

EXISTENCE OF THE BLUE FOR FINITE POPULATION MEAN UNDER MULTIPLE IMPUTATION

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ABSTRACT

Missing values not only mean less efficient estimates because of reduction in sample size, but also mean that the standard complete data methods cannot be immediately used to analyse the data. Imputation, single or multiple, is a compensatory method for handling non-responses and takes care of the fact that once the values have been filled in, standard complete data methods of analysis can be used. Here, in this paper, using multiple imputation technique, an estimator for the finite population mean in the presence of unit non-response has been proposed and the estimator so proposed has been found to be the BLUE. A very general cost model has been discussed in the presence of non-response and an optimal solution of sample size for a given number of imputations or of number of imputations for a given sample size has been worked out.

1. Introduction

A survey may mean to include census which attempts to collect information from each member in the population, whereas a sample survey refers to a survey in which a scientific sample of the population is studied i.e., the same sort of information is sought only for some of the units, — those in the sample. The choice of the sample is carefully made in order to draw inferences about the parameters of the population under study, but in many censuses and sample surveys, some of the selected units may not be possible to be contacted, and even contacted do not respond to at least some of the items being asked. Such non-responses which are known as survey non-response, whether it arises from a census or a sample survey is common.

The problem created by non-responses is of course that of non-availability of the complete data i.e., some of the values intended by the sampling design to be observed are in fact missing, and these missing values not only mean less efficient estimates because of the reduction in size in the data base, but also mean that standard complete data methods can not be immediately used to analyse the data.

Non-response as a concept has been defined in a number of ways. Most definitions distinguish **unit non-response** from **item non-response**. In general, non-response has been attributed to failure to obtain a response to a particular unit and/or to particular item when the questionnaire has been canvassed and has been completed partially or not been responded at all. [Kendall and Buckland (1960), Kish (1965), Bureau of census (1957, 1976), Cochran (1979), Zarkovich (1966), Ford (1976), Sudman (1976), Suchman (1962), Wark and Lilinger (1975), Deghton et al. (1978), Deming (1953)]. An extended definition of non-response includes in which missing data arise from the processing of information provided by units rather than refusal of units.

1.1. Non-response of different types at different levels

In household surveys with multistage design, non-responses can occur at different hierarchical stages singly or jointly, say, at the PSU (village), at the household and at the individual data item singly or jointly.

The first stage sampling unit, say, the village/urban block may be temporarily inaccessible or might have altered in character as a village might have become urbanized since last census. In spite of all the efforts, a few casualties do occur in a large scale survey operation like NSS. The extent of non-response at this level is of the order of 0.5 to 1% [Sarma, Rao and Ambe (1980)].

The existence of non-responses at the household level has been well exhibited through many surveys from both developed and developing Countries [Thompson I.b. and Siring E., Scott and Singh (1980), Verma (1980), US Current Population Survey (CPS) (1959—1978)., etc. There, non-response rates have been found to differ by reason in all the surveys conducted both in developing and developed Countries. Non-responses due to refusal are more in developed Countries, whereas non-responses due to non-contact are more in developing Countries. It has also been observed in Verma (1980), that in fertility surveys conducted in each of twenty developing Countries, each of non-response rates due to “vacant-dwelling unit”, “due to not at home” is greater than that due to refusal and in all the Countries except Malayasia, Jamaica, Costarica, Mexica, Panama, non-response rate due to “not possible to locate” is greater than non-response rate due to refusal. Also one may consult the article by Maiti (2007) for demonstration of existence of non-responses in personal interviews.

The third level at which non-response occurs is at individual data level, which is popularly known as **item non-response**. There may be many reasons behind **item non-response**. To mention a few socio-economic background as well as the sensitivity of the specific item of information may be responsible for such non-responses. In fact, item non-responses are very much sensitive to particular type of items. For a good account of the extent of item non-responses on different items in different surveys, one can refer to the work by Sarma et al. (1980). Also one may consult paper by Dhar, N.R. (1971) and Maiti P. (2007).

One can also find through many surveys conducted both in developed and developing Countries that non-response rates are gradually increasing over the years, and hence call for strong attention. The work of assessing non-responses, though dates back to the forties [Deming (1944), (1950); Mahalanobis (1940), (1944), (1964); Moser (1958), Zarkovich (1966), Dalenius (1977a), (1977b), (1977c); Kish (1965), Sarndal et al. (1992)], but handling them with mathematical rigour is a new addition [Rubin (1987), Lessler and Kalsbeek (1996)] to the literature.

1.2. Two views of non-response: Deterministic and Probabilistic

The mechanism which generates non-response/response may be deterministic or may be stochastic in nature. By preassuming that members of the population are either certain to respond ($p_i = 1$) or ($p_i = 0$), the deterministic view of non-response rules out any uncertainty on whether or not each member of the population would provide usable data for the survey, if selected. Thus decision on whether to respond or non-response is pre-determined. Reviews by Ford (1976) and Kalton (1983) provide extensive analytical discussions of non-response and non-response compensation procedures developed from a deterministic procedure.

Under stochastic view, each R_i associated with i^{th} sample unit, is a random variable whose outcome is determined by an assumed chance element in the response process. Associated with each R_i is the response probability p_i which may differ among different members of the population. [Politz and Simmons (1949), Hartley (1946), Deming (1953), Platek et al. (1977), Lessler (1983) etc.]

1.3. Different methods of dealing with non-response: Compensatory as well as Preventive

Several methods have been tried to compensate for the effect of non-response on the survey result. Some of these methods are part of **data collection procedure**; for example, intensive follow up of a subsample of non-respondents [Hansen, Hurwitz (1946), Fellegi and Sunter (1974), Platek et al. (1977)] or the collection of limited data through proxy interview from neighbours (Roshwab (1982) or through Call-backs (Birbaum and Sirken (1950), Durbin (1954), Deming (1953), Kish (1965), Kendal and Buckland (1972), Moser and Kalton (1972), Cochran (1977), Deighton et al. (1978)). The substitution of other units for non-responding units is a controversial practice.

Other procedures, generally less costly, are used during data processing. These come under the general headings of **imputation** and **estimation procedures** which attempt to compensate for missing data.

There are other types of measures which may be termed as **preventive measures**. The preventive measures are those that would be implemented for identification, solicitation and compilation of the questionnaires, so that after the sample member has agreed, at least, in principle to co-operate, relevant data can be made available smoothly. These methods include correcting the frame errors, if any; proper designing of the questionnaires / schedules, providing uniform training to the investigators etc. [Maiti, (2007)].

1.4. Imputation versus Revising the weights under estimation procedures

Adjustment of estimates by revising the weights is for the fact that on measured information, non-respondents differ from respondents. It has been empirically observed through a number of surveys [Lundberg and Larsen (1949), Reuss (1943), Politz and Simon (1949), Birbaum and Sirken (1950), Pan (1951), King and Chen (1957), Buckland (1960), Suchman (1962), Lubin, Levit and Zuckerman (1962), Skelton (1963), Bennet and Hill (1964), Dunn and Hawks (1966), Ognibene (1970), Lessier (1974), U.S. Bureau of Census (1974), Warwick and Lininger (1975), Roy (1976—77, 1977—78, 1988—89), Sundman (1976), Deighton et al. (1978), Gower (1979), Kalton (1983), Madow et al. (1983), Maiti (1994—95, 1995—96) etc.] that who would form the set of respondents and who would be the non-respondents. Under this view of non-response, in revising the weights, the works, among others, due to Politz and Simon (1949), Hansen et al. (1953), Hartigan (1975), Platek et al. (1977), Kish and Anderson (1978), Bailar et al. (1978), Kohen and Kalsbeck (1981), Drew and Fuller (1980, 1981), Rizvi (1983), Madow (1983) may be mentioned.

In the broad sense, **imputation** means replacing missing or unusable information with usable data from other sources. These sources can include the same questionnaire, another questionnaire from the same survey or external sources, such as another survey or an administrative record.

In case of total/unit non-response, the choice of imputing the questionnaire has to be made from a large group of responding units. **It is at this level, one sees the similarity between weighting and imputation. Such imputation is equivalent to duplicating questionnaires. Duplicating a questionnaire to adjust for a missing unit is equivalent to giving that questionnaire an extra weighting factor of 2.**

From the view point of sampling error, adjusting for non-response by an estimation procedure is preferable to duplication of individual questionnaires. **The only reason for using the latter procedure would be to maintain a sample design that is self-weighting. This is accomplished by actually duplicating the computer record for the selected questionnaire rather than giving an extra weighty of 2.**

Operational simplicity and flexibility of procedures for automatic imputation make them attractive.

1.5. Single Imputation Versus Multiple Imputation

Imputation, whether single or multiple, takes care of the fact that once the values have been filled in, standard complete data methods of analysis can be used. The second advantage of imputation is that in many cases, imputation can be created by incorporating the knowledge of the data collector to reflect the uncertainty about which values to inputs.

Single imputation is useful when possibly substantial efforts are needed to create, but single value being imputed can reflect neither sampling variability about actual value when one model for non-response is being considered, nor additional uncertainty when more than one model is entertained. The obvious problem with single imputation is that the missing value is not known, but automatic application of complete data set treats missing values, as if they were known. Because of this, inferences based on the single imputed data set will be too sharp, since the extra variability due to unknown missing values is not being taken into account.

Multi imputation corrects the major flaws of single imputation. The idea behind multiple imputation is that for each missing value several values, say m , instead of just one, are computed. Thus m imputations for each missing datum create m -complete data sets. The practical difficulty with multiple imputations lies in the necessity of producing multiple data for each missing value. Where single set of imputed values is prohibited, repeating the process may be difficult. **Fortunately, there is some empirical evidence that the number of sets should not be large for multiple imputation to be effective (Rubin and Shanker 1986).**

Multiple imputation using modest m , say, $2 \leq m \leq 10$ is designed for situations with a modest fraction of missing information due to non-response.

The organization of this presentation is as follows.

Some results are presented in the next Section 2.1; under the assumption that responses/non-responses are purely random, followed in the next Section 2.2, assuming that each member of the population can be considered as having been labeled "respondent" or "non-respondent", or assigned to a respondent or non-respondent sub class prior to the survey. Finally, a non-linear cost-model has been considered to have an optimal solution of n or m in Section 3.

2. Existence of the BLUE for Population Mean

2.1. Non-responses occur randomly

Let us consider a finite population $U = \{1, 2, \dots, N\}$ of N number of units labeled 1 through N . Let $y_i = y(i)$ be the value of the variable y for the i^{th} unit. Let the parameter to be estimated be $\bar{Y} = \sum y_i / N$.

Sampling Scheme under single imputation: Under SRSWOR (N, n) , let a typical sample realized be $s(i_1, i_2, \dots, i_n)$, which after the initial data collection, is partitioned into

$s_{(1)} = (i_1, i_2, \dots, i_{n_1})$ and $s_{(0)} = (j_1, j_2, \dots, j_{n_0})$, $n = n_1 + n_0$, where the suffixes i and j stand for the responding and non-responding units. Thus, after the initial field work, the following situation arises.

Data are available on n_1 number of units	Data are not available on n_0 number of units
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To compensate for these unit non-responses, the following imputation method is adopted.

The incomplete data set is completed by imputing the missing values $y_{j_1}, y_{j_2}, \dots, y_{j_{n_0}}$ through $Z_{j_1}, Z_{j_2}, \dots, Z_{j_{n_0}}$, where $Z'_k s (k = 1, 2, \dots, n_0)$ are realized through a sample of SRSWR (n_1, n_0) and the incomplete data is completed as

$$\left(y_{i_1}, y_{i_2}, \dots, y_{i_{n_1}}; Z_{j_1}, Z_{j_2}, \dots, Z_{j_{n_0}} \right);$$

The incomplete data can be completed by adopting any other imputation method also.

Let \bar{y}_1 and \bar{y}_0 be the sample means based on $y'_{i_k} s (k = 1, 2, \dots, n_1)$ and $Z'_{j_k} s (k = 1, 2, \dots, n_0)$.

Let

$$\bar{y}_* = \frac{n_1}{n} \bar{y}_1 + \frac{n_0}{n} \bar{y}_0 \tag{2.1}$$

then we have the following result.

Theorem 2.1: Under the above sampling schemes, \bar{y}_* is unbiased for \bar{Y} for any given (n_1, n_0) and we have,

$$V(\bar{y}_*) = \begin{cases} \left(S^2/n \right) \left(p_0 + \frac{1}{p_1} - f \right), & \text{under } SRSWR(n_1, n_0) \\ \left(S^2/n \right) \left\{ \left(p_0 + \frac{1}{p_1} - f \right) - p_0^2/p_1 \right\}, & \text{under } SRSWOR(n_1, n_0) \end{cases} \tag{2.2}$$

up to the order of $1/n$,

where, $(N - 1)S^2 = \sum_{i=1}^N (y_i - \bar{Y})^2$, $f = n / N$, $p_0 = \frac{n_0}{n}$ and $p_1 = \frac{n_1}{n}$.

Proof: The results follow immediately through the observations

$$E(\bar{y}^*) = E_{s_1} E_{z/s_1}(\bar{y}^*) \text{ and } V(\bar{y}^*) = V_{s_1} E_{z/s_1}(\bar{y}^*) + E_{s_1} V_{z/s_1}(\bar{y}^*)$$

and after routine calculations, where the variable z stands for imputation.

Remarks:

1. Clearly, $V(\bar{y}^*) \Big|_{SRSWOR} \leq V(\bar{y}^*) \Big|_{SRSWR}$;
2.
$$\frac{V(\bar{y}^*) \Big|_{SRSWR}}{V(\bar{y}^*) \Big|_{SRSWOR}} = \frac{\left(p_0 + \frac{1}{n_1} - f \right)}{\left[\left(p_0 + \frac{1}{p_1} + f \right) - (p^2/p_1) \right]}$$
;
3. If each missing value y_{jk} ($k = 1, 2, \dots, n_0$) be imputed by the single value \bar{y}_1 , then \bar{y}^* becomes equal to \bar{y}_1 .

Sampling Schemes under multiple imputation.

Under m -fold independent $SRS(n_1, n_0)$ from $SRSWOR(N, n)$ i.e., under m -tier imputation by SRS each time, tires being independent, let the estimator for population mean be defined by

$$\bar{y}_* = \sum_{j=1}^m \bar{y}_*^{(j)} / m \tag{2.3}$$

where,

$$\bar{y}_*^{(j)} = \left(\frac{n_1}{n_0} \right) \bar{y}_1 + \left(\frac{n_0}{n} \right) \bar{y}_0^{(j)};$$

then we have the following result.

Theorem 2.2: Under the above sampling schemes and for a given sample (n_1, n_0) , we have

- (i) \bar{y}_* is BLUE for \bar{Y}

$$(ii) V(\bar{y}_*) = \begin{cases} \left(S^2/n \right) \left(\frac{1}{p_1} - f \right) + \frac{S^2}{nm} p_0; \text{under } m\text{-fold independent SRSWR}(n_1, n_0) \\ \left(S^2/n \right) \left(\frac{1}{p_1} - f \right) + \frac{S^2}{nm} \alpha, \text{under } m\text{-fold independent SRSWOR}(n_1, n_0) \end{cases} \quad (2.4)$$

where S^2, p_0, p_1, f are defined as before and $\alpha = p_0 \cdot p^*$, $p^* = \left(1 - \frac{p_0}{p_1} \right)$, normally $p_0 \leq p_1$ and hence $\alpha \leq 1$.

Lemma 2.1: Let each of $T_j = (j = 1, 2, \dots, m)$ be unbiased for θ and T_j 's are correlated i.e., $E(T) = \theta 1$, $D(T) = \Sigma$; $T = (T_1, T_2, \dots, T_m)'$ and $1 = (1, 1, \dots, 1)'$, then the BLUE for θ i.e., $\hat{\theta}_{BLUE} = 1' \Sigma^{-1} T / 1' \Sigma^{-1} 1$. In particular, when $\Sigma = [(a - b)I + bJ]$,

then $\hat{\theta}_{BLUE} = \sum_{j=1}^m T_j / m$, where Σ is of $m \times m$.

Proof of theorem 2.2: (i) follows, from Lemma 2.1 by setting $T = (\bar{y}_*^{(1)}, \bar{y}_*^{(2)}, \dots, \bar{y}_*^{(m)})'$ and observing a, b in Σ as $a = \sigma_*^2$ and $b = \rho^* \sigma_*^2$, where $\sigma_*^2 = V(\bar{y}_*^{(j)})$ and $\rho^* \alpha_*^2 = Cov(\bar{y}_*^{(j)}, \bar{y}_*^{(k)})$.

(ii) follows after routine calculations.

2.2. Occurrence of non-responses are non-random

One may consider the deterministic view to be one in which the outcome of the R -variable for each member of the population has been conditioned. The deterministic view then becomes a conditional form of the stochastic view. Here the population of N -units is assumed to be partitioned into two mutually exclusive and exhaustive subgroups, one with $N_0 = \sum_{i=1}^N R_i$ units, which with certainty would respond and $N_0 = N - N_1$ units, which with certainty, would not. The proportions in the respondent subgroup, $P_1 = N_1 / N$ and non-respondent subgroup, $P_0 = N_0 / N$ would depend on the characteristics of the study as well

as on some specific features of the population members. Therefore, the population U can be thought of as consisting of two domains, $u_{(1)}$, the domain of respondents and $u_{(0)}$, the domain of non respondents.

$$U = (U_{(1)}, U_{(0)}), N = N_1 + N_0.$$

Since, here the respondents are systematically different from the non-respondents, biases exist, unless further assumptions, on equality of two group means and/or group variances are assumed.

Let $\bar{y}_*^{(j)} = (j = 1, 2, \dots, m)$, \bar{y}_* be defined as before, then we have the following result.

Theorem 2.3.: Under the sampling schemes of *SRSWOR* (N, n) and under *multi-stage SRS* (n_1, n_0) each time, we have,

(i) $E(\bar{y}_*^{(j)}) = \bar{Y}$ under the assumption of $\bar{Y}_1 = \bar{Y}_0$, for $j = 1, 2, \dots, m$, \bar{Y}_1 and \bar{Y}_0 being to group means;

$$\begin{aligned} \text{(ii) } V(\bar{y}_*) &= (S_1^2/n) \left[P_0 + \frac{1}{P_1} (1-f) \left(1 + \frac{1}{C_1^2} \right) \right] \\ &+ (S_1^2/n^2) \left[\left\{ (1+f) + \frac{1}{C_1^2} \right\} + \frac{3P_0(1-f)}{P_1^2} \left(1 + \frac{(n-1)P_1}{C_1^2(1-f)} \right) \right] \\ &\sim \frac{S_1^2}{n} \left[\frac{P_0}{m} + \frac{1}{P_1} (1-f) \left(1 + \frac{1}{C_1^2} \right) \right], \text{ (up to the order of } 1/n) \end{aligned} \tag{2.5}$$

where, S_1^2, f are as before, C_1^2 is the square of coefficient of variation of y in the domain of respondents, and $P_1 = N_1/N, P_0 = N_0/N$. Here n_1, n_0 have been treated as random variables with $E(n_1) = np_1$ and $E(n_0) = np_0$.

Proof: (i) we have

$$\begin{aligned} E(\bar{y}_*^{(j)}) &= E_s E_{n_{1s}} E_{z|n_{1s}} (\bar{y}_*^{(j)}) \\ &\simeq \bar{Y}_1 \end{aligned}$$

$$= \bar{Y} + \left(\frac{N_0}{N} \right) (\bar{Y}_1 - \bar{Y}_0). \text{ (For calculation see the Appendix)}$$

thus, under the assumption of $\bar{Y}_1 = \bar{Y}_0$, the result (i) follows and (ii) follows by observing the following fact and after routine calculations,

$$\begin{aligned} \text{(ii) } V(\bar{y}_*) &= E_s E_{n_{is}} V_{z|n_{i,s}}(\bar{y}_*) \\ &+ E_s V_{s_1|s} E_{z|s_1,s}(\bar{y}_*) \\ &+ V_s E_{s_1|s} E_{z|s_1,s}(\bar{y}_*) \end{aligned}$$

and

$$\begin{aligned} \text{Cov}(\bar{y}_*^{(j)}, \bar{y}_*^{(k)}) &= E_s E_{s_1|s} \text{Cov}_{z|s_1,s}(\bar{y}_*^{(j)}, \bar{y}_*^{(k)}) \\ &+ E_s \text{Cov}_{s_1|s}(E_{z|s_1,s}(\bar{y}_*^{(j)}), E_{z|s_1,s}(\bar{y}_*^{(k)})) \\ &+ \text{Cov}(E_{s_1|s} E_{z|s_1,s}(\bar{y}_*^{(j)}), E_{s_1|s} E_{z|s_1,s}(\bar{y}_*^{(k)})) \end{aligned}$$

where, suffix z stands over imputation. (For calculation see the Appendix)

3. General Cost Model

The optimal solution is always conditional on the appropriate cost-error model. Costs do vary across different activities in the total survey design and are very much dependent on the extent of efforts needed for their execution. Efforts at any stage can be translated into time of operations and finally, total cost can be evaluated with the available knowledge on the rate of cost per unit of time, rates being different for different survey operations. Thus specification of a cost model reduces to modeling of time allocation into different components under the total survey design. One of the major activities lies with the Survey Management Group who are mainly engaged in the survey operation leading to response or non response. It may be noted that time of response for complete or partial information from a respondent depends along with others on the efficiency of an investigator. The efficiency of an investigator need not necessarily be uniform in his whole course of action. In fact, efficiency of an investigator increases with the number of interviews completed (Mahalanobis, 1944).

A general cost model can be specified as follows:

$$C_T = C_0 + C(D) + C(n) + \underbrace{C(n+d)} \quad (3.1)$$

where, C_T = Total Cost:

C_0 = Summary of fixed costs, which are independent of sampling design as well as sample size; It primarily includes costs of recruitment of human capital for administration as well as for technical work associated with programming as well as other computer job for data processing. It also includes machine capital. The cost of hardware/software and other equipment charges are also included here.

Costs in specifying an association rule δ_{ik} between k^{th} frame units and i^{th} population unit and costs in preparing survey instruments for procuring and reconciliation of the survey results are also included here.

$C(D)$ = Summary of fixed costs mainly related to some sampling office work including computation of multipliers, estimators and their variances etc.

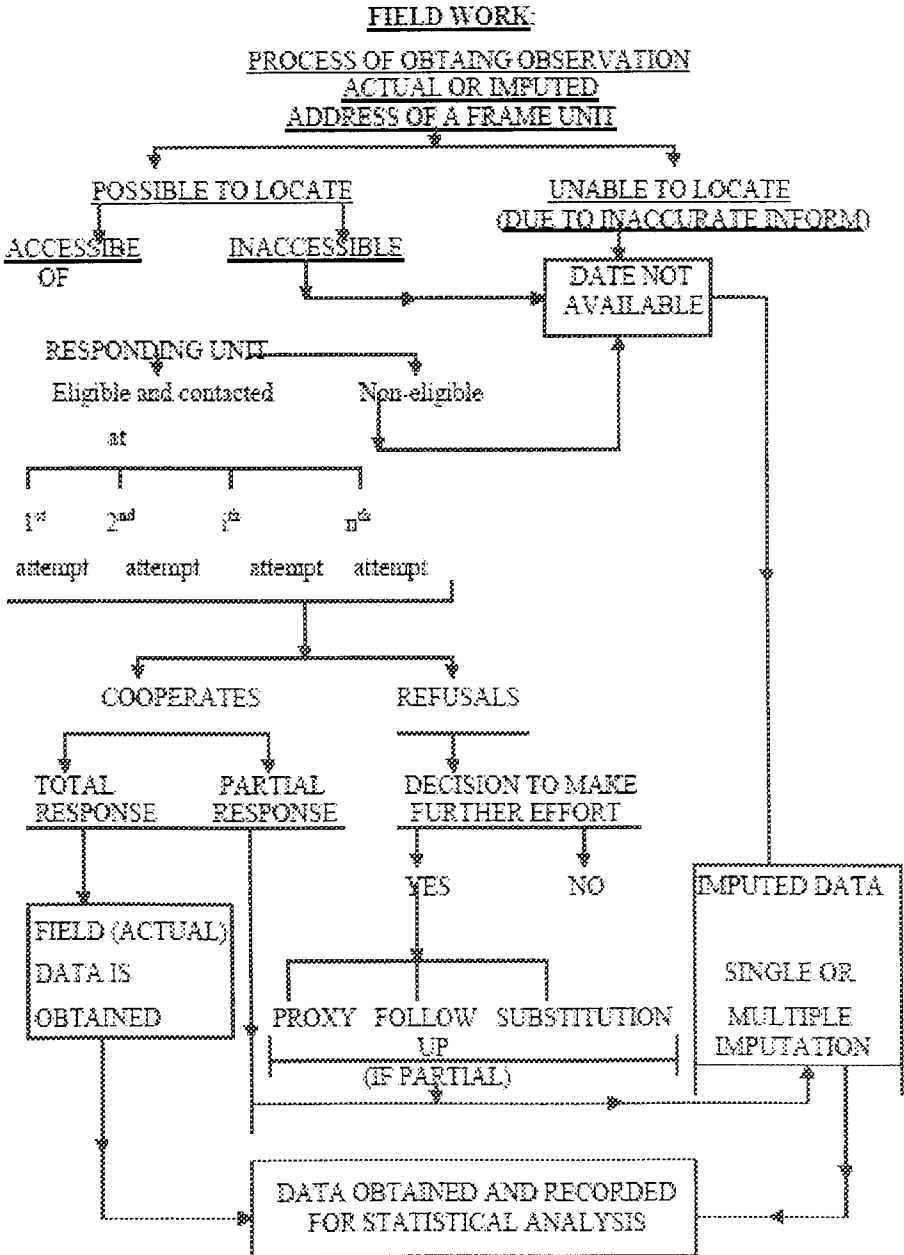
$C(n) = n C$ = All those costs dependent on the number of sampling units alone, but unaffected by the change of the sampling design; These fixed costs include printing/photocopying of the schedules/questionnaires, coding, editing etc.;

$C(n,d)$ = This is a **variable cost** dependent on the sample size and on the particular method of data collection adopted by the Survey Management Group;

It may be noted that though a response or a non-response is primarily the outcome of an interactive process between a respondent and an investigator under a given survey condition, such outcomes are dependent not only on interviewers and interviews, but also on all the instruments used in the whole system. The above general model tries to keep an account of all the costs.

The component $C(n, d)$ which represents costs incurred during the data collection procedure will vary with different interviewers having different levels of efficiency. These efficiencies will further depend on different methods of data collation and collection. The component $C(n, d)$ may require further specification, as it will have a larger share in the total cost. We present the different field conditions through the following schematic diagram 1.

Modeling of $C(n, d)$ in the presence of no non – response



Since the efficiency of interviewers increases with the number of interviews completed, the relationship between sample size and cost may not be linear, but

curvilinear so that cost/unit is a decreasing function of sample size. A possible cost model in the presence of no non-response would be

$$C(n, d) = C(t_r) + (K_2 + K_3n) n \tag{3.2}$$

where,

$C(t_r)$ = the cost incurred in pertaining a training programme to the investigators;

K_2 = Base Cost

K_3 = a measure reflecting to decline in cost for interviewer with increasing efficiency.

Costs incurred in all efforts leading to having an effective interview would form a part of the base cost k_2 . Such cost arises because of some or all of the following field conditions.

- (a) Some of the **dwelling units** may not be possible to be identified due to faulty information in the frame population and/or because of inaccessibility due to natural calamities and / or political disturbances;
- (b) **Dwelling units**, though accessible, may be found to be vacant;
- (c) The **dwelling unit**, though may not be vacant, but may not have an eligible respondent;
- (d) The eligible respondent may not be temporarily at home;
- (e) When contacted after a number of call backs, the respondent may be turned out to be an **‘initial non-respondent’** and efforts would be needed to convert him into a respondent, failure to which he becomes a **“permanent non-respondent”**;
- (f) A respondent may be contact at the first time, but refusal may take place, and the interviewer may proceed further with an attempt to meet another eligible interviewee.

The above efforts may be viewed as the amount of time need until an interviewee is reached and all the costs should be attributed to the cost of a successful completion of the schedule. This cost may be termed as the **cost of exploration leading to the discovery of an interviewee**. In some cases, these costs may even be zero.

Let

$$\delta_{j(i)} = \begin{cases} 1, & \text{when } j^{th} \text{ investigator finds } i^{th} \text{ respondent ready for cooperation} \\ 0, & \text{otherwise;} \end{cases}$$

When $\delta_{j(i)} = 1$, then the time passed through the process of investigation may be termed as operating time $\theta_{j(i)}$ or exploitation time and may further be split into the following components.

- (a) **Rapport-time** $(R_j(i))$ taken by the j^{th} investigator in pursuing the i^{th} investigator for co-operation;
- (b) **Enumeration time** $(E_j(i))$ taken by the j^{th} investigator in actually collecting data from the i^{th} investigator;
- (c) **Editing time** $(ED_j(i))$ taken by the j^{th} investigator in assessing, if the information collected from i^{th} respondent needs to be monitored and re-interviewed;
- (d) **Re-interview time** $(Re_j(i))$ is the time of re-interview and reconciliation time;
- (e) **Break time** $(Br_j(i))$ taken by the j^{th} investigator to depart from the i^{th} investigator;
- (f) **Travel time** $(Tra_{.j}(i))$ is the time taken by the j^{th} investigator moving after the completion of the i^{th} schedule in search of another interviewee allotted to him.

Thus, operating time:

$$0_j(i) = Ra_{.j}(i) + E_j(i) + Ed_j(i) + Rc_j(i) + Br_{.j}(i) + Tra_{.j}(i).$$

Total operating time taken by the j^{th} investigator would be ,

$$0_j = \sum_{i \in U} \delta_j(i) 0_j(i)$$

and the associated cost would be,

$$C_j = 0_j R_j \quad , R_j \text{ being the rate of the } j^{th} \text{ investigator.}$$

Cost of operation for all the schedules by all the investigators combined would be $C = \sum_{j \in V} C_j$, where V is the set of investigators. In fact the rate of cost

combined with the base cost would be a decreasing function of the sample size and takes the form as mentioned in the model specified by (3.2).

The filed-in schedules are finally scrutinized by the supervision staff, and in this process, let $t_K(i, j)$ be the time needed by the k^{th} supervisor for scrutinizing the schedules completed by the j^{th} investigator from the i^{th} respondent ($i = 1, 2, \dots, u; j = 1, 2, \dots, v$ and $k = 1, 2, \dots, L$). Therefore, the total time needed

by the k^{th} supervisor to supervise all the filled-in schedules allotted to him would be,

$$S(k) = \sum_{i=1}^I \sum_{j=1}^J \lambda_k(i, j) t_K(i, j), \quad k = 1, 2, \dots, L;$$

where,

$$\lambda_k(i, j) = \begin{cases} 1, & \text{if } (i, j)^{th} \text{ schedule is supervised by the } k \text{ supervisor;} \\ 0, & \text{otherwise.} \end{cases}$$

and the related cost for the k^{th} supervisor would be

$$C(k) = S(k) \times R(k),$$

$R(k)$ being the rate of the k^{th} supervisor.

Therefore, the total amount needed in supervision work would be

$$C(S) = \sum_{k=1}^L S(k) R(k).$$

Normally, supervisory staff forms the permanent staff and hence these costs are included in the fixed cost in the form of recruiting human capital.

Modeling of $C(n, d)$ is the presence of unit non-response.

The previous model may be reformulated as

$$C = C_0 + C_1 n + (K_2 + K_3 (n - n_0)) (n - n_0) + (K_2 + C^* m) n_0$$

where,

C_0 = fixed cost (including the training cost);

C_1 = cost/unit in preparing schedules;

n_0 = number of non-respondents;

C^* = imputation cost/unit non-response;

m = number of imputations;

Therefore, the cost at expected number of non-respondents would be

$$C = C_0 + (C_1 + K_2 + C^* m P_0) n + K_3 (1 - P_0)^2 n^2 \tag{3.3}$$

where, P_0 is the proportion of non-response in the population.

$$\begin{aligned} \text{Let } \Phi &= V(\bar{y}_*) + \lambda \left\{ C - C_0 - (C_1 + K_2 + C^* m P_0) n - K_3 (1 - P_0)^2 n^2 \right\} \\ &= \frac{S_1^2}{n} \left[\frac{1}{P_1} + (1 - f) \left(1 + \frac{1}{C_1^2} \right) \right] + \frac{S_1^2 P_0}{nm} \\ &\quad + \lambda \left\{ C - C_0 - (C_1 + K_2 + C^* m P_0) n - K_3 (1 - P_0)^2 n^2 \right\} \end{aligned}$$

$$\frac{\partial \Phi}{\partial n} = -\frac{S_1^2 A}{n^2} - \frac{S_1^2 P_0}{n^2 m} - \lambda \left[C_1 + K_2 + C^* m P_0 + 2n K_3 (1 - P_0)^2 \right]$$

where, $A = \frac{1}{P_1} + (1 - f) \left(1 + \frac{1}{C_1^2} \right) > 0$

$$\frac{\partial \Phi}{\partial m} = -\frac{S_1^2 P_0}{n m^2} - \lambda C^* n P_0$$

$$\frac{\partial \Phi}{\partial \lambda} = C - C_0 - (C_1 + K_2 + C^* m P_0) n - K_3 (1 - P_0)^2 n^2$$

$$= (C - C_0) - (C_1 + K_2 + C^* m P_0) n - K_3 P_1^2 n^2$$

$$\frac{\partial \Phi}{\partial m} = 0 \Rightarrow -\frac{S_1^2 P_0}{n m^2} = \lambda C^* n P_0$$

$$\Rightarrow \lambda = -\frac{S_1^2 P_0}{n^2 m^2 C^* P_0}$$

$$\frac{\partial \theta}{\partial n} = -\frac{S_1^2 A}{n^2} - \frac{S_1^2 P_0}{n^2 m} + \frac{S_1^2 P_0}{n^2 m^2 C^* P_0} \lambda \left[C_1 + K_2 + C^* m P_0 + 2n K_3 (1 - P_0)^2 \right]$$

$$= -\frac{S_1^2 A}{n^2} - \frac{S_1^2 P_0}{n^2 m} + \frac{S_1^2 P_0}{n^2 m^2 C^* P_0} \left[\frac{C_1 - C_0 + K_3 + P_1^2 n^2}{n} + 2n K_3 P_1^2 \right]$$

$$\left(\text{By } \frac{\partial \Phi}{\partial \lambda} = 0 \Rightarrow C_1 + K_2 + C^* m P_0 = \frac{C - C_0 - K_3 P_1^2 n^2}{n} \right)$$

$$= -\frac{S_1^2 A}{n^2} - \frac{S_1^2 P_0}{n^2 m} + \frac{S_1^2}{n^2 m^2 C^*} \left(\frac{a}{n} + bn \right), \quad a = C - C_0 > 0, b = K_3 P_1^2 < 0,$$

as $k_3 < 0$

Thus, by $\frac{\partial \Phi}{\partial n} = 0$, we have,

$$\frac{S_1^2}{n^2 m^2 C^*} \left(\frac{a + bn^2}{n} \right) = \frac{(m S_1^2 A + S_1^2 P_0)}{n^2 m}$$

or, $S_1^2(a + bn^2) = (m^2 S_1^2 A + m S_1^2 P_0) n C^*$

$$n^2 b - C^* m (P_0 + m A) .n + a = 0$$

or, $n^2 b - nD + a = 0$, where $D = m C^* (P_0 + m)$

or, $n = \frac{D \pm \sqrt{D^2 - 4ab}}{2b} = \frac{D \pm \sqrt{D^2 + 4ab}}{2b}$,

Thus, for given value of m , ($2 \leq m \leq 10$), we shall have different pairs (n, m) ($2 \leq m \leq 10$) and from these choice of (n, m) , the optimum pair, say, $(n, m)_0$ can be obtained by comparing the cost at expected number of non-respondents as specified in (3.3) for different pairs (n, m)

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