

The Will of the People: How we vote and why it matters

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Community Conversation

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Why have elections?

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“The will of the people shall be the basis of the authority of government; this will shall be expressed in periodic and genuine elections which shall be by universal and equal suffrage and shall be held by secret vote or by equivalent free voting procedures.”

- United Nations Universal Declaration of Human Rights, Article 21, December 1948

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But as soon as there are 3 or more candidates, the situation gets more complicated! The most common voting systems in this case are:

- **Plurality voting:** Whichever candidate gets the most votes wins, even if their vote total is less than 50%.
- **Runoff elections:** If no candidate wins more than 50% of the vote, a second election is held between the two candidates with the two largest vote totals in the original election.

How well does it work?

Even with just these two possibilities, different procedures may produce different results.

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Simple example: Suppose that 60% of the population likes both candidates A and B about equally, and dislikes candidate C . Meanwhile, the other 40% of the population prefers C and dislikes both A and B .

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The initial election produces the following results:

$$A : 32\%, \quad B : 28\%, \quad C : 40\%.$$

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With a plurality vote, C wins. But in a runoff election between A and C , most of B 's voters prefer A , and A wins.

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- 36% of the population strongly favors A , thinks B would be a reasonable second choice, and HATES C .
- 34% of the population strongly favors C , thinks B would be a reasonable second choice, and HATES A .
- 30% of the population strongly favors B and strongly dislikes both A and C , but about $2/3$ of them prefer C vs. A as a second choice.

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- 30% of the population strongly favors B and strongly dislikes both A and C , but about $2/3$ of them prefer C vs. A as a second choice.

With a plurality vote, A wins with 36% of the vote.

In a runoff election between A and C , C wins with 54% of the vote.

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But a strong case could be made that candidate B comes closest to representing “the will of the people.”

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- General elections are almost always decided by plurality vote, and minor party candidates can easily play the role of spoiler.
 - 1992 Presidential election: Clinton 43%, Bush 38%, Perot 19%
 - 2000 Presidential election in Florida: Bush 48.85%, Gore 48.84%, Nader 1.6%

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For this reason, many attempts have been made to tweak the rules in order to improve the chances of electing more moderate candidates in primary elections, who it is hoped will fare better in the subsequent general elections.

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Blanket primary: In this system, voters may select one candidate for each office without regard to party; for instance, a voter might select a Democratic candidate for governor and a Republican candidate for senator.

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The blanket primary system was used in Washington, California, and Alaska until the year 2000, when the Supreme Court ruled it unconstitutional in *California Democratic Party v. Jones* because it forced political parties to endorse candidates against their will.

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This system is currently in use for all statewide primaries except presidential primaries in Washington and California. A similar, but slightly different, system is also used in Louisiana.

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However, this can also occur when a party with minority support runs fewer candidates than the majority party and so has less vote-splitting between candidates.

Variations on the system

For example, in Washington's 2016 election for state treasurer, the primary results were as follows:

Candidate	Party	Vote percentage
Davidson	R	25.09%
Waite	R	23.33%
Lias	D	20.36%
Comerford	D	17.97%
Fisken	D	13.24%

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Democrats received 51.57% of the primary vote but were shut out of the general election.

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Many alternate systems have been proposed over the years in order to allow voters to express more nuanced opinions.

The Borda Count

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- For each ballot, N points are given to the 1st place candidate, $N - 1$ points to the 2nd place candidate, etc., down to 1 point for the last-place candidate.
(Alternatively, points may range from $N - 1$ down to 0.)

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(Alternatively, points may range from $N - 1$ down to 0.)
- After all points are tallied, the candidate with the most points wins.

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In our example from before, the ballots might be cast as follows. (For simplicity, assume there are exactly 100 voters.)

Ordered preferences	Votes
(A, B, C)	36
(C, B, A)	34
(B, C, A)	20
(B, A, C)	10

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So with this system, B wins — despite coming in last place in the plurality vote!

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Today it is used in many academic and private institutions, and (with variations) even in a few political jurisdictions.

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- How to count ballots where not all candidates are ranked?
- Highly susceptible to a form of tactical manipulation called *teaming* or *cloning*.

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Now say that the Betas decide to run a second, much less popular candidate C , who will receive about 10% of the Beta vote. Then the ballots might be cast as follows. (Again, assume there are 100 voters.)

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Ordered preferences	Votes
(A, B, C)	54
(A, C, B)	6
(B, C, A)	36
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Candidate	Total points
A	$(54 \times 3) + (6 \times 3) + (36 \times 1) + (4 \times 1) = 220$
B	
C	

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Even though C takes votes *away* from B , the mere presence of C in the election allows B to defeat A .

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- **Condorcet's jury theorem:** If each member of a voting group is more likely than not to make a correct decision, then the probability that the highest vote of the group is the correct decision increases as the number of group members increases.
- **Condorcet's paradox:** With 3 or more candidates, majority preferences can become intransitive: The electorate may prefer A to B , B to C , and C to A . (This is called a *Condorcet cycle*.)

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If some candidate would win all pairwise elections with all other candidates, that candidate is called the *Condorcet winner*. (But the existence of Condorcet cycles means that a Condorcet winner may not exist!)

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Condorcet disagreed strongly with Borda's method, because it can fail to elect the Condorcet winner (if there is one).

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- The procedure is repeated until some candidate has over 50% of the vote, and then that candidate wins the election.

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With 4 or more candidates, this system can produce different results from a standard runoff election.

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- In November 2019, New York City voted to adopt IRV for primary and special elections for several city offices.

Instant Runoff Voting (IRV)

- In 2016, voters in Maine approved a referendum to implement (single-winner) ranked-choice voting—i.e., IRV—for statewide elections. The state Supreme Court first ruled that this system violated the state constitution, but then reversed itself in April 2018. It was used for the first time in June 2018 in Maine's primary election.

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- Maine voters also affirmed in June 2018 (55% to 45%) that the state will continue using IRV, effective immediately, and it was used again in the general election for Maine's U.S. Congressional House and Senate seats in November 2018.

Instant Runoff Voting (IRV)

Style No.

State of Maine Sample Ballot Republican Primary Election, June 12, 2018 for

Instructions to Voters

To vote, fill in the oval like this ●

To rank your candidate choices, fill in the oval:

- In the 1st column for your 1st choice candidate.
- In the 2nd column for your 2nd choice candidate, and so on.

Continue until you have ranked as many or as few candidates as you like.

Fill in no more than one oval for each candidate or column.

To rank a write-in candidate, write the person's name in the write-in space and fill in the oval for the ranking of your choice.

Governor	1st Choice	2nd Choice	3rd Choice	4th Choice	5th Choice
Fredette, Kenneth Wade <small>Newport</small>	<input type="radio"/>				
Mason, Garrett Paul <small>Lisbon</small>	<input type="radio"/>				
Mayhew, Mary C. <small>China</small>	<input type="radio"/>				
Moody, Shawn H. <small>Gorham</small>	<input type="radio"/>				
Write-in	<input type="radio"/>				

Rep. to the Legislature District 75

	1st Choice	2nd Choice	3rd Choice	4th Choice
Morris, Joshua K. <small>Turner</small>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Pape, John Alexander <small>Turner</small>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Terrest, Angelo <small>Turner</small>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Write-in	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Turn Over for Additional Contests

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- Relatively resistant to tactical manipulation by strategic ranking.
- May inspire more positive campaigning, as candidates aim to become voters’ second and third choices instead of attacking their opponents.

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 - In 2018, Jared Golden won Maine’s 2nd Congressional District election with 49.18% of votes cast.
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- Tallying must be centralized and requires ALL ballots before declaring a winner.

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The 2009 mayoral election of Burlington, VT was conducted by IRV and featured 3 main candidates:

- ① Kurt Wright (Republican)
- ② Andy Montroll (Democrat)
- ③ Bob Kiss (Progressive, and the incumbent)

Instant Runoff Voting (IRV)

Excluding minor candidates who did not affect the vote, the ballot count was as follows:

Ranking	Votes	Ranking	Votes	Ranking	Votes
(M, K, W)	1332	(K, M, W)	2043	(W, M, K)	1513
(M, W, K)	767	(K, W, M)	371	(W, K, M)	495
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First round tally: Wright 3297, Kiss 2982, Montroll 2554.
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So Montroll is eliminated.

Second round tally: Kiss 4314, Wright 4064.
So Kiss is elected.

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So Montroll was the Condorcet winner – but he was eliminated in the first round!

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Incidentally, a Borda count (assuming ties for candidates not ranked) gives

Montroll 18,425.5, Kiss 17,496, Wright 17,076.5.

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Aftermath: In 2010, Burlington repealed IRV by a vote of 52% to 48%.

Arrow's Theorem

So, if all of these methods have problems, could there possibly be a better way that takes all of this into account?

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In his 1951 Ph.D. thesis, Kenneth Arrow proved the following theorem, which helped earn him the 1972 Nobel Prize in Economics:

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The only procedure that satisfies these conditions is dictatorship.

Ordinal vs. Cardinal methods

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An alternative is a **cardinal system**, where voters give each candidate an independent rating or grade.

Approval Voting

The simplest cardinal method is called **approval voting**. This system was developed in 1971 by Robert Weber as part of his Ph.D. thesis.

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Each voter votes for as many candidates as they choose, with no ranking of candidates, and the candidate with the most votes wins.

Approval Voting

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- Approval voting is used for internal elections by the Green Party in Texas and Ohio, the Libertarian Party in Texas, and the U.S. Modern Whig Party.
- In 2018, Fargo, ND adopted approval voting for its future elections for city officials.

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- Like Borda count, tends to favor candidates with broad appeal.
- Gives minor parties greater visibility and may help them grow in support.
- Allows a voter to be more expressive by choosing how many candidates to vote for.

Disadvantages:

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- As with IRV, it is possible that the winning candidate receives less than 50% approval, and so lacks a perceived mandate.
- Vulnerable to tactical manipulation by, e.g., bullet voting (i.e., only voting for one candidate), where it essentially reduces to plurality voting if enough voters do this.

Score/STAR Voting

Score voting is a more nuanced cardinal method, where voters can rate each candidate on an integer scale, typically from 0 to 5 or 0 to 9. The candidate with the highest total score wins.

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A variation called **STAR (Score Then Automatic Runoff)** has two steps:

- 1 Use score voting to identify the top two candidates.
- 2 Of these two candidates, the one who is preferred by most voters wins the election.

How does STAR Voting work?

Voters rate candidates, and ballots are counted in a two step process: **Score, Then Automatic Runoff.** [STAR]

Ballot

Score candidates from 0 to 5.

5 is full support
0 is no support

Those that you leave blank receive a 0.

☆	0	1	2	3	4	5
Andrew	0	1	2	3	4	5
Bianca	0	1	2	3	4	5
Chris	0	1	2	3	4	5
Desi	0	1	2	3	4	5
Edith	0	5	2	3	4	5
Frank	0	1	2	3	4	5

ROUND 1: Score

The two highest scoring candidates are finalists.

Rank	Total Score
1: Andrew	21,192
2: Edith	20,394
3: Chris	19,102
4: Desi	10,390
5: Bianca	1,542
6: Frank	346

Way to go, Andrew & Edith!

ROUND 2: Then Automatic Runoff

The ballot already indicates the voter's preferred finalist.

☆	0	1	2	3	4	5
Andrew	0	1	2	3	4	5
Bianca	0	1	2	3	4	5
Chris	0	1	2	3	4	5
Desi	0	1	2	3	4	5
Edith	0	5	2	3	4	5
Frank	0	1	2	3	4	5

Andrew gets this vote.

RESULTS: The finalist preferred by the majority wins!

Andrew*	42,533	53%
Edith	37,134	47%

***CONGRATULATIONS, ANDREW!**

www.starvoting.us

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A ballot measure to introduce STAR voting in Lane County, Oregon narrowly failed in November 2018 (47.6% yes vs. 52.4% no). Supporters hope to try again in 2020.

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Disadvantages:

- STAR voting is a very new method, and its pros and cons are still being debated. For more info, see <https://www.equal.vote/>

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- 2 The process limits the possible outcomes to two options only.
- 3 The process encourages agents to think strategically: Once an agent has identified their preferences, they have no action at their disposal that would best defend their opinions in every situation.

Multi-winner elections

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The N candidates with the most votes (who may or may not receive votes on a majority of the ballots) are elected.

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- Like ordinary plurality voting, it is particularly vulnerable to tactical voting.
- Parties or factions are incentivized to nominate exactly the same number of candidates as the number of seats in order to avoid vote-splitting.
- It strongly disfavors minority representation: A typical result is that the most popular party or faction wins all the seats.

Multi-winner elections

Example: Back to the Alphas and Betas! Suppose that there are 6 seats up for election, and the Alphas (with 60% voter support) run exactly 6 candidates A_1, \dots, A_6 .

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Assuming that all (or even most) of the Alpha voters vote for all 6 candidates, there is no strategy for the Betas to win even a single seat, regardless of how many candidates they run.

So the Betas have 40% voter support, but they gain no representation.

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The city of Lowell, MA chooses its City Council by plurality-at-large voting. In 2017, the city was sued by minority voters who claimed that this system of voting violates their voting rights by preventing minority representation on the Council.

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The community is over 40% Asian and Hispanic, but there have only been 2 people of color elected to the 9-member City Council in the last 20 years.

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- 1 One that uses **single transferable vote (STV)**, a multi-winner version of ranked choice voting, or
- 2 A hybrid system that uses a combination of districts and at-large seats.

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An extensive analysis of both options was performed by the Metric Geometry and Gerrymandering Group at Tufts University; the full report may be found at <https://mggg.org/uploads/Lowell-Report.pdf>.

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Their primary conclusions were that:

- Because the Asian and Latino populations are fairly dispersed throughout the city, it would be difficult to draw districts that would result in significant representation for people of color; even with optimally drawn districts, minority representation would likely be at most 1-2 seats.
- They estimated that an STV system would likely produce minority representation of 2-4 seats, even with low voter turnout.

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Voters opposed the STV system, with 49% in favor and 51% opposed. The director of the Cambodian Mutual Assistance Association said that the system “was too complex, even for people who vote year after year.”

Multi-winner elections

Example: Now suppose that the election for 6 seats is conducted by STV. Suppose that the Alphas and Betas each run 6 candidates, and all voters for each party rank the candidates in the same way. (Again, we assume 100 voters for simplicity.)

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The vote threshold to win a seat is $\frac{1}{6+1} = \frac{1}{7}$ of votes cast, so it takes 15 votes to win a seat.

Multi-winner elections

Round 1:

Ordered preferences	Votes
$(A_1, A_2, A_3, A_4, A_5, A_6)$	60
$(B_1, B_2, B_3, B_4, B_5, B_6)$	40

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- In the first round, A_1 has the most first-place votes (60), so A_1 is elected. This election uses up 15 votes, and the 45 remaining Alpha ballots are transferred to their next-favorite candidate.

Multi-winner elections

Round 2: A_1 already elected.

Ordered preferences	Votes
$(A_2, A_3, A_4, A_5, A_6)$	45
$(B_1, B_2, B_3, B_4, B_5, B_6)$	40

Multi-winner elections

Round 2: A_1 already elected.

Ordered preferences	Votes
$(A_2, A_3, A_4, A_5, A_6)$	45
$(B_1, B_2, B_3, B_4, B_5, B_6)$	40

- In the second round, A_2 has the most first-place votes (45), so A_2 is elected. This election uses up 15 votes, and the 30 remaining Alpha ballots are transferred to their next-favorite candidate.

Multi-winner elections

Round 3: A_1 and A_2 already elected.

Ordered preferences	Votes
(A_3, A_4, A_5, A_6)	30
$(B_1, B_2, B_3, B_4, B_5, B_6)$	40

Multi-winner elections

Round 3: A_1 and A_2 already elected.

Ordered preferences	Votes
(A_3, A_4, A_5, A_6)	30
$(B_1, B_2, B_3, B_4, B_5, B_6)$	40

- In the third round, B_1 has the most first-place votes (40), so B_1 is elected. This election uses up 15 votes, and the 25 remaining Beta ballots are transferred to their next-favorite candidate.

Multi-winner elections

Round 4: A_1 , A_2 , and B_1 already elected.

Ordered preferences	Votes
(A_3, A_4, A_5, A_6)	30
$(B_2, B_3, B_4, B_5, B_6)$	25

Multi-winner elections

Round 4: A_1 , A_2 , and B_1 already elected.

Ordered preferences	Votes
(A_3, A_4, A_5, A_6)	30
$(B_2, B_3, B_4, B_5, B_6)$	25

- In the fourth round, A_3 has the most first-place votes (30), so A_3 is elected. This election uses up 15 votes, and the 15 remaining Alpha ballots are transferred to their next-favorite candidate.

Multi-winner elections

Round 5: A_1 , A_2 , B_1 , and A_3 already elected.

Ordered preferences	Votes
(A_4, A_5, A_6)	15
$(B_2, B_3, B_4, B_5, B_6)$	25

Multi-winner elections

Round 5: A_1 , A_2 , B_1 , and A_3 already elected.

Ordered preferences	Votes
(A_4, A_5, A_6)	15
$(B_2, B_3, B_4, B_5, B_6)$	25

- In the fifth round, B_2 has the most first-place votes (25), so B_2 is elected. This election uses up 15 votes, and the 10 remaining Beta ballots are transferred to their next-favorite candidate.

Multi-winner elections

Round 6: A_1 , A_2 , B_1 , A_3 , and B_2 already elected.

Ordered preferences	Votes
(A_4, A_5, A_6)	15
(B_3, B_4, B_5, B_6)	10

Multi-winner elections

Round 6: A_1 , A_2 , B_1 , A_3 , and B_2 already elected.

Ordered preferences	Votes
(A_4, A_5, A_6)	15
(B_3, B_4, B_5, B_6)	10

- In the sixth round, A_4 has 15 votes and so wins the last seat.

Multi-winner elections

Round 6: $A_1, A_2, B_1, A_3,$ and B_2 already elected.

Ordered preferences	Votes
(A_4, A_5, A_6)	15
(B_3, B_4, B_5, B_6)	10

- In the sixth round, A_4 has 15 votes and so wins the last seat.

Final result: $A_1, A_2, B_1, A_3, B_2,$ and A_4 are elected, in that order. So the Alphas win 4 seats and the Betas win 2 seats.

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- The counting method is complicated and difficult to explain to voters.

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WHICH VOTING SYSTEM SHOULD WE USE?

- FIRST PAST THE POST
- TOP-TWO PRIMARY
- LOUISIANA PRIMARY
- CUMULATIVE VOTING
- APPROVAL VOTING
- MULTIPLE NON-TRANSFERRABLE VOTE
- [3] INSTANT RUNOFF VOTING
- [1] SINGLE TRANSFERRABLE VOTE
- [2] BORDA COUNT
- [1] [2] [3] RANGE VOTING

THE REFERENDUM WENT WELL, BUT WE CAN'T
FIGURE OUT HOW TO COUNT THE BALLOTS.

(Credit: <https://xkcd.com/2225/>)

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Don't let the perfect be the enemy of the good!

For further reading:

- Donald Saari, *Chaotic Elections! A Mathematician Looks at Voting*
- Jordan Ellenberg, *How Not to Be Wrong: The Power of Mathematical Thinking*, Chapter 17: “There is no such thing as public opinion”
- Jonathan Hodge and Richard Klima, *The Mathematics of Voting and Elections: A Hands-On Approach*
- George G. Szpiro, *Numbers Rule: The Vexing Mathematics of Democracy, from Plato to the Present*