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NON-MINORITY RULES: CHARACTERIZATION OF CONFIGURATIONS WITH RATIONAL SOCIAL PREFERENCES

Satish K. JAIN

Abstract: It is shown that for every non-minority rule a necessary and sufficient condition (i) for quasi-transitivity is that value-restriction or weakly conflictive preferences or unique-value restriction holds over every triple of alternatives and (ii) for transitivity is that conflictive preferences or extreme-value restriction holds over every triple of alternatives.

The purpose of this paper is to derive necessary and sufficient conditions for quasi-transitivity and transitivity of non-minority rules. One member of this class, namely the simple non-minority rule, also known as absolute (strict) majority rule, has been widely discussed in the literature. Several conditions on configurations of individual preferences have been formulated for the rationality of the social preference relation generated by the simple non-minority rule. Dummett and Farquharson [2] have shown that if in every triple of alternatives there exists an alternative which no individual regards as uniquely worst then the simple non-minority rule yields acyclic social preferences. Pattanaik [6] showed that the existence of an alternative in every triple which is regarded by none as uniquely best also guarantees acyclicity. In [3] Fine has derived necessary and sufficient conditions for the transitivity of the social preference relation.

We show that for every non-minority rule a necessary and sufficient condition for quasi-transitivity of the social preference relation is that the configuration of individual preferences satisfies, over every triple of alternatives, value-restriction (VR) or weakly conflictive preferences (WCP) or unique-value restriction (UVR). For every non-minority rule, satisfaction of extreme-value restriction (EVR) or conflictive preferences (CP) over every triple of alternatives is shown to be both necessary and sufficient for transitivity of the social preference relation. Of the four restrictions introduced in this paper, WCP and CP are partial antagonism conditions while UVR and EVR are in the same spirit as Sen's extremal restriction.

The interesting feature that emerges is that the necessary and sufficient conditions for quasi-transitivity or transitivity are same for all non-minority rules. This is in sharp contrast to the case of majority rules where conditions for transitivity are known to be different. While extremal restriction is both necessary and sufficient for transitivity of the social preference relation generated by the simple majority rule, it is not sufficient for transitivity of the social preference

relation generated by the two-thirds majority rule.

Restrictions on Preferences

The set of social alternatives would be denoted by S . The cardinality n of S would be assumed to be finite and greater than 2. The set of individuals and the number of individuals are designated by L and N respectively. $N(\)$ would stand for the number of individuals holding the preferences specified in the parentheses and N_k for the number of individuals holding the k -th preference ordering. Each individual $i \in L$ is assumed to have an ordering R_i defined over S . The symmetric and asymmetric parts of R_i are denoted by I_i and P_i respectively. The social preference relation is denoted by R and its symmetric and asymmetric components by I and P respectively.

Non-Minority Rules: $\forall x, y \in S: xRy$ iff $N(yP_i x) \leq pN$, where p is a fraction such that $1/2 \leq p < 1$. For $p = 1/2$ we obtain the familiar simple non-minority rule.

An individual is defined to be concerned with respect to a triple iff he is not indifferent over every pair of alternatives belonging to the triple; otherwise he is unconcerned. For individual i , in the triple $\{x, y, z\}$, x is best iff $(xR_i y \wedge xR_i z)$; medium iff $(yR_i xR_i z \vee zR_i xR_i y)$; worst iff $(yR_i x \wedge zR_i x)$; uniquely best iff $(xP_i y \wedge xP_i z)$; uniquely medium iff $(yP_i xP_i z \vee zP_i xP_i y)$; and uniquely worst iff $(yP_i x \wedge zP_i x)$. Now, we define several restrictions which specify the permissible sets of individual orderings. All these restrictions are defined over triples of alternatives.

Value-Restriction (VR): VR holds over a triple iff there is an alternative in the triple such that all concerned individuals agree that it is not best or all concerned individuals agree that it is not medium or all concerned individuals agree that it is not worst.

Weakly Conflictive Preferences (WCP): Whenever an individual considers an alternative best in some strong ordering as worst, he regards the alternative worst in the strong ordering as best; or alternatively whenever an individual considers an alternative worst in some strong ordering as best, he regards the alternative best in the strong ordering as worst. Formally, WCP holds over $\{x, y, z\}$ iff $[\forall a, b, c \in \{x, y, z\}: [\exists i: (aP_i bP_i c) \rightarrow \forall i: ((bR_i a \wedge cR_i a) \rightarrow cR_i b)]] \vee [\forall a, b, c \in \{x, y, z\}: [\exists i: (aP_i bP_i c) \rightarrow \forall i: ((cR_i a \wedge cR_i b) \rightarrow bR_i a)]]$.

Unique-Value Restriction (UVR): There exist distinct alternatives a and b in the triple such that a is not uniquely medium in any R_i , b is not uniquely best in any R_i , and whenever b is best in an R_i , a is worst in that R_i ; or alternatively there exist distinct a and b in the triple such that a is not uniquely medium in any R_i , b is not uniquely worst in any R_i , and whenever b is worst in an R_i , a is best in that R_i . More formally, UVR holds over $\{x, y, z\}$ iff $[\exists \text{ distinct } a, b, c \in \{x, y, z\}: \forall i: [((aR_i b \wedge aR_i c) \vee (bR_i a \wedge cR_i a)) \wedge (aR_i b \vee cR_i b) \wedge (bR_i a \wedge bR_i c \rightarrow cR_i a)]] \vee [\exists \text{ distinct } a, b, c \in \{x, y, z\}: \forall i: [((aR_i b \wedge aR_i c) \vee (bR_i a \wedge cR_i a)) \wedge (bR_i a \vee$

$bR_i c) \wedge (aR_i b \wedge cR_i b \rightarrow aR_i c)]]$.

Extreme-Value Restriction (EVR): If an alternative is uniquely best in some ordering then in no ordering can it be medium unless it is worst also; or alternatively if an alternative is uniquely worst in some ordering then in no ordering can it be medium unless it is best also, i.e., EVR holds over the triple $\{x, y, z\}$ iff $[\forall a, b, c \in \{x, y, z\} : [\exists i : (aP_i b \wedge aP_i c) \rightarrow \forall i : [(bR_i aR_i c \rightarrow cR_i a) \wedge (cR_i aR_i b \rightarrow bR_i a)]]] \vee [\forall a, b, c \in \{x, y, z\} : [\exists i : (bP_i a \wedge cP_i a) \rightarrow \forall i : [(bR_i aR_i c \rightarrow aR_i b) \wedge (cR_i aR_i b \rightarrow aR_i c)]]]$.

Conflictive Preferences (CP): A set of individual orderings satisfies CP over the triple $\{x, y, z\}$ iff there are L_1, L_2 such that $\phi \subseteq L_1 \subseteq L_c, \phi \subseteq L_2 \subseteq L_c, L_1 U L_2 = L_c$, where L_c is the set of individuals concerned with respect to $\{x, y, z\}$, and (i) $\forall i \in L_1$ have the same R -ordering, say, $xR_i yR_i z$ and $\forall i \in L_2$ have the opposite R -ordering $zR_i yR_i x$ and (ii) either ($\forall i \in L_1$ consider x to be uniquely best and $\forall i \in L_2$ consider x to be uniquely worst) or ($\forall i \in L_1$ consider z to be uniquely worst and $\forall i \in L_2$ consider z to be uniquely best).

LEMMA 1. *Conditions of value-restriction, weakly conflictive preferences and unique-value restriction are logically independent of each other.*

Proof. The following 8 examples constitute a proof of complete logical independence of VR, WCP, and UVR.

$$(1) \quad \begin{array}{l} xP_i yP_i z \\ xP_i zP_i y \end{array}$$

All three restrictions are satisfied.

$$(2) \quad \begin{array}{l} yP_i zP_i x \\ zP_i yP_i x \\ yP_i xI_i z \\ zP_i xI_i y \end{array}$$

VR and WCP are satisfied and UVR is violated.

$$(3) \quad \begin{array}{l} xP_i yP_i z \\ yP_i zP_i x \end{array}$$

VR and UVR are satisfied but WCP is violated.

$$(4) \quad \begin{array}{l} yP_i xP_i z \\ yP_i zP_i x \\ zP_i xP_i y \\ zP_i yP_i x \end{array}$$

VR is satisfied and both WCP and UVR are violated.

$$(5) \quad \begin{aligned} xP_i yP_i z \\ yI_i zP_i x \\ zI_i xP_i y \end{aligned}$$

Both WCP and UVR are satisfied and VR is violated.

$$(6) \quad \begin{aligned} yI_i zP_i x \\ zI_i xP_i y \\ xI_i yP_i z \end{aligned}$$

VR and UVR are violated and WCP is satisfied.

$$(7) \quad \begin{aligned} xP_i yP_i z \\ yP_i zP_i x \\ xP_i zP_i y \\ zI_i yP_i x \\ yI_i xP_i z \end{aligned}$$

UVR is satisfied and VR and WCP are violated.

$$(8) \quad \begin{aligned} xP_i yP_i z \\ yP_i zP_i x \\ zP_i xP_i y \end{aligned}$$

All three restrictions are violated.

LEMMA 2. *Extreme-value restriction and conflictive preferences conditions are logically independent of each other.*

Proof. The proof consists of the following 4 examples:

$$(1) \quad \begin{aligned} xP_i yP_i z \\ zP_i yP_i x \end{aligned}$$

Both EVR and CP are satisfied.

$$(2) \quad \begin{aligned} xP_i yP_i z \\ zP_i yP_i x \\ xP_i yI_i z \\ zI_i yP_i x \end{aligned}$$

CP is satisfied and EVR is violated.

$$(3) \quad \begin{aligned} xP_i yP_i z \\ xP_i zP_i y \end{aligned}$$

EVR is satisfied but CP is violated.

$$(4) \quad \begin{aligned} xP_i yI_i z \\ xI_i yP_i z \end{aligned}$$

Both CP and EVR are violated.

Necessary and Sufficient Conditions for Quasi-Transitivity

LEMMA 3. *A set of individual orderings violates all three restrictions VR, WCP and UVR over a triple $\{x, y, z\}$ iff it contains one of the following four 3-ordering sets, except for a formal interchange of alternatives;*

$$\begin{array}{ll}
 \text{(A)} & xP_i yP_i z \\
 & yP_i zP_i x \\
 & zP_i xP_i y \\
 \text{(B)} & xP_i yP_i z \\
 & yP_i zP_i x \\
 & zP_i xI_i y \\
 \text{(C)} & xP_i yP_i z \\
 & yP_i zP_i x \\
 & zI_i xP_i y \\
 \text{(D)} & xP_i yP_i z \\
 & yP_i zI_i x \\
 & zI_i xP_i y
 \end{array}$$

Proof. It can be easily checked that WCP is violated iff the set of orderings contains one of the following four sets, except for a formal interchange of alternatives.

$$\begin{array}{ll}
 \text{(i)} & xP_i yP_i z \\
 & yP_i zI_i x \\
 & zI_i xP_i y \\
 \text{(ii)} & xP_i yP_i z \\
 & yP_i zP_i x \\
 \text{(iii)} & xP_i yP_i z \\
 & xP_i zP_i y \\
 & zI_i xP_i y \\
 & zP_i yI_i x \\
 \text{(iv)} & xP_i yP_i z \\
 & yP_i xP_i z \\
 & zI_i xP_i y \\
 & xP_i zI_i y
 \end{array}$$

(i) It is the same set as (D).

(ii) This configuration does not violate either VR or UVR. In this configuration z is the only alternative which is never uniquely best, x is the only alternative which is never uniquely medium, and y is the only alternative which is never uniquely worst. Define,

$$\begin{aligned}
 T_1 &= \{R_i: x \text{ uniquely medium}\} = \{zP_i xP_i y, yP_i xP_i z\}, \\
 T_2 &= \{R_i: z \text{ uniquely best}\} = \{zP_i xP_i y, zP_i xI_i y, zP_i yP_i x\}, \\
 T_3 &= \{R_i: y \text{ uniquely worst}\} = \{xP_i zP_i y, xI_i zP_i y, zP_i xP_i y\}, \\
 T_4 &= \{R_i: z \text{ best and } x \text{ not worst}\} = \{zP_i xP_i y, zI_i xP_i y\}, \\
 T_5 &= \{R_i: y \text{ worst and } x \text{ not best}\} = \{zP_i xP_i y, zP_i xI_i y\}.
 \end{aligned}$$

Now, UVR would be violated iff (a) there does not exist an alternative which is never uniquely medium, i.e., an $R_i \in T_1$ is included, or (b) there exists neither an alternative which is never uniquely best nor an alternative which is never uniquely worst, i.e., we include an $R_i \in T_2$ and an $R_i \in T_3$, or (c) there does not exist an alternative which is never uniquely best and there exists an R_i in which y is worst but x is not best, i.e., an $R_i \in T_2$ and an $R_i \in T_5$ are included, or (d) there does not

exist an alternative which is never uniquely worst and there exists an R_i in which z is best but x is not worst, i.e., an $R_i \in T_3$ and an $R_i \in T_4$ are included, or (e) there exists an R_i in which z is best but x is not worst and an R_i in which y is worst but x is not best, i.e., an $R_i \in T_4$ and an $R_i \in T_5$ are included. Now ((a) or (b) or (c) or (d) or (e)) implies that UVR is violated iff we include [$zP_i x P_i y \vee zP_i x I_i y \vee zI_i x P_i y \vee yP_i x P_i z \vee (zP_i y P_i x \wedge xP_i z P_i y)$]. In the first three cases VR is also violated as the set of R_i forms a Latin Square. In each of these three cases one of the four sets (A)–(D) is contained in the set of R_i . In the cases of inclusion of $zP_i x P_i y$, $zP_i x I_i y$ and $zI_i x P_i y$ the sets contained are (A), (B) and (C) respectively. For violating VR, if $yP_i x P_i z$ is included to violate UVR, we have to include [concerned R_i : $zR_i x R_i y \vee$ (concerned R_i : $xR_i z R_i y \wedge$ concerned R_i : $zR_i y R_i x$)]; and in case ($zP_i y P_i x \wedge xP_i z P_i y$) is included to violate UVR, we have to include (concerned R_i : $zR_i x R_i y \vee$ concerned R_i : $yR_i x R_i z$). It is easy to see that with the required inclusion the set of R_i contains one of the sets (A)–(D).

(iii) Neither VR nor UVR is violated. VR would be violated iff a concerned ordering in which y is best is included. Excepting the case when we include $yI_i z P_i x$, in all other cases UVR is also violated and one of the four sets (A)–(D) is contained in the set of R_i . In the case of inclusion of $yI_i z P_i x$, UVR is violated iff we include [$yP_i x P_i z \vee zP_i x P_i y \vee yP_i z P_i x \vee yP_i z I_i x \vee yI_i x P_i z$]. In all cases one of (A)–(D) is contained in the set of R_i .

(iv) Again, neither VR nor UVR is violated. VR would be violated iff a concerned ordering in which x is worst is included. In all cases other than the case of inclusion of $zP_i y I_i x$, UVR is also violated and one of (A)–(D) is contained in the set of R_i . In the case of inclusion of $zP_i y I_i x$, UVR is violated iff we include [$xP_i z P_i y \vee yP_i z P_i x \vee zP_i y P_i x \vee yI_i z P_i x \vee yP_i z I_i x$]. In all cases we see that one of the four sets (A)–(D) is contained in the set of R_i .

The proof of the lemma is completed by noting that all the four sets (A)–(D) violate all three restrictions.

THEOREM 1. *For every non-minority rule, a necessary and sufficient condition for quasi-transitivity of the social preference relation is that $(VR \vee WCP \vee UVR)$ holds over every triple of alternatives.*

Proof.

Sufficiency

Suppose quasi-transitivity is violated. Then for some $x, y, z \in S$ we must have $xPy \wedge yPz \wedge \sim(xPz)$.

$$xPy \rightarrow N(xP_i y) > pN \quad (1)$$

$$yPz \rightarrow N(yP_i z) > pN \quad (2)$$

$$\begin{aligned} \sim(xPz) &\rightarrow N(xP_i z) \leq pN \\ &\rightarrow N(zR_i x) \geq (1-p)N \end{aligned} \quad (3)$$

$$(1) \wedge (2) \rightarrow \exists i: xP_i yP_i z, \quad \text{as } 1/2 \leq p < 1 \quad (4)$$

$$(2) \wedge (3) \rightarrow \exists i: yP_i zR_i x \quad (5)$$

$$(1) \wedge (3) \rightarrow \exists i: zR_i xP_i y \quad (6)$$

(4), (5) and (6) imply that the set of individual orderings must contain one of the following 4 sets of orderings,

$$\begin{array}{ll} \text{(a)} & xP_i yP_i z \\ & yP_i zP_i x \\ & zP_i xP_i y \\ \text{(b)} & xP_i yP_i z \\ & yP_i zP_i x \\ & zI_i xP_i y \\ \text{(c)} & xP_i yP_i z \\ & yP_i zI_i x \\ & zP_i xP_i y \\ \text{(d)} & xP_i yP_i z \\ & yP_i zI_i x \\ & zI_i xP_i y \end{array}$$

As each one of these sets violates all 3 restrictions VR, WCP and UVR it follows that $(VR \vee WCP \vee UVR)$ is sufficient for quasi-transitivity.

Necessity

If a set of orderings violates all 3 restrictions VR, WCP and UVR then by Lemma 3 it must contain one of the four sets A, B, C and D, except for a formal interchange of alternatives. Therefore, for proving the necessity of $(VR \vee WCP \vee UVR)$ it suffices to show that for each of the four sets there exists an assignment of individuals which results in violation of quasi-transitivity. For (A), (C) and (D) choose $N_1 = pN$, $N_2 = N_3 = (1-p)N/2$. For this assignment we have $N(xP_i y) > pN$, $N(yP_i z) > pN$ and $N(xP_i z) = pN$. So $xPy \wedge yPz \wedge \sim(xPz)$. For (B) choose $N_2 = pN$, $N_1 = N_3 = (1-p)N/2$. As $N(yP_i z) > pN$, $N(zP_i x) > pN$ and $N(yP_i x) = pN$, this results in $yPz \wedge zPx \wedge \sim(yPx)$.

Necessary and Sufficient Conditions for Transitivity

LEMMA 4. *A set of individual orderings violates both CP and EVR iff it includes one of the following four 2-ordering sets, except for a formal interchange of alternatives,*

$$\begin{array}{ll} \text{(A)} & xP_i yP_i z \\ & yP_i zP_i x \\ \text{(B)} & xP_i yP_i z \\ & yP_i zI_i x \\ \text{(C)} & xP_i yP_i z \\ & zI_i xP_i y \\ \text{(D)} & xP_i yI_i z \\ & xI_i yP_i z \end{array}$$

Proof. It can be easily checked that a set of individual orderings violates CP iff it contains one of the following 8 sets of orderings, except for a formal interchange of alternatives:

$$\begin{array}{ll} \text{(1)} & xP_i yP_i z \\ & yP_i zP_i x \\ \text{(2)} & xP_i yP_i z \\ & yP_i zI_i x \end{array}$$

$$\begin{array}{ll}
(3) & xP_iyP_iz \\
& zI_ixP_iy \\
(5) & xP_iyP_iz \\
& xP_izP_iy \\
(7) & xP_iyI_iz \\
& yP_ixI_iz \\
(4) & xP_iyI_iz \\
& xI_iyP_iz \\
(6) & xP_iyP_iz \\
& yP_ixP_iz \\
(8) & yI_izP_ix \\
& zI_ixP_iy
\end{array}$$

The first four sets are the same as (A), (B), (C) and (D) respectively, so it suffices to consider the remaining four sets.

(v) In this configuration z is uniquely worst in the first ordering and medium without being best in the second ordering, so the second part of the definition of EVR does not hold. EVR, however, is satisfied as the first part of the definition holds because whenever an alternative is uniquely best in some R_i it is not medium unless it is worst also. Therefore, EVR would be violated iff we include (a) an R_i in which x is medium without being worst, i.e., $(yP_ixP_iz \vee yI_ixP_iz \vee zP_ixP_iy \vee zI_ixP_iy)$; or (b) an R_i in which y is uniquely best, i.e., $(yP_ixP_iz \vee yP_ixI_iz \vee yP_izP_ix)$; or (c) an R_i in which z is uniquely best, i.e., $(zP_ixP_iy \vee zP_ixI_iz \vee zP_iyP_ix)$. (a) or (b) or (c) implies that EVR is violated iff we include $(yP_ixP_iz \vee yI_ixP_iz \vee zP_ixP_iy \vee zI_ixP_iy \vee yP_ixI_iz \vee yP_izP_ix \vee zP_ixI_iz \vee zP_iyP_ix)$. In each case one of the four sets (A)–(D) is contained in the set of R_i . The sets contained are (A) with an interchange of x and y , (C) with an interchange of y and z , (A) with a substitution of x, y, z for z, x, y respectively, (C), (B), (A), (B) with an interchange of y and z , and (A) with an interchange of y and z , respectively.

(vi) EVR would be violated iff an ordering is included in which z is medium without being best or x is uniquely worst or y is uniquely worst. With the inclusion of the required ordering the set of R_i contains one of the sets (A)–(D).

(vii) EVR would be violated only if an R_i in which some alternative is uniquely worst is included. With the inclusion of an ordering in which some alternative is uniquely worst, excepting the cases when xP_izP_iy or yP_izP_ix is included, EVR is violated and one of (A)–(D) is contained in the set of R_i . If xP_izP_iy or yP_izP_ix is included then EVR is violated iff an ordering is included in which x is medium without being worst or y is medium without being worst or z is uniquely best. In each of these cases the set of R_i contains one of the sets (A)–(D).

(viii) EVR would be violated only if an R_i in which some alternative is uniquely best is included. Again we see as in case (vii) that with the inclusion of required ordering, excepting the cases when xP_izP_iy or yP_izP_ix is included, EVR is violated and the set of R_i contains one of the sets (A)–(D). If xP_izP_iy or yP_izP_ix is included then EVR is violated iff an ordering is included in which x is medium without being best or y is medium without being best or z is uniquely worst. In each of these cases the set of R_i contains one of the sets (A)–(D).

The proof is completed by noting that each of the four sets (A)–(D) violates both CP and EVR.

THEOREM 2. *For every non-minority rule, a necessary and sufficient condition for transitivity of the social R is that $(CP \vee EVR)$ holds on every triple of alternatives.*

Proof.

Sufficiency

Let transitivity be violated. Then for some $x, y, z \in S$ we must have $xRy \wedge yRz \wedge zPx$.

$$\begin{aligned} xRy &\rightarrow N(yP_i x) \leq pN \\ &\rightarrow N(xR_i y) \geq (1-p)N \end{aligned} \quad (1)$$

Similarly,

$$yRz \rightarrow N(yR_i z) \geq (1-p)N \quad (2)$$

$$zPx \rightarrow N(zP_i x) > pN \quad (3)$$

$$(1) \wedge (3) \rightarrow \exists i: zP_i x R_i y \quad (4)$$

$$(2) \wedge (3) \rightarrow \exists i: yR_i z P_i x \quad (5)$$

(4) and (5) imply that the set of individual orderings must contain one of the following four sets of orderings,

$$\begin{array}{ll} \text{(a)} & zP_i x P_i y & \text{(b)} & zP_i x P_i y \\ & yP_i z P_i x & & yI_i z P_i x \\ \text{(c)} & zP_i x I_i y & \text{(d)} & zP_i x I_i y \\ & yP_i z P_i x & & yI_i z P_i x \end{array}$$

As each of these sets violates both CP and EVR it follows that $(CP \vee EVR)$ is sufficient for transitivity.

Necessity

Let both EVR and CP be violated. Then, by Lemma 4, the set of R_i must contain one of the four sets (A), (B), (C) and (D) of Lemma 4, except for a formal interchange of alternatives. Therefore it suffices to show that for each of the four sets there exists an assignment of individuals which results in intransitive social preferences. For each case take $N_1 = N_2$. For (A) and (B) this results in $xIy \wedge yPz \wedge xIz$, for (C) in $xPy \wedge yIz \wedge xIz$ and for (D) in $xIy \wedge yIz \wedge xPz$. This establishes the necessity of $(EVR \vee CP)$ for transitivity of the social R generated by a non-minority rule.

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