

Lattice polynomials in qualitative decision making

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Jointly with D. Dubois, J.-L. Marichal, H. Prade, T. Waldhauser, . . .



Decision making MCDM

Basic Problem: Model preference relations \succsim

Utility based approach: Given a scale X ...

A preference \succsim on $X_1 \times \dots \times X_n$ is **represented** by $U: X_1 \times \dots \times X_n \rightarrow X$

$$\mathbf{x} \succsim \mathbf{y} \iff U(\mathbf{x}) \leq U(\mathbf{y})$$

Limitation: The role of local preferences (criteria) is not explicit!

Example:

If **House A** is cheaper, bigger and better located than **House B**, then **House A** should be preferred to **House B**.

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Aggregation: $x_1, \dots, x_n \longrightarrow y = A(x_1, \dots, x_n)$

Let X be a scale (bounded chain)...

An **aggregation function** on X is a mapping $A: X^n \rightarrow X$ such that:

- 1 A is order-preserving: for every $\mathbf{x}, \mathbf{y} \in X^n$

$$\mathbf{x} \leq \mathbf{y} \implies A(\mathbf{x}) \leq A(\mathbf{y})$$

- 2 A preserves the boundaries:

$$\inf_{\mathbf{x} \in X^n} A(\mathbf{x}) = \inf X \quad \text{and} \quad \sup_{\mathbf{x} \in X^n} A(\mathbf{x}) = \sup X.$$

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Refined model MCDM

- 1 n attributes X_1, \dots, X_n
- 2 Preference on X_i (criterion) is represented by a **local utility function**

$$\varphi_i: X_i \rightarrow X$$

NB: we assume that each φ_i is **order-preserving**.

- 3 Preference on $X_1 \times \dots \times X_n$ is represented by an **overall utility function**

$$U(x_1, \dots, x_n) := A(\varphi_1(x_1), \dots, \varphi_n(x_n))$$

where $A: X^n \rightarrow X$ is an aggregation function.

Examples of aggregation functions:

Numerical setting: Let $X \subseteq \mathbb{R}_+$ and $[n] = \{1, \dots, n\}$

- ① **Weighted arithmetic means:** For $\mathbf{x} \in X^n$ and $\sum w_i = 1$,

$$WAM(\mathbf{x}) := \sum_{i \in [n]} w_i x_i$$

- ② **Choquet integrals:** For a capacity $\mu: 2^{[n]} \rightarrow [0, 1]$ and $\mathbf{x} \in X^n$

$$C_\mu(\mathbf{x}) := \sum_{i \in [n]} (x_{\sigma(i)} - x_{\sigma(i-1)}) \cdot \mu(\{\sigma(i), \dots, \sigma(n)\})$$

where $0 = x_{\sigma(0)} \leq x_{\sigma(1)} \leq \dots \leq x_{\sigma(n)}$ (σ permutation)

Limitation: Cannot be used on qualitative scales (finite chains):

e.g., $X = \{\text{very bad, bad, satisfactory, good, very good}\}$

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Sugeno integral

Let X be a chain with least and greatest elements 0 and 1, respectively.

An **order capacity** is a mapping $\nu: 2^{[n]} \rightarrow X$, such that

- 1 $\nu(I) \leq \nu(J)$ whenever $I \subseteq J$,
- 2 $\nu(\emptyset) = 0$ and $\nu([n]) = 1$.

For an order capacity $\nu: 2^{[n]} \rightarrow X \dots$

The **Sugeno integral** on X w.r.t. ν is defined by

$$\mathcal{S}_\nu(\mathbf{x}) := \bigvee_{i \in [n]} \nu(\{\sigma(i), \dots, \sigma(n)\}) \wedge x_{\sigma(i)}$$

for a permutation σ s.t. $x_{\sigma(1)} \leq \dots \leq x_{\sigma(n)}$.

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A qualitative setting for decision making **MCDM**

Setting:

① n attributes X_1, \dots, X_n and a scale X (finite chain)

② Preference on X_i is represented by $\varphi_i: X_i \rightarrow X$

NB: Each X_i can be thought of as a finite chain and φ_i 's **order-preserving**

③ Preference on $X_1 \times \dots \times X_n$ represented by a **Sugeno utility function**

$$U(x_1, \dots, x_n) := A(\varphi_1(x_1), \dots, \varphi_n(x_n))$$

where $A: X^n \rightarrow X$ is a Sugeno integral.

Terminology: We refer to these preference relations as **Sugeno preferences**

Outline

- 1 Preliminaries: Sugeno integrals as lattice polynomial functions
- 2 Characterizations of lattice polynomial functions
- 3 Generalization of polynomial functions: Sugeno utility functions
- 4 Axiomatic approach to Sugeno preferences **MCDM**.
- 5 Final remarks: **MCDM** vs **DMU**
- 6 **If time allows**: Complete descriptions and factorizations

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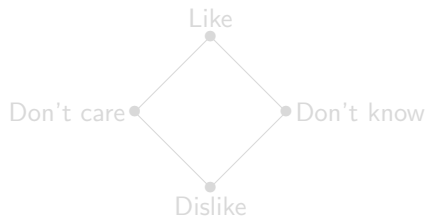
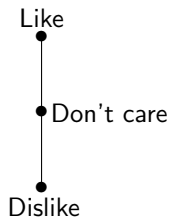
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Preliminaries

Let X be a (finite) **distributive lattice** endowed with

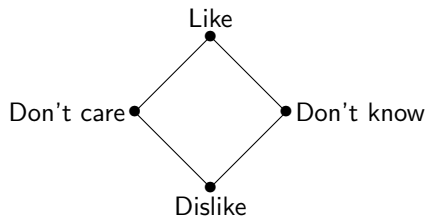
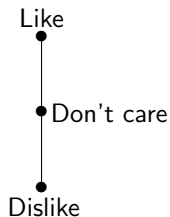
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Lattice polynomial functions

A (**lattice**) **polynomial function** (on X) is any map $p : X^n \rightarrow X$, $n \geq 1$, obtainable by finitely many applications of the rules:

- 1 The **projections** $\mathbf{x} \mapsto x_i$, $i \in [n]$, and the **constant functions** $\mathbf{x} \mapsto c$, $c \in X$, are polynomial functions.
- 2 If $f : X^n \rightarrow X$ and $g : X^n \rightarrow X$ are polynomial functions, then $f \wedge g$ and $f \vee g$ are polynomial functions.

Example:

$$\text{median}(x_1, x_2, x_3) = (x_1 \wedge x_2) \vee (x_2 \wedge x_3) \vee (x_3 \wedge x_1)$$

NB: On chains the median is just outputs the “middle point”.

Representations: Disjunctive Normal Form

A function $f: X^n \rightarrow X$ has a **disjunctive normal form (DNF)** if

$$f(\mathbf{x}) = \bigvee_{I \subseteq [n]} (a_I \wedge \bigwedge_{i \in I} x_i).$$

Proposition (Grätzer, Goodstein)

A function $p: X^n \rightarrow X$ is a polynomial function **iff** it has the **DNF**:

$$p(\mathbf{x}) = \bigvee_{I \subseteq [n]} (p(\mathbf{1}_I) \wedge \bigwedge_{i \in I} x_i)$$

where $\mathbf{1}_I$ denotes the “characteristic tuple” of $I \subseteq [n]$.

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Sugeno integrals as lattice polynomial functions

The **Sugeno integral** on a chain X w.r.t. $v: 2^{[n]} \rightarrow X$ is defined by

$$\mathcal{S}_v(\mathbf{x}) := \bigvee_{i \in [n]} v(\{\sigma(i), \dots, \sigma(n)\}) \wedge x_{\sigma(i)}$$

for a permutation σ **s.t.** $x_{\sigma(1)} \leq \dots \leq x_{\sigma(n)}$.

Theorem (Marichal): Let X be a distributive lattice...

A function $q: X^n \rightarrow X$ is the Sugeno integral \mathcal{S}_v **iff**

$$q(\mathbf{x}) = \bigvee_{I \subseteq [n]} (v(I) \wedge \bigwedge_{i \in I} x_i).$$

Thus: Sugeno integrals are exactly those polynomials that are **idempotent**:

$$q(x, \dots, x) = x$$

Fact:

Every polynomial function (in part., Sugeno integral) is **order-preserving**.

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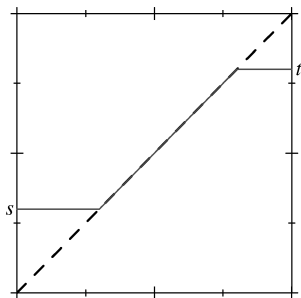
Median decomposability

For $c \in X$ and $\mathbf{x} \in X^n$, set $\mathbf{x}_i^c = (x_1, \dots, x_{i-1}, c, x_{i+1}, \dots, x_n)$.

Definition:

A function $f: X^n \rightarrow X$ is **median decomposable** if

$$f(\mathbf{x}) = \text{median} (f(\mathbf{x}_i^0), x_i, f(\mathbf{x}_i^1)), \text{ for every } i \in [n] \text{ and } \mathbf{x} \in X^n$$



$$t = f(\mathbf{x}_i^1)$$

$$s = f(\mathbf{x}_i^0)$$

Characterization of polynomial functions

Fact

Every median decomposable function is order-preserving.

Theorem (Marichal)

A function $p: X^n \rightarrow X$ is

- 1 a polynomial function **iff** it is median decomposable.
- 2 a Sugeno integral **iff** it is idempotent and median decomposable.

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Extensions: pseudo-polynomial functions

Let $\mathbf{X} := X_1 \times \cdots \times X_n$, where X_i is a set with two distinct 0_i and 1_i .

Definition:

$f: \mathbf{X} \rightarrow X$ is a **pseudo-polynomial function** if it can be factorized as

$$f(\mathbf{x}) = p(\varphi_1(x_1), \dots, \varphi_n(x_n)),$$

where $p: X^n \rightarrow X$ is polynomial function and each $\varphi_i: X_i \rightarrow X$ satisfies

$$\varphi_i(0_i) \leq \varphi_i(x_i) \leq \varphi_i(1_i). \quad (\text{BC})$$

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Sugeno utility functions as pseudo-polynomial functions

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Recall:

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Proposition (C. & Waldhauser)

Order-preserving pseudo-polynomials are exactly the Sugeno utility functions.

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Problems...

Consider $f: \mathbf{X} \rightarrow X$.

Problem 1: Determine whether f is pseudo-polynomial function.

Problem 2: Find all possible factorizations $f = p(\varphi_1, \dots, \varphi_n)$.

Remark:

f is a pseudo-polynomial iff f is **pseudo-median decomposable** i.e.

there are $\varphi_i: X_i \rightarrow X$ s.t. $f(\mathbf{x}) = \text{median}(f(\mathbf{x}_i^{0i}), \varphi_i(x_i), f(\mathbf{x}_i^{1i}))$

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A particular **but** interesting case...

However: we can determine and effectively compute all possible factorizations...

C., Waldhauser. Pseudo-polynomial functions over finite distributive lattices, *Fuzzy Sets and Systems* **239** (2014) 21–34

Full description: Birkhoff-Priestley representation and other lattice th. tools

Corollary (C. & Waldhauser): For a finite chain X ...

$U: \mathbf{X} \rightarrow X$ is Sugeno utility function **iff** it is order-preserving and

$$U(\mathbf{x}_i^{0j}) < U(\mathbf{x}_i^{aj}) \text{ and } U(\mathbf{y}_i^{aj}) < U(\mathbf{y}_i^{1j}) \implies U(\mathbf{x}_i^{aj}) \leq U(\mathbf{y}_i^{aj})$$

NB: For pseudo-polynomials, just relax order-preservation to boundary conditions

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Question: What is a preference relation?

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Question: What is a preference relation?

Preference relations

Let \mathbf{X} be a nonempty set.

A **pre-order** on \mathbf{X} is a relation $\succsim \subseteq \mathbf{X}^2$ that is:

- 1 reflexive: $\forall \mathbf{x} \in \mathbf{X} : \mathbf{x} \succsim \mathbf{x}$,
- 2 transitive: $\forall \mathbf{x}, \mathbf{y}, \mathbf{z} \in \mathbf{X} : \mathbf{x} \succsim \mathbf{y}, \mathbf{y} \succsim \mathbf{z} \implies \mathbf{x} \succsim \mathbf{z}$, and
- 3 complete: $\forall \mathbf{x}, \mathbf{y} \in \mathbf{X} : \mathbf{x} \succsim \mathbf{y}$ or $\mathbf{y} \succsim \mathbf{x}$.

Note: Pre-orders are not necessarily antisymmetric:

$$\forall \mathbf{x}, \mathbf{y} \in \mathbf{X} : \mathbf{x} \succsim \mathbf{y}, \mathbf{y} \succsim \mathbf{x} \implies \mathbf{x} = \mathbf{y} \quad (\text{AS})$$

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Indifference relation

The **indifference relation** \sim associated with \succsim is defined by:

$$\mathbf{x} \sim \mathbf{y} \text{ iff } \mathbf{y} \succsim \mathbf{x} \text{ and } \mathbf{x} \succsim \mathbf{y}.$$

Note that...

- 1 \sim is an equivalence relation.
- 2 $\leq := \succsim / \sim$ satisfies (AS) and \mathbf{X} / \sim is a (finite) chain.

Preference relations in MCDM

Let $\mathbf{X} := X_1 \times \cdots \times X_n$, where each X_i is endowed with an ordering (criterion).

A **preference relation** on \mathbf{X} is a pre-order \succsim that satisfies the **Pareto condition**:

$$(P) \quad \forall \mathbf{x}, \mathbf{y} \in \mathbf{X} \quad \text{s.t.} \quad \forall i \in [n], x_i \succsim_i y_i \implies \mathbf{x} \succsim \mathbf{y}.$$

How can we represent them?

The **rank function** $r: \mathbf{X} \rightarrow \mathbf{X}/\sim$ of \succsim is order-preserving and

$$\mathbf{x} \succsim \mathbf{y} \iff r(\mathbf{x}) \leq r(\mathbf{y}).$$

Since they satisfy the Pareto condition...

Preference relations are exactly those representable by order-preserving functions.

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$$\mathbf{x} \succsim \mathbf{y} \iff r(\mathbf{x}) \leq r(\mathbf{y}).$$

Since they satisfy the Pareto condition...

Preference relations are exactly those representable by order-preserving functions.

Preference relations in MCDM

Let $\mathbf{X} := X_1 \times \cdots \times X_n$, where each X_i is endowed with an ordering (criterion).

A **preference relation** on \mathbf{X} is a pre-order \succsim that satisfies the **Pareto condition**:

$$(P) \quad \forall \mathbf{x}, \mathbf{y} \in \mathbf{X} \quad \text{s.t.} \quad \forall i \in [n], x_i \succsim_i y_i \implies \mathbf{x} \succsim \mathbf{y}.$$

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Axiomatic approach to Sugeno preferences MCDM

Here: Preference relations that are represented by Sugeno utility functions

$$U(\mathbf{x}) = q(\varphi_1(x_1), \dots, \varphi_n(x_n)),$$

where $q: X^n \rightarrow X$ is a Sugeno integral and each $\varphi_i: X_i \rightarrow X$ is order-preserving.

Theorem (C. & Dubois & Prade & Waldhauser)

A preference relation \succsim on \mathbf{X} is representable by a Sugeno utility function iff

$$\forall \mathbf{x}, \mathbf{y} \in \mathbf{X} : \mathbf{x}_i^0 \prec \mathbf{x}_i^a \text{ and } \mathbf{y}_i^a \prec \mathbf{y}_i^1 \implies \mathbf{x}_i^a \succsim \mathbf{y}_i^a$$

Intuition:

Alternative axiomatization: Greco *et al.* and Bouyssou *et al.*

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Alternative axiomatization: Greco *et al.* and Bouyssou *et al.*

Recall: For a finite chain $X...$

$U: \mathbf{X} \rightarrow X$ is a Sugeno utility function **iff** it is order-preserving and

$$U(\mathbf{x}_i^{0i}) < U(\mathbf{x}_i^{ai}) \text{ and } U(\mathbf{y}_i^{ai}) < U(\mathbf{y}_i^{1i}) \implies U(\mathbf{x}_i^{ai}) \leq U(\mathbf{y}_i^{ai}) \quad (*)$$

If \succsim is a preference relation satisfying:

$$\forall \mathbf{x}, \mathbf{y} \in \mathbf{X} : \mathbf{x}_i^0 \prec \mathbf{x}_i^a \text{ and } \mathbf{y}_i^a \prec \mathbf{y}_i^1 \implies \mathbf{x}_i^a \succsim \mathbf{y}_i^a,$$

then r verifies $(*)$ and thus it is a Sugeno utility function representing \succsim .

Conversely...

Recall: For a finite chain $X...$

$U: \mathbf{X} \rightarrow X$ is a Sugeno utility function **iff** it is order-preserving and

$$U(\mathbf{x}_i^{0_i}) < U(\mathbf{x}_i^{a_i}) \text{ and } U(\mathbf{y}_i^{a_i}) < U(\mathbf{y}_i^{1_i}) \implies U(\mathbf{x}_i^{a_i}) \leq U(\mathbf{y}_i^{a_i}) \quad (*)$$

Suppose \succsim is represented by a Sugeno utility function U . **WLOG** U surjective.

Then $r = \alpha \circ U$ for some order-isomorphism α .

Since U satisfies $(*)$, r satisfies $(*)$, and **thus:**

$$\forall \mathbf{x}, \mathbf{y} \in \mathbf{X} : \mathbf{x}_i^0 \prec \mathbf{x}_i^a \text{ and } \mathbf{y}_i^a \prec \mathbf{y}_i^1 \implies \mathbf{x}_i^a \succsim \mathbf{y}_i^a. \quad \square$$

Final remarks: MCDM vs DMU

Particular case: DMU (under uncertainty)

- 1 single attribute $Y = X_1 = X_2 = \dots = X_n$ (n states),
- 2 single utility function $\varphi: Y \rightarrow X$ for each $i \in [n]$,
- 3 **state independent** Sugeno utility functions $U: \mathbf{X} \rightarrow X$,

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Computational approach: Chateauneuf & Grabisch & Labreuche & Rico

Algebraic approach: C. & Marichal

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Consider a preference relation \succsim on $\mathbf{X} = Y^n \dots$

Theorem (Dubois & Prade & Sabbadin)

\succsim is representable by a state-independent Sugeno utility function **iff**

- 1 **Restricted disj. dominance:** $\forall \mathbf{x}, \mathbf{y}, \mathbf{c} \in \mathbf{X} : \mathbf{y} \prec \mathbf{x}, \mathbf{c} \prec \mathbf{x} \implies \mathbf{y} \vee \mathbf{c} \prec \mathbf{x},$
- 2 **Restricted conj. dominance:** $\forall \mathbf{x}, \mathbf{y}, \mathbf{c} \in \mathbf{X} : \mathbf{x} \prec \mathbf{y}, \mathbf{x} \prec \mathbf{c} \implies \mathbf{x} \prec \mathbf{y} \wedge \mathbf{c}$

where \mathbf{c} is a constant tuple.

Question: Is MCDM more expressive than this DMU setting?

In other words: Can state-dependent Sugeno utility functions $U: \mathbf{X} \rightarrow X$

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Question: Yes!

Example: Let $Y = \{1, 2, 3\} = X$ with the natural ordering, and consider \succsim :

$$[(3, 3)] = \{(3, 3), (2, 3)\},$$

$$[(3, 2)] = \{(3, 2), (3, 1), (1, 3), (2, 2), (2, 1)\},$$

$$[(1, 2)] = \{(1, 2), (1, 1)\}.$$

This relation does not satisfy **RDD**:

$$(2, 2) \prec (2, 3) \text{ and } (1, 3) \prec (2, 3) \text{ but } (2, 2) \vee (1, 3) \sim (2, 3)$$

Hence: not representable by a state-independent Sugeno utility function.

However: Taking $q(x_1, x_2) = (2 \wedge x_1) \vee (2 \wedge x_2) \vee (3 \wedge x_1 \wedge x_2)$ and

$$\varphi_1(3) = 3 = \varphi_1(2), \varphi_1(1) = 1 \quad \text{and} \quad \varphi_2(3) = 3, \varphi_2(2) = 1 = \varphi_2(1)$$

we have that $U(x_1, x_2) = q(\varphi_1(x_1), \varphi_2(x_2))$ represents \succsim .

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Merci de votre attention!

Obrigado pela vossa atenção!

Thank you for your attention!

Grazie mille per la vostra attenzione!

Going back...

Consider $f: \mathbf{X} \rightarrow X$.

Problem 1: Determine whether f is pseudo-polynomial function.

Problem 2: Find all possible factorizations $f = p(\varphi_1, \dots, \varphi_n)$.

Birkhoff-Priestley representation of distributive lattices

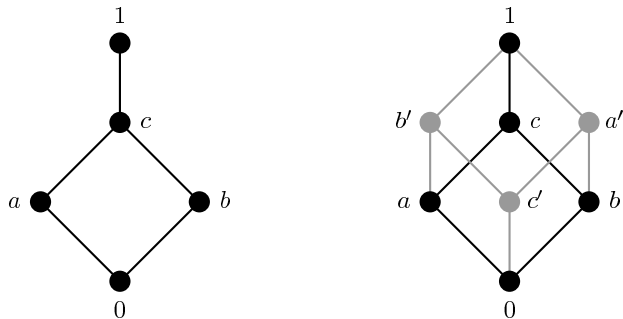
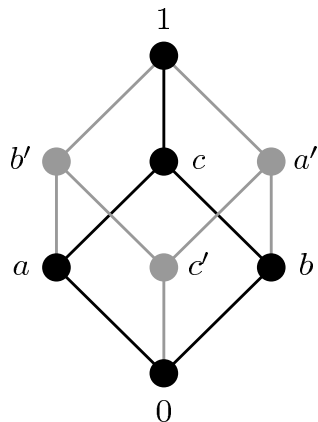


Figure : A distributive lattice X and its representation into the **Boolean lattice** $B(X)$

NB: Every Boolean lattice can be thought of as the **power-set** of some set

NB: Each $a \in B(L)$ has a **complement** a' : $a \vee a' = 1$ and $a \wedge a' = 0$

Closure and interior operators from $B(X)$ to X



closure operator: $\text{cl}(y) = \bigwedge_{\substack{x \in X \\ x \geq y}} x$

interior operator: $\text{int}(y) = \bigvee_{\substack{x \in X \\ x \leq y}} x$

Examples:

$$\text{cl}(a') = \text{cl}(b') = \text{cl}(c') = 1$$

$$\text{int}(a') = b, \text{int}(b') = a, \text{int}(c') = 0$$

NB: cl and int are valued in X and both are the identity when restricted to X

Towards factorizations of pseudo-polynomials...

Given $f: \mathbf{X} \rightarrow X$ define the polynomial $p_f: X^n \rightarrow X$

$$p_f(\mathbf{x}) := \bigvee_{I \subseteq [n]} (f(\widehat{\mathbf{1}}_I) \wedge \bigwedge_{i \in I} x_i)$$

and functions $\Phi_i^-, \Phi_i^+: X_i \rightarrow X$, $i \in [n]$,

$$\Phi_i^-(a_i) := \bigvee_{\substack{\mathbf{x} \in \mathbf{X} \\ x_i = a_i}} \text{cl}(f(\mathbf{x}) \wedge f(\mathbf{x}_i^0)') \quad \text{and} \quad \Phi_i^+(a_i) := \bigwedge_{\substack{\mathbf{x} \in \mathbf{X} \\ x_i = a_i}} \text{int}(f(\mathbf{x}) \vee f(\mathbf{x}_i^1)')$$

A bit of intuition...

- 1 For $u \leq m \leq w$, $v \in X$: $m = \text{median}(u, v, w)$ iff $m \wedge u' \leq v \leq m \vee w'$
- 2 If $f(\mathbf{x}) = \text{median}(f(\mathbf{x}_i^0), \varphi_i(x_i), f(\mathbf{x}_i^1))$ (pseudo-median decomp.), then

$$f(\mathbf{x}) \wedge f(\mathbf{x}_i^0)' \leq \varphi_i(x_i) \leq f(\mathbf{x}) \vee f(\mathbf{x}_i^1)'$$

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Characterization of pseudo-polynomials...

Fact

If f is a pseudo-polynomial, **then** it satisfies $f(\mathbf{x}_i^{0_i}) \leq f(\mathbf{x}) \leq f(\mathbf{x}_i^{1_i})$ (BCi)

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Finding all factorizations...

Let $f: \mathbf{X} \rightarrow X$ be a pseudo-polynomial function.

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$\varphi_i: X_i \rightarrow X$ satisfying (BC) appears in a factorization of f iff $\Phi_i^- \leq \varphi_i \leq \Phi_i^+$.

In particular: $f = p_f(\varphi_1, \dots, \varphi_n)$ where

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Proposition (C. & Waldhauser): Fix $\varphi_i: X_i \rightarrow X$ as above...

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Basically, the solutions of an interpolation problem...

Find all $p: X^n \rightarrow X$ s.t. $p(\mathbf{1}_I) = f(\widehat{\mathbf{1}}_I)$ for all $I \subseteq [n]$

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Example: Airlines

Question: Are preferences about travelling with four airlines A_1, A_2, A_3, A_4 in economy class (E) and first class (F) modelled by pseudo-polynomial functions?

x_1	x_2	$f(x_1, x_2)$
A_1	E	B
A_1	F	B
A_2	E	B
A_2	F	D
A_3	E	N
A_3	F	G
A_4	E	N
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Table: shows a customer's evaluation of these eight options, where B, N, G, V, D stand for bad, neutral, good, very good, and don't know

Defines: overall utility $f: X_1 \times X_2 \rightarrow X$ where

$$X_1 := \{A_1, A_2, A_3, A_4\}, \quad X_2 := \{E, F\}$$
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Assume: D is better than B, worse than G, and incomparable with N, hence ...

NB: $0_{X_2} = E$ and $1_{X_2} = F$, but 0_{X_1} and 1_{X_1} are not clear.

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NB1: $\Phi_k^- \leq \Phi_k^+$ for $k = 1, 2$. **Hence:** $f(x_1, x_2) = p(\varphi_1(x_1), \varphi_2(x_2))$

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Case $(\varphi_1, \varphi_2) = (\Phi_1^-, \Phi_2^-)$: only one $p^- = p_f = p^+ = y_1 \wedge (y_2 \vee N)$

Case $(\varphi_1, \varphi_2) = (\Phi_1^+, \Phi_2^+)$: 2 possibilities $p^- = y_1 \wedge y_2$ and $p^+ = p_f$

Thus: f has altogether three factorizations, namely,

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However: they are essentially the same, since $\Phi_2^- \vee N = \Phi_2^+ \vee N = \Phi_2^+$

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