# Two Evolutionary Approaches to the Persistence & Change of Rules & Institutions

David Krakauer | SFI

Jessica Flack (SFI), Philip Poon (Madison)

Idealized mathematical models

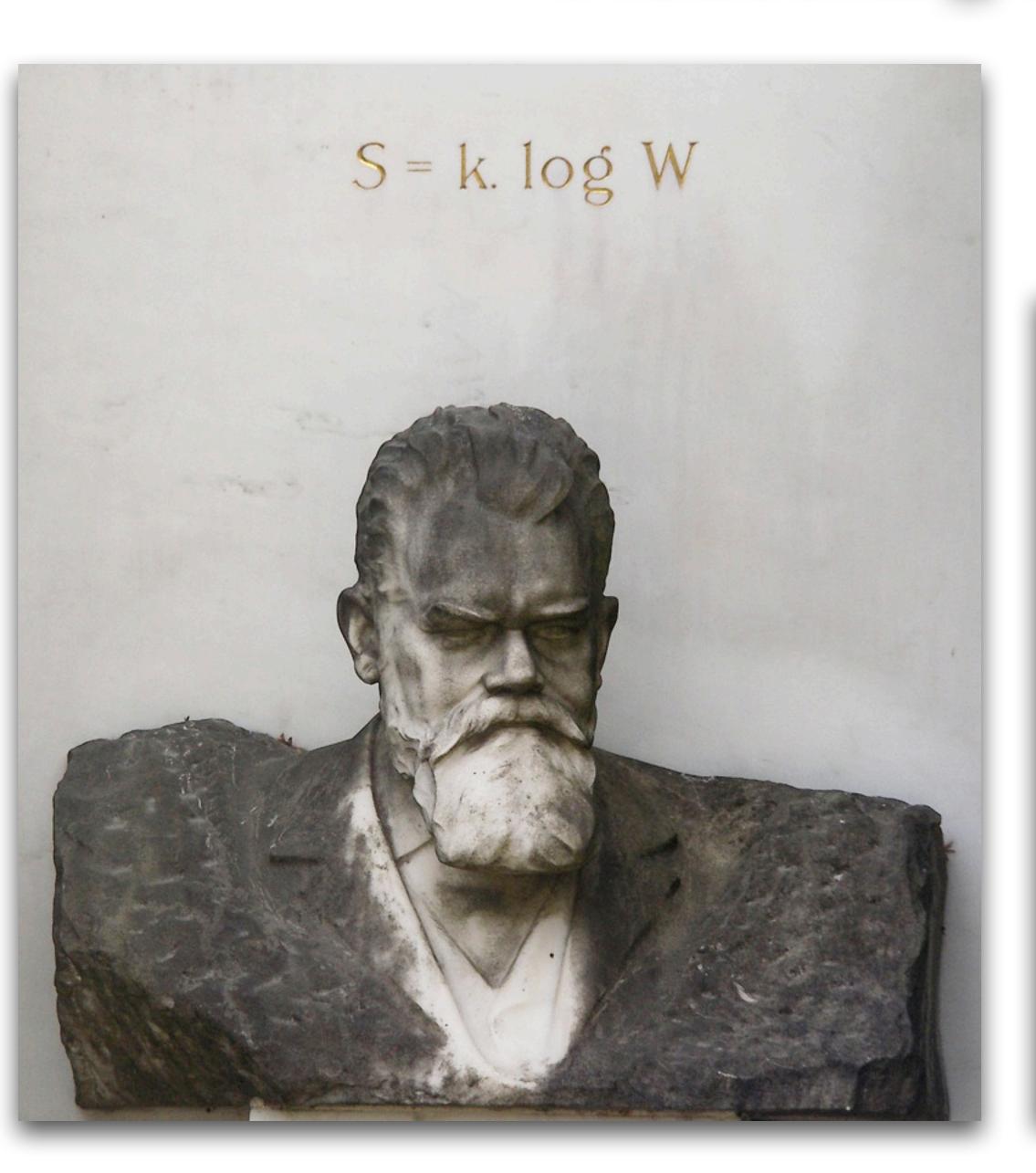
Simple Principles from non-linear dynamics
low resolution/granularity

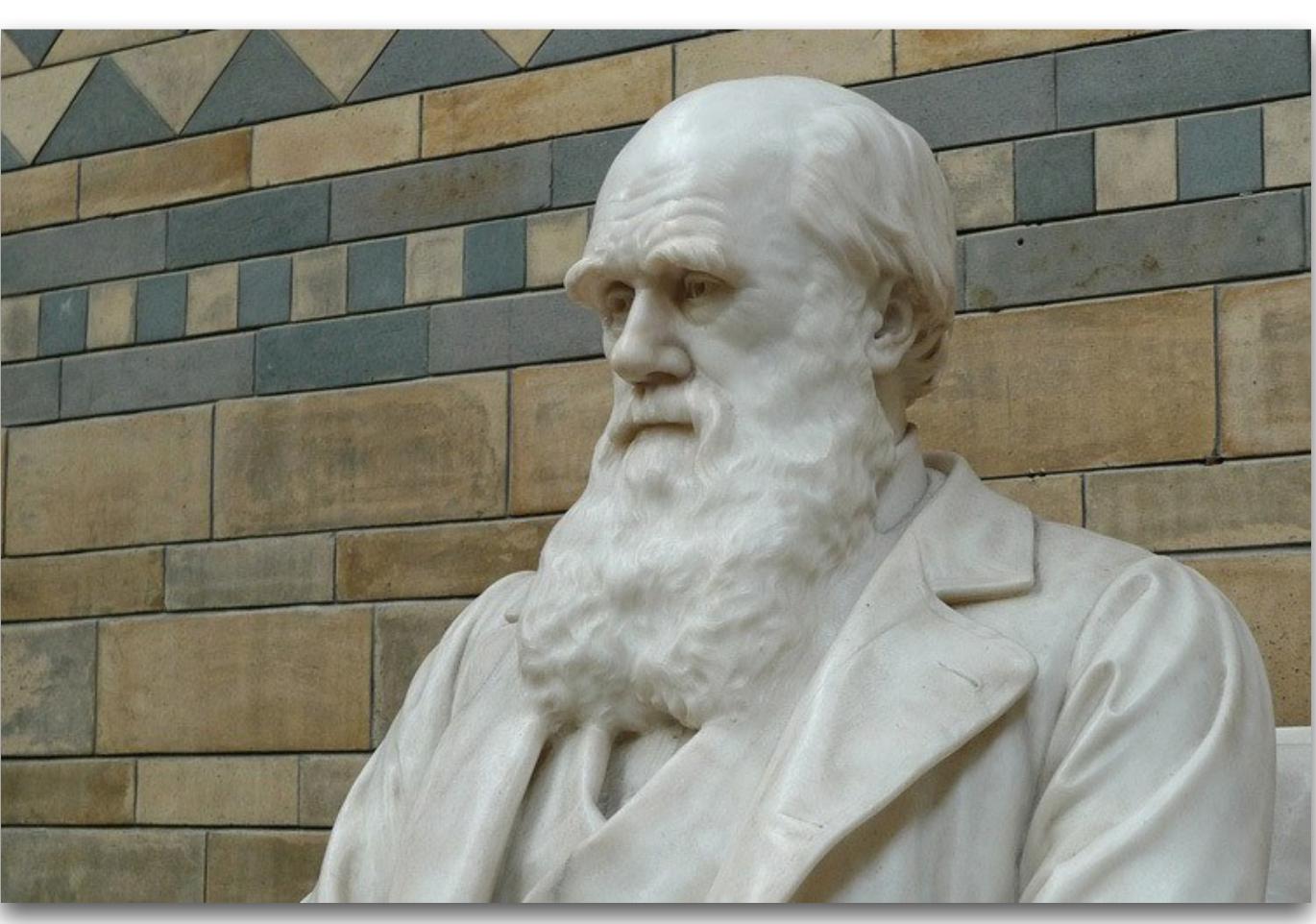
Dan Rockmore (Dartmouth), Tom Ginsburg (Univ Chicago), Nick Fotie (UW Seattle), Chen Fang (Adobe)

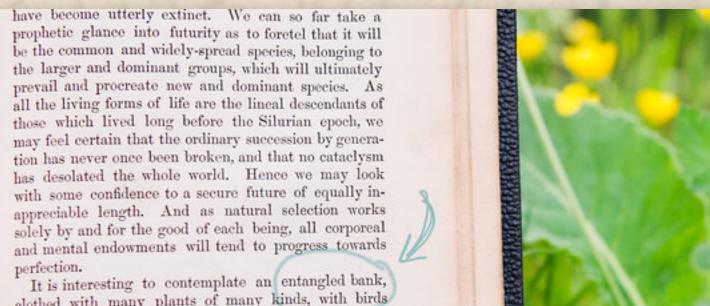
Empirical computational models

Techniques of Bayesian inference
high resolution/granularity

# Pioneering theories of Change







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clothed with many plants of many kinds, with birds singing on the bushes, with various insects flitting about, and with worms crawling through the damp earth, and to reflect that these elaborately constructed forms, so different from each other, and dependent on each other in so complex a manner, have all been produced by laws acting around us. These laws, taken in the largest sense, being Growth with Reproduction; Inheritance which is almost implied by reproduction; Variability from the indirect and direct action of the external con-

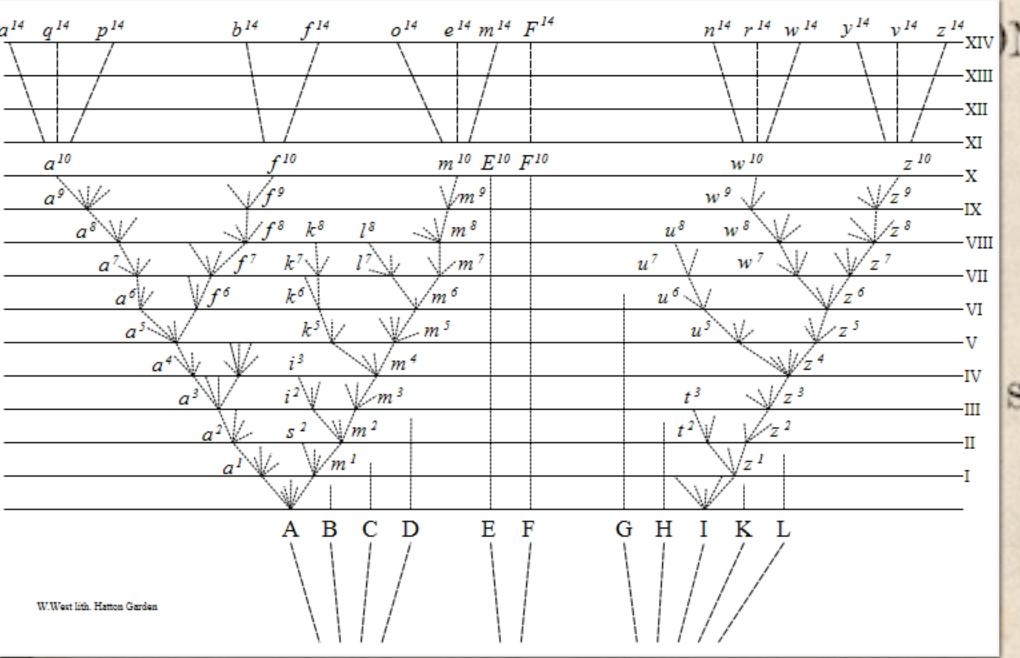
"These laws, taken in the largest sense, being Growth with reproduction; Inheritance which is almost implied by reproduction; Variability from the indirect and direct action of the conditions of life, and from use and disuse; a Ratio of Increase so high as to lead to a Struggle for Life, and as a consequence to Natural Selection, entailing Divergence of Character and the

Extinction of less improved forms"

# THE ORIGIN OF SPECIES

BY

### Diversification through natural selection



STRUGGLE

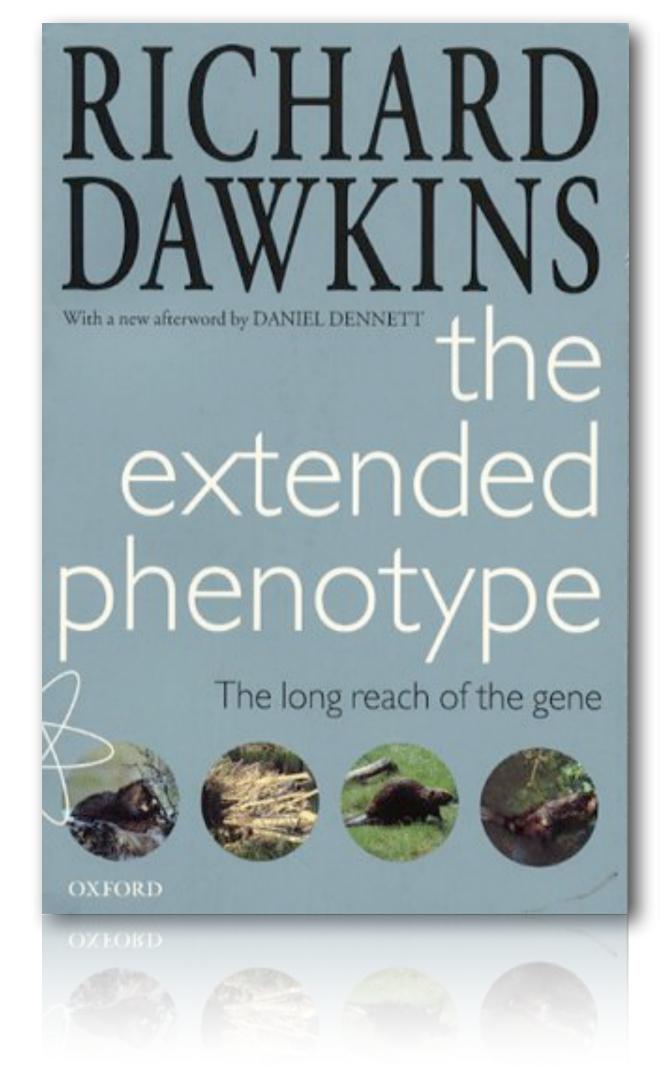
### CHARLES DARWIN, M.A.,

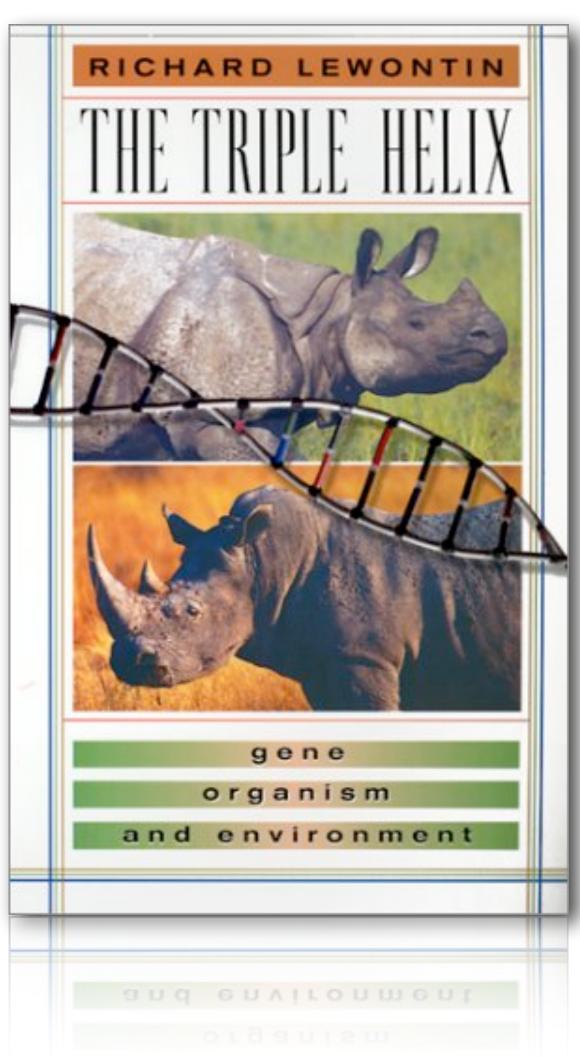
FELLOW OF THE MOYAL, GEOLOGICAL, LINNEAN, ETC., SOCIETIES; AUTHOR OF "JOURNAL OF RESEARCHES DURING H. M. S. BEAGLE'S VOYAGE BOUND THE WORLD."

# The Origin of Selection not the Origin of Species

STRUCTURE AND DISTRIBUTION THE FORMATION CORAL REEFS. VEGETABLE MOULD, "unsung creature which, in its untold millions, transformed the land as the coral polyps did the tropical sea" BY CHARLES DARWIN, LL.D., F.R.S. WITH ILLUSTRATIONS. RADCLIFFE LONDON: LONDON: JOHN MURRAY, ALBEMARLE STREET. SMITH, ELDER AND CO., 65, CORNHILL. 1882.

1842.





### Niche Construction

THE NEGLECTED PROCESS IN EVOLUTION

F. John Odling-Smee, Kevin N. Laland, and Marcus W. Feldman

MONOGRAPHS IN POPULATION BIOLOGY • 37

MONOGRAPHS IN POPULATION BIOLOGY • 2

Where the rules (e.g. selection) change as quickly as the objects that they govern (e.g. genotypes)





# Marriage: Attitudes toward Same Sex Marriage

# BOTH ARE GUILTY

Oscar Wilde and Alfred
Taylor Convicted

OF UNNATURAL CHARGES AND BOTH

Sentenced Each to Two Years in Prison.

London, May 25.—The cases of Oscar Wilde and Alfred Taylor which have stirred up entire England, were settled to-day when the jury in Wilde's case, after having been out two hours, returned a veridict of guilty. In his charge to the jury the judge was decidedly favorable towards. Wilde. Both men will be sentenced to prison at hard labor for two years.



1895

# Laws: Attitudes toward Recreational Drugs



Sensationalism



29 States in USA

# Government: Support of Political Parties

\$2.50

WORKING CLASS SPEAKS

Blue-Collar Whites Give

Stinging Rebuke to

Democratic Party

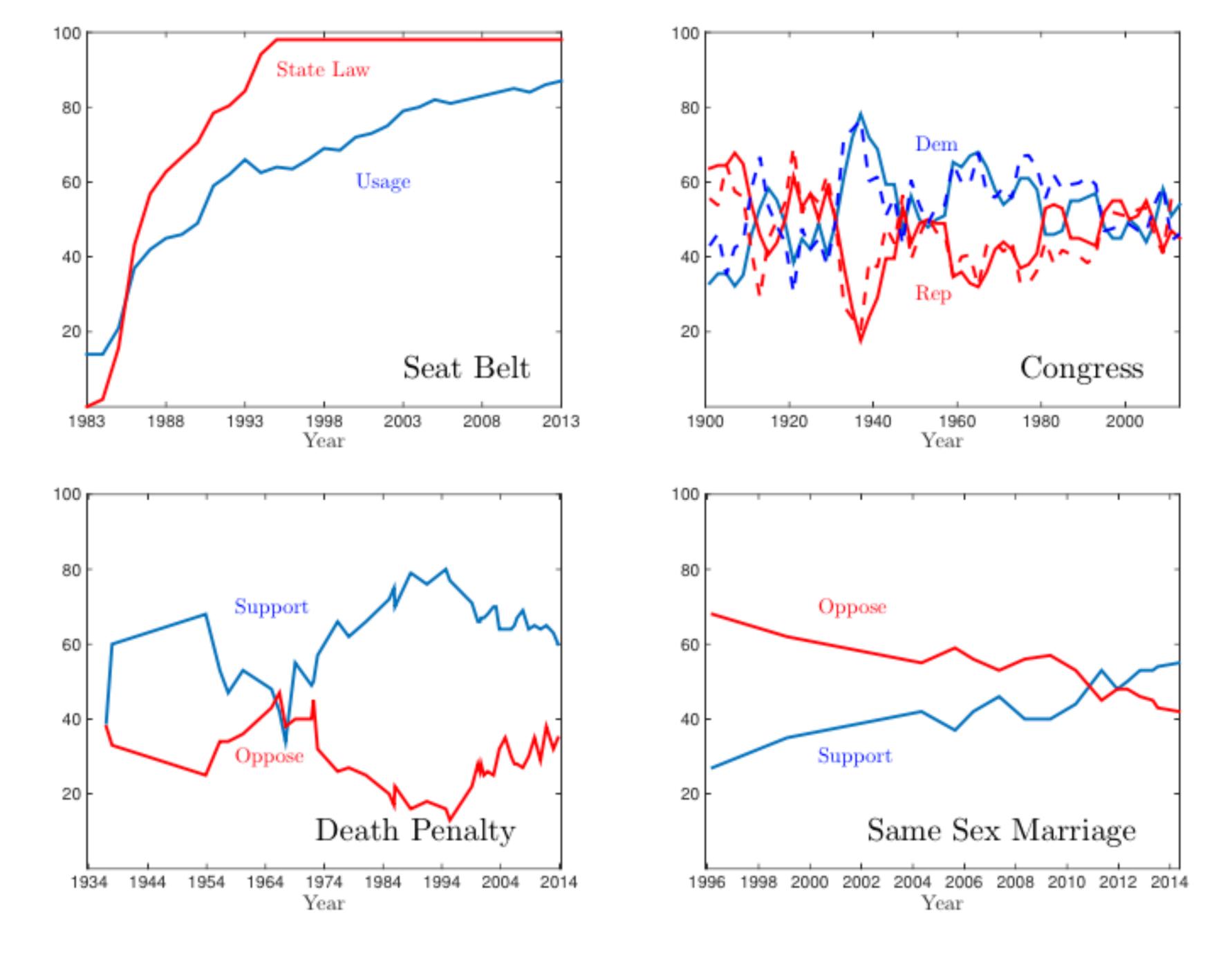
By PATRICK HEALY

lected the 45th president of the nited States on Tuesday in a

paign that took refentless aim at

the institutions and long-held ideals of American democracy. The surprise outcome, defying late polls that showed Hillary Clinton with a modest but persistent edge, threatened convulsions throughout the country and the

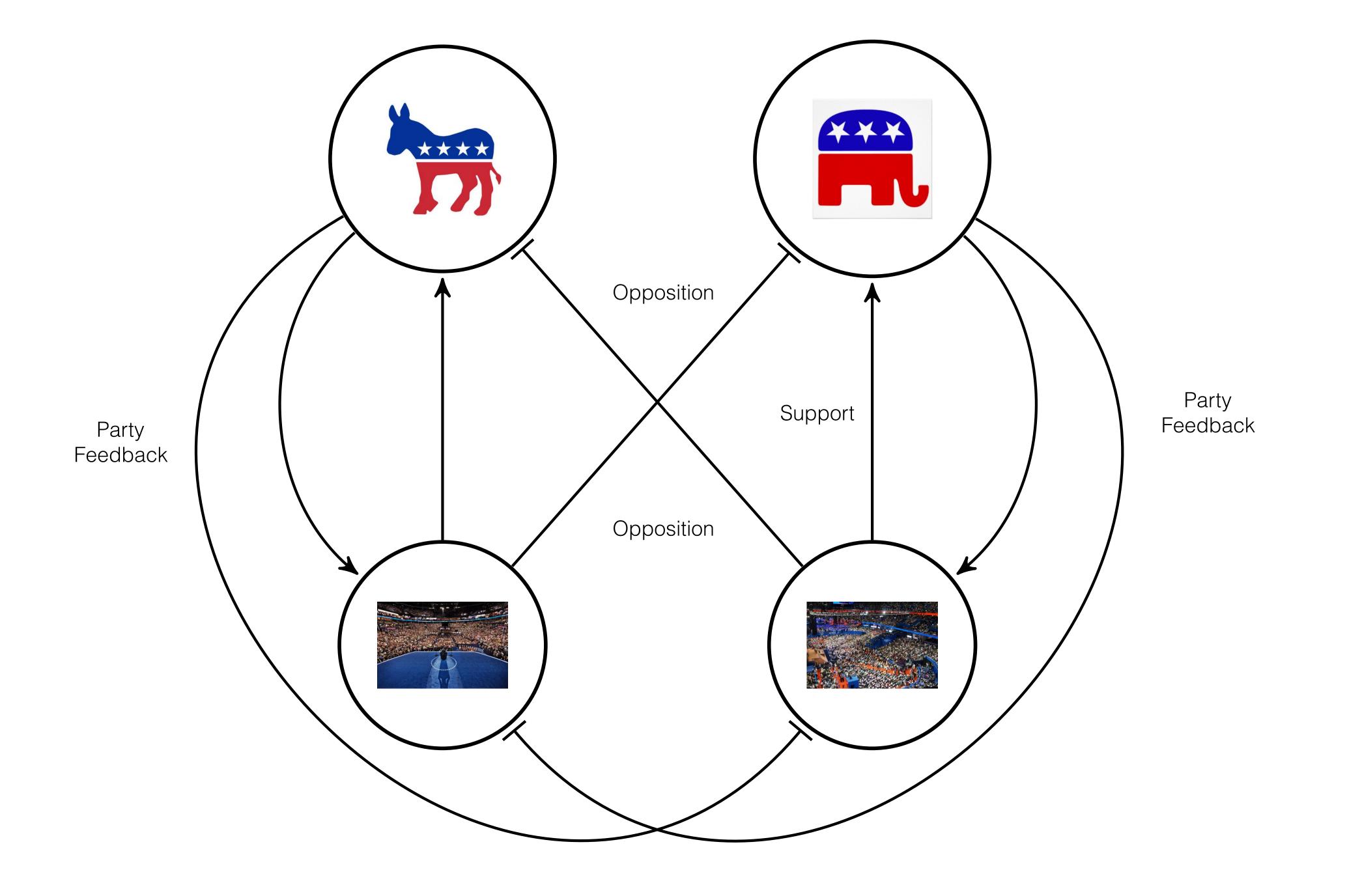


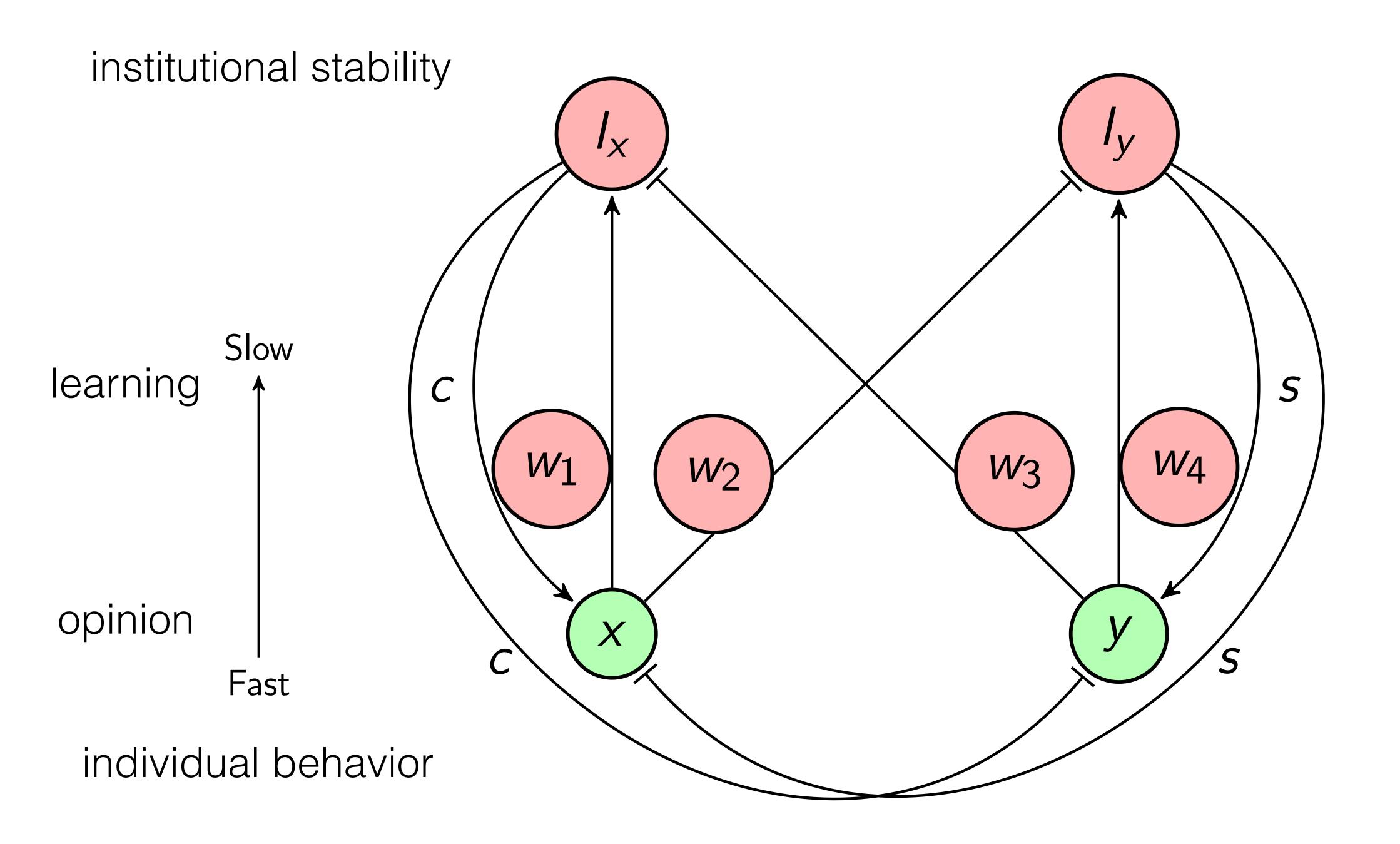


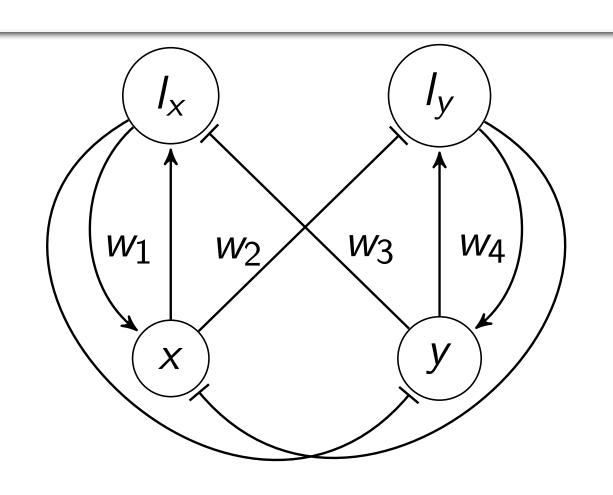
"For most of the interesting issues in political and economic markets uncertainty, not risk, characterizes choice-making. Under conditions of uncertainty, **individuals' interpretation of their environment will reflect the learning that they have undergone.** ..... **information feedback from their choices is not sufficient to lead to convergence of competing interpretations of reality.** In consequence, as Frank Hahn has pointed out, "there is a continuum of theories that agents can hold and act on without ever encountering events which lead them to change their theories" (Hahn, 1987, p. 324). **In such cases, multiple equilibria will result.** "



"Shared Mental Models: Ideologies and Institutions." Arthur Denzau and Douglas North (Kyklos: 1994)





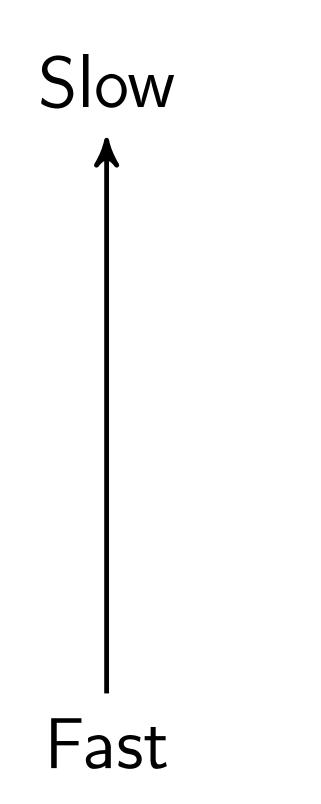


# Intermediate

$$I_x = \phi(z_{I_x}) = \phi(w_1x - w_3y);$$
  
 $I_y = \phi(z_{I_y}) = \phi(w_4y - w_2x),$ 

Hebbian Rule

$$\frac{1}{\varepsilon} \frac{dw_1}{dt} = xI_x - w_1$$



Slow

Compensation Rule

$$\frac{1}{\varepsilon} \frac{dw_1}{dt} = yl_y - w_1$$

$$\frac{dx}{dt} = r - s(I_y + q)xy - \lambda_x x + cI_x y;$$

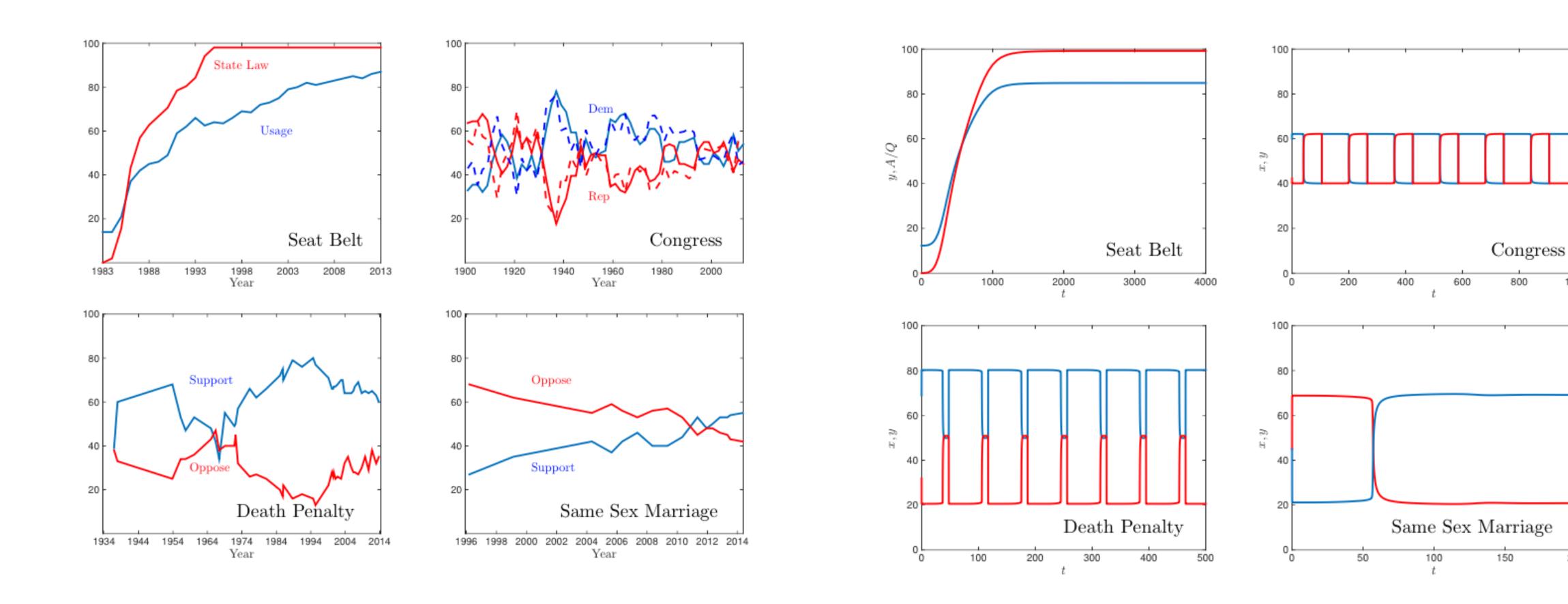
$$\frac{dy}{dt} = s(I_y + q)xy - \lambda_y y - cI_x y.$$

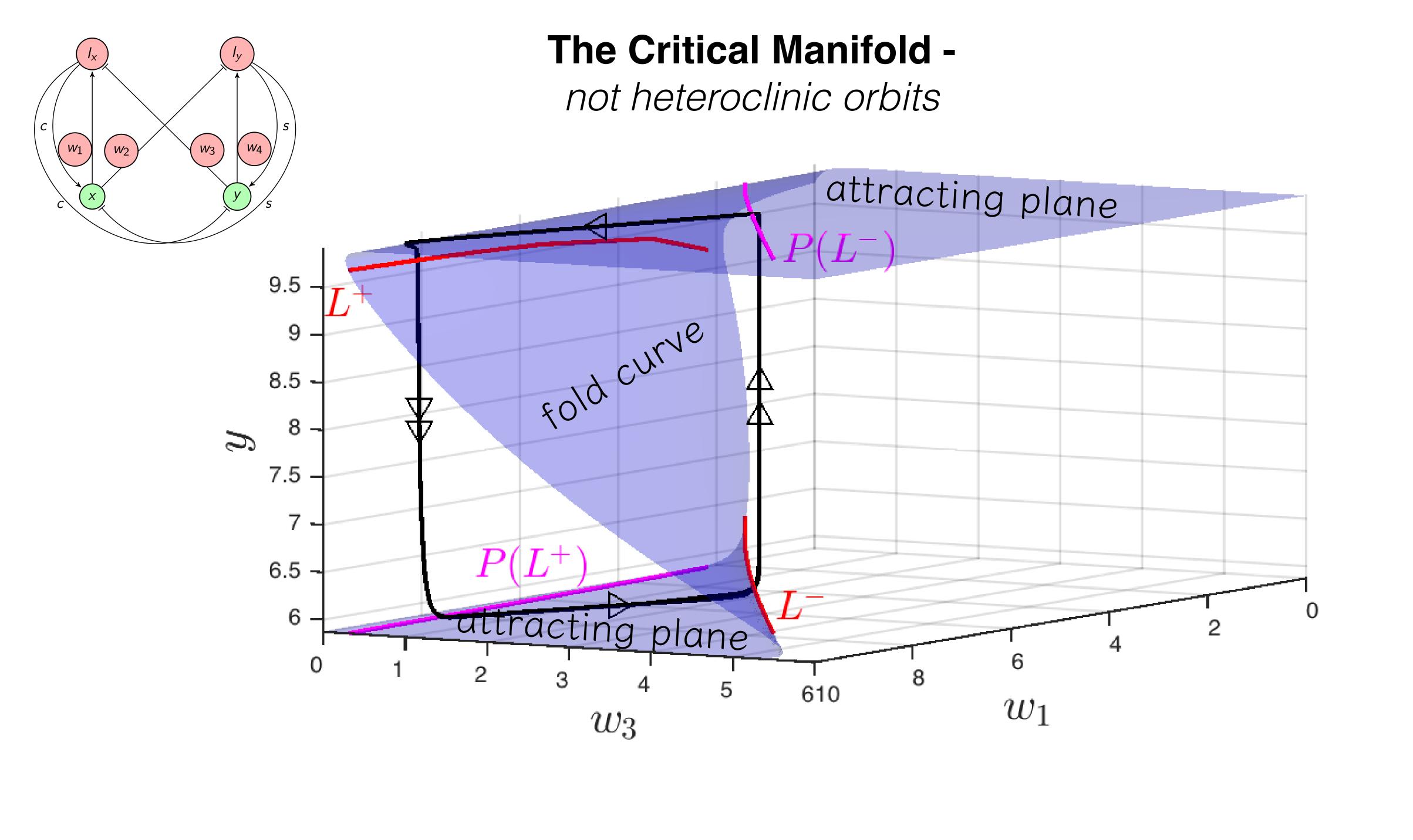
# **Compensation Rule Results**

$$\frac{1}{\varepsilon} \frac{dw_1}{dt} = yl_y - w_1$$

# Empirical time series

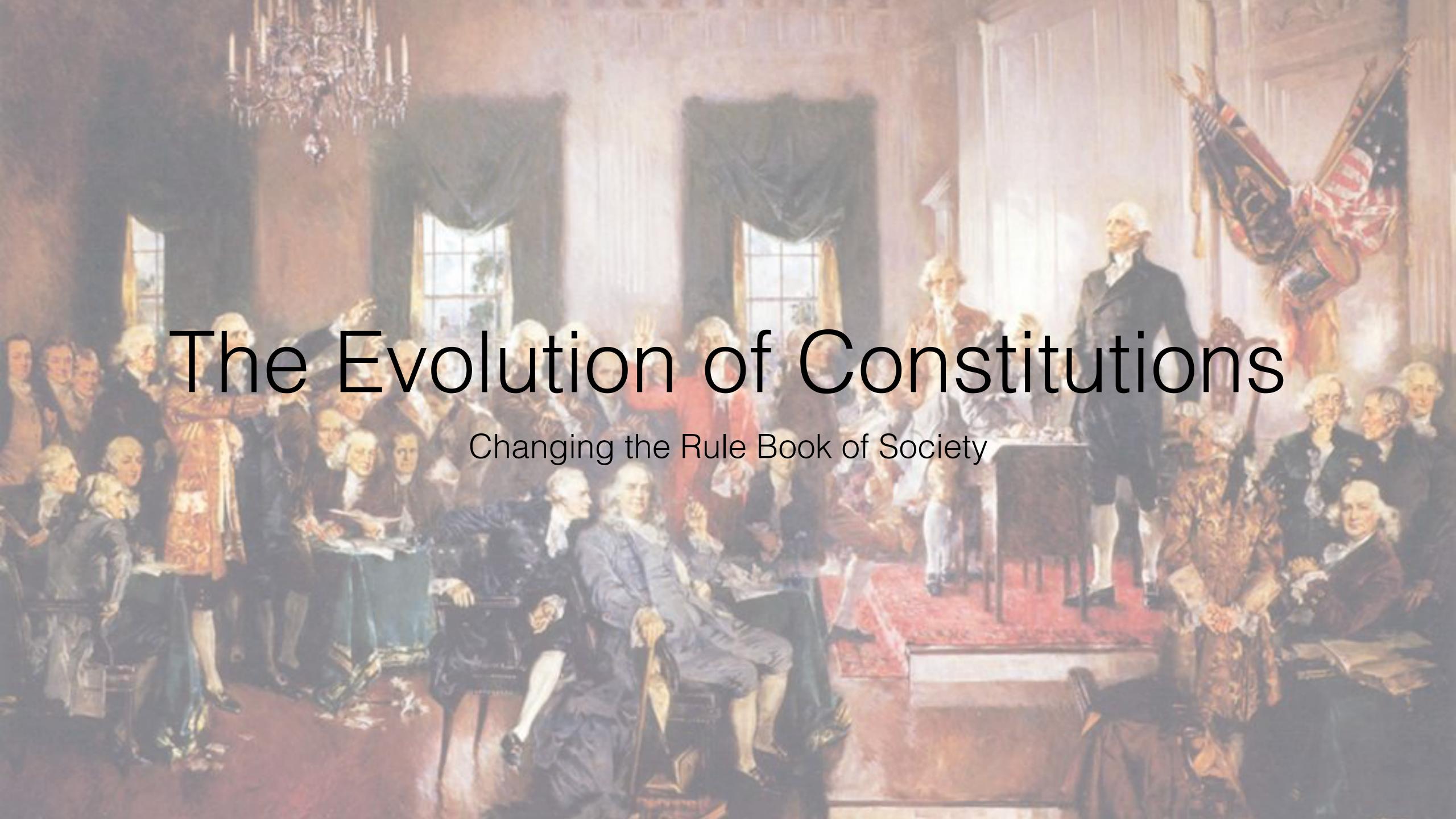
Analytical time series



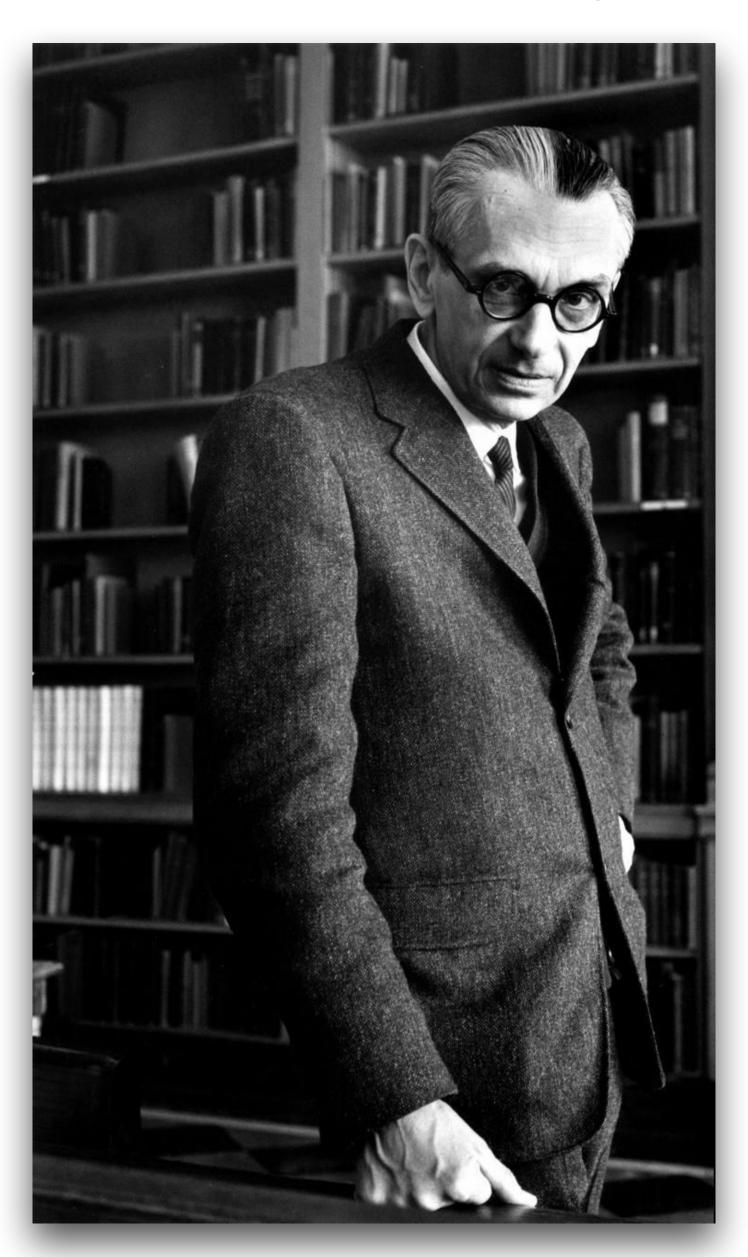


# Insights for Institutional Switching:

- Institutional switching emerges from a variety of short term selfish and "invisible" slow learning processes e.g. scientific institutions/revolutions
- Institutional cycles emerge from compensation likelearning ("effort minimization"/"resource scarcity") e.g. political/private institutions
- Institutional Memory Persistence (hysteresis) arises from institutional feedback in bistable regimes e.g. losing a habit is harder than acquiring it (systemic endowment effect)



When Godel visited Trenton, NJ - 5th Dec, 1947 (with Einstein and Morgenstern)



### DRAFT MEMORANDUM from MATHEMATICA

To: September 13, 1971

From: O. Morgenstern

Subject: History of the Naturalization of Kurt Godel

The following is dictated on the basis of memory only without consultation of my notes and diaries. The concrete dates and other details will be filled in at another opportunity.

It was in 1946 that Gödel was to become an American citizen. He asked me to be his witness and as the other witness, he proposed Albert Einstein who also gladly consented. Einstein and I occasionally met and were full of anticipation to what would happen during this time prior to the naturalization proceedings themselves and even during those.

Godel whom I have seen of course time and again in the months before this event began to go in a thorough manner to prepare himself Since he is a very thorough man, he started informing properly. himself about the history of the settlement of North America by human beings. That led gradually to the study of the History of American Indians, their various tribes, etc. He called me many times on the phone to get literature which he diligently perused. There were many questions raised gradually and of course many doubts brought forth as to whether these histories really were correct and what peculiar circumstances were revealed in them. From that, Gödel gradually over the next weeks proceeded to study American history, concentrating in particular on matters of constitutional law. That also led him into the study of Princeton, and he wanted to know from me in particular where the borderline was between the borough and the township. I Tried to explain that all this was totally unnecessary, of course, but with no avail. He persisted in finding out all the facts he wanted to know about and so I provided him with the proper information, also about Princeton. Then he wanted to know how the Borough Council was elected, the Township Council, and who the Mayor was, and how the Township Council

Now came an interesting development. He rather excitedly told me that in looking at the Constitution, he had found some inner contradictions to his distress, and that he could show in a perfectly legal manner it would be possible for somebody to become a dictator and set up a Fascist regime, never intended by those who drew up the Constitution. I told him that it was most unlikely that such events would ever occur, even assuming that he was right, which of course I doubted. But he was persistent and so we had many talks about this particular point. I tried to persuade him that he should avoid bringing up such matters at the examination before the court in Trenton, and I also told Einstein about it: he was horrified that such an idea has occurred to Godel, and he also told him he should not worry about these things nor discuss that matter.





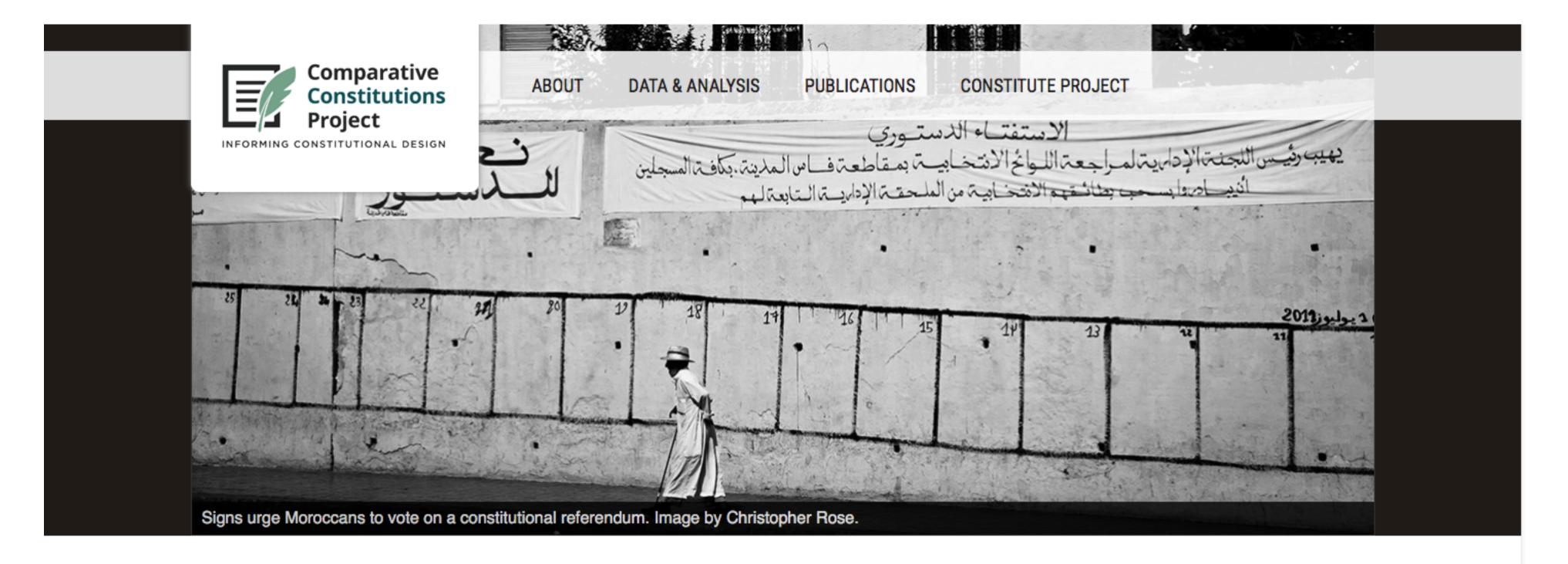
Godel: "It was a republic, but the constitution was such that it finally was changed into a dictatorship."

The Examinor: "Oh! This is very bad. This could not happen in this country."

Gödel: "Oh, yes, I can prove it."

So of all the possible questions, just that critical one was asked by the Examinor. Einstein and I were horrified during this exchange; the Examinor was intelligent enough to quickly quieten Godel and say "Oh God, let's no go into this" and broke off the examination at this point, greatly to our relief. We finally left, and as we were walking out towards the elevators, a man came running after us with a piece of paper and a pen and approached Einstein and asked him for his autograph. Einstein obliged. When we went down in the elevator, I turned to Einstein and said, 'It must be dreadful to be persecuted in this fashion by so many people. " Einstein said to me, "You know, this is just the last remnants of cannibalism. " I was puzzled and said, "How is that?" He said: "Yes, formerly they wanted your blood, now they want your ink."

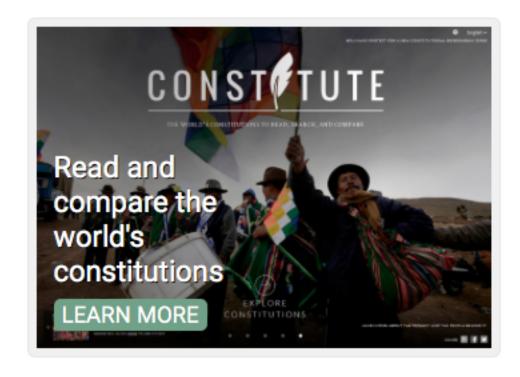
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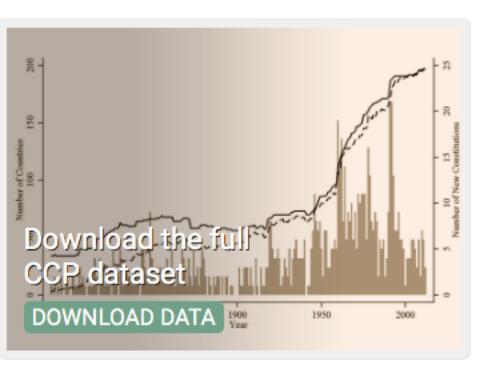


### Informing constitutional design

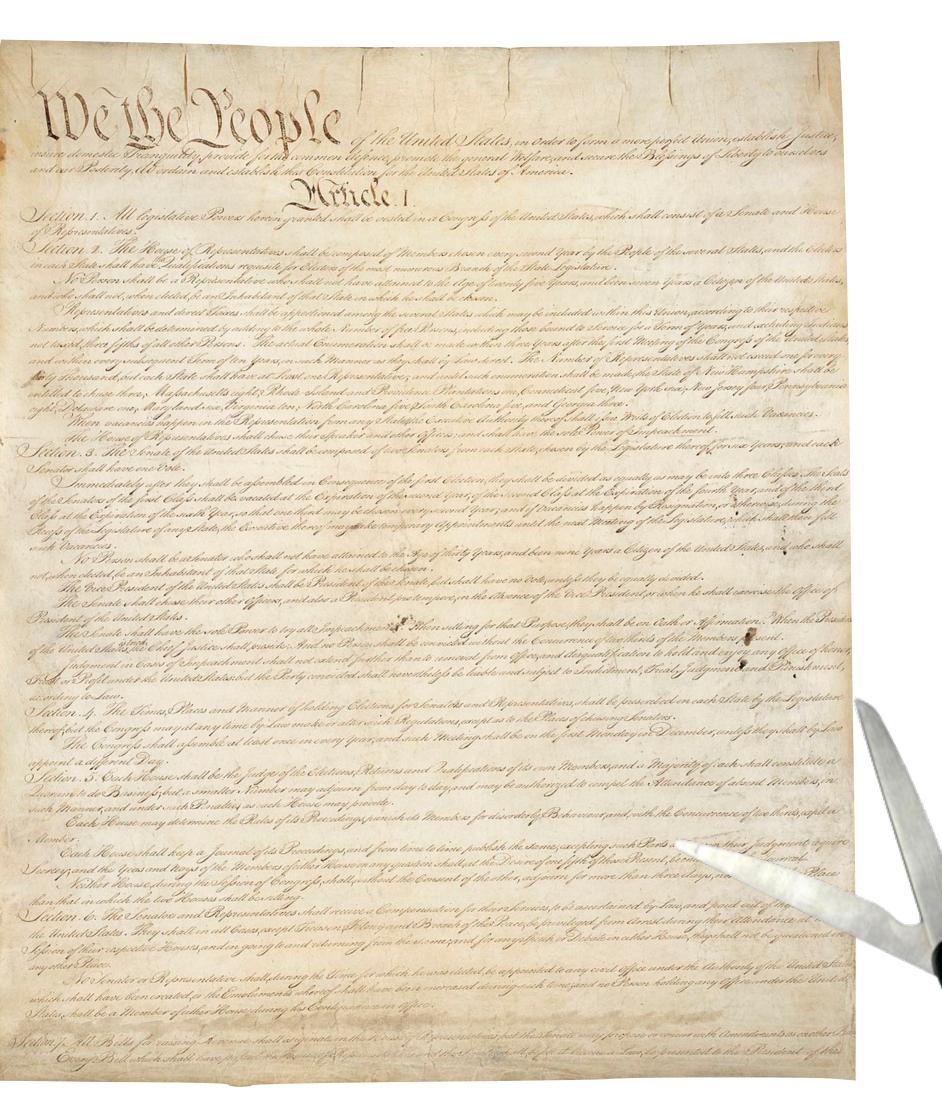
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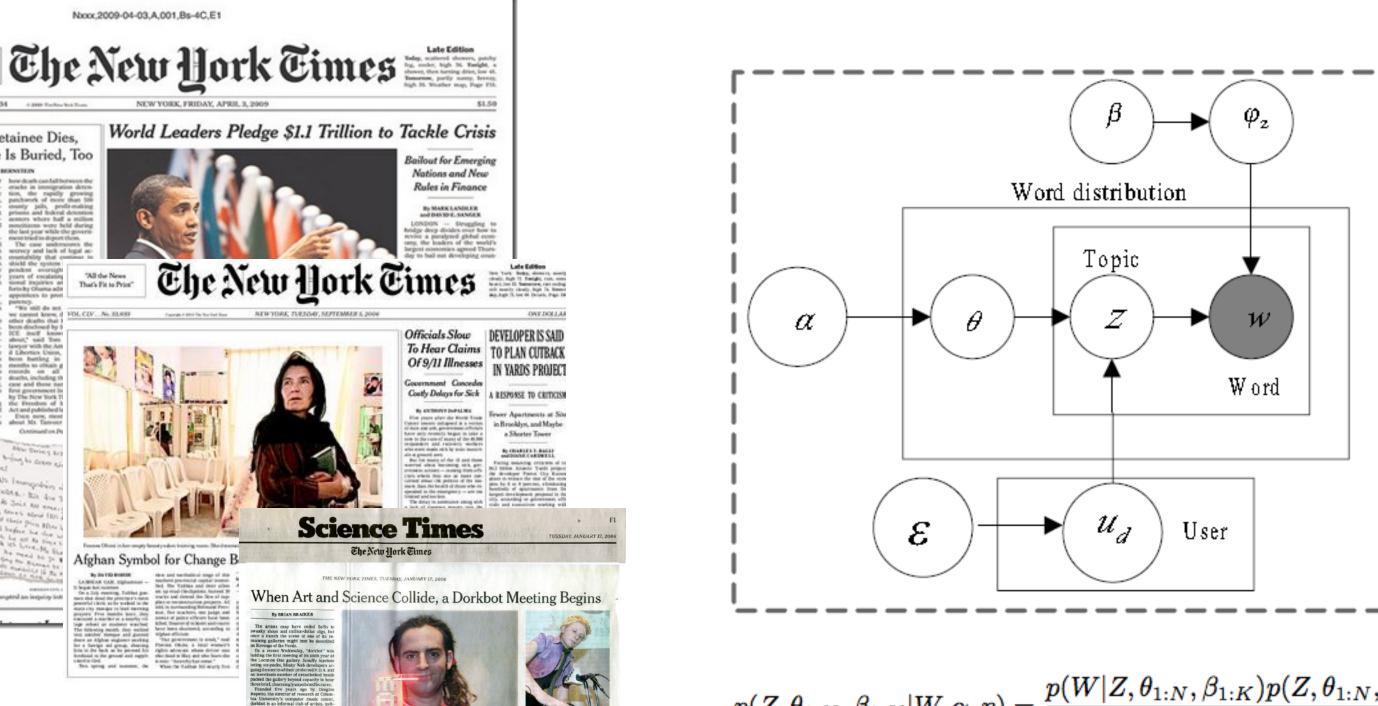






## **Topic Modeling**

Breaking a Document into Lexical Units



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CMYK

Immigrant Detainee Dies,

And a Life Is Buried, Too

 $p(Z, \theta_{1:N}, \beta_{1:K}|W, \alpha, \eta) = \frac{p(W|Z, \theta_{1:N}, \beta_{1:K})p(Z, \theta_{1:N}, \beta_{1:K}|\alpha, \eta)}{p(W|\alpha, \eta)}.$ 





### Fighting for a Last Chance at Life

One Family's Tenacious Campaign for Access to an Unproven Drug

VIRGINIA BEACH — As Lou Gehrig's disease sapped Joshua Thompson of his ability to move and speak last fall, he consistently suppressed one cuestion from



cells and genetics generate greater hope for experimental therapies, there is little consensus on how and when to provide them to dying patients whose lives could be prolonged, or shortened, by trying them

### Permits Gain Political Edge Over Taxation

From a Theory To a Consensus

By JOHN M. BRODER

WASHINGTON — As Con-gress weighs imposing a manda-tory limit on climate-altering gas-G.O.P. by Opposing es — an outcome still far from certain — it is likely to turn to a

certain — it is likely to turn to a system that sets a government ceiling on total emissions and allows polluting industries to buy and sell permits to meet it.

That approach, known as cap and trade has been embraced by servatives plan to attack her as servatives plan to attack her as

leaders in Congress, mainstream environmental groups and a growing number of business interests, including energy-consuming industries like autos, steel and aluminum.

But not long ago, many of today's supporters dismissed the day's supporters dismissed the day's supporters dismissed the constitution. day's supporters dismissed the idea of tradable emissions permits as an industry-inspired Remphilizan scheme to avoid the small control of the control of th publican scheme to avoid the real her as a "prominent supporter of

publican scheme to avoid the real costs of cutting air pollution. The right answer, they said, was strict government regulation, state-of-the-art technology and a federal tax on every ton of harmful emissions.

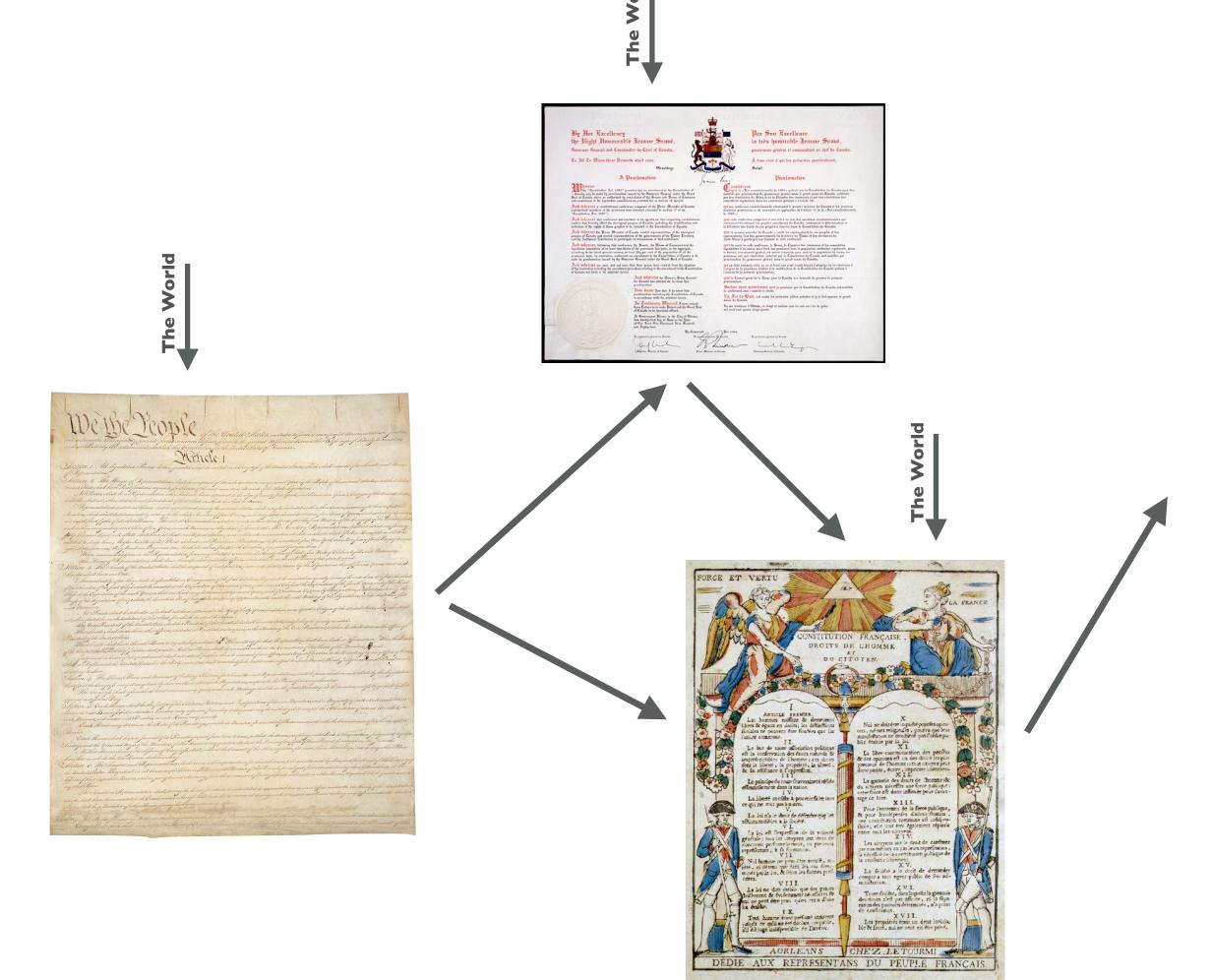
How did cap and trade, hatched as an academic theory in obscure economic journals half a century ago, become the policy of choice in the debate over how to slow the heating of the planet? And how did it come to eclipse the idea of simply slapping a tax on energy consumption that befouls the public square or leaves the nation hostage to foreign oil

# Expert Semantic Enrichment...(Tom's Job)

Topic name	Top words in topic
Monarchy	king royal kingdom state estates storting general throne
Organizational structure	article chapter law manner must following articles established
General rights	article right rights citizens everyone state established freedoms
Sovereignty	state people constitution democratic national political sovereignty
Judiciary	court courts supreme judges judicial justice law office
Executive branch	article executive chapter branch general case ministers law
Misc 1	legislative public title order rights civil body citizens
Socio-economic rights	right education social work health protection children conditions
Electoral process	elected election president term office elections votes candidate
Cabinet formation	government minister prime ministers confidence vote president
Criminal Procedure	right law one person cases criminal personal liberty
Amendment process	constitution force law provisions amended date day amendment
Foreign Policy	president state appoint war laws supreme foreign ministers
Lawmaking process	majority vote referendum members draft law number adopted
Legislative powers	congress states nation power laws foreign case made
Civil liberties (freedoms)	freedom right public religious religion law information order
Lawmaking authority	article bodies constitution procedure constitutional laws acts law
Legislative formation	deputies chamber session deputy senate chambers sessions term
Term length	years one senate two three members number first
Republic of Croatia	republic president present croatian laws referendum powers
Economic System	economic social development policy resources promote property
Regulate	article provisions accordance well regulated first second
constitutional adjudication	constitutional court law article decision constitution legal decide
Misc 2	organic constitutional case exercise conditions government
Committee structure	committee committees members parliamentary standing rules
Presidential responsibilities	president office vice functions elected hold duties term
Separation of powers	power laws law constitution executive provisions powers
Socialism	people state socialist work working prescribed power economic
Budget and Finance	budget financial public audit bank year fiscal funds
Local governance	local municipal government municipalities municipality units
Cabinet structure	council members member elected two following one among
Commissions	office commission public person member appointed functions
Establishment of national power	national established establish accordance pass country elect
International agreements	international treaties agreements treaty european government
Human rights	rights human right persons language freedoms respect
Legislative procedure	bill passed assent bills senate president presented referred
Prime Minister	minister prime office accordance person functions appointment
House of Representatives	house representatives houses members constitution senate states
Legislative representation	people state article congress saeima organs ethnic standing
Legislative assembly	assembly members legislative vote majority three days provided
Internal Organization of legislature	speaker member person deputy members sitting time chairman
Public power	public law accordance established organization general organs
Misc 3	state provide law affairs determined institution whole certain
WHSC 3	state provide law affaits determined institution whole certain

### **Diffusion Networks**

Constructing a "Phylogeny" from Transmission of Topics

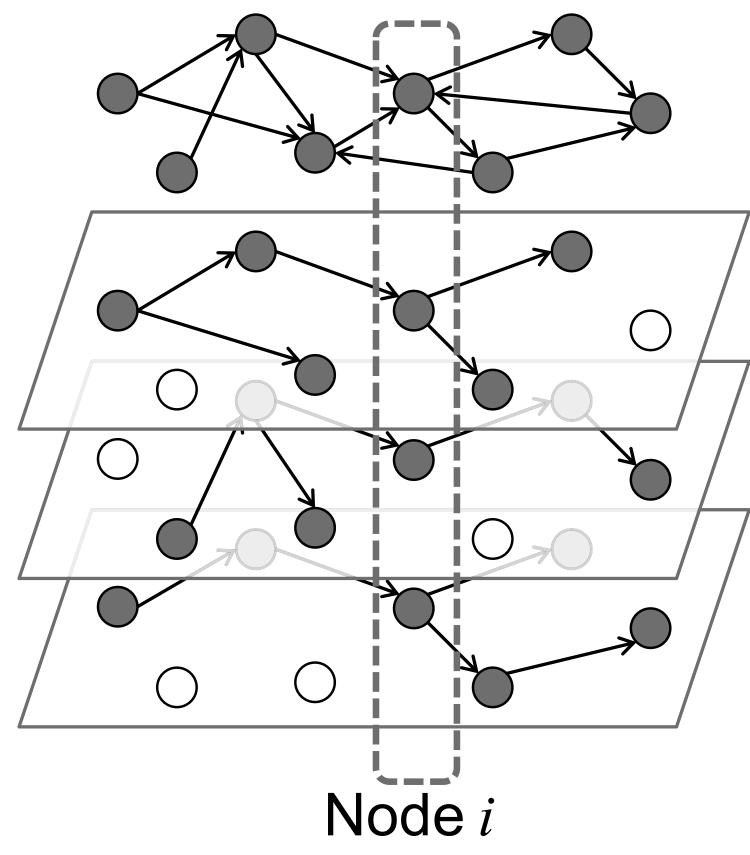




Time

# Observed: time of topic appearance in node $v \{v, t(v)\}$

M. Gomez-Rodriguez et al. 2012



Network  $G^*$  {u, v, t(v)}

Cascade  $c_1$ 

Cascade  $c_2$ 

Cascade  $c_3$ 

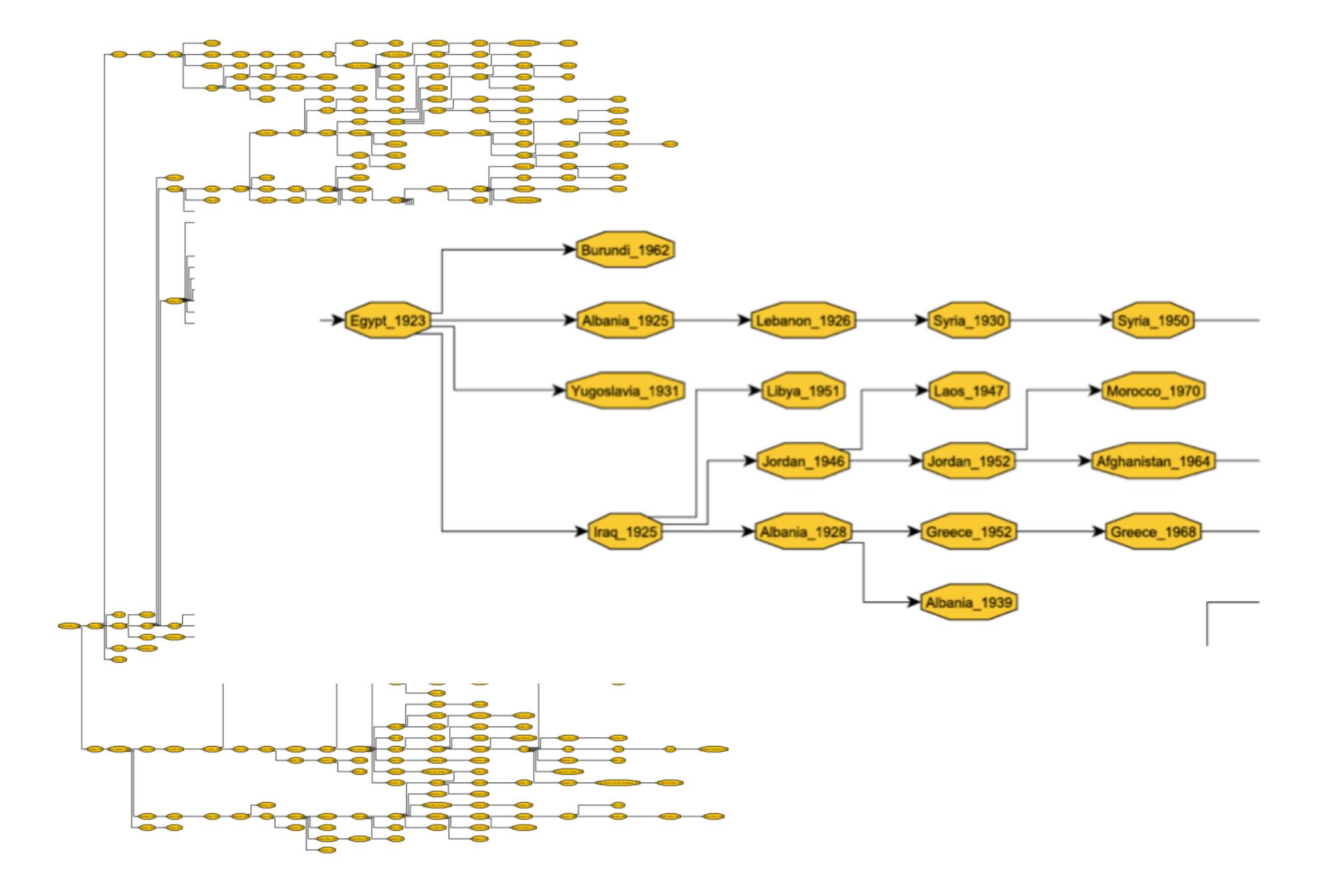
cascade = single parent

$$P_c(u,v) = P_c(\Delta_{u,v}) \propto e^{-rac{\Delta_{u,v}}{lpha}} ext{ and } P_c(u,v) = P_c(\Delta_{u,v}) \propto rac{1}{\Delta_{u,v}^{lpha}}.$$

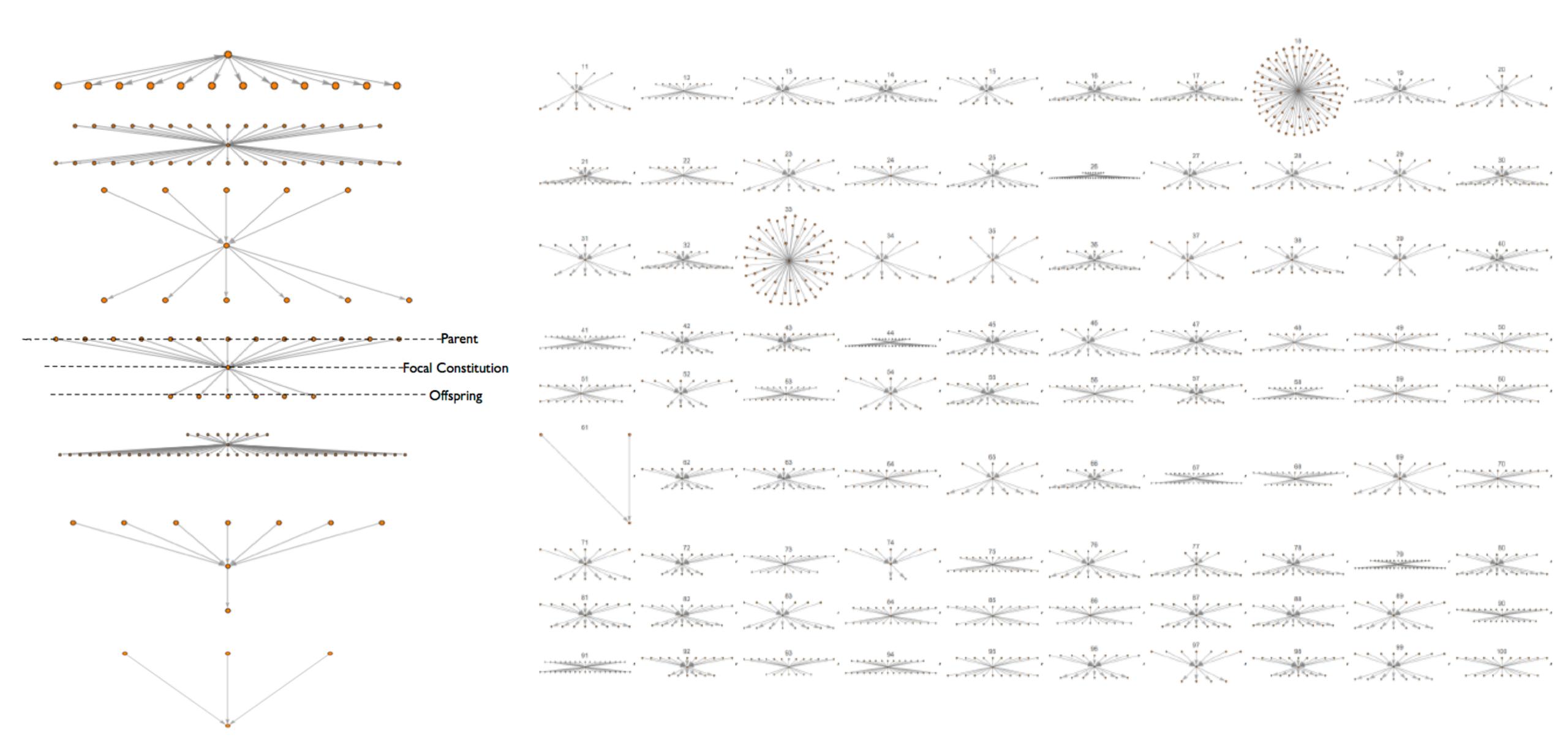
$$P(c|T) = \beta^q (1-\beta)^r \prod_{(u,v)\in E_T} P_c(u,v),$$

$$P(c|G) = \sum_{T \in \mathcal{T}_c(G)} P(c|T)P(T|G), \qquad P(C|G) = \prod_{c \in C} P(c|G),$$

$$\hat{G} = \underset{|G| \le k}{\operatorname{argmax}} P(C|G),$$



# The "Geometry" of Influence & transformation



Canada, 1791



Bolivia, 1826

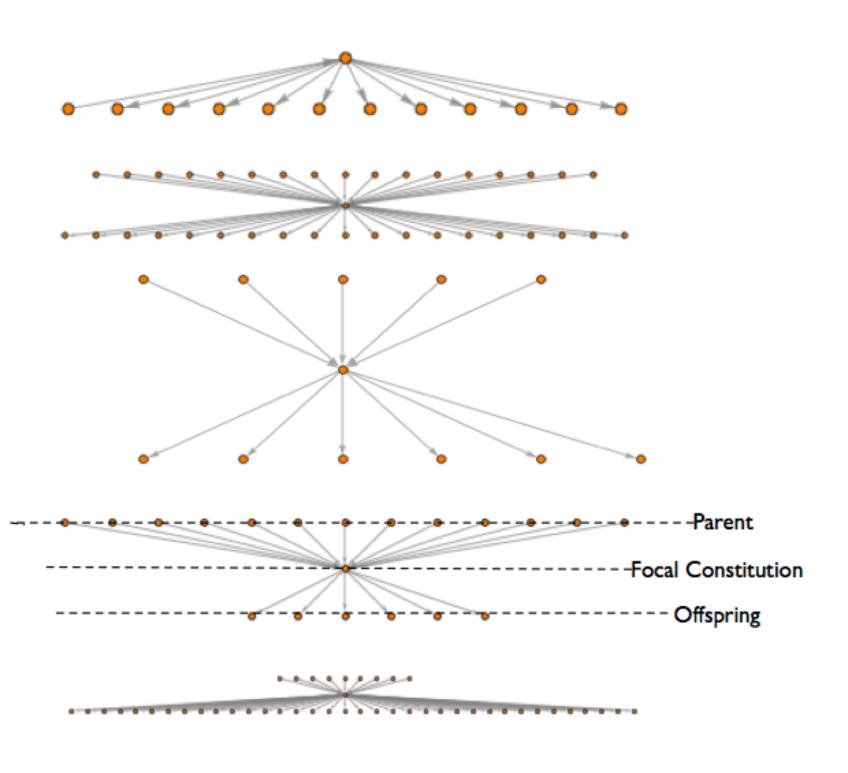


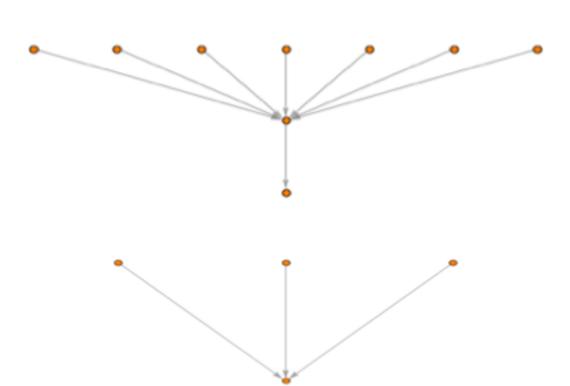
South Korea, 1948



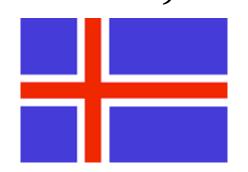
Montenegro, 1992







Iceland, 1874



Venezuela, 1830



Albania, 1976



### **Yule Process**

$$P\{N(t) = n\} = P_n(t)$$

Prob. of birth in (t, t+h) if  $\{N(t)=n\}=n\lambda h+o(h)$ 

$$P_{n}(t+h) = P_{n}(t)(1 - n\lambda h + o(h))$$

$$+ P_{n-1}(t)((n-1)\lambda h + o(h))$$

$$P_{n}(t+h) - P_{n}(t) = -n\lambda h P_{n}(t) + P_{n-1}(t)(n-1)\lambda h + o(h)$$

$$\frac{P_{n}(t+h) - P_{n}(t)}{h} = -n\lambda P_{n}(t) + P_{n-1}(t)(n-1)\lambda + o(h) \text{ as } h \to 0$$

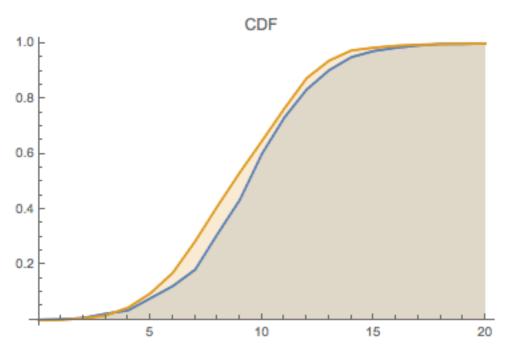
$$P'_{n}(t) = -n\lambda P_{n}(t) + (n-1)\lambda P_{n-1}(t)$$

Initial condition  $P_{n_0}(0) = P\{N(0) = n_0\} = 1$ 

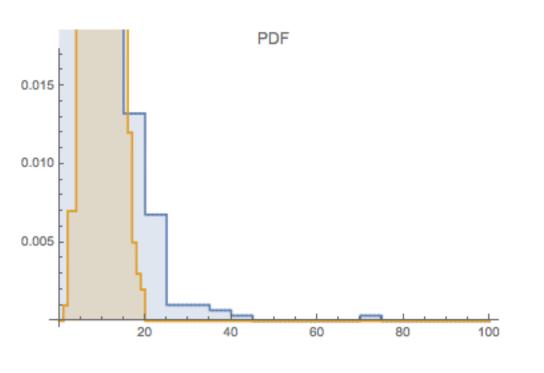
$$P_n(t) = \binom{n-1}{n-n_0} e^{-\lambda n_0 t} (1 - e^{-\lambda t})^{n-n_0}$$
 Negative Binomial

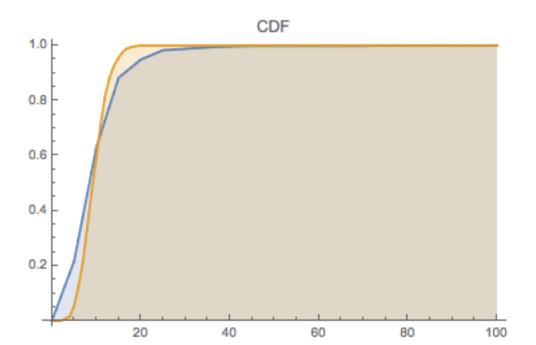
{in-degree, gaussian}

15 - 05 - 10 - 15 - 20

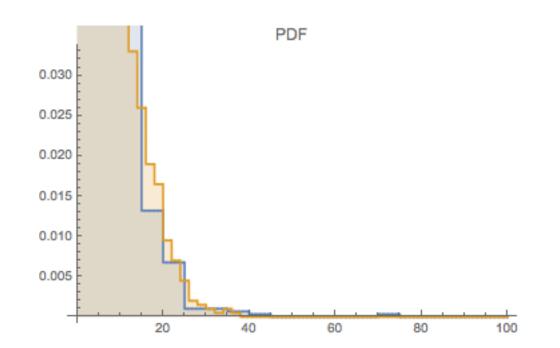


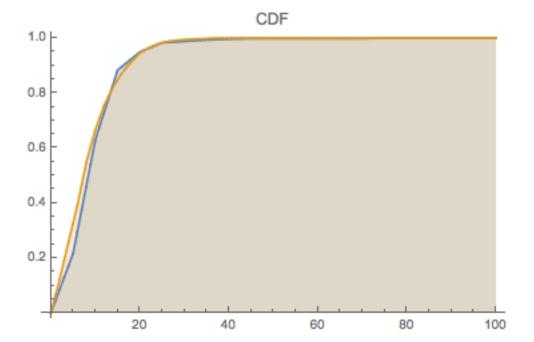
{out-degree, poisson}



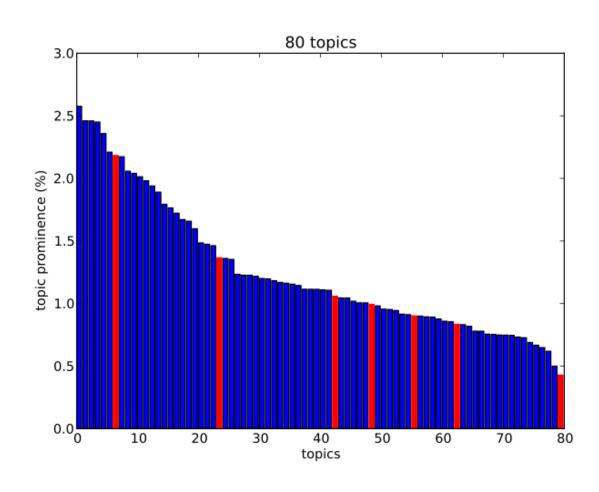


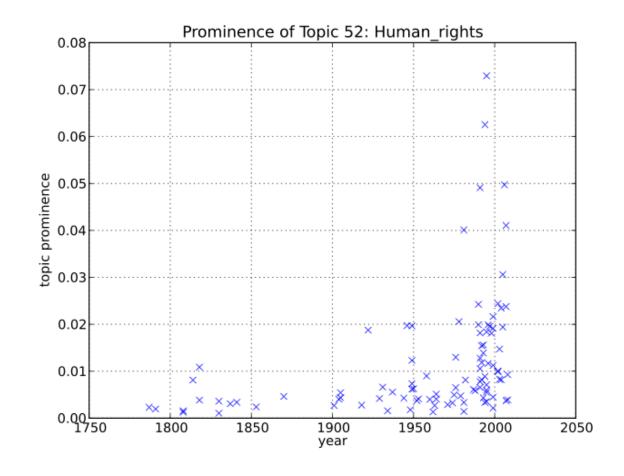
{out-degree, negative binomial}

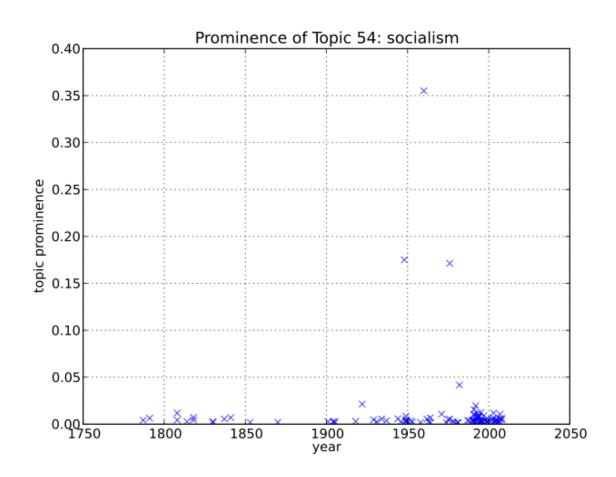


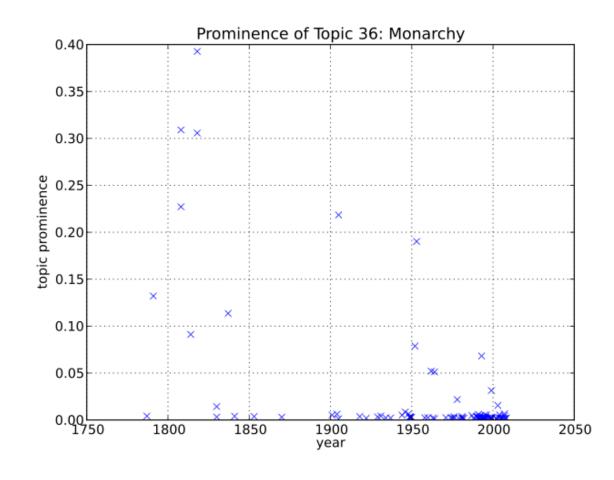


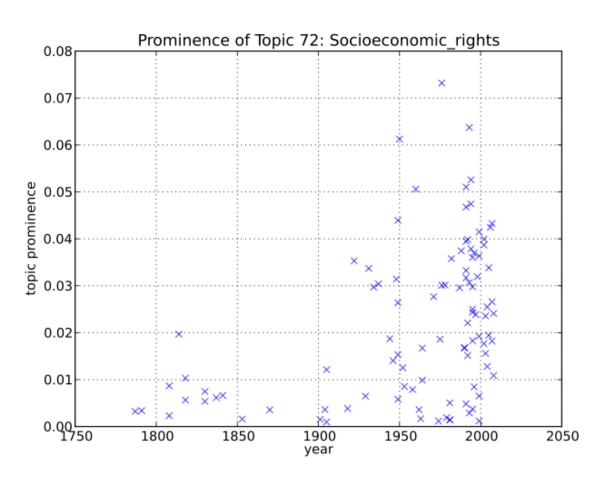
# How do the topics diffuse in time?

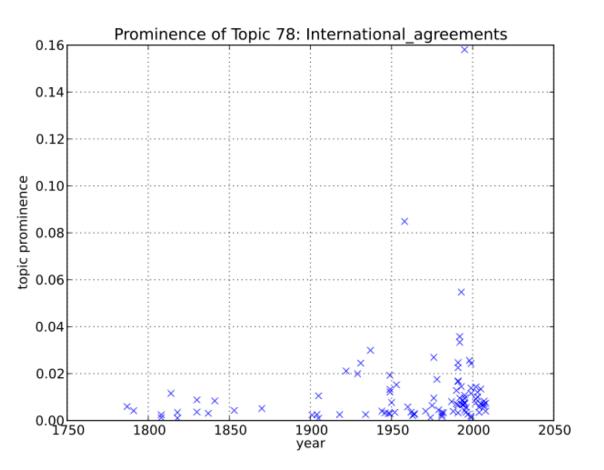








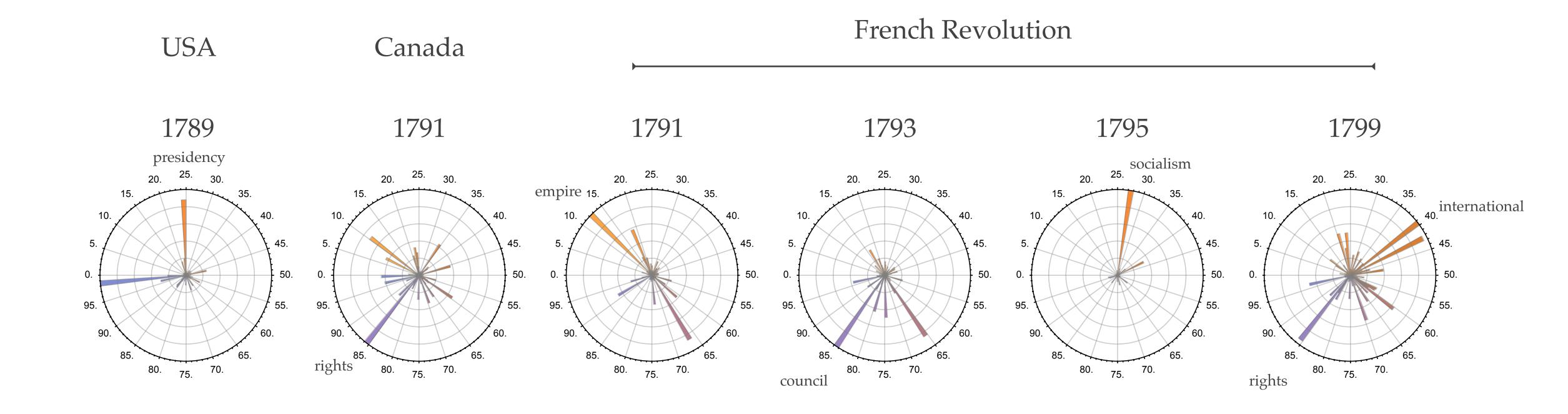


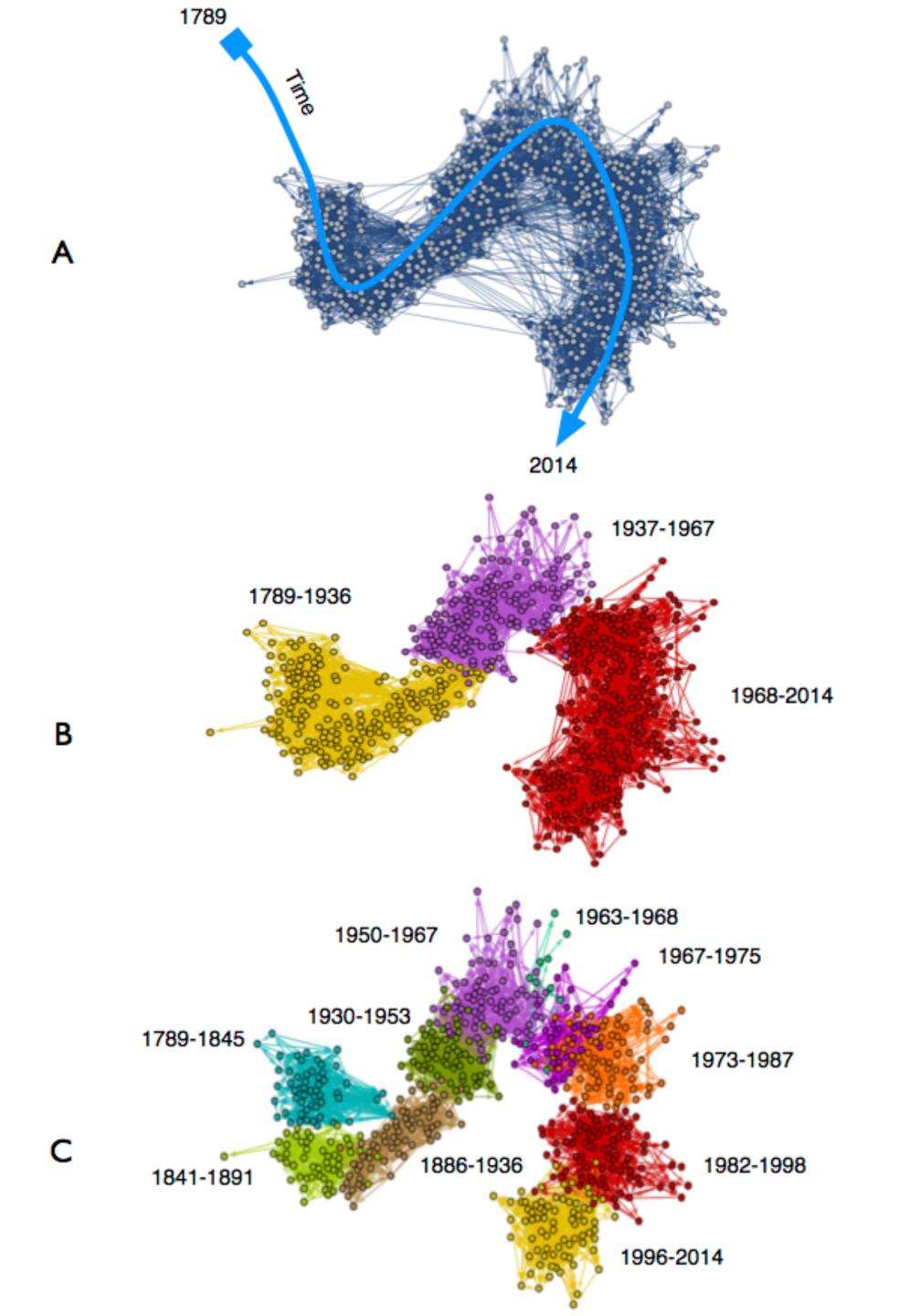


Decline

Growth

Transients

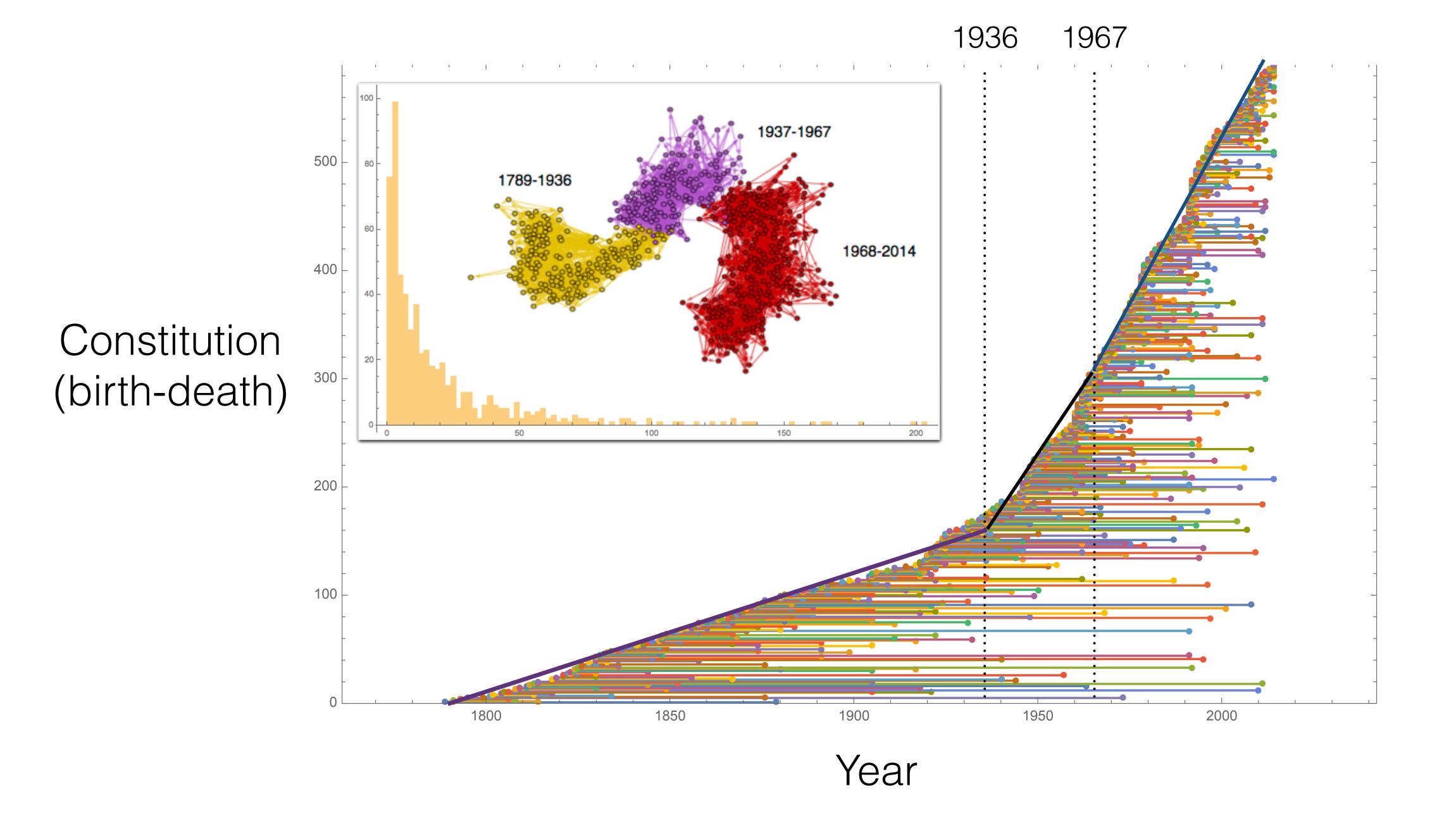


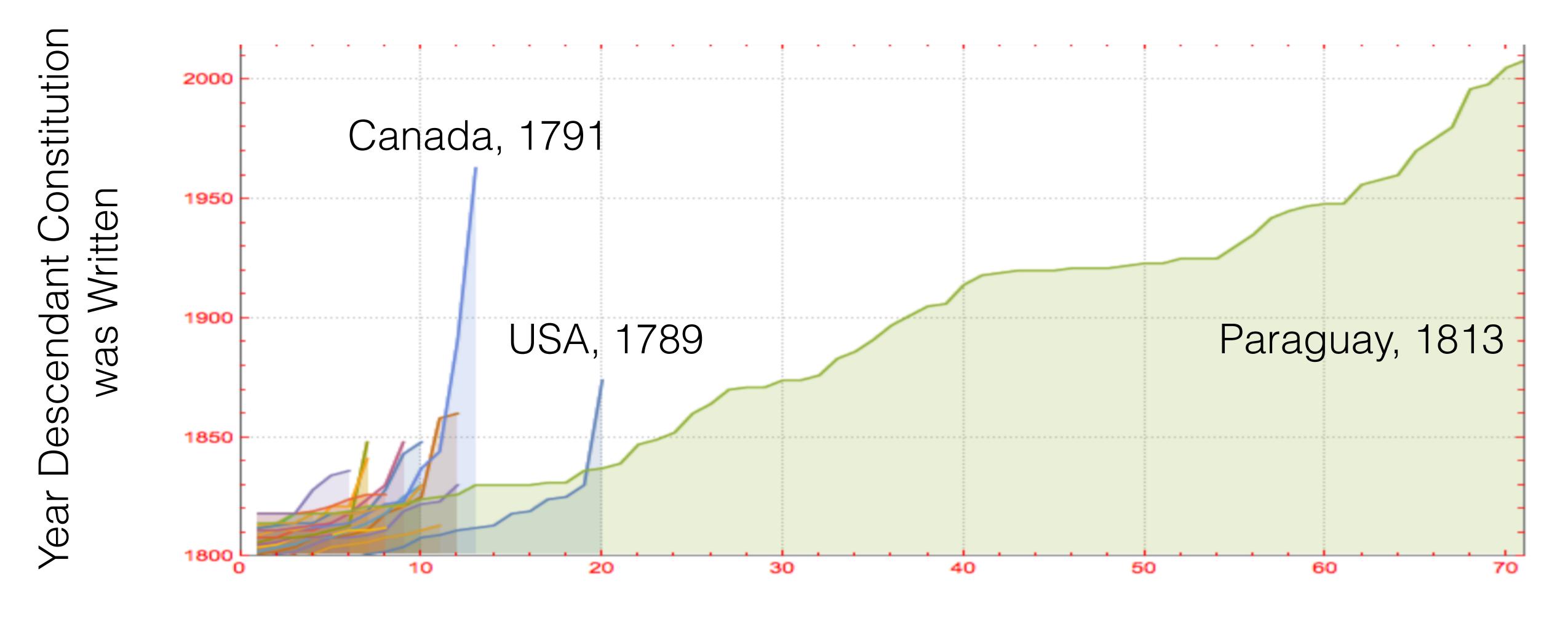


# The Chronological backbone

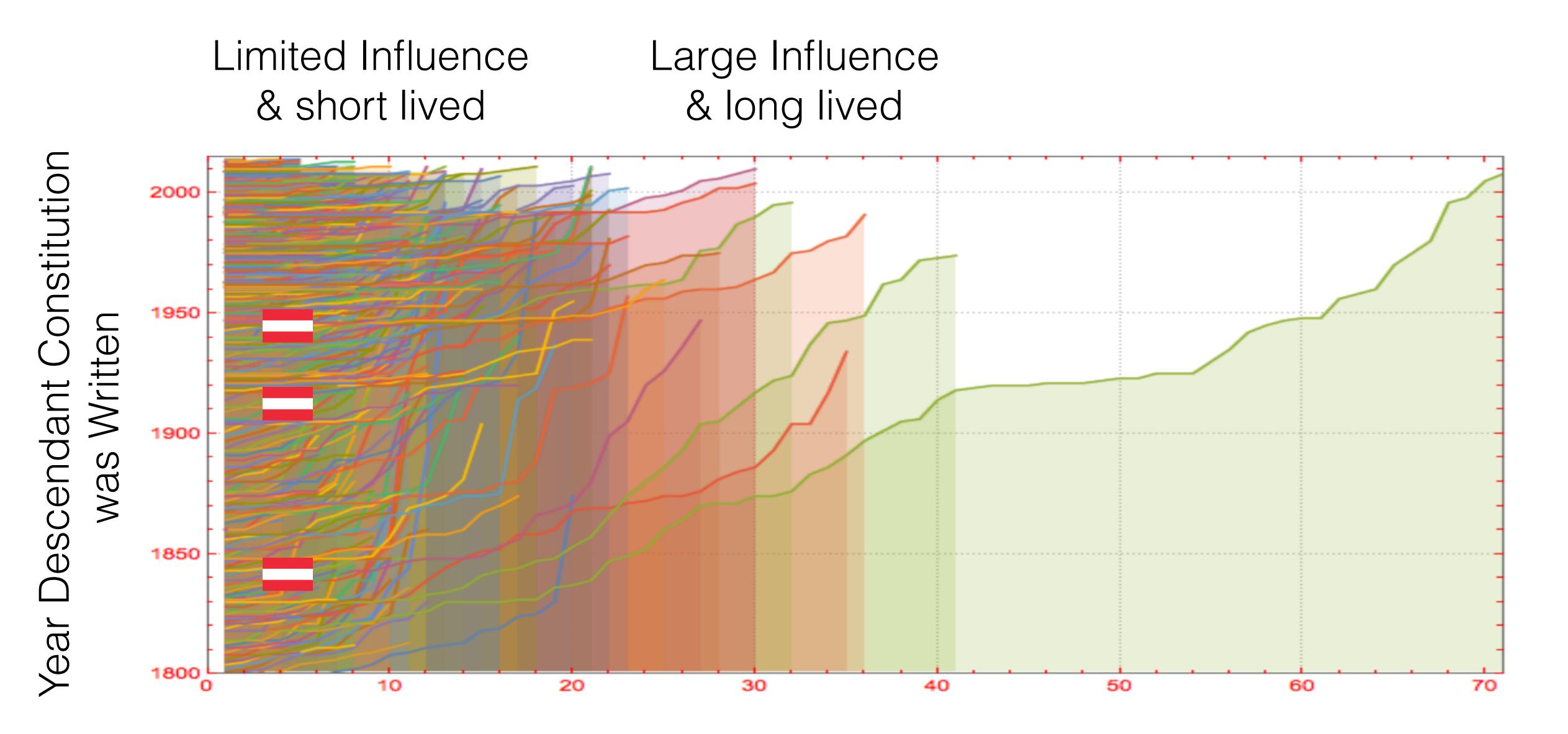
Course-grained clusters

Granular clusters





Number of Descendant Constitutions in Chronological order



Number of Descendant Constitutions

# Insights into Change

- Want to understand mechanisms for the collective construction and modification of rule systems
- Appreciate the crucial role of learning imitation/borrowing and consideration of learning costs and constraints
- Recognize that dynamics impose strong long-term regularities beyond short-term individual preferences & awareness