Contents

	es ting Fi	les from th		nd Internet Sites	xvii xxiii xxv xxvii
PAI	RT 1	BASIC C	ONCEPTS		1
1.	Uses	of Sample	Surveys		3
	1.1	Why Sa	ample Surveys	are Used, 3	
	1.2		ng Sample Su		
		1.2.1	Sample Desi	gn, 6	
		1.2.2	Survey Meas	surements, 6	
		1.2.3	Survey Opera	ations, 7	
		1.2.4		nalysis and Report Writing, 7	
	1.3	Prelimi	nary Planning	of a Sample Survey, 8	
		Exercise	es, 8		
		Bibliog	raphy, 9		
2.	The 1	Population	and the Samp	ole	13
	2.1	The Po	pulation, 13		
		2.1.1	Elementary I	Units, 15	
		2.1.2	Population P	Parameters, 15	
	2.2	The San	mple, 20	Why Siggle Random:	
		2.2.1	Probability a	and Nonprobability Sampling, 20	
		2.2.2	Sampling Fra Enumeration	ames, Sampling Units, and Units, 21	

47

		2.2.3 Sample Measurements and Summary Statistics, 22	
		2.2.4 Estimation of Population Characteristics, 24	
	2.3		
	2.4	Characteristics of Estimates of Population	
		Parameters, 32	
		2.4.1 Bias, 33	
		2.4.2 Mean Square Error, 34	
		2.4.3 Validity, Reliability, and Accuracy, 37	
	2.5	Criteria for a Good Sample Design, 38	
	2.6	Summary, 39	
		Exercises, 39	
		Bibliography, 44	
PAR	T 2	MAJOR SAMPLING DESIGNS AND ESTIMATION	
		PROCEDURES	
3.	Simp	le Random Sampling	
	3.1	What is a Simple Random Sample?, 47	
		3.1.1 How to Take a Simple Random Sample, 48	
		3.1.2 Probability of an Element Being Selected, 49	
	3.2	Estimation of Population Characteristics Under	
		Simple Random Sampling, 49	
		3.2.1 Estimation Formulas, 49	
		3.2.2 Numerical Computation of Estimates and	
		Their Standard Errors, 50	
	3.3	Sampling Distributions of Estimated Population Characteristics, 55	
	3.4	Coefficients of Variation of Estimated Population Parameters, 58	
	3.5	Reliability of Estimates, 61	
	3.6	Estimation of Parameters for Subdomains, 64	
	3.7	How Large a Sample Do We Need?, 70	
	3.8	Why Simple Random Sampling Is Rarely Used, 75	
	3.9		
		Exercises, 76	
		Bibliography, 79	

4.	System	atic Sampling	81
	4.1	How To Take a Systematic Sample, 81	
	4.2	Estimation of Population Characteristics, 83	
	4.3	Sampling Distribution of Estimates, 84	
	4.4	Variance of Estimates, 89	
	4.5	A Modification That Always Yields Unbiased Estimates, 96	
	4.6	Estimation of Variances, 99	
	4.7	Repeated Systematic Sampling, 101	
	4.8	How Large a Sample Do We Need? 110	
	4.9	Using Frames That Are Not Lists, 112	
	4.10	Summary, 113	
		Exercises, 113	
		Bibliography, 120	
5.	Stratifi	ication and Stratified Random Sampling	121
	5.1	What is a Stratified Random Sample? 121	
	5.2	How to Take a Stratified Random Sample, 122	
	5.3	Why Stratified Sampling? 123	
	5.4	Population Parameters for Strata, 128	
	5.5	Sample Statistics for Strata, 133	
	5.6	Estimation of Population Parameters from Stratified Random Sampling, 134	
	5.7	Summary, 139	
		Exercises, 140	
		Bibliography, 143	
6.	Stratif	fied Random Sampling: Further Issues	145
	6.1	Estimation of Population Parameters, 145	
	6.2	Sampling Distributions of Estimates, 146	
	6.3	Estimation of Standard Errors, 148	
	6.4	Estimation of Characteristics of Subgroups, 150	
	6.5	Allocation of Sample to Strata, 152	
		6.5.1 Equal Allocation, 152	
		6.5.2 Proportional Allocation: Self-Weighting Samples, 153	
		6.5.3 Optimal Allocation, 159	
		6.5.4 Optimal Allocation and Economics, 161	

	6.6	Stratification After Sampling, 169 sollaws stramstay?	
	6.7	How Large a Sample is Needed?, 175 and work	
	6.8	Construction of Stratum Boundaries and Desired Number of Strata, 179	
	6.9	Summary, 183	
		Exercises, 184	
		Bibliography, 188	
7	D -4'- 1	Estimation of the contempted 0.4	101
7.	Katio i	Estimation	191
	7.1	Ratio Estimation Under Simple Random Sampling, 192	
	7.2	Estimation of Ratios for Subdomains Under Simple Random Sampling, 200	
	7.3	Poststratified Ratio Estimates Under Simple Random Sampling, 203	
	7.4	Ratio Estimation of Totals Under Simple Random Sampling, 206	
	7.5	Comparison of Ratio Estimate with Simple Inflation Estimate, 212	
	7.6	Approximation to the Standard Error of the Ratio	
		Estimated Total, 213	
	7.7	Determination of Sample Size, 214	
	7.8	Regression Estimation of Totals, 215	
	7.9	Ratio Estimation in Stratified Random Sampling, 217	
	7.10	Summary, 220	
		Exercises, 220	
		Bibliography, 224	
8.	Cluster	Sampling: Introduction and Overview	225
	8.1	What is Cluster Sampling? 226	
	8.2	Why is Cluster Sampling Widely Used? 229	
	8.3	A Disadvantage of Cluster Sampling: High Standard Errors, 231	
	8.4	How Cluster Sampling is Treated in This Book, 231	
	8.5	Summary, 232	
		Exercises, 232	
		Bibliography, 233	

9.	Simple	One-Stage Cluster Sampling	235
	9.1	How to Take a Simple One-Stage Cluster Sample, 236	
	9.2	Estimation of Population Characteristics, 236	
	9.3	Sampling Distributions of Estimates, 254	
	9.4	How Large a Sample Is Needed? 258	
	9.5	Reliability of Estimates and Costs Involved, 260	
	9.6	Choosing a Sampling Design Based on Cost and Reliability, 263	
	9.7	Summary, 267	
		Exercises, 268	
		Bibliography, 273	
10.	Two-S	tage Cluster Sampling: Clusters Sampled with Equal	
	Probab		275
	10.1	Situation in Which all Clusters Have the Same Number, N_1 , of Enumeration Units, 275	
		10.1.1 How to Take a Simple Two-Stage Cluster Sample, 275	
		10.1.2 Estimation of Population Characteristics, 277	
		10.1.3 Estimation of Standard Errors, 279	
		10.1.4 Sampling Distribution of Estimates, 288	
		10.1.5 How Large a Sample is Needed? 292	
		10.1.6 Choosing the Optimal Cluster Size \bar{n}	
		Considering Costs, 295	
		10.1.7 Some Shortcut Formulas for Determining the Optimal Number \bar{n} , 298	
	10.2	Situation in Which All Clusters Do Not Have the Same Number, N_1 , of Enumeration Units, 303	
		10.2.1 How to Take a Simple Two-Stage Cluster Sample for this Design, 303	
		10.2.2 Estimation of Population Characteristics, 304	
		10.2.3 Estimation of Standard Errors of Estimates, 304	
		10.2.4 Sampling Distributions of Estimates, 312	
		10.2.5 How Large a Sample Do We Need? 317	
		10.2.6 Choosing the Optimal Cluster Size \bar{n} Considering Costs, 318	
	10.3	Systematic Sampling as Cluster Sampling, 321	
	10.4	Summary, 321	

		Exercises, 322	
		Bibliography, 332	
11.		Sampling in Which Clusters Are Sampled with Unequal ility: Probability Proportional to Size Sampling	333
	11.1	Motivation for <i>Not</i> Sampling Clusters with Equal Probability, 334	
	11.2	Two General Classes of Estimators Valid for Sample Designs in Which Units Are Selected with Unequal Probability, 338	
		11.2.1 The Horvitz-Thompson Estimator, 338 11.2.2 The Hansen-Hurwitz Estimator, 340	
	11.3	Probability Proportional to Size Sampling, 342	
		11.3.1 Probability Proportional to Size Sampling with Replacement: Use of the Hansen–Hurwitz Estimator, 345	
		11.3.2 PPS Sampling When the Measure of Size Variable is not the Number of Enumeration Units, 352	
		11.3.3 How to Take a PPS Sample with Replacement, 354	
		11.3.4 How Large a Sample is Needed for a Two-Stage Sample in Which Clusters Are Selected PPS with Replacement? 354	
		11.3.5 Telephone PPS Sampling: The Mitofsky-Waksberg Method of Random Digit Dialing, 358	
	11.4	Further Comment on PPS Sampling, 359	
	11.5	Summary, 360	
		Exercises, 360	
		Bibliography, 363	
12.	Varian	ce Estimation in Complex Sample Surveys	365
	12.1	Linearization, 366	
	12.2	Replication Methods, 371	
		12.2.1 The Balanced Repeated Replication Method, 371	
		12.2.2 Jackknife Estimation, 378	
		12.2.3 Estimation of Interviewer Variability by Use	

Samples), 380

Exercises, 383
Technical Appendix, 386
Bibliography, 388

PART 3 SELECTED TOPICS IN SAMPLE SURVEY METHODOLOGY

	M	ETHOD	OLOGY		
13.	Nonresp	Nonresponse and Missing Data in Sample Surveys			
	13.1	Effect o	f Nonresponse on Accuracy of Estimates, 394		
	13.2	Method Surveys.	s of Increasing the Response Rate in Sample, 395		
		13.2.1	Increasing the Number of Households Contacted Successfully, 396		
		13.2.2	Increasing the Completion Rate in Mail Questionnaires, 396		
		13.2.3	Decreasing the Number of Refusals in Face-to-Face or Telephone Interviews, 397		
		13.2.4	Using Endorsements, 397		
	13.3	Mail Su	rveys Combined with Interviews of		
		Nonres	pondents, 398		
		13.3.1	Determination of Optimal Fraction of Initial		
			Nonrespondents to Subsample for Intensive Effort, 400		
		13.3.2	Determination of Sample Size Needed for a Two-Stage Mail Survey, 401		
	13.4	Other U	Jses of Double Sampling Methodology, 402		
	13.5	Item No	onresponse: Methods of Imputation, 404		
		13.5.1	Mechanisms by Which Missing Values Arise,	404	
		13.5.2	Some Methods for Analyzing Data in the Presence of Missing Values, 407		
		13.5.3	Some Imputation Methods, 409		
	13.6		e Imputation, 412		
	13.7	Summa	ry, 416		
		Exercis	es, 416		
		Bibliog	raphy, 422		

14.	Selecte	d Topics in Sample Design and Estimation Methodology 425	,
	14.1	World Health Organization EPI Surveys: A Modification of PPS Sampling for Use in Developing Countries, 425	
	14.2	Quality Assurance Sampling, 427	
	14.3	Sample Sizes for Longitudinal Studies, 430	
	14.5	14.3.1 Simple Random Sampling, 431	
		14.3.2 Simple One-Stage Cluster Sampling, 433	
		14.3.3 Cluster Sampling with More Than One Domain, 434	
	14.4	Estimation of Prevalence of Diseases from Screening Studies, 434	
	14.5	Estimation of Rare Events: Network Sampling, 439	
	14.6	Estimation of Rare Events: Dual Samples, 443	
	14.7	Estimation of Characteristics for Local Areas: Synthetic Estimation, 444	
	14.8	Extraction of Sensitive Information Randomized Response Techniques, 447	
	14.9	Summary, 449	
		Exercises, 449	
		Bibliography, 450	
15.	Telepl	none Sampling 45	5
	R.J. C	asady and J.M. Lepkowski	
	15.1	Overview, 455	
		15.1.1 The Telephone Household Population, 456	
		15.1.2 Telephone Systems, 457	
		15.1.3 Sampling Frames, 458	
	15.2	Telephone Sample Designs, 460	
		15.2.1 Sample Designs Using the BCR Frame, 460	
		15.2.2 Sample Designs Utilizing Published Residential Telephone Numbers, 463	
		15.2.3 Designs Using the BCR Frame and Published Telephone Numbers, 464	
	15.3	Estimation, 467	
		15.3.1 Estimating Means, 467	
		15.3.2 Estimating Sample Variance, 469	
		15.3.3 Poststratification, 470	

CONTENTS

	15.4	Comparison of Designs, 472	
		15.4.1 Cost-Variance Trade-offs, 472	
		15.4.2 Implementation Considerations, 472	
		15.4.3 Choice Among Alternative Designs, 474	
	15.5	Summary, 476	
		Exercises, 476	
		Bibliography, 478	
16.	Strate	gies for Design-Based Analysis of Sample Survey Data	481
	16.1	Steps Required for Performing a Design-Based Analysis, 482	
	16.2	Analysis Issues for "Typical" Sample Surveys, 486	
	16.3	Summary, 494	
		Technical Appendix, 494	
		Bibliography, 495	
App	endix		497
Ans	wers to	Selected Exercises	503
Inde	ex		521