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# How Often Are Two Permutations Comparable?

Adam J. Hammett

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# How often are two permutations comparable?

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The Ohio State University

October 9, 2012

# Talk Outline

- 1 Preliminaries
  - Basic Concepts
    - Bruhat Order
    - Weak Order
  - Problems Studied

- 2 Results
  - Main Results
  - Sketch of Proofs

- 3 Open Problems

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- Bruhat ordering can be extended to general Coxeter groups, but we studied  $\mathfrak{S}_n$  only.

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- Despite no restrictions on which inversions we destroy, the total number of inversions strictly decreases each time we destroy one.
- **Problem:** From the definition alone, checking Bruhat comparability is far from algorithmic.
- To get around this, we used two comparability criteria that are algorithmic in nature: the **Ehresmann Tableaux** and  **$\{0, 1\}$ -matrix** criteria.

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$$\begin{array}{cc} 1 & 2 \\ 2 & \end{array}$$
$$\begin{array}{cc} 4 & 5 \\ 4 & \end{array}$$



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- Let  $\pi = 21534$ ,  $\sigma = 45312$ . We build a pair of staircase tableaux from these permutations.
- Then  $\pi \leq \sigma$  iff the tableau for  $\pi$  is dominated entry-wise by that for  $\sigma$ .

1	2	3	4	5	1	2	3	4	5
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**Advantage:** **Algorithmic** way to check comparability.

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- Given  $\pi, \sigma \in \mathfrak{S}_n$ , we have  $\pi \leq \sigma$  in weak order (written  $\pi \preceq \sigma$ ) if  $\pi$  can be obtained from  $\sigma$  by undoing **adjacent** inversions.

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- Given  $\pi, \sigma \in \mathfrak{S}_n$ , we have  $\pi \leq \sigma$  in weak order (written  $\pi \preceq \sigma$ ) if  $\pi$  can be obtained from  $\sigma$  by undoing **adjacent** inversions.

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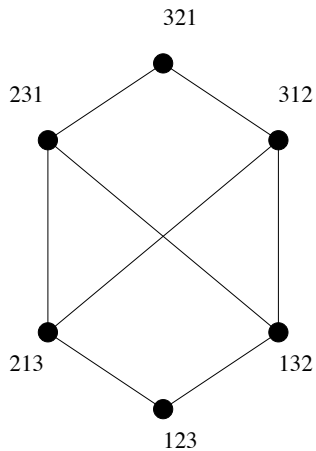
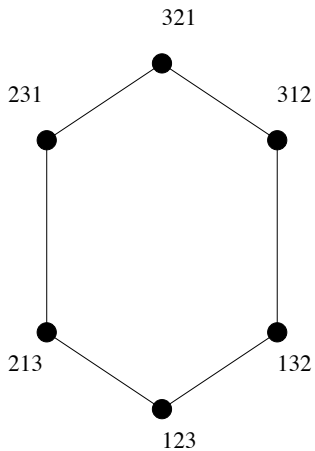
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# The Posets $(\mathfrak{S}_3, \preceq)$ and $(\mathfrak{S}_3, \leq)$



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Then  $\cup_{i \in [n]} \{(j, i) : j \in E_i(\pi)\}$  is the set of **non-inversions** of  $\pi$ .  
We have  $\pi \preceq \sigma$  iff  $E_i(\pi) \supseteq E_i(\sigma)$  for each  $i \in [n]$ .

# Problems Studied



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- (1)  $(\mathfrak{S}_n, \leq)$  is only *partially*-ordered. So how likely is it that for independent, uniformly random  $\pi, \sigma \in \mathfrak{S}_n$  we have  $\pi \leq \sigma$ ? That is, what are bounds for  $P(\pi \leq \sigma)$ ? (Skandera, MIT, 2004.)

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- (4) As  $(\mathfrak{S}_n, \preceq)$  is a lattice, how likely is it that independent, uniformly random  $\pi_1, \dots, \pi_r \in \mathfrak{S}_n$  have minimal infimum,  $12 \cdots n$ ?

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  - Pittel studied the analogous problems for the poset of integer partitions under dominance order, and for the poset of set partitions ordered by refinement.

# Bruhat Order Results

## Theorem

Let  $\pi_1, \dots, \pi_r \in \mathfrak{S}_n$  be independent and uniformly random. Then there are uniform constants  $c_1 = c_1(\epsilon), c_2 > 0$  such that

$$c_1 \left( \frac{1}{r!} - \epsilon \right)^n \leq P(\pi_1 \leq \dots \leq \pi_r) \leq c_2 n^{-r(r-1)}, \quad \forall \epsilon > 0.$$

Equivalently, there are at least  $(n!)^r c_1 (1/r! - \epsilon)^n$  and at most  $(n!)^r c_2 n^{-r(r-1)}$  length  $r$  chains in Bruhat order. In the case  $r = 2$ , there is a uniform constant  $c > 0$  such that

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- We will focus on the proof of the  $r = 2$  upper bound.

# Weak Order Comparability Results

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Let  $\pi, \sigma \in \mathfrak{S}_n$  be independent, uniformly random, and write  $P_n^* := P(\pi \preceq \sigma)$ . Then, as a function of  $n$ ,  $P_n^*$  is submultiplicative, i.e.  $P_{n_1+n_2}^* \leq P_{n_1}^* P_{n_2}^*$ . So (Fekete lemma) there exists  $\rho = \lim_n (P_n^*)^{1/n} = \inf_k (P_k^*)^{1/k}$ . Furthermore, there exists an absolute constant  $c > 0$  such that

$$\prod_{i=1}^n H(i)/i \leq P_n^* \leq c(0.362)^n;$$

here  $H(i) = \sum_{j=1}^i 1/j$ . Consequently  $\rho \leq 0.362$ .



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- Note that in any case (Bruhat or weak ordering) we have  $P(\bullet) \rightarrow 0, n \rightarrow \infty$ .

# Weak Order Lattice-property Results

## Theorem

Write  $P_{n,r} := P(\inf\{\pi_1, \dots, \pi_r\} = 12 \cdots n)$ . Then, as a function of  $n$ ,  $P_{n,r}$  is submultiplicative, and

$$\lim_{n \rightarrow \infty} (P_{n,r})^{1/n} = 1/z^*;$$

here,  $z^* = z^*(r) \in (1, 2)$  is the unique (positive) root of the equation  $\sum_{j \geq 0} (-1)^j z^j / (j!)^r = 0$  within the disk  $|z| \leq 2$ .

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- In the case  $r = 2$ , we have  $1/z^* \approx 0.69$ . Note that, for  $r$  fixed,  $P_{n,r} \rightarrow 0$  exponentially fast as  $n \rightarrow \infty$ .

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- On the other hand, these conditions need to be stringent enough so that they collectively have probability  $o(1)$ .

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- First Advance: the Ehresmann Criterion implies that for each  $k \leq n$ ,

$$\{\pi \leq \sigma\} \subseteq \left\{ \sum_{i=1}^j \pi(i) \leq \sum_{i=1}^j \sigma(i), \forall j \leq k \right\}. \quad (1)$$

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- So letting  $k \rightarrow \infty$  “slowly” with  $n$ , we obtain from (1)

$$P(\pi \leq \sigma) = O(n^{-1/2})$$

by using a certain connection with a random walk on the real line (Feller, “Intro. to Prob. Theory, Vol. II”).

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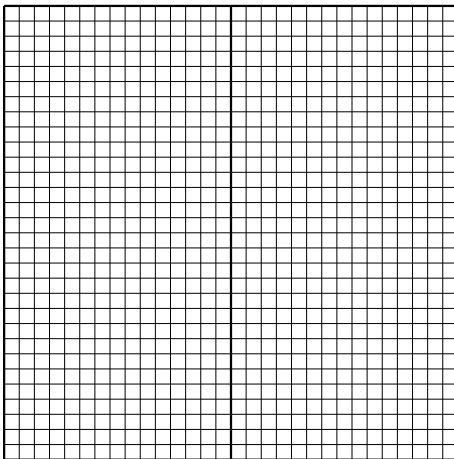
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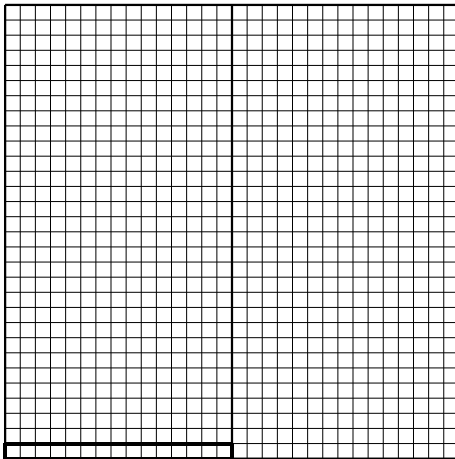
- This is the same as “reading-off” rows of the first  $k$  columns of  $M(\pi, \sigma)$ , bottom to top, with the # X’s (for  $\pi$ ) always more than the # O’s (for  $\sigma$ ) at any intermediate point.

# Equivalence of Ehresmann and $\{0, 1\}$ -criteria

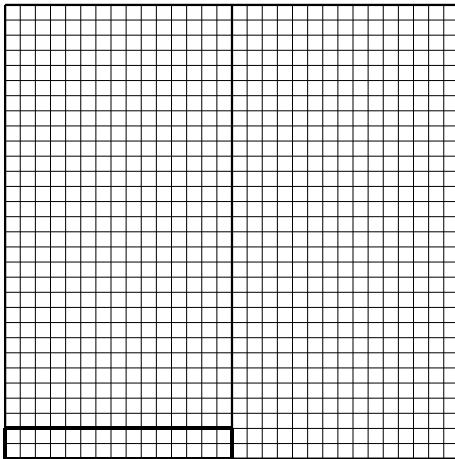




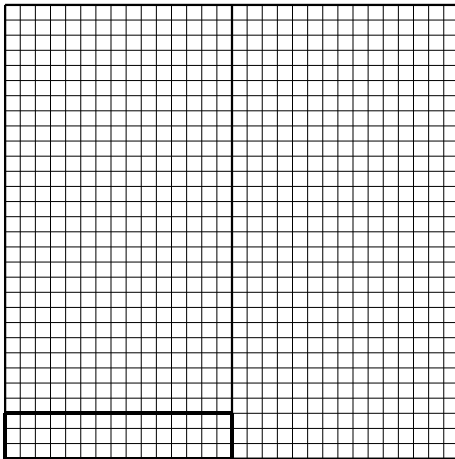
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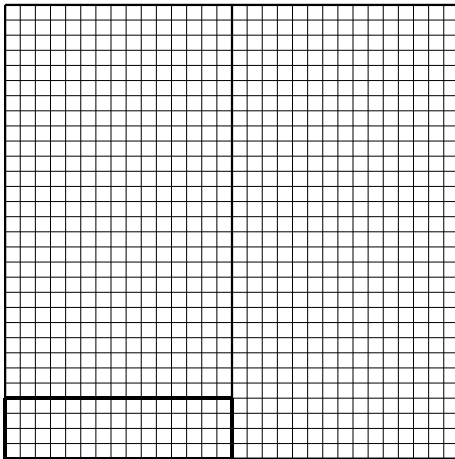
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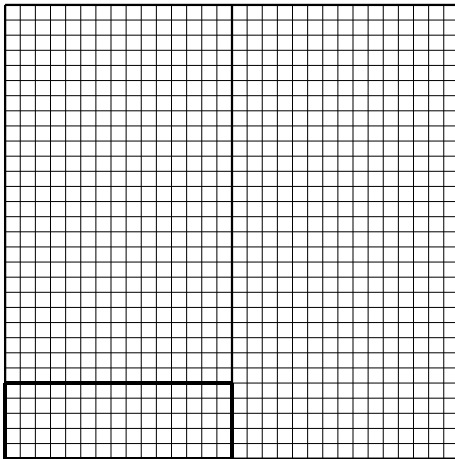
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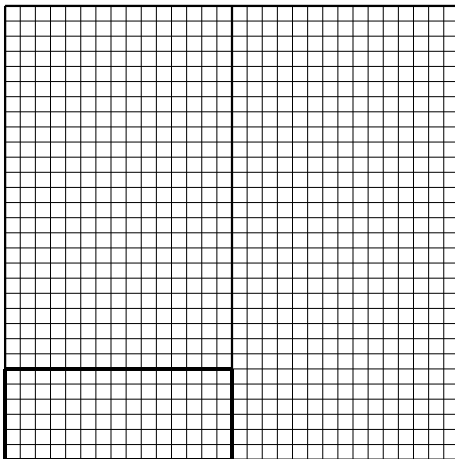
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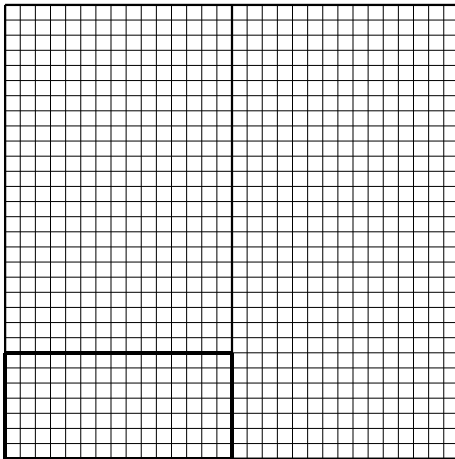
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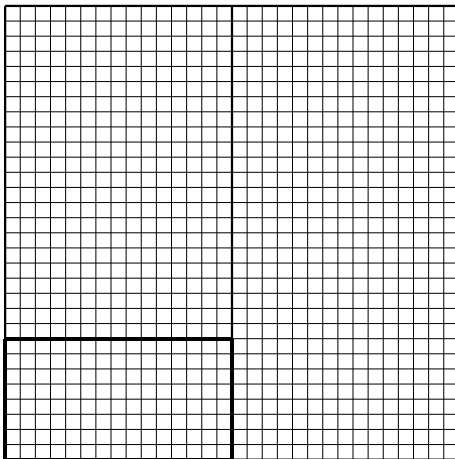
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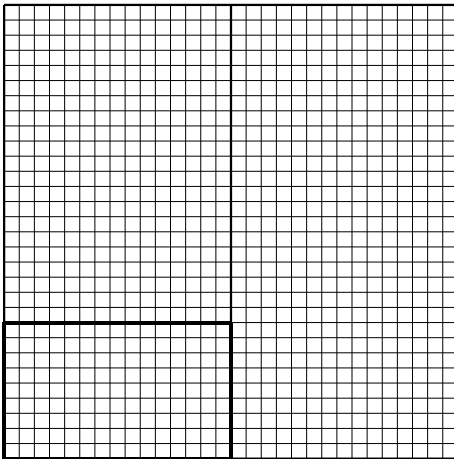


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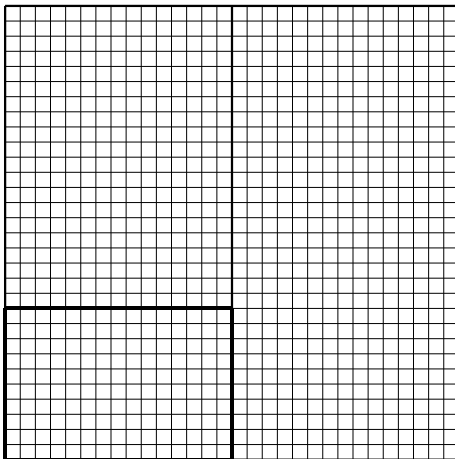




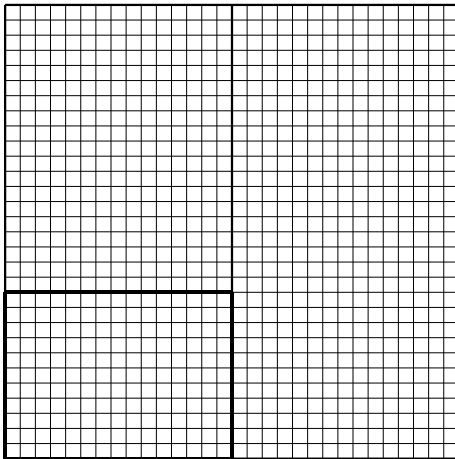
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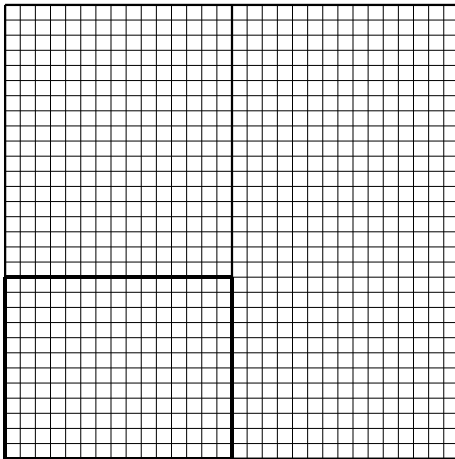
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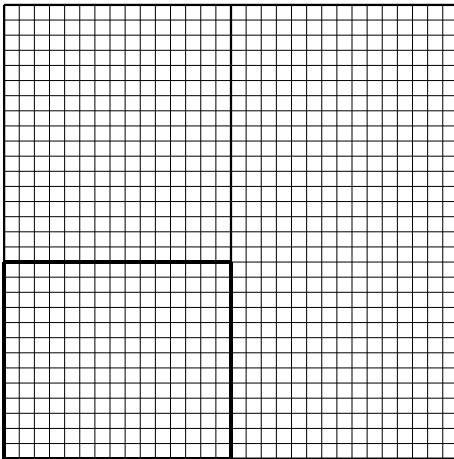
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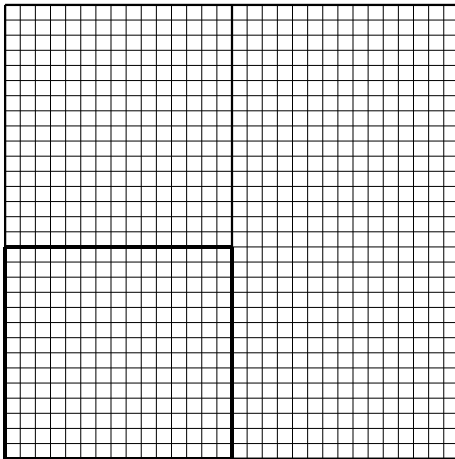
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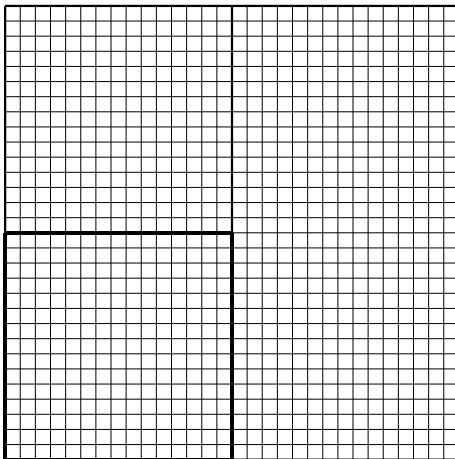
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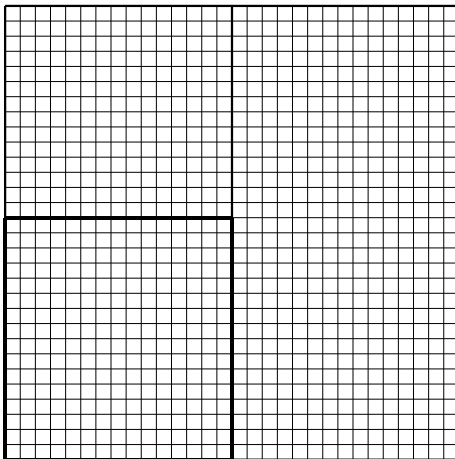
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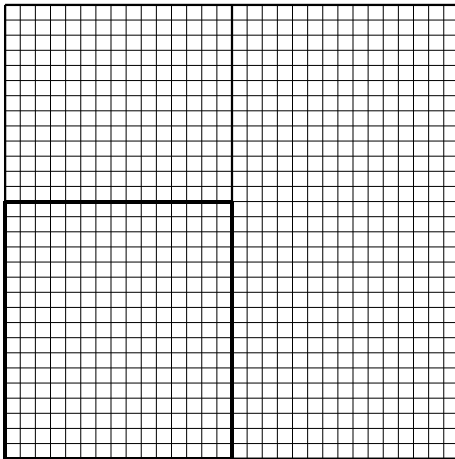


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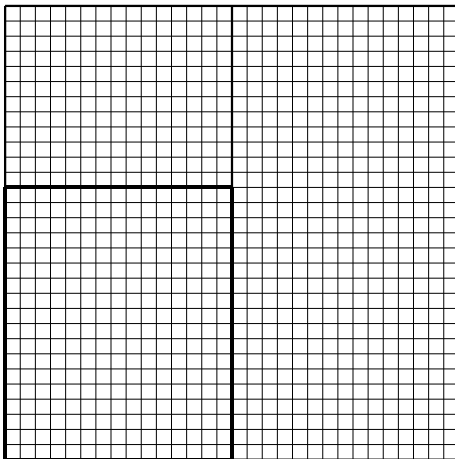




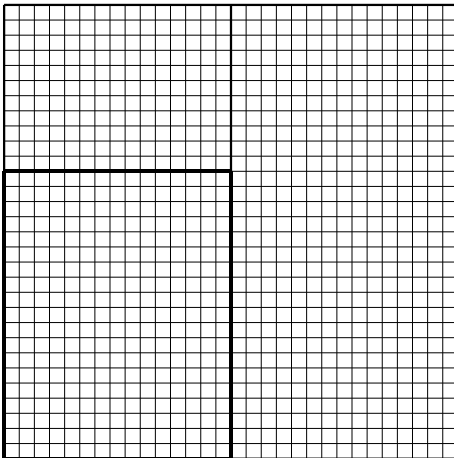
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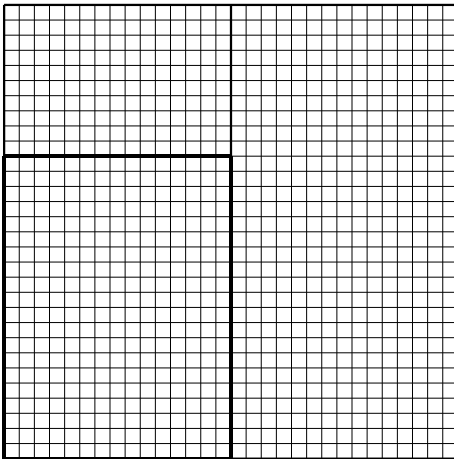
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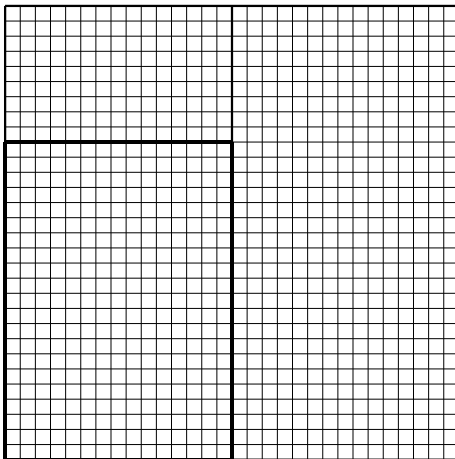
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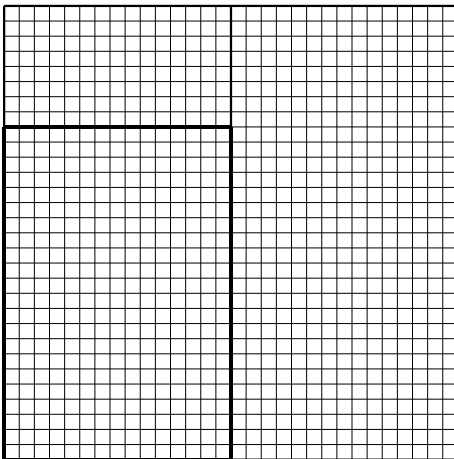
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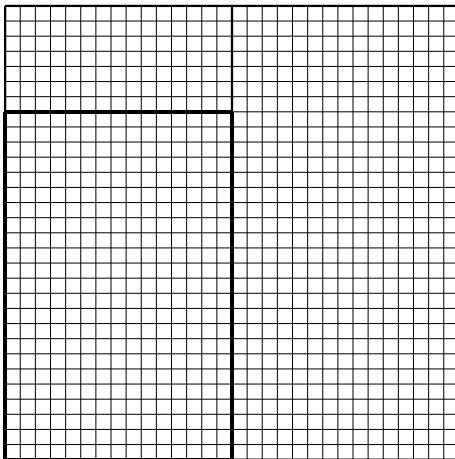
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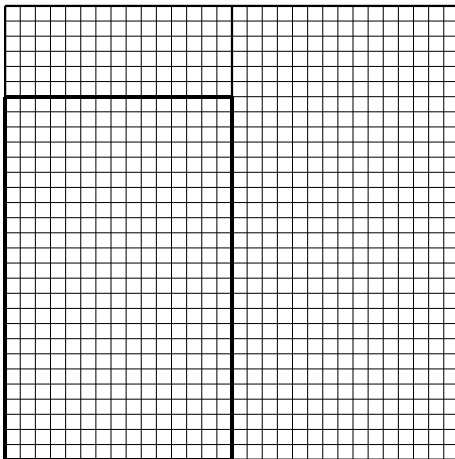
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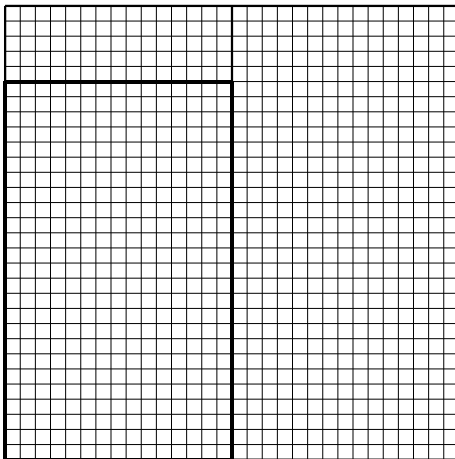


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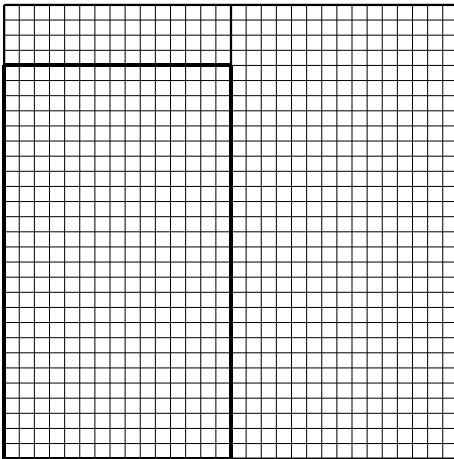




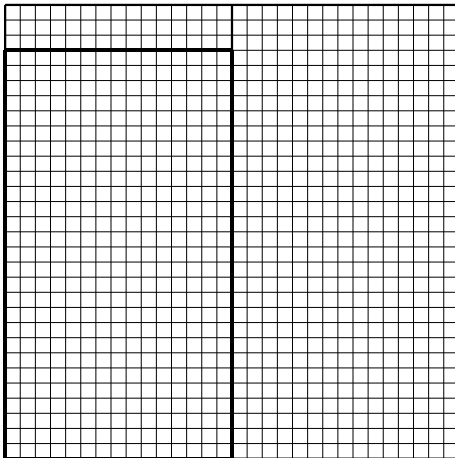
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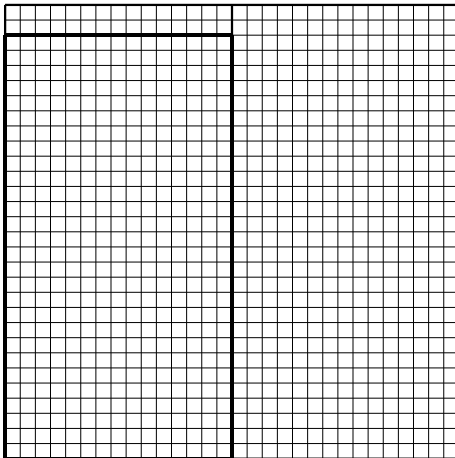
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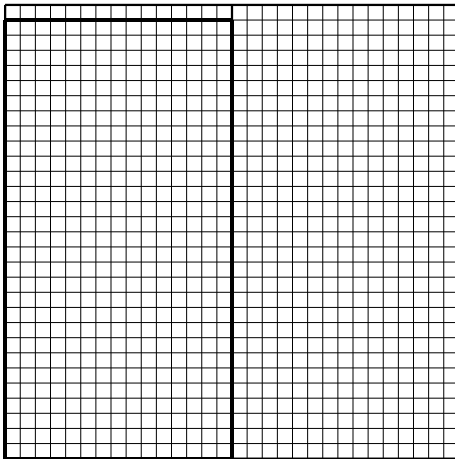
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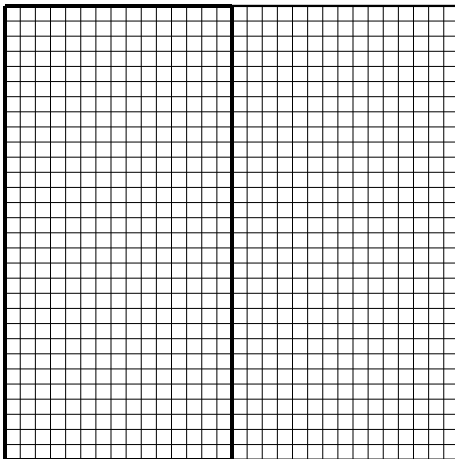
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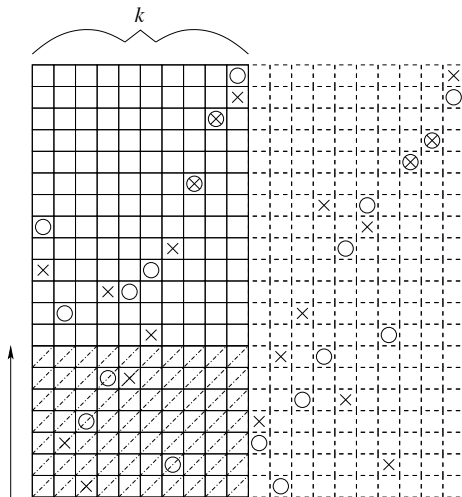
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- $\ell := \#$  of rows with both an X and O.
- Other  $2(k - \ell)$  rows need to be split between  $\pi$  ( for X's) and  $\sigma$  (for O's) according to the ballot condition.
- The number of ways to do this, for given  $\ell$ , is

$$\binom{n}{\ell} \binom{n-\ell}{2(k-\ell)} \frac{1}{k-\ell+1} \binom{2(k-\ell)}{k-\ell},$$

the last two factors coming from the classic Ballot Theorem.

# Statement of the Ballot Theorem

## Theorem

*Candidate A receives  $a$  votes, B gets  $b$  votes,  $a > b$ . Then the number of ballot tallies (counted 1 vote at a time) such that A is always strictly ahead of B equals*

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- Equ., starting at  $(0, 0)$ , we can make a rightward unit move each time  $A$  gets a vote, and an upward unit move each time  $B$  gets a vote. Then this theorem counts the number of lattice paths with these moves, joining the points  $(0, 0) - (a, b)$ , that never *touch* the diagonal  $y = x$ .

## Ballot Theorem cont.

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- For us,  $a = b = k - \ell$ , and this delivers the count

$$\binom{n}{\ell} \binom{n-\ell}{2(k-\ell)} \frac{1}{k-\ell+1} \binom{2(k-\ell)}{k-\ell}$$

we claimed for the total number of admissible row selections for  $\pi$  (to contain X's) and for  $\sigma$  (to contain O's) with overlap size  $\ell$ .

## Upper Bound Proof (2nd advance cont.)

- To complete the construction of pairs  $(\pi, \sigma) \in A_k$ , we need to decide where to *put* the X's and O's in these chosen rows, and also place the remaining  $n - k$  X's and  $n - k$  O's somewhere in the remaining rows/columns. The total number of ways to do this is

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- Putting these pieces together, and summing over all  $\ell \leq k$ , we get

## Upper Bound Proof (2nd advance cont.)

$$\begin{aligned}
 P(\pi \leq \sigma) &\leq P(A_k) = \sum_{\ell \leq k} \frac{\binom{n}{\ell} \binom{n-\ell}{2(k-\ell)} \binom{2(k-\ell)}{k-\ell} (k!)^2 (n-k)!^2}{(n!)^2 (k-\ell+1)} \\
 &= \frac{n+1}{(n-k+1)(k+1)} \sum_{\ell \leq k} \frac{\binom{k}{\ell} \binom{n+1-k}{k+1-\ell}}{\binom{n+1}{k+1}} \\
 &= \frac{n+1}{(n-k+1)(k+1)} = O(n^{-1}).
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- For fixed  $k$  and  $n \rightarrow \infty$ ,  $P(A_k) \sim (k+1)^{-1}$ , which is in accordance with our intuition.

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- To obtain the final result,  $P(\pi \leq \sigma) = O(1/n^2)$ , how do we take into account an even larger subset of conditions?



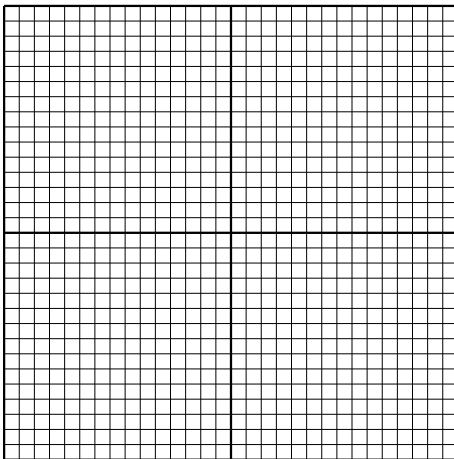
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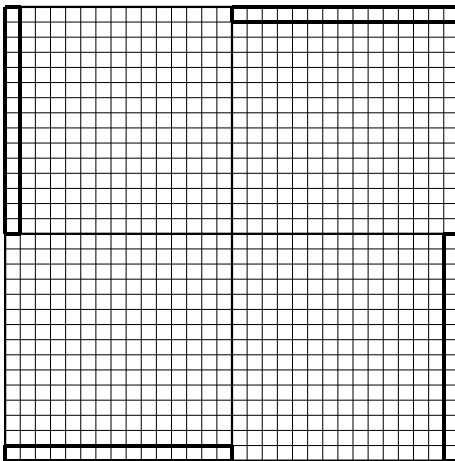
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- With the ballot-like conditions we just encountered driving our intuition, we arrive at the following picture:

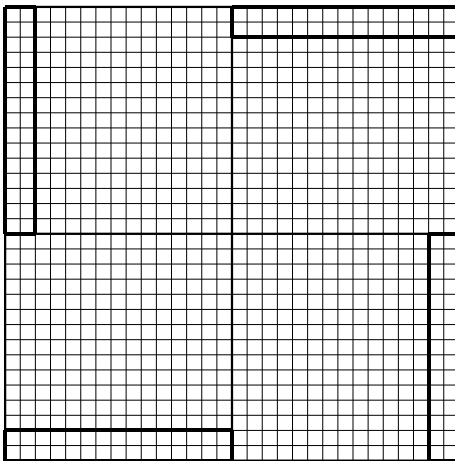
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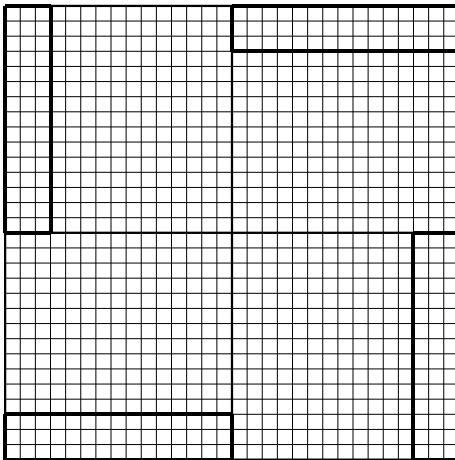
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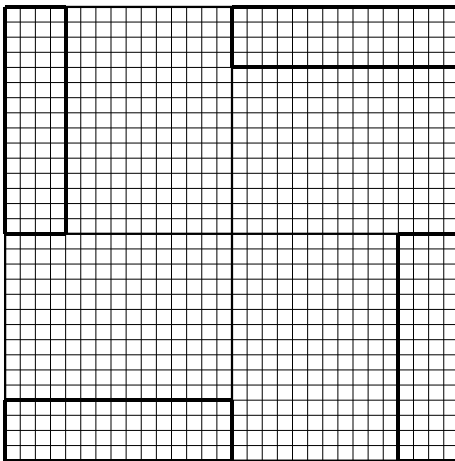
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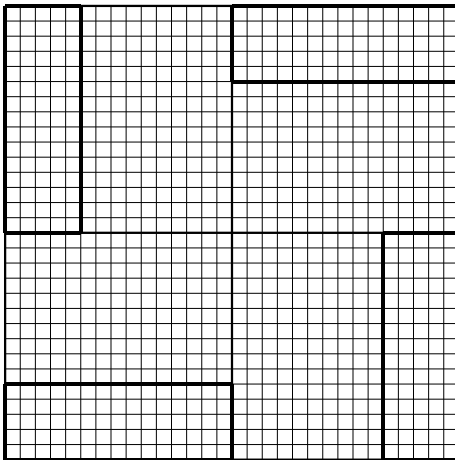
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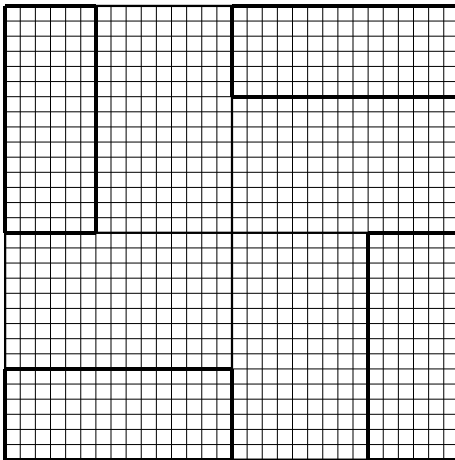


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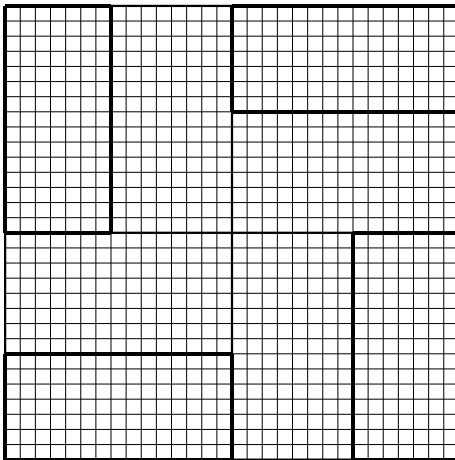




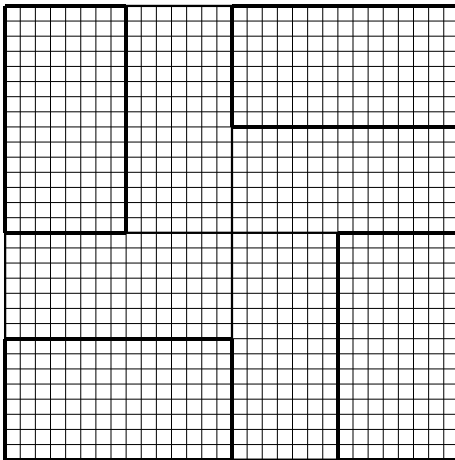
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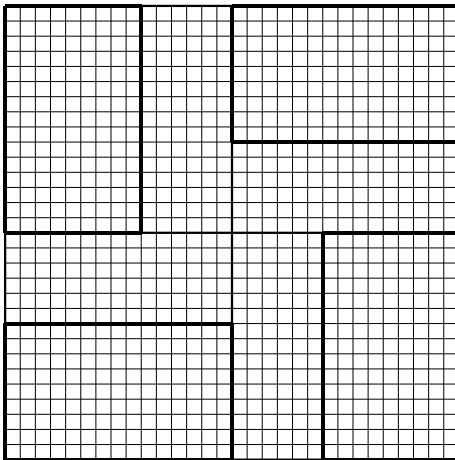
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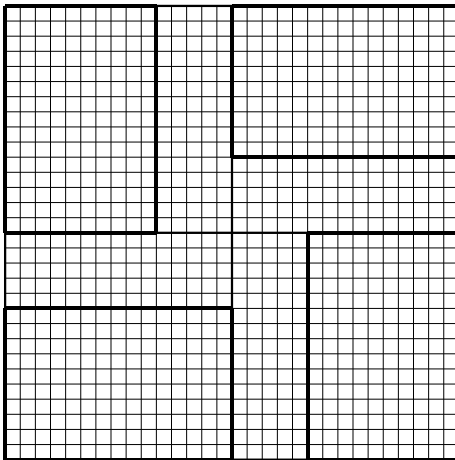
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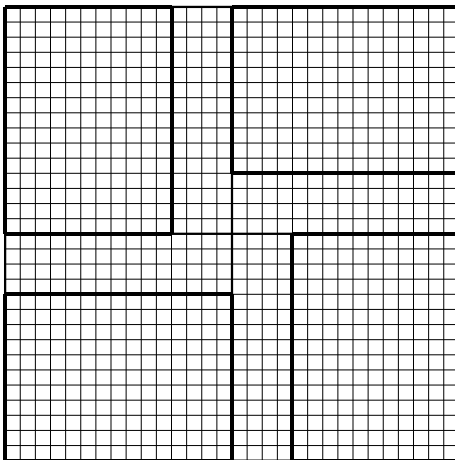
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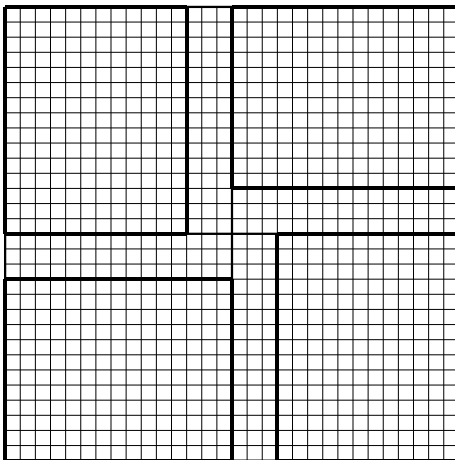
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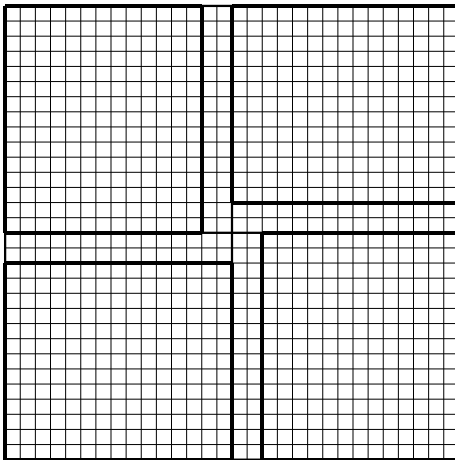
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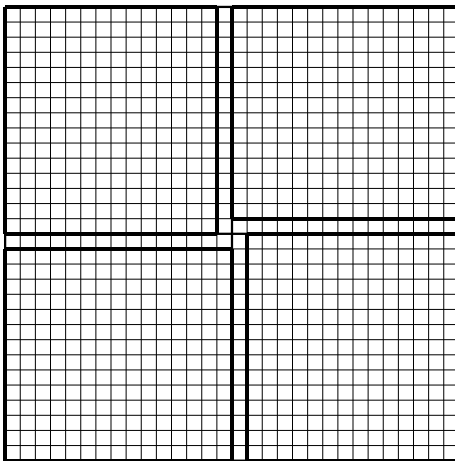


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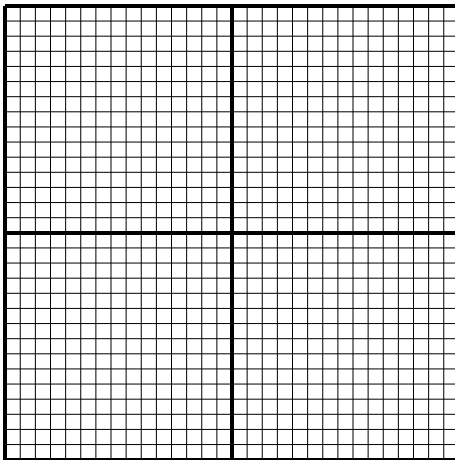




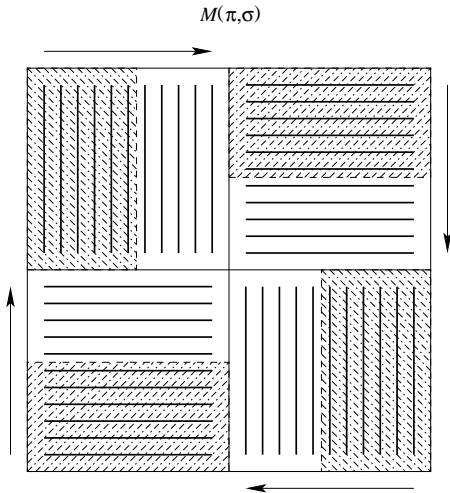
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# Upper Bound Proof (final form)

- In a manner similar to the  $O(1/n)$  proof, we obtain

$$\begin{aligned}
 & P(\pi \leq \sigma) \\
 & \leq \sum_{m_1 \geq m_2} \frac{(m_1 - m_2 + 1)^4 (n/2 + 1)^4}{(m_1 + 1)^4 (n/2 - m_2 + 1)^4} \binom{n/2}{m_1}^4 \binom{n/2}{m_2}^4 \\
 & \quad \times \frac{m_1!^2 (n/2 - m_1)!^2 m_2!^2 (n/2 - m_2)!^2}{n!^2} \\
 & = \sum_{m_1 \geq m_2} \frac{(m_1 - m_2 + 1)^4 (n/2 + 1)^4}{(m_1 + 1)^4 (n/2 - m_2 + 1)^4} \prod_{i=1}^2 \frac{\binom{n/2}{m_i} \binom{n/2}{n/2 - m_i}}{\binom{n}{n/2}}.
 \end{aligned}$$

## Upper Bound Proof (final form)

- Extending this last sum over all  $m_1, m_2$  (not just  $m_1 \geq m_2$ ), we see that the extended sum equals

$$E \left[ \frac{(M_1 - M_2 + 1)^4 (n/2 + 1)^4}{(M_1 + 1)^4 (n/2 - M_2 + 1)^4} \right],$$

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- Here,  $M_1, M_2$  are independent copies of the Hypergeometric random variable with parameters  $n/2, n/2, n/2$ . So  $M_i$  is equal in distribution to the number of red balls in a uniformly random sample of size  $n/2$  from a bin containing  $n/2$  red and  $n/2$  white balls.

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- So, roughly speaking, we conclude that

$$\begin{aligned} P(\pi \leq \sigma) &\leq E \left[ \frac{(M_1 - M_2 + 1)^4 (n/2 + 1)^4}{(M_1 + 1)^4 (n/2 - M_2 + 1)^4} \right] \\ &= O \left( \frac{(\sqrt{n})^4 \cdot n^4}{n^4 \cdot n^4} \right) = O(n^{-2}). \end{aligned}$$

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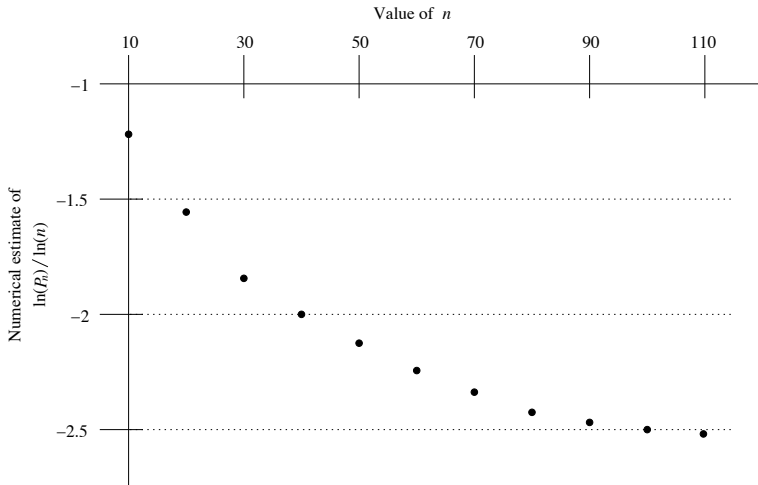
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- (1) There is  $\delta \in [0.5, 1]$  and  $C > 0$  such that  $P_n \sim Cn^{-(2+\delta)}$ .
- (2) There is  $\rho \in [0.3, 1/3]$  and  $C > 0$  such that  $P_n^* \sim C\rho^n$ . Here

$$\rho = \lim_{n \rightarrow \infty} \sqrt[n]{P_n^*}.$$

# Bruhat Order Numerics

$n$	$R_n$	Estimate of $P_n \approx \frac{R_n}{10^9}$	Estimate of $\ln(P_n)/\ln n$
10	61589126	0.0615891 ...	-1.21049 ...
30	1892634	0.0018926 ...	-1.84340 ...
50	233915	0.0002339 ...	-2.13714 ...
70	50468	0.0000504 ...	-2.32886 ...
90	14686	0.0000146 ...	-2.47313 ...
110	5174	0.0000051 ...	-2.58949 ...

# Bruhat Order Numerics

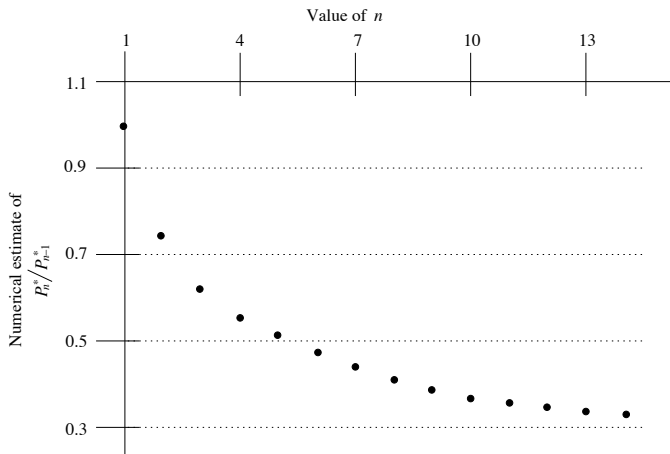


# Weak Order Numerics

$n$	$R_n^*$	Estimate of $P_n^* \approx \frac{R_n^*}{10^9}$	Estimate of $P_n^*/P_{n-1}^*$
10	1538639	0.0015386 ...	0.368718 ...
11	541488	0.0005414 ...	0.351926 ...
12	184273	0.0001842 ...	0.340308 ...
13	59917	0.0000599 ...	0.325153 ...
14	18721	0.0000187 ...	0.312448 ...
15	5714	0.0000057 ...	0.305218 ...
16	1724	0.0000017 ...	0.301715 ...



# Weak Order Numerics



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- Any permutation matrix is also an alternating sign matrix.

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$$\begin{pmatrix} 0 & 1 & 0 & 0 & 0 \\ 0 & 0 & 1 & 0 & 0 \\ 1 & -1 & 0 & 0 & 1 \\ 0 & 1 & -1 & 1 & 0 \\ 0 & 0 & 1 & 0 & 0 \end{pmatrix} \longleftrightarrow \begin{pmatrix} 0 & 1 & 0 & 0 & 0 \\ 0 & 1 & 1 & 0 & 0 \\ 1 & 0 & 1 & 0 & 1 \\ 1 & 1 & 0 & 1 & 1 \\ 1 & 1 & 1 & 1 & 1 \end{pmatrix}$$





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- $(\mathfrak{M}_n, \leq)$ , defined entry-wise, is the unique (MacNeille) completion of  $(\mathfrak{S}_n, \leq)$  to a lattice (Stanley, “Enumerative Comb., Vol. II”).

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- (1) What about comparability probability for this lattice? Recent work has only focused on enumeration of these objects (Zeilberger, Kuperberg).
  - (2) What about the size of the largest *anti-chain* in weak order? This is closed for Bruhat order (it has the Sperner property; Engel, “Sperner Theory”).

# For Further Reading



A. Hammett, B. Pittel.

How often are two permutations comparable?

*Trans. of the Amer. Math. Soc.*, 2009.