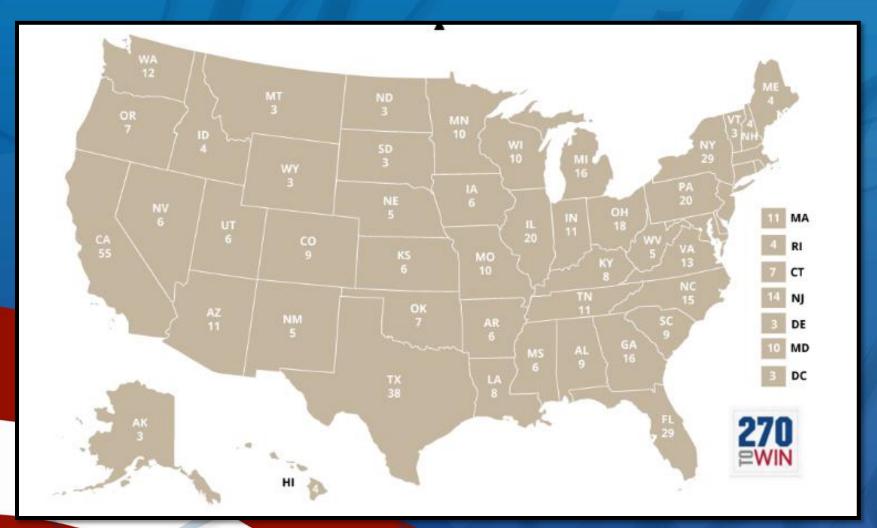
Two Models

- Electoral College Model
- States Model

Electoral College Model



States Model



The States Model

In a presidential election the *electorate* consists of the 50 states plus the District of Columbia.

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The *ballot* is not one-state, one-vote.

The ballot is a weighted ballot as described by the *electoral system*.

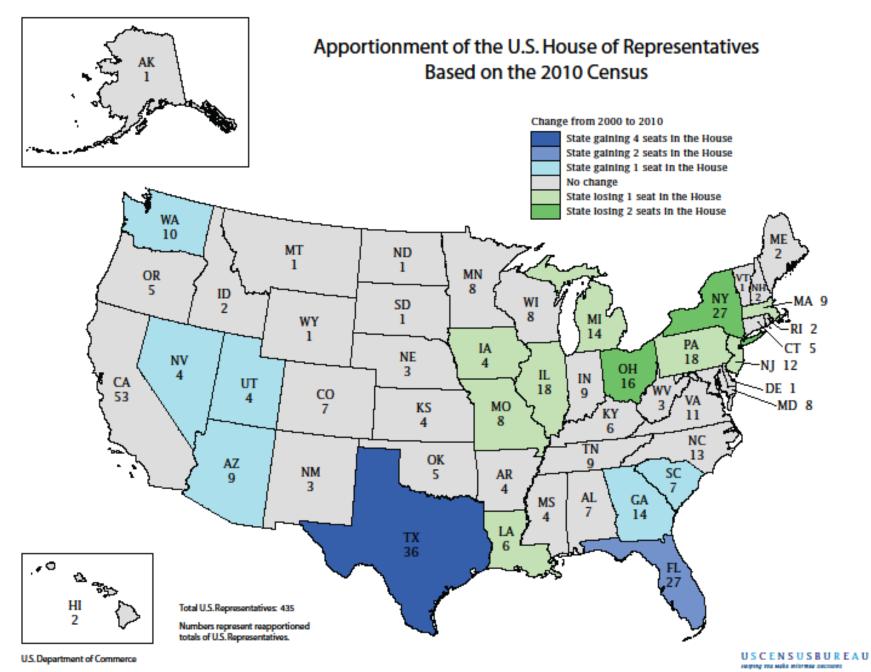
The Electoral College

The President is elected by a majority vote of the electors as specified by the U. S. Constitution, Article II, Section 1 with Amendment XII (ratified in 1804) and Amendment XX (ratified in 1933).

The Electoral College

The College consists of a slate of electors from each state. The number of electors equals the number of members of Congress—the number of representatives in the House plus two senators.

Amendment XXIII (ratified 1961) allows the District of Columbia three electors.



Small State Bias

The Electoral College is heavily weighted towards smaller states.

California has 66 times the population of Wyoming.

The electoral vote ratio is CA 55 and WY 3.

Background for Congressional Apportionment

- 1. Average two different positive numbers.
- 2. Round a positive decimal number.

1. The average of a and b where 0 < a < b.

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ave
$$(a,b)$$
 = max (a,b) = b
min (a,b) = a
AM (a,b) = $(a+b)/2$
GM (a,b) = $\sqrt{a \times b}$
HM (a,b) = $\frac{2}{\frac{1}{a} + \frac{1}{b}} = \frac{2ab}{a+b}$

For Example: ave(8,12) =

- \rightarrow max(8,12) = 12
- \rightarrow min(8,12) = 8
- \rightarrow AM(8,12) = 10
- > GM(8,12) = $\sqrt{8 \times 12} \approx 9.8$
- \rightarrow HM(8,12) = $\frac{2}{\frac{1}{8} + \frac{1}{12}}$ = 9.6

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$$\frac{2}{\frac{1}{8} + \frac{1}{12}}$$
 = 9.6

Always, min < HM < GM < AM < max.

2. How to round a positive decimal number.

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HM(n,n+1)

```
q \ge \max(n,n+1) round down \min(n,n+1) round up \operatorname{AM}(n,n+1) round normally \operatorname{GM}(n,n+1) geometric mean
```

harmonic mean

Congressional Apportionment Two Approaches

Constituency Approach:

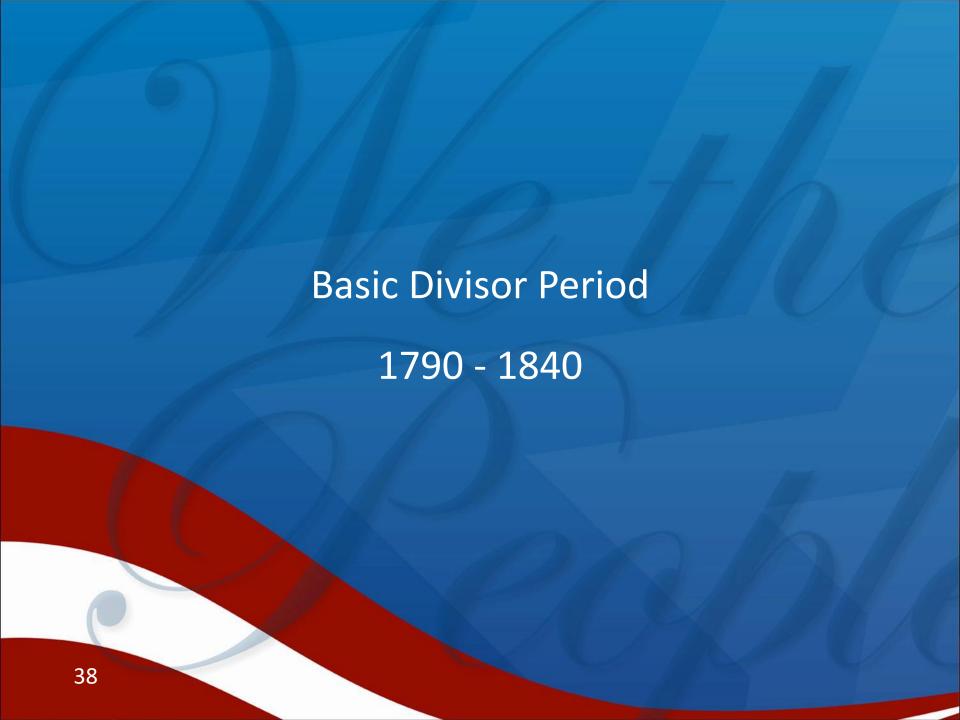
House Size Approach:

Congressional Apportionment Two Approaches

- Constituency Approach: How many people should a congressperson represent?
- House Size Approach:

Congressional Apportionment Two Approaches

- Constituency Approach: How many people should a congressperson represent?
- House Size Approach: How many seats should there be in the House?



Basic Divisor Methods

Step 1: How many should a congressman represent?

Step 2: Divide into a state's population.

Step 3: Round the resulting decimal.

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Basic Divisor Methods

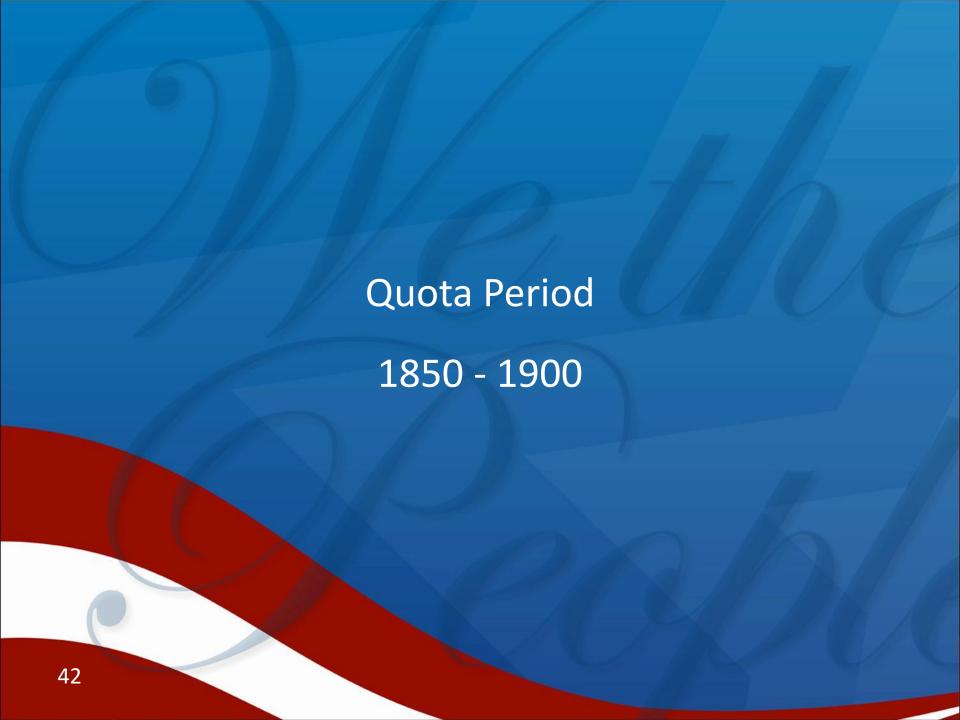
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Step 2: Divide into a state's population.

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1790 – 1830: round down 1840: round normally

Also proposed:
round up
round by harmonic mean



Quota Method

- Step 1. Decide House size, h.
- Step 2. Calculate each state's quota:

$$Quota = (House \ size) \times \frac{state \ population}{national \ population}$$

Let n = integer part of the Quota.

Step 3. Select $a \in \{n, n+1\}$ so that h is attained.

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Use the decimal part as a priority list.

Hamilton's Method

Alabama Paradox

When the number of House seats is increased, a given state's apportion may decrease.

The Deal Breaker

Results from the 1890 census doomed Hamilton's Method.



House Size	Seats
350 – 382	3
383 – 385	4
386	3
387 – 388	4
389 – 390	3
391 - 400	4

Modified Divisor Period 1910 - present

Ad-hoc Modified Divisor

Step 1. Decide the House size: *h*.

Step 2. Apply a basic divisor method to obtain the preset h.

Priority

- Step 1. Give one seat to each state.
- Step 2. Construct a sorted list of priority numbers.
- Step 3. Award seats one at a time by priority until the desired House size is reached.

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$$A_n = \frac{state\ population}{\sqrt{n \times (n+1)}}$$

The Aftermath

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There are no perfect apportionment methods.

Any method that satisfies the quota rule produces paradoxes; any method that is free of the Alabama paradox may violate the quota rule.

The Presidential Election

In each state except Maine and Nebraska, the electoral slate is decided by plurality winner of the popular vote, known as "winner take all."

When you cast a vote for candidate X in a presidential election, you are casting a vote for X's slate of electors in your state.

The 2016 Presidential Election

The popular vote:

Hillary Clinton: 65,844,610 48.2%

Donald Trump: 62,979,636 46.1%

Others: 7,804,213 5.7%

Certified Results:

http://cookpolitical.com/story/10174

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The Electoral College vote:

Hillary Clinton: 227

Donald Trump: 304

Others: 7

The Popular Vote

Arguably, on 4 other occasions in U. S. history the electoral and popular systems produced different results.

- 1. John Quincy Adams vs. Andrew Jackson 1824
- 2. Rutherford B. Hayes vs. Samuel Tilden 1876
- 3. Benjamin Harrison vs. Grover Cleveland 1888
- 4. George Bush vs. Al Gore 2000

Candidate	Party	Popular Vote	Electoral Vote
Rutherford B. Hayes (OH)	Republican	4,034,142	185
Samuel J. Tilden (NY)	Democratic	4,286,808	184
Peter Cooper (NY)	Greenback	83,726	

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Lesson: Hayes' Electoral College victory was an artifact of the method used for congressional apportionment.

The original apportionment based on the 1870 census used the Hamilton Quota Method. The 1872 supplement act added nine seats but used a different method. The methods agreed except for two seats: the original method would have awarded the seats to Illinois and New York, but the supplement awarded them to New Hampshire and Florida.

Candidate	Party	Popular Vote	Electoral Vote
George W. Bush (TX)	Republican	5,443,633	271
Albert Gore (TN)	Democratic	5,538,163	266
Ralph Nader (DC)	Green	250,017	 -
Patrick Buchanan (VA)	Reform	149,115	

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Lesson: Bush's Electoral College victory was an artifact of the size of the House of Representatives.

Neubauer and Zeitlin

Neubauer and Zeitlin calculated the Electoral College vote based on House sizes 50 - 1000 using the current method of congressional apportionment.

For all House sizes larger than 597, except 655 which produces a tie, Gore wins. For all House sizes smaller than 491 Bush wins.

Neubauer and Zeitlin

In the intermediate range 492-597 the winner oscillates between Bush and Gore.

For these 106 House sizes, there are 24 ties, Bush wins 53 times, and Gore wins 29 times.

http://www.thirty-thousand.org/pages/Neubauer-Zeitlin.htm

Also, Michael Neubauer and Joel Zeitlin, Apportionment and the 2000 Election, *The College Mathematics Journal* 34(1), January 2003: 2-10.

The 2000 election displays another potential problem. The number of electoral votes each state gets is tied to the decennial census. Although the election was in 2000, apportionment of the House was based on the 1990 census. An election held in a census year is based on a population that is ten years old.

What would have been the result of Bush vs. Gore if the Electoral College vote were based on the 2000 census for congressional apportionment?

In comparison with the 1990 census the 2000 census affected congressional apportionment for 18 states shifting 12 seats:

Arizona, gain 2; California, gain 1; Colorado, gain 1; Connecticut, lose 1; Florida, gain 2; Georgia, gain 2; Illinois, lose 1; Indiana, lose 1; Michigan, lose 1; Mississippi, lose 1; Nevada, gain 1; New York, lose 2; North Carolina, gain 1; Ohio, lose 1; Oklahoma, lose 1; Pennsylvania, lose 2; Texas, gain 2; Wisconsin, lose 1.

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Accordingly, the electoral vote would have changed from

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Accordingly, the electoral vote would have changed from

Bush 271 and Gore 266 to Bush 277 and Gore 259.

Reform

Over the past 200 years, over 700 proposals have been introduced in Congress to reform or eliminate the Electoral College. There have been more proposals for Constitutional amendments on changing the Electoral College than on any other subject.

https://www.archives.gov/federal-register/electoral-college/faq.html#whyec

Today's Debate

Resolved: The electoral system should be replaced by the popular vote system.

What's the Popular Vote System? 73

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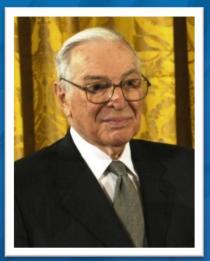
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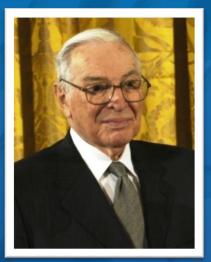
Arrow's Theorem



There is no voting system that can satisfy basic requirements of fairness in all cases.

Kenneth Arrow Nobel Prize in Economics 1972

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https://www.washingtonpost.com/national/kenneth-arrow-nobel-laureate-and-seminal-economist-with-wide-impact-dies-at-95/2017/02/21/089c3888-f8aa-11e6-be05-1a3817ac21a5_story.html?hpid=hp_hp-more-top-stories_ob-main-arrow-1017pm%3Ahomepage%2Fstory&utm_term=.bcb13cdccd94

Fairness Axioms 78

Fairness Axioms

Individual Sovereignty

Should there be a uniform national presidential ballot?

Should there be a national ballot access law?

Should there be a uniform national presidential ballot?

Should there be a national ballot access law?

Ballots differ state to state. GA, IN, OK listed 3 candidates; CA 5; TN 7; UT 10; CO 22.

http://www.politico.com/2016-election/results/map/president

Should there be a uniform national presidential ballot?

- Should there be a national ballot access law?
- Should there be a write-in provision?Today 9 states do not allow a write-in.

https://ballotpedia.org/Ballot access for presidential candidates

Should there be uniform suffrage for a national popular vote?

Should there be uniform suffrage for a national popular vote?

Should all American citizens "in goodstanding" be allowed to vote in the national popular election for President?

http://felonvoting.procon.org/view.resource.php?resourceID=000286

Should there be uniform suffrage for a national popular vote?

- Should all American citizens "in goodstanding" be allowed to vote in the national popular election for President?
- What about American citizens who live in a U.S. territory but are not citizens of a state or residents of D. C.?

What should be the structure of the ballot in a national presidential election?

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Vote for One.

What should be the structure of the ballot in a national presidential election?

- Vote for One.
- Approval.

What should be the structure of the ballot in a national presidential election?

- Vote for One.
- Approval.
- Ranked Choice.

An election must feature a ballot. Assume the ballot is the same for each voter; further, one person/one ballot.

The structure of the ballot determines your voice in an election.

During the Stalin era of the Soviet Union, a ballot looked like this:

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District Commisar Vote for One

☐ Alesander Kolnovic

A two-option ballot looks like this:

Vote for One

- ☐ Option A
- ☐ Option B

A multi-option ballot looks like this:

Instruction

- Option A
- ☐ Option B
- ☐ Option C
- ☐ Option D
- ☐ Option E

A multi-option ballot looks like this:

Vote for One

- ☐ Option A
- ☐ Option B
- Option C
- ☐ Option D
- ☐ Option E

A multi-option ballot looks like this:

Vote for One

- ☐ Option A
- ☐ Option B
- ☐ Option C
- ☐ Option D
- Option E

Notice how restricted the voter's voice is.

A multi-option ballot looks like this:

Vote for One

- Option A
- ☐ Option B
- Option C
- Option D
- Option E

Notice how restricted the voter's voice is.

Many voters vote strategically rather than honestly.

Approval Voting

A multi-option ballot looks like this:

Approval List

- ☐ Option A
- ☐ Option B
- ☐ Option C
- ☐ Option D
- ☐ Option E

Vote for all options that you approve.

Which Ballot?

Vote for One Party ☐ Hillary Clinton and Tim Kaine Democratic ☐ Gloria Estela La Riva and Dennis J. Banks Peace and Freedom ☐ Donald J. Trump and Michael R. Pence Republican, American Independent ☐ Gary Johnson and Bill Weld Libertarian ☐ Jill Stein and Ajamu Baraka Green

Which Ballot?

Vote for One Party Vote for all Approved ☐ Hillary Clinton ☐ Hillary Clinton and Tim Kaine and Tim Kaine **Democratic** Democratic Gloria Estela La Riva ☐ Gloria Estela La Riva and Dennis J. Banks and Dennis J. Banks Peace and Freedom Peace and Freedom ☐ Donald J. Trump Donald J. Trump and Michael R. Pence and Michael R. Pence Republican, American Independent Republican, American Independent Gary Johnson ☐ Gary Johnson and Bill Weld and Bill Weld Libertarian Libertarian Jill Stein ☐ Jill Stein and Ajamu Baraka and Ajamu Baraka Green Green

Ranked Choice Voting

In a ranked choice ballot the voter ranks some or all of the candidates.

In a full ranked system, if the ballot displays five choices, then you rank those choices 1 though 5.

News Flash In the 2016 election Maine approved a full ranked system for statewide offices.

https://ballotpedia.org/Maine Ranked Choice Voting Initiative, Question 5 (2016)

Instant Runoff Voting

Rank the options							
	<u>Rank</u>						
<u>Option</u>	/1	2	3	4	5		
Α	0	0	0	0	0		
В	0	0	0	0	0		
С	0	0	0	0	0		
D	0	0	0	0	0		
E	0	0	0	0	0		

Instant Runoff Voting

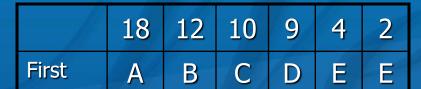
	18	12	10	9	4	2
First	Α	В	С	D	É	Ħ
Second	D	Е	В	С	В	С
Third	Е	D	Е	Е	D	D
Fourth	С	С	D	В	C	В
Fifth	В	Α	Α	Α	A	A

N=55, 28 needed to win.



Who Wins?

Vote for One



Vote for One: The candidate with the most first place votes wins.

Vote for One



Vote for One: The candidate with the most first place votes wins.

A wins.

Vote for One

	18	12	10	9	4	2
First	Α	В	С	D	E	П
Second	D	Е	В	С	В	С
Third	Е	D	Е	Е	D	D
Fourth	С	С	D	В	C	В
Fifth	В	A	A	A	A	A

Problem: the least desirable candidate may win.

N = 55

Instant Runoff Voting

	18	12	10	9	4	2
First	Α	В	С	D	E	Е
Second	D	E	В	С	В	С
Third	Е	D	Е	Ε	D	D
Fourth	С	С	D	В	С	В
Fifth	В	Α	Α	A	A	Α

N=55, 28 needed to win.

No candidate gets a majority of first place votes.

	18	12	10	9	4	2
First	Α	В	С	D	E	E
Second	D	E	В	С	В	С
Third	Е	D	Е	Ε	D	D
Fourth	С	С	D	В	С	В
Fifth	В	A	А	A	A	Α

Eliminate the "least fit" candidate and then recount the votes.

	18	12	10	9	4	2
First	Α	В	С	D	E	E
Second	D	E	В	С	В	С
Third	Е	D	Е	Ε	D	D
Fourth	С	С	D	В	С	В
Fifth	В	Α	Α	A	A	Α

Eliminate the "least fit" candidate and then recount the votes. Eliminate E.

	18	12	10	9	4	2
First	Α	В	С	D	19	
Second	D		В	С	В	С
Third		D			D	D
Fourth	С	С	D	В	С	В
Fifth	В	A	Α	A	A	Α

Eliminate the "least fit" candidate and then recount the votes. Eliminate E.

	18	12	10	9	4	2
First	Α	В	С	D	В	С
Second	D	D	В	C	D	D
Third	С	С	D	В	С	В
Fourth	В	Α	Α	Α	Α	Α
Fifth						

Eliminate the "least fit" candidate and then recount the votes. Eliminate E.

	18	12	10	9	4	2
First	Α	В	С	D	В	С
Second	D	D	В	C	D	D
Third	С	С	D	В	С	В
Fourth	В	Α	Α	Α	Α	Α
Fifth						

N=55, 28 needed to win.

Eliminate the "least fit" candidate and then recount the votes. Eliminate E.

Next eliminate D.

	18	12	10	9	4	2
First	Α	В	С		В	С
Second			В	С	V	
Third	С	С		В	С	В
Fourth	В	Α	A	Α	Α	Α
Fifth						

N=55, 28 needed to win.

Eliminate the "least fit" candidate and then recount the votes. Eliminate E.

Next eliminate D.

	18	12	10	9	4	2
First	Α	В	С	С	В	С
Second	С	С	В	В	С	В
Third	В	Α	Α	Α	Α	Α
Fourth						
Fifth						

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Eliminate the "least fit" candidate and then recount the votes. Eliminate E.

Next eliminate D.

	18	12	10	9	4	2
First	Α	В	С	С	В	С
Second	С	С	В	В	С	В
Third	В	Α	Α	Α	Α	Α
Fourth						X
Fifth						

N=55, 28 needed to win.

Eliminate the "least fit" candidate and then recount the votes. Eliminate E.

Next eliminate D.

Next eliminate B.

	18	12	10	9	4	2
First	Α		С	С	19	С
Second	С	С			С	
Third		Α	Α	Α	Α	Α
Fourth						
Fifth						

N=55, 28 needed to win.

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Next eliminate D.

Next eliminate B.

	18	12	10	9	4	2
First	Α	С	С	С	С	С
Second	С	Α	Α	Α	Α	Α
Third						
Fourth						X
Fifth						

N=55, 28 needed to win.

Eliminate the "least fit" candidate and then recount the votes. Eliminate E.

Next eliminate D.

Next eliminate B.

	18	12	10	9	4	2
First	Α	С	С	С	С	С
Second	С	Α	Α	Α	Α	Α
Third						
Fourth						X
Fifth						

N=55, 28 needed to win.

Eliminate the "least fit" candidate and then recount the votes. Eliminate E.

Next eliminate D.

Next eliminate B.

C wins: 37-18!

	18	12	10	9	4	2
First	Α	В	С	D	Е	Ш
Second	D	E	В	С	В	С
Third	Е	D	Ε	Ε	D	D
Fourth	С	С	D	В	С	В
Fifth	В	Α	А	A	A	Α

N=55, 28 needed to win.

Question: How many votes did C get?

Fairness Axioms

- Individual Sovereignty
- Majority Rules
- Condorcet Rule

Condorcet

	18	12	10	9	4	2
First	Α	В	С	D	Ш	E
Second	D	Е	В	С	В	С
Third	Е	D	Ε	Ε	D	D
Fourth	С	С	D	В	С	В
Fifth	В	A	Α	Α	Α	Α

If a candidate can beat all rivals one-on-one, then that candidate is the winner.

Condorcet

	18	12	10	9	4	2
First	Α	В	С	D	Ш	П
Second	D	Е	В	С	В	С
Third	Е	D	Е	Е	D	D
Fourth	С	C	D	В	С	В
Fifth	В	A	A	A	A	A

If a candidate can beat all rivals one-on-one, then that candidate is the winner.

B vs. E C vs. E D vs. E A vs. E 18 37 22 33 19 36

27 28

E wins!

Condorcet

	18	12	10	9	4	2
First	Α	В	С	D	Ε	E
Second	D	Е	В	С	В	С
Third	Е	D	Е	Ε	D	D
Fourth	С	С	D	В	С	В
Fifth	В	A	A	A	Α	Α

Coombs: Eliminate the least desirable candidate, the candidate with *the most last place votes*.

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A vs. E B vs. E C vs. E D vs. E E wins!
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State Sovereignty

Or, we could just keep voting as a "state's rights" matter.

Ballot access, ballot structure, suffrage, voting mechanics would be left up to each state. Then count the certified popular vote in each state as is currently done.

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What could possibly go wrong?

Should the electoral system be replaced by a popular vote system?

Thank You

What is an election?

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