

Universes, Populations and Sampling Frames

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Outline

- Basic definitions
- Demographic sampling frames
- Coverage and duplication
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- Coverage and duplication
- Basic relations connecting frames

Basic Definitions

- Target population
- Out-of-scope population
- Frame population
- Geography
- Population demographics
- Business entity demographics
- Government entities

Target Population

- The “target population” is any entity satisfying the set of conditions that specify the universe. “Universe” and “Target Population” are synonyms.
- Example 1: “Human population” All people, male and female, child and adult, living in a given geographic area at a particular date.
- Example 2: “Establishment population” A business, industrial, service or governmental unit at a single location that distributes goods or performs services on a particular date (or during a given period).

Out-of-scope Population

- An entity that is outside either the geographic region under study or fails to meet another specific restriction imposed on the target population.
- Example 1: When the in-scope population is “persons age 16 or over living in households,” persons age 15 or younger and all persons living in group quarters are out of scope.
- Example 2: When the in-scope population is “employer establishments,” all establishments with zero employees are out of scope.

Frame Population

- Set of target population, or universe, entities that can be selected into a sample or census.
- Also called a sampling frame.
- The frame population or sampling frame is the physical manifestation of the universe—if an entity is not on the frame (or one of the frames for multi-frame sampling), then it cannot be in the census or survey.
- Simple cases: (single frame sampling) a list of all addresses to be sampled; list of all people to be sampled; list of all businesses to be sampled.
- Complex sample designs use multiple frame populations to get better coverage of the target population or universe.
- Complex frame example: SIPP

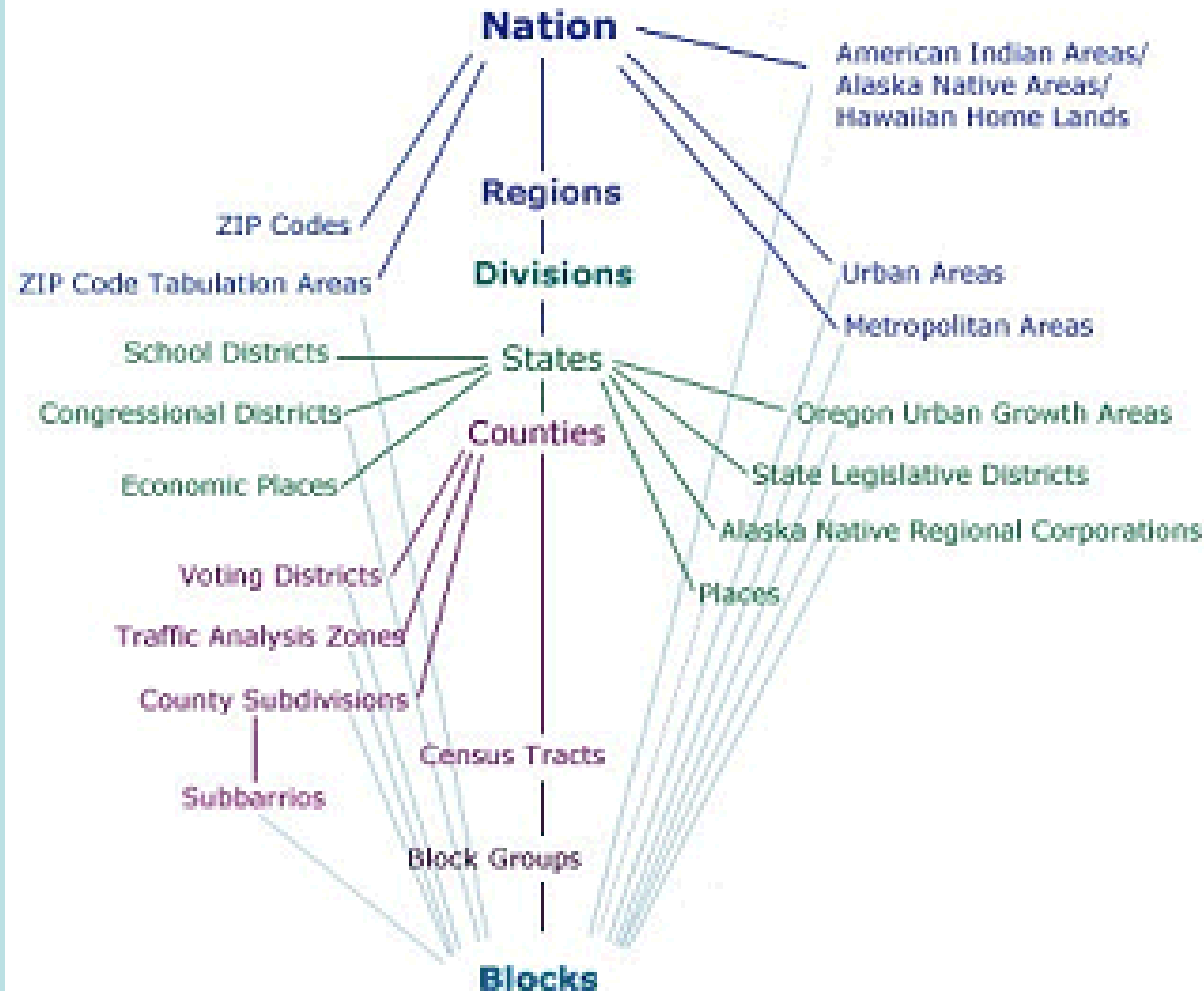
Frame Population Example

- Complex frame example: SIPP (1996)
- Multi-stage sample
- Primary Sampling Units are geographic areas
- Within PSUs:
 - Frame populations: Unit, Area, New Construction, Group Quarters, and Coverage Improvement.
 - Within each frame, clusters of housing units are selected.
 - In the unit and group quarters frames, the clusters contain only a single housing unit or housing unit equivalent.
 - In the area frame, the cluster contains four "expected" housing units
 - In the new construction frame, half the clusters have four expected housing units and half have eight expected units.
 - Statistical analysis is used to estimate the probabilities that households or individuals in the target population will be found in a particular frame
 - The unit frame, which is based on the most recent Census, covers about 80% of the target population in the SIPP by these estimates
- <http://www.sipp.census.gov/sipp/usrguide/sipp2001.pdf>

Geography

- The geography of a sampling frame assigns to every latitude and longitude a fundamental geographic area
- Geographic entities can be assembled uniquely by aggregating geographic areas
- The basic geographic entity for the U.S. Census is the “block”

U.S. Census Geography



Entities

- In sampling frame development every geographic location (latitude and longitude) that contains a structure (natural or man-made) capable of originating economic activity is classified as a domicile, business, or both
- Entities are placed in the frame by declaring the target population to be humans beings (all domiciles), economic (all businesses and service organizations), and government
- Notice that both for-profit and not-for-profit business activity are covered in the business entity scope

Population Demographics

- Human populations are usually categorized by current living quarters when designing demographic sampling frames
- Distinguish between household living quarters and group living quarters

Household Living Quarter Definitions

- Housing unit: A house, an apartment, a mobile home or trailer, a group of rooms, or a single room occupied as separate living quarters, or if vacant, intended for occupancy as separate living quarters. Separate living quarters are those in which the occupants live separately from any other individuals in the building and which have direct access from outside the building or through a common hall. For vacant units, the criteria of separateness and direct access are applied to the intended occupants whenever possible.
- Household: A household includes all the people who occupy a housing unit as their usual place of residence.

Group Living Quarters

- Group quarters: all people not living in households. There are two types of group quarters: institutional (for example, correctional facilities, nursing homes, and mental hospitals) and non-institutional (for example, college dormitories, military barracks, group homes, missions, and shelters).

Group Quarters Population

- Includes all people not living in households.
- Includes those people residing in group quarters as of the date on which a particular survey was conducted.
- Two general categories
 - the institutionalized population which includes people under formally authorized supervised care or custody in institutions at the time of enumeration (such as correctional institutions, nursing homes, and juvenile institutions)
 - the non-institutionalized population which includes all people who live in group quarters other than institutions (such as college dormitories, military quarters, and group homes). The non-institutionalized population includes all people who live in group quarters other than institutions.

Business Entity Demographics

- Business entities have “establishments” as their basic unit
- Establishment: A business or industrial unit at a single location that distributes goods or performs services
- Establishments are collected into companies
- Business entity demographics separately track establishments (physical business locations) and companies (economic organizations owning establishments)

Business Entity Demographics

- Company: (or “enterprise”) all the establishments that operate under the ownership or control of a single organization. A company may be a commercial business, service, or membership organization
- A company may consist of one or several establishments
- A company may operate at one or several locations
- A company may operate in one or more economic activities
- A company includes all subsidiary organizations, all establishments that are majority-owned by the company or any subsidiary, and all the establishments that can be directed or managed by the company or any subsidiary.

Single-unit Companies (SU)

- Definition: Companies for which the location and the company are one and the same
- A single-unit business, service agency, or membership organization is one for which all the economic activity of the owner or owners is conducted at a single location
- Example: the “Shop Around The Corner” in the movie of the same name (or “You’ve got mail”)

Multi-unit Companies (MU)

- Definition: companies that have more than one location
- A multi-unit business, service organization, or governmental agency is one for which the owners conduct economic activity at more than one physical location
- Example 1: all the manufacturing and management locations of the General Motors Corporation constitute a multi-unit company
- Example 2: all the service delivery locations of the Salvation Army constitute a multi-unit company

Government Entities

- Definition: public entity created by the U.S. constitution, state constitutions or the statutes of a state
- In the United States these are divided into:
 - National government (U.S. constitution)
 - State government (state constitutions)
 - Local government (statutory entities created by states)
 - General purpose
 - Public school systems
 - Special districts

Business and Government Entity Activity Classifications

- An entity that is engaged in economic or governmental activity may be classified in several ways
 - Ownership: the legal form of organization (public/private; corporate, partnership, sole proprietorship)
 - Activity: An industry is the most detailed category available in North American Industrial Classification System to describe business activities.

Business and Government Entity Activity Classifications

- NAICS provides hundreds of separate industry categories, unique categories that reflect different methods used to produce goods and services.
- Industry categories are used to classify, collect, process, publish, and analyze business statistics.
- [NAICS documentation](#)

Demographic Sampling Frames

- Comprehensive mapping of location of the in-scope population with standardized geography
- Comprehensive list of domiciles in the geographic area covered
- Characteristics of inhabitants of the domiciles (stratifying variables)

Coverage

- Domicile address lists are collected from multiple sources for households and group quarters
- The U.S. Census Bureau collects domicile addresses into the MAF (Master Address File)
- The U.S. Census Bureau collects physical locations into a set of files known as the TIGER (Topologically Integrated Geographic Encoding and Referencing system)

Refreshing and Unduplication

- Refreshing a demographic sampling frame consists of collecting information on new housing units (households or group quarters) and purging information on housing units that have been taken out of service
- Unduplication is the process of expending resources to reduce the probability that an entity is present more than once in a sampling frame

Duplication and Unduplication

- When a demographic sampling frame is refreshed, addresses are added from multiple sources (tax records, new construction permits, *etc.*)
- The same address may appear more than once
- Some locations may appear to have no domiciles located on them but actually contain households or group quarters

Economic Sampling Frames

- Comprehensive mapping of location of the in-scope activity with standardized geography
- Comprehensive list of addresses of business and government establishments in the geographic area covered
- Economic activity and size measures for the entity (stratifying variables)

Coverage

- Entity address lists are assembled from previous economic censuses, tax records and surveys of company organization
- The U.S. Census Bureau collects business establishment information into the Employer Business Register and the Non-employer Business Register
- A separate register is maintained for government establishments
- The Bureau of Labor Statistics collects business establishment information into its Current Employment Statistics (CES) frame from information collected by state departments of employment security (ES-202)

Frame Maintenance

- Both business frames must collect information about the birth and death of new establishments
- This is complicated by the reliance on administrative reports (tax and unemployment insurance reports) and sample surveys

Basic Relations Connecting Frames

- Geographic relations
- Business relations

Geographic Relations

- Economic and demographic frames are directly connected through the use of common geographic identifiers
- A single location can be associated with household (demographic) activity, economic activity, both, or neither (undeveloped)
- No U.S. agency maintains a single geographically integrated frame for households and businesses

Business Relations

- Demographic and economic sampling frames can be connected by economic relations between the households and businesses
- Supplier-customer relations
- Employer-employee relations