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SUMMARY

Although most people doing survey work would prefer to use random methods when drawing their samples, it is rarely practical. Instead they use a method involving every nth member of the population. This study compares the two methods. It was found that as long as the attribute being sampled is randomly distributed among the population the two methods give essentially the same results.

However, if the attribute is not randomly distributed among the population the two methods give radically different results. In some instances the every nth method gives much better inferences about the population than do the random methods. In other instances it gives much worse inferences. The reasons are discussed.

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## COMPARING RANDOM WITH NON-RANDOM SAMPLING METHODS

It is generally agreed that the preferred method of sampling is the random method. The reason is that the behavior of the samples taken randomly is known (i.e. follows central limit theorem predictions).

Few people doing survey work, however, use the random method because of prohibitive costs. The first step in random selection requires numbering each member of the population. We once estimated that to number the adult population of Saigon (which is often used in JUSPAO surveys) would take 40 man-weeks. Even the Americans would be unwilling to foot the tab for labor.

Because of these practical considerations most people making surveys use a sampling method that involves taking every  $n$ th member. The purists cringe at this pointing out that each member has an equal chance of being selected only once: at the time of the selection of the starting point of  $n$ . How this affects the results is not known.

The essence of the argument for random sampling can be stated: "We know what happens when you use the random method, but we don't know what happens when you use non-random methods." The purpose of this study is to find out what happens when non-random sampling methods are used.

### I SAMPLING RANDOMLY DISTRIBUTED POPULATIONS

To compare the several methods we created a Vietnamese hamlet

consisting of 72 households strung along a river bank. (We find this more interesting than creating a vector consisting of 72 cells.) The hamlet consisted of 50% Catholics and 50% Buddhists assigned randomly. In one series of tests the 36 Catholics were assigned one per household (called the "without replacement hamlets"). The question here is the proportion of Catholic households in the hamlet. In another test the Catholics were assigned without the constraint of one per household (called the "with replacement hamlets"). The question here is the proportion of Catholics in the hamlet.

Constructing the hamlets in these two forms provides an analogue to the most common types of survey data. The without replacement hamlets represent the case where a single member of a household is queried about his opinions or when binary choice responses are being recorded: "Do you have children of school age?" The with replacement hamlets is designed to represent the multiple response case: "How many of your children are going to school?"

Our task was to estimate the proportions of Catholics using several common sampling methods to determine which method was best. In this study "best" has the specific meaning of having the greatest accuracy when inferring the population mean. Note, carefully, that "best" is not defined as agreeing most closely with central limit theorem predictions. As used here "best" implies that the distribution of the sample means has the smallest variance. The perfect sampling

method would be one in which every sample mean was identical to the population mean (perfect representation with zero variance).

For each test 10 hamlets of each type were constructed and sampled by random selection, both with and without replacement, and by several regular (every nth) methods. The regular method is easier to depict than to describe. (The "1" indicates the household was queried.)

Households	<sup>0</sup> 1234567890	<sup>1</sup> 1234567890	<sup>2</sup> 1234
Ones	1...1...1...1...1...1... etc.	1...1...1...1...1...1... etc.	
	1...1...1...1...1...1... etc.		
	1...1...1...1...1...1... etc.		
Twos	11.....11.....11.....11..... etc.	11.....11.....11.....11..... etc.	
	11.....11.....11.....11..... etc.		
	11.....11.....11.....11..... etc.		

Notice that when 25% samples are taken, four unique samples can be taken for each sampling pattern. Similar sampling patterns were constructed for Threes, Sixes and Nines patterns. Sampling using the Threes pattern is a common practice. It is used to reduce travel which usually consumes more than 50% of the data collection time. Clusters of six and nine are never used but were included to exaggerate any effects of the regular method.

For comparison with the four regular patterns, four 25% random samplings were also taken. These were made both with and without replacement.

The method of sampling allowed each hamlet to be sampled four different times within each pattern: there are four different Ones patterns, four different Twos patterns, etc. These were compared with four random samples taken with replacement and also four random samples taken without replacement.

We called the variation among these four the "within patterns effect." This variation allowed observing the effects of the starting point. It was used as a base to compare the effects of several sampling methods. Comparison between methods (i.e. ones vs twos vs random etc.) was called the "between methods effect."

In making each test, 10 hamlets were constructed and tested with each of the four patterns within each of the seven methods: Ones, Twos, Threes, Sixes, Nines and random with and without replacement. Twenty 10-hamlet tests were made using the with replacement hamlets and twenty tests also were made using the without replacement hamlets.

The testing paradigm is shown in the following:

	Hamlet Construction	
	With Replacement	Without Replacement
Five Regular Methods	x	x
Random without Replacement	x	x
Random with Replacement	x	x

Of greatest interest was the distribution of the means of the 10 samples in each test. As mentioned, a good method (i.e. one that gives an accurate representation of the population mean) would show a small spread: the sample mean by clustering closely around the population mean. A poor method would be one showing large dispersion.

A large number of tests were made. The essence of these were:

- (a) There were no within patterns differences.
- (b) There were no differences between sampling by the regular methods and the random without replacement method.
- (c) Sampling with replacement had a slight, inconsistent effect (discussed later).
- (d) Hamlet construction (i.e. with and without replacement) had a definite effect on the kurtoses of the distributions of the sample means.

The results of one of these tests (typical of all the tests) are shown in Table 1.

For simplicity, the concept of "hits" is used in the following discussion. A hit is recorded every time the sampling pattern locates a Catholic. The use of hits is possible since the sample size was constant:  $n = 18$ . Dividing the number of hits by 18 converts the data to conventional proportions. In a later section, the method of sampling produced a variable sample size. In this case it was necessary to convert to proportions to make the desired comparisons.

TABLE 1			
Comparison of the Three Most Commonly Used Sampling Methods			
Hits	Ones	Threes	Random Without Replacement
4	6	3	5
5	20	17	12
6	47	47	50
7	+102	87	84
8	+145	+155	+140
9	+159	+184	+174
10	+149	+148	+159
11	97	93	+110
12	50	50	39
13	19	12	21
14	5	3	5
15	1	1	1

$\chi^2 = 14.80$        $df = 22$        $p \approx .90$

These are without replacement hamlets. The "+" sign shows those cells which are larger than predicted from the binomial expansion:  $p = .5$ ,  $n = 18$ . Testing the with replacement showed the opposite effect: the distributions were more platykurtic than predicted.

As a further exploration, theoretical frequencies were computed by expanding the binomial  $p = .5$ ,  $n = 18$ . When the sampling distributions were tested against these, the without replacement hamlets were leptokurtic as shown in Table 1. Most of the chi square tests were beyond the  $p = .001$  level. Exactly the opposite effect obtained with the with replacement hamlets. The latter were platykurtic with equally significant chi squares. In effect, both were equally poor fits of theory: one too peaked, the other too flattened. Note carefully that these findings resulted from the method of constructing the hamlets, not from the method of sampling.

The results obtained when testing for the effects of sampling with and without replacement are interesting. Sampling with replacement using the without replacement hamlets (the classical case of taking small samples from the jar of red and white balls) flattened the peakedness shown in Table 1. The result was a good fit of prediction from the binomial expansion:  $p \cong .5$ .

When with replacement sampling was applied to the with replacement hamlets the flattening effect disappeared. The platykurtosis returned but in the same amount as that obtained by the regular methods. The with replacement sample fell in the middle of the other distributions. In effect sampling with replacement flattened the leptokurtic distributions but had no effect on the platykurtic distributions.

A summary of the results of the several tests is shown in Table 2.

TABLE 2		
Summary of the Relative Effectiveness of the Several Sampling Conditions		
Sampling Method	Hamlet Construction	
	Without Replacement	With Replacement
All Regular Methods	Good	Poor
Random Without Replacement	Good	Poor
Random With Replacement	Fair	Poor

"Good," "Fair" and "Poor" refer to the relative accuracy of inferring the population means. "Good" indicates a leptokurtic distribution of sample means; "Poor" a platykurtic distribution. The "Fair" cell was a good fit of theory. The others were not.

For people doing survey work the important part of the findings is that the use of the regular methods is no cause for concern when sampling from populations distributed in this manner: randomly either with or without replacement.

The point to be emphasized is that the differences among all six test conditions were so small as to have no practical significance. It required very tiny sample sizes ( $n = 18$ ) to reveal these differences. These sample sizes were much smaller than would ever be used in survey

work. When these samples were combined to give samples of 200 or greater (i.e. typical sample sizes used in survey work) all methods had excellent accuracy. As an example: in one case 24 means were computed (each  $n = 200$ ). All of these means fell within the range 8.81 - 9.30. This is a range of error of approximately plus and minus 3%. There are few situations where one cannot live with this small error estimation. The obvious conclusion is the person doing survey work should use that method which is most convenient.

## II SAMPLING NON-RANDOMLY DISTRIBUTED POPULATIONS

In the previous section the Catholics were randomly distributed among the households in the hamlets. In real life random distribution like this seldom happens. The poor live in the ghettos, the rich in the suburbs. Blacks live with blacks and Italians with Italians. Likes attract likes. Muhammad Ali (Cassius Clay) says it best: "Bluebirds like to be together. Eagles hang out with eagles, sparrows stick with sparrows, buzzards go with buzzards..."

In this case the classic jar of red and white balls is constructed differently: "First put in a handful of red balls, then two handfuls of white balls, etc."

To approximate this "togetherness of likes" our hamlet of 72 households was reconstructed so all the Catholics were located in a string of adjacent households:

.....CCCCCCCC.....

The string of Catholics was called a sample string. Its length was varied from small ( $n = 2$ ,  $p = .03$ ) to large ( $n = 36$ ,  $p = .5$ ). The starting points of the sample strings were determined randomly. The same sampling patterns were used.

Under these conditions some very peculiar things resulted. The results obtained using a sample string of 18 ( $p = .25$ ) are shown in Table 3. This particular test is shown because it contains most of the different types of distributions that resulted. Some of the other tests showed even more erratic behavior.

TABLE 3							
Sampling From a Non-randomly Distributed Population							
Sampling Patterns							
Hits	WR	WOR	Ones	Twos	Threes	Sixes	Nines
0	1					1	20
1	3					3	5
2	4	4				5	2
3	9	8			22	6	2
4	5	13	25	29	10	5	1
5	10	13	25	16	3	3	
6	8	10		5	15	27	
7	4	2					4
8							2
9	3						14
10	3						
Mean	4.8	4.5	4.5	4.5	4.2	4.6	3.8
Variance	6.0	1.7	.3	.5	1.7	3.4	16.1
WR = with replacement sampling, WOR = without replacement sampling.							

The expected value of the number of hits is 4.5. The U-shaped distributions of the Threes and Nines patterns occurred frequently.

To understand the cause of the peculiar behavior of the sample means it is necessary to understand the relationship between the length

of the sample string and the length of the sampling holes. The sampling hole is the length of the interval between queries. It is determined by the sampling interval and the sampling pattern:

Sampling Pattern	Hole Size
Ones	1...1...1...1...1...1... 3
Twos	11.....11.....11..... 6
Threes	111.....111..... 9
Random	1.....1...1..11.1.... 0-8
Sample String	.....CCCCC.....

If the sample string was large compared with the sampling holes (i.e. 3-5 times larger) very accurate results obtained when the regular methods were used. In contrast, when the sample string was small (less than half the sampling holes) very inaccurate results occurred. The random methods fell in between. As a broad approximation, the random methods gave about the same results as the regular methods when the sample string and hole size were approximately equal in the regular methods. The random methods showed the same effects on kurtosis (see Table 3).

Another interesting feature of the regular methods was that not one of the distributions of the sample means approximated normality. (Twenty-five different combinations were tested.) The central limit theorem does not apply. Statistical tests requiring the constraint of normality are contraindicated.

The final series of tests was essentially the same except we tried to create more realistic samples. The illustration has a hamlet size of  $n = 1,465$  which is typical in Viet Nam. (This is also a reasonable approximation of the number of households in a Vietnamese village.) Every 100th member was queried. The string size was varied with the constraint that it was never an exact multiple of hamlet size or sampling interval. When exact multiples are used the results are often unrealistically perfect (i.e. zero variance of the sample means).

TABLE 4						
Sampling a Typical Vietnamese Hamlet						
Means	Ones	Twos	Threes	Sixes	Nines	
.00			14	33	35	
.05						
.10	26	14	3			
.15	14	29				1
.20	10		30			
.25		7	3			
.30				6		
.35						
.40						
.45						
.50				11	9	
...						...
1.00						5
Avg	.147	.157	.143	.150	.193	
Var	.0008	.0025	.0085	.0466	.1104	

The population mean is .15. The hamlet consists of 1,465 households. The sample string is 220. These results are essentially the same as those shown in Table 3.

### III PRACTICAL CONSIDERATIONS

A reasonable conclusion is that sampling using the regular method is preferred as long as one is assured that the attribute is randomly distributed throughout the population. This would be true when working with alphabetized lists of names, the method most commonly used in Viet Nam.

However, if one is working with household maps, as is frequently done in the United States, one may have serious problems with the regular methods. If the sample strings are large compared with the sampling holes, very accurate results obtain. As shown, these are the most accurate of all. However, if the sample string is small compared with the sampling holes, very poor accuracy results. Since most people would prefer to use the regular methods because of the economic factors, some strategies are needed. These are discussed.

One leverage that the researcher has is that he knows the size of his sampling holes. This simplifies his inquiry into the effects of his sampling method. The question now is, "Do I have sample strings smaller than my holes." In Muhammad Ali's terms: "How big are the flocks of blue-birds in this locality?"

One way to determine whether one is confronted with sample strings is to plot the means of the subsamples as the data are collected in a given area. If the distribution is reasonably normal there is no worry. If the distributions are abnormal, i.e., as shown in Figures 1 and 2, the

researcher is alerted to the fact that he is dealing with sample strings and can make the necessary steps to correct the problems these introduce. The researcher must either increase the size of his  $n$  for this limited set of variables or, more likely, interpret these data with caution.

The previous suggestion was made on the basis of no a priori information. Sometimes a limited amount of information is available. Using the previous Catholic and Buddhist example: the hamlet chief will often be able to give an estimate of the number of Catholics which can be converted to a percentage such as 5-15%. The question to be answered is, "Are they clustered?" The easiest way to answer this question is to wait until the first Catholic is discovered. When this happens ask about the religion of the other households in the neighborhood. If they are predominantly Catholic you can be fairly sure that you are dealing with a sample string.

In Viet Nam two sources are most frequently used to establish samples: (a) lists of names which are usually census lists, and (b) maps showing the locations of the households in the hamlets. If the census lists are alphabetized (usually the case) the variable is randomly distributed for all practical purposes. In this case selecting every  $n$ th name is simplest and cheapest.

If maps are used the odds are that there will be sample strings: small business will be clustered in the center of the hamlet (especially at the crossroads), farmers will be located next to their fields and the omnipresent refugees will be clustered together in clots around the periphery.

If the researcher is very concerned about the accuracy of his estimates of the population parameters he can make estimates of the lower and upper bounds of the length of his strings and test in the manner shown. Appendix B details the method. The only requirement is a table of random numbers.

Finally, the common practice of estimating the sample size required to get the maximum tolerable error and then adding half-again to that sample size is good practice. Better yet: double the sample size, if possible.

Appendix A

Additional Testing Results

In the following table the variances of the distributions are tested to determine if there are differences among them. The testing is similar to the one shown in Table 1. The difference is that these data are the distribution of variances while those in Table 1 are the distribution of the sample means (represented by the number of hits). These results should not be confused with the results from the regular methods. In this instance the F-test is proper (which would not be the case with the regular methods). The complete set of data is given for those who choose to run individual tests between pairs of variances.

$$F = \frac{V_1}{V_2} \quad df = 9,9$$

An F of 3.18 is significant at the .05 level.

Variations Obtained from 20 Tests

Sampling Patterns

	Ones	Threes	Random Without Replacement
1	4.3	5.5	6.0
2	2.8	7.1	12.9
3	10.0	2.0	7.4
4	8.3	8.3	2.8
5	2.8	7.0	5.1
6	9.7	7.3	3.7
7	3.1	9.3	3.0
8	6.1	9.4	10.5
9	7.8	5.2	4.5
10	6.9	3.2	3.6
11	3.3	3.2	2.4
12	6.7	6.7	7.2
13	10.5	6.0	4.0
14	8.5	4.0	3.3
15	4.0	4.5	3.1
16	4.5	3.1	5.6
17	4.5	4.5	5.3
18	5.6	7.3	6.7
19	7.7	7.8	9.7
20	3.6	4.0	4.0
Mean	5.89	5.77	5.54

Although it was not necessary since the determination can be had by inspecting the data, an F test was computed. It was not significant:  $F = .10$ .

The following tests show the effect of creating the hamlets with and without replacement. This was done to give an analogue of the two types of questions generally used in survey work.

"Do you have any children of school age?" This is represented by the without replacement hamlets.

"How many children do you have in school?" This is represented by the with replacement hamlets. The equality of the between and within variances was typical of all the tests made on the randomly constructed populations. It is characteristic when drawing random samples from a single population.

Effects of the Type of Hamlet Construction  
on Sample Variances

	With Replacement Hamlets		Without Replacement Hamlets	
	Between	Within	Between	Within
1	3.55	7.15	1.16	3.03
2	1.42	6.80	2.60	3.04
3	6.15	6.17	4.06	2.86
4	11.91	6.74	4.84	2.63
5	6.20	7.54	2.47	3.82
6	17.63	7.91	1.50	4.18
7	2.99	7.56	2.34	2.51
8	1.59	5.80	3.34	3.48
9	2.59	7.18	6.70	3.81
10	3.43	6.39	5.66	2.71
11	5.47	5.25	4.27	3.93
12	12.54	6.78	4.14	3.93
13	5.10	7.75	1.92	2.35
14	18.11	5.97*	1.58	3.20
15	7.63	4.25	2.22	2.41
16	6.04	7.49	1.39	4.57
17	3.07	5.49	2.34	4.42
18	4.31	7.19	3.43	3.31
19	5.51	12.37	4.82	3.42
20	6.78	6.09	2.91	3.56
Mean	6.60	6.89	3.18	3.36

\*Significant at the .05 level.

Appendix B

Techniques for Testing the Effects of Sampling Methods

The techniques for sampling by the several methods are simple. They make excellent student projects. The method of testing the case of sample strings is given first.

First determine the population size, the string length and the sampling method. For the example the population was set at 1,000 determined by the numbers 000-999. The string length was set at 50 (true proportion = .05). The Threes pattern is used.

Next determine the fraction of the population to be sampled. In this case the decision was 1%. This decision results in sampling every 100th member. If we used the Ones method we would query one member in each segment of 100. If we used the Twos method we would select two adjacent members in each segment of 200. We have selected the Threes pattern, therefore we will sample three consecutive members in each segment of 300.

We must select the starting points of the queries and the strings so both fall within the bounds of 000-999. Both of these starting points are randomly determined. The starting point of the queries cannot be larger than 297 since we are sampling segments of 300. We can use the sampling triplet 297,298 and 299 since this is within the bounds of the first segment 000-299. Notice that the second segment is 300-599, the third 600-899 and the last 900-999.

Similarly the highest starting point of the sample string of 50 is 849:  $849 + 50 = 999$  which is the upper bound of the population.

The tabulations are shown on the following page. We first located the sample string by drawing a random number between 000-849 (inclusive). The first number was 189. Adding 50 we get 239. The sample string is now defined: 189-239.

We next determine the location of the triplet. By drawing a random number between 000-297 (inclusive). The number is 004. We will sample locations 004-006, 304-306, 604-606 and 904-906. This is four sets of three numbers:  $n = 12$ . Since none of these fall inside the sample string of 189-239 we record 0 hits. The process is iterated.

Work Sheet

Population: 000-999 String = 50 Threes Method

000-299

300-599

String max = 849

600-899

Threes max = 297

900-999

<u>Regular Method</u>				:	<u>Random Method</u>		
<u>String Location</u>	<u>Start</u>	<u>Sample Size</u>	<u>Hits</u>	:	<u>Sample Size</u>	<u>Numbers Drawn</u>	<u>Hits</u>
189-239	004-006	12	0	:	12	-	0
861-911	133-135	9	0	:	9	907	1
657-707	063-065	12	3	:	12	694	1
383-453	268-270	9	0	:	9	423 402	2
etc. 30-50 samples				:			

We urge plotting the distributions of means so you can see exactly the shape of the distributions. These have to be seen to be believed.

We now wish to make a random drawing for comparison. This is easy. We draw the same number of random numbers as we used in the regular method. These numbers must be in the range used to define the population: 000-999 in this case. We count the number of hits in which a hit means that the random number "hit" the sample string.

Since the sample size will vary the hits must be divided by sample size to make comparisons.

The easiest way to design populations of randomly distributed variables is to use IBM cards. The bottom edge has the columns numbered 1-80 equally spaced. Columns of single spaced typed numbers can also be used. To create the hamlets as used in this study first determine the proportion of Catholics. Assume this to be 25%. Using a table of random numbers and a felt pen select and mark 20 of the 80 columns.

The sampling patterns are created in the same way. If you are sampling with replacement record "1," "2," "3," etc, to show how many times the same random number was drawn. The regular methods are constructed as shown in the illustration.

We also used a computer to generate the hamlets and the sample decks punching out the "9" holes. The pairs of cards (1 hamlet and 1 sample) are held up to the light to count the number of hits. These are used for student projects: it eases their problem of getting the data.



