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APPENDIX A. SIC CODES SURVEYED NOES 1981-1983

<u>Category</u>	<u>SIC Range</u>
Agriculture	0700-0799
Oil and Gas Extraction	1300-1389
Construction, or Special Trade Contractor	1500-1799
Manufacturing	2000-3999
Transportation, Communications, Electric, Gas, or Sanitary Services	4000-4999
Wholesale Trade	5000-5199
Retail Trade	5200 - 5999
Specialized Services	7000-8999

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### APPENDIX B. 98 SAMPLE PSUS NOES 1981-1983

| PSU            | Expected        | PSU<br>probability | <u>Composition of PSU</u> |                                                                                                                                                                                                        |  |
|----------------|-----------------|--------------------|---------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|
| number         | team-weeks*     | <u>l in:</u>       | <u>State</u>              | <u>Counties</u>                                                                                                                                                                                        |  |
| <u>Self-Re</u> | presenting PSUs |                    |                           |                                                                                                                                                                                                        |  |
| 142            | 5.49            | 1.0                | NY.                       | Nassau, Suffolk                                                                                                                                                                                        |  |
| 371            | 8.22            | 1.0                | WI                        | Milwaukee, Ozaukee,<br>Washington, Waukesha                                                                                                                                                            |  |
| 381            | 11.51           | 1.0                | IN<br>Ky<br>Oh            | Dearborn<br>Boone, Campbell, Kenton<br>Brown, Clermont, Hamilton,<br>Warren                                                                                                                            |  |
| 392            | 6.24            | 1.0                | KY<br>Mo                  | Johnson, Wyandotte<br>Cass, Clay, Jackson, Platte,<br>Ray                                                                                                                                              |  |
| 511            | 3.79            | 1.0                | MD<br>VA<br>DC            | Clavert, Charles, Frederick,<br>Montgomery, Prince George<br>Arlington, Fairfax, Loudoun,<br>Prince William, Cities of:<br>Alexandria, Fairfax, Falls<br>Church, Manassas, Manassas Park<br>Washington |  |
| 542            | 5.77            | 1.0                | MD                        | Anne Arundel, Baltimore,<br>Carroll, Harford, Howard, City<br>of Baltimore                                                                                                                             |  |
| 552            | 4.73            | 1.0                | GA                        | Butts, Cherokee, Clayton,<br>Cobb, DeKalb, Douglas,<br>Fayette, Forsyth, Fulton,<br>Gwinnett, Henry, Newton,<br>Paulding, Rockdale, Spaulding,<br>Walton                                               |  |
| 561            | 3.60            | 1.0                | FL                        | Dade, Monroe                                                                                                                                                                                           |  |
| 731            | 7.76            | 1.0                | CA                        | Orange                                                                                                                                                                                                 |  |
| 742            | 3.19            | 1.0                | CA                        | San Diego                                                                                                                                                                                              |  |
| 752            | 5.64            | 1.0                | CO                        | Adams, Arapahoe, Boulder,<br>Denver, Douglas, Gilpin,<br>Jefferson                                                                                                                                     |  |
| 761            | 4.09            | 1.0                | WA                        | King, Snohomish                                                                                                                                                                                        |  |

|                      |                                | PSU                     | <u>Comp</u>  | osition_of_PSU                                                                                                 |
|----------------------|--------------------------------|-------------------------|--------------|----------------------------------------------------------------------------------------------------------------|
| PSU<br><u>number</u> | Expected<br><u>team-weeks*</u> | probability<br><u> </u> | <u>State</u> | Counties                                                                                                       |
| <u>Self-Re</u>       | presenting PSUs                | <u>to be intervie</u>   | wed over     | two_years_                                                                                                     |
| 110                  | 10.85<br>13.94                 | 1.0                     | NJ<br>NY     | Bergen<br>Bronx, Kings, New York,<br>Putnam, Queens, Richmond,<br>Rockland, Westchester                        |
| 120                  | 4.66<br>5.27                   | 1.0                     | NJ<br>Pa     | Burlington, Camden, Gloucester<br>Bucks, Chester, Delaware,<br>Montgomery, Philadelphia                        |
| 130                  | 6.67<br>9.38                   | 1.0                     | MA           | Barnstable, Dukes, Essex,<br>Middlesex, Nantucket, Norfolk,<br>Plymouth, Suffolk<br>Rockingham                 |
| 150                  | 4.92<br>2.95                   | 1.0                     | NJ           | Essex, Hunterdon, Morris,<br>Somerset, Union                                                                   |
| 160                  | 5.40<br>9.47                   | 1.0                     | PA           | Allegheny, Beaver,<br>Washington, Westmoreland                                                                 |
| 310                  | 14.77<br>13.66                 | 1.0                     | IL           | Cook, Dupage, Kane, Lake,<br>McHenry, Will                                                                     |
| 320                  | 10.51<br>15.81                 | 1.0                     | MI           | Lapeer, Livingston, Macomb,<br>Oakland, St. Clair, Wayne                                                       |
| 330                  | 5.52<br>8.23                   | 1.0                     | IL<br>Mo     | Clinton, Madison, Monroe,<br>St. Clair<br>Franklin, Jefferson,<br>St. Charles, St. Louis, City<br>of St. Louis |
| 340                  | 3.34<br>2.11                   | 1.0                     | MN .<br>WI   | Anoka, Carver, Chisago, Dakota,<br>Hennepin, Isanti, Ramsey,<br>Scott, Washington, Wright<br>St. Croix         |
| 350                  | 6.94<br>5.46                   | 1.0                     | он           | Cuyahoga, Geauga, Lake, Medina                                                                                 |
| 520                  | 6.52<br>5.04                   | 1.0                     | TX           | Collin, Dallas, Denton, Ellis,<br>Hood, Johnson, Kaufman,<br>Parker, Rockwall, Tarrant, Wise                   |

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| DCU                  | Furneted                       | PSU                         | Comp         | osition of PSU                                                          |
|----------------------|--------------------------------|-----------------------------|--------------|-------------------------------------------------------------------------|
| PSU<br><u>number</u> | Expected<br><u>team-weeks*</u> | probability<br><u>l in:</u> | <u>State</u> | Counties                                                                |
| 530                  | 3.41<br>4.02                   | 1.0                         | ΤX           | Brazoria, Chambers, Fort Bend,<br>Harris, Libert, Montgomery,<br>Waller |
| 710                  | 12.95<br>12.95                 | 1.0                         | CA           | Los Angeles                                                             |
| 720                  | 2.46<br>4.44                   | 1.0                         | CA           | Alameda, Contra Costa, Marin,<br>San Francisco, San Mateo               |
| <u>Non-Sell</u>      | -Representing                  | PSUs                        |              |                                                                         |
| 201                  | 5.78                           | 2.854                       | NY           | Albany, Greene, Montgomery,<br>Rennselaer, Saratoga,<br>Schenectady     |
| 202                  | 5.44                           | 1.885                       | RI           | Bristol, Kent, Newport,<br>Providence, Washington                       |
| 203                  | 5.51                           | 1.201                       | NY           | Erie, Niagara                                                           |
| 204                  | 7.29                           | 6.531                       | CT           | New London, Windham                                                     |
| 205                  | 2.98                           | 8.046                       | ME           | Hancock, Nennebec, Knox,<br>Lincoln, Waldo, Washington                  |
| 206                  | 4.74                           | 11.984                      | РА           | Blair                                                                   |
| 207                  | 2.54                           | 7.375                       | NY           | Cattaraugus, Chautauqua                                                 |
| 208                  | 5.26                           | 3.164                       | ΡΑ           | Lancaster                                                               |
| 209                  | 7.13                           | 1.973                       | CT           | Fairfield                                                               |
| 210                  | 3.32                           | 2.017                       | РА           | Lackawanna, Luzerne, Monroe,<br>Wyoming                                 |
| 211                  | 2.49                           | 2.882                       | NJ           | Passaic, Sussex                                                         |
| 212                  | 3.85                           | 5.954                       | NJ           | Mercer                                                                  |
| 213                  | 3.97                           | 5.189                       | PA           | Columbia, Montour, Schuylkill,<br>Sullivan                              |
| 214                  | 3.66                           | 2.227                       | NJ           | Middlesex                                                               |
| 401                  | 7.37                           | 8.879                       | MI           | Genessee, Shiawassee                                                    |

| PSU    | Expected    | PSU<br>probability | Comp         | osition of PSU                                                              |
|--------|-------------|--------------------|--------------|-----------------------------------------------------------------------------|
| number | team-weeks* | <u>1 in:</u>       | <u>State</u> | <u>Counties</u> •                                                           |
| 402    | 9.61        | 2.073              | IN           | Boone, Hamilton, Hancock,<br>Hendricks, Johnson, Marion,<br>Morgan, Shelby  |
| 403    | 2.53        | 2.872              | IA<br>NE     | Pottawattamie<br>Douglas, Sarpy                                             |
| 404    | 2.51        | 13.305             | MN           | Benton, Sherburne, Stearns                                                  |
| 405    | 3.25        | 7.077              | WI           | Brown                                                                       |
| 406    | 2.30        | 16.050             | KS           | Douglas, Franklin,<br>Leavenworth, Miami                                    |
| 407    | 2.34        | 8.835              | OH .         | Guernsey, Harrison, Tuscarawas                                              |
| 408    | 5.05        | 1.787              | он           | Delaware, Fairfield, Franklin,<br>Madison, Pickaway                         |
| 409    | 4.61        | 2.739              | MI<br>OH     | Monroe<br>Fulton, Lucas, Ottawa, Wood                                       |
| 410    | 5.84        | 3.762              | IN           | Adams, Allen, DeKalb, Wells,<br>Whitley                                     |
| 411    | 2.49        | 13.362             | MO           | Audrain, Boone, Callaway,<br>Howard, Randolph                               |
| 412    | 1.74        | 16.814             | KS           | Allen, Anderson, Bourbon,<br>Coffey, Linn, Woodson<br>Barton, Bates, Henry, |
|        |             |                    |              | St. Clair, Vernon                                                           |
| 413    | 3.89        | 8.535              | WI           | Racine                                                                      |
| 414    | 6.14        | 16.327             | OH           | Knox, Marion, Morrow                                                        |
| 415    | 5.18        | 11.979             | MI           | Hillsdale, Lenawee                                                          |
| 416    | 2.62        | 7.908              | IN<br>OH     | Lagrange, Steuben<br>Defiance, Henry, Paulding,<br>Williams                 |
| 417    | 5.22        | 16.355             | IN           | Dubois, Knox, Pike, Spencer                                                 |
| 418    | 8.84        | 2.768              | ОН           | Portage, Summit                                                             |

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| PSU           | Expected    | PSU<br>probability | Composition of PSU |                                                                                                                                                                                                  |
|---------------|-------------|--------------------|--------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <u>number</u> | team-weeks* | <u>1 in:</u>       | <u>State</u>       | <u>Counties</u>                                                                                                                                                                                  |
| 601           | 1.78        | 11.849             | ΤX                 | Bee, Brooks, Dimmit, Duval,<br>Frio, Goliad, Jim Hogg, Jim<br>Wells, Karnes, Kennedy,<br>Kinney, Kleberg, LaSalle, Live<br>Oak, Maverick, McMullen,<br>Starr, Uvalde, Willacy,<br>Zapata, Zavala |
| 602           | 1.99        | 2.507              | FL                 | Broward                                                                                                                                                                                          |
| 603           | 7.24        | 1.418              | LA                 | Jefferson, Orleans,<br>Plaquemines, St. Bernard,<br>St. Charles, St. Tammany                                                                                                                     |
| 604           | 2.26        | 16.870             | тх                 | Atascosa, Bandera, Blanco,<br>Bosque, Burnet, Caldwell,<br>Comanche, Erath, Gonzales,<br>Hamilton, Kerr, Medina, Mills,<br>San Saba, Somervell, Wilson                                           |
| 605           | 2.11        | 13.643             | TX                 | Austin, Bastrop, Colorado,<br>Fayette, Jackson, Lavaca, Lee,<br>Matagorda, Wharton                                                                                                               |
| 606           | 2.55        | 4.856              | MS                 | Hinds, Madison, Rankin                                                                                                                                                                           |
| 607           | 1.67        | 9.920              | ТХ                 | Clay, Montague, Wichita                                                                                                                                                                          |
| 608           | 2.75        | 1.196              | FL                 | Hillsborough, Pasco, Pinellas                                                                                                                                                                    |
| 609           | 3.80        | 1.993              | AR<br>Ms<br>Tn     | Crittenden<br>DeSoto<br>Shelby, Tipton                                                                                                                                                           |
| 610           | 7.96        | 2.052              | OK                 | Creek, Mayes, Osage, Rogers,<br>Tulsa, Wagoner                                                                                                                                                   |
| 611           | 4.58        | 7.073              | AL                 | Autauga, Elmore, Montgomery                                                                                                                                                                      |
| 612           | 4.70        | 4.703              | SC                 | Lexington, Richland                                                                                                                                                                              |
| 613           | 2.57        | 3.564              | AK                 | Pulaski, Saline                                                                                                                                                                                  |
| 614           | 4.59        | 3.621              | DE<br>MD<br>NJ     | New Castle<br>Cecil<br>Salem                                                                                                                                                                     |

| PSU           | Expected    | PSU<br>probability | Comp         | osition of PSU                                                                                                                                          |
|---------------|-------------|--------------------|--------------|---------------------------------------------------------------------------------------------------------------------------------------------------------|
| <u>number</u> | team-weeks* | <u>1 in:</u>       | <u>State</u> | Counties                                                                                                                                                |
| 615           | 4.99        | 17.158             | VA           | Dinwiddie, Prince George,<br>Cities of: Colonial Heights,<br>Hopewell, Petersburg                                                                       |
| 616           | 7.24        | 15.921             | AL           | Choctaw, Clarke, Conecuh,<br>Monroe, Washington                                                                                                         |
| 617           | 3.95        | 20.721             | SC           | Clarendon, Georgetown,<br>Williamsburg                                                                                                                  |
| 618           | 4.03        | 12.059             | NC           | Johnson, Wilson                                                                                                                                         |
| 619           | 3.82        | 18.318             | KY           | Bath, Elliot, Fleming,<br>Johnson, Laurence, Lewis,<br>Magoffin, Martin, Mason,<br>Menifee, Montgomery, Morgan,<br>Nicholas, Robertson, Rowan,<br>Wolfe |
| 620           | 5.73        | 2.292              | SC           | Greenville, Pickens,<br>Spartanburg                                                                                                                     |
| 621           | 3.01        | 14.522             | MD           | Somerset, Wicomico, Worcester                                                                                                                           |
| 622           | 5.33        | 1.920              | NC           | Davidson, Davie, Forsyth,<br>Guilford, Randolph, Stokes,<br>Yadkin                                                                                      |
| 623           | 2.77        | 3.461              | GA<br>TN     | Catoosa, Dade, Walker<br>Hamilton, Marion, Sequatchie                                                                                                   |
| 624           | 4.39        | 9.234              | AL           | Calhoun, Etowah                                                                                                                                         |
| 625           | 4.52        | 21.775             | VA           | Bedford, Franklin, Rockbridge,<br>Cities of: Bedford, Buena<br>Vista, Lexington                                                                         |
| 626           | 3.73        | 10.201             | OH<br>WV     | Washington<br>Wirt, Wood                                                                                                                                |
| 627           | 5.96        | 12.052             | NC           | Caswell, Granville, Person,<br>Rockingham                                                                                                               |
| 628           | 5.50        | 21.284             | MS           | Clay, Lowndes, Webster                                                                                                                                  |

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| PSU    | Expected    | PSU<br>probability | Composition_of PSU |                                                                                                                               |
|--------|-------------|--------------------|--------------------|-------------------------------------------------------------------------------------------------------------------------------|
| number | team-weeks* | <u> </u>           | <u>State</u>       | <u>Counties</u>                                                                                                               |
| 629    | 2.90        | 14.542             | GA                 | Dawson, Fannin, Gilmer,<br>Habersham, Lumpkin, Murray,<br>Pickens, Rabun, Towns, Union                                        |
| 630    | 4.59        | 16.618             | TN                 | DeKalb, Putnam, White                                                                                                         |
| 631    | 4.46        | 18.029             | КҮ                 | Anderson, Bracken, Carroll,<br>Franklin, Gallatin, Grant,<br>Harrison, Henry, Owen,<br>Pendleton, Shelby, Spencer,<br>Trimble |
| 801    | 2.29        | 2.969              | CA                 | Placer, Sacramento, Yolo                                                                                                      |
| 802    | 1.83        | 7.163              | CA                 | Kern                                                                                                                          |
| 803    | 1.41        | 28.990             | AK                 | Divisions of: Upper Yukon,<br>Fairbanks, South East Fairbanks                                                                 |
| 804    | 2.68        | 5.363              | NV                 | Clark                                                                                                                         |
| 805    | 3.89        | 2.177              | CA                 | Riverside, San Bernadino                                                                                                      |
| 806    | 2.39        | 4.933              | CA                 | Fresno                                                                                                                        |
| 807    | 5.17        | 1.871              | OR                 | Clackamas, Multnomah,<br>Washington, Yamhill                                                                                  |
|        |             |                    | WA                 | Clark                                                                                                                         |
| 808    | 2.74        | 6.501              | CO                 | El Paso, Pueblo, Teller                                                                                                       |
| 809    | 8.07        | 1.170              | CA                 | Santa Clara                                                                                                                   |

<sup>\*</sup> Expected time to complete the sample of firms with less than 2,500 employees located in the sample PSU plus time to complete sample of larger firms located in or near the sample PSU.

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#### APPENDIX C. COVERAGE OF DMI AND CBP FILES USED TO PROVIDE DETAILED INFORMATION ON SAMPLE ESTABLISHMENTS NOES 1981-1983

The adequacy of the DMI file was examined by comparing the total number of employees reported for target firms listed on DMI with corresponding totals from the CBP (5). Several problems occurred in comparing CBP and DMI tabulations:

- 1. The two files did not refer to the same time periods; CBP tabulations were for 1977 with establishment size classes in most cases based on the number of employees reported as of mid-March 1977. The DMI file was labeled "1980" with number of employees as carried on the most recent DMI record.
- 2. Establishments in scope for the study were confined to firms with eight or more employees. However, the CBP tabulations did not provide counts for the necessary establishment size classes so that approximations were required.
- 3. SIC coding for establishments was probably not consistent for the two files. For this reason, comparisons were made initially at the 2-digit SIC levels. Where serious differences appeared at the 2-digit level, the examination progressed to 3- and 4-digit levels. This assumed coding inconsistencies would be more evident at the detailed SIC levels.
- 4. CBP files exclude government employees, self-employed persons, farm workers, employees under the Railroad Retirement Act, and domestic service workers. About 24 percent of the total paid civilian wage and salary employment did not appear in the CBP tabulations. The absence of the self-employed was not considered a problem as they were assumed to be concentrated among firms too small to be in scope. The absence of the other categories may have accounted for some of the observed differences for the target SIC's.

The extent of coverage of government workers in DMI was not clear although a few government installations were found on the DMI universe lists. In some situations, the DMI file was evaluated using counts of employees on non-agricultural payrolls by industry as given in their Statements of Employment and Earnings (15); these figures referred to essentially the same group of employees as the CBP except that civilian government workers were included.

One criterion for the sampling design was that establishments from a file covering 90 percent or more of the target universe would be adequate for the study purposes. For establishment groups that did not meet this criterion, supplementing the DMI was considered. Supplementation would not be considered, however, unless the under-represented group of establishments comprised a workforce of at least 0.5 percent or so of the total 29,000,000 employees in all target establishments.

Comparisons of the DMI and CBP files indicated under-representation of the following SIC groups in the DMI (see also Chapter IV):

- 451 & 452 Air transportation.
- 481 Telephone communication.

#### APPENDIX C. COVERAGE OF DMI AND CBP FILES USED TO PROVIDE DETAILED INFORMATION ON SAMPLE ESTABLISHMENTS (CONT.) NOES 1981-1983

- 491 Electronic services.
- 493 Combination electric, gas and other services combined.
- 5541 ~ Gasoline service stations.
- 7231 Beauty shops.
- 7241 Barber shops.
- 7299 Miscellaneous personal services.

Supplementing the coverage of establishments in these SIC groups was considered using a second commercial list, the National Business List (NBL). However, the NBL could not provide the number of employees for each establishment and this information would have had to be obtained by telephone interview with each establishment selected.

In the case of gasoline service station attendants, for example, the NBL could have supplied a list of about 126,000 service stations that were not supposed to be on the DMI. The sample from this additional source would have been about 790 cases which would have had to be contacted by phone to screen out those with less than 8 employees; an expected 74 of these would have 8 or more employees and therefore be in scope (assuming all were still in business). The cost of adding the 74 additional cases to the sample would have been roughly \$35 per case not counting the cost of telephone screening of the 790 units and the field interview cost of the 74 units. This sample supplement would also have to be matched against the DMI universe listing to remove any establishments already having a chance of selection, and selection probabilities for those added establishments would have to be found. Matching the NBL and DMI lists would also have had to be done before adding beauty shops, barber shops, or establishments performing miscellaneous personal services to the sample.

Since the NBL was constructed from essentially the same sources as the DMI, supplementing the remaining SIC groups (451, 452, 481, 491, 493) was not expected to be of much help in improved coverage. Further supplementation could also have been obtained by performing a search for firms appearing in phone directory yellow pages for the localities in the sample PSU's, but this project was considered beyond available resources. For these reasons, the coverage provided by the DMI was accepted without supplementation.

Oversampling establishments with employees in particularly hazardous occupations was also considered (e.g., construction). If a subset of establishments could have been identified as having higher rates of hazard exposures than other establishments, more reliable estimates for hazard exposures could have been obtained. If a subset of 10% of all establishments could have been identified as having exposure nine times as great as other remaining establishments, for example, it would be possible to reduce the sampling error for establishments exposed to that particular hazard by as much as 10 percent. This approach could not be adopted, however, because of problems in identifying high hazard exposure establishments, and the fact that oversampling for one characteristic might be a disadvantage when other characteristics were investigated.

#### <u>Notation</u>

The following notation is used:

- Let N<sub>a</sub> = the total number of establishments in the U.S. in all target industries in the a<sup>th</sup> employee size class.
  - na = the number of establishments selected with equal
    probability from Na.
  - C<sub>a</sub> = the average cost (in person-hours) to investigate a sample establishment in the a<sup>th</sup> employee-size category.
  - C = n<sub>a</sub>C<sub>a</sub> the cost of investigating the n = Σn<sub>a</sub> sample a a establishments in terms of person-hours.

$$y' =$$
 the estimated average value of the y characteristic per  
a establishment in the a<sup>th</sup> size class based on the sample  
of n<sub>a</sub> facilities in that class.

$$y' = \sum N_a y'_a$$

 $S^{2}(\overline{y_{a}}) =$  the estimated population variance of  $y'_{a}$ .

$$=$$
 k(y'<sub>a</sub>)<sup>2</sup> (assumed)

$$\sigma^{2}(y') = \sum_{a}^{2} N_{a}(1/n_{a} - 1/N_{a})S(\overline{y_{a}})$$

= the variance of the estimated total y'.

The optimum design for a sample may be determined using either the Cauchy Inequality or LaGrange Multipliers. Two basic quantities, C (total cost), and  $\sigma^2(y)$  (variance of estimated characteristic) must be defined. Using the Cauchy Inequality, optimal sample size  $n_a$  in stratum 'a' with total number of numbers  $N_a$  at fixed cost C is found as the solution to the equation:

$$[\sigma^{2}(y')]^{2} [\sqrt{C}]^{2} = (\sigma^{2}(y')) (C)$$

or, substituting,

$$(\sum_{a} S_{a}^{2}(\overline{y}')/n_{a}) (\sum_{a} C_{a}n_{a}) = \sum_{a} (S_{a}^{2}(y')/n_{a}) (C)$$

#### APPENDIX D. DERIVATION OF SAMPLE SIZE FORMULAS (CONT.) NOES 1981-1983

The result is:

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$$\mathbf{n}_{a} = \left[ N_{a} S(\overline{y}_{a}) / \sqrt{C_{a}} \right] \left[ (C_{a}) / \sqrt{C_{a}} N_{a} S(\overline{y}_{a}) \right]$$

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LaGrange Multipliers may also be used. In this method, the variance function is constructed from the variance of the mean and variable cost determined by the LaGrange multiplier:

$$\phi = \sigma^{2}(y') + \lambda C$$
  
$$\phi = \sigma^{2}(y') + \lambda (a^{n}a^{c}a - C)$$

Partial derivatives of  $\phi$  with respect to  $n_a$  are taken, the partial derivatives are set to  $\phi$ , and the resulting simultaneous equations are solved for  $\sigma^2$  and then for  $n_a$ .

For details on use of Cauchy's Inequality see Kish (14). See Hansen (9) for details on the LaGrange method.

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#### APPENDIX E. DERIVATION OF FORMULA FOR A SELF-WEIGHTING SAMPLE NOES 1981-1983

To determine an expression defining a self-weighting sample first consider the overall probability of selecting a specific establishment. This probability is equal to (the probability of selecting the PSU containing the establishment) times (the probability of selecting the establishment from that PSU).

First define the following parameters:

- M<sub>hj</sub> = The total number of establishments for the survey in the jth PSU and hth stratum, i.e., a N<sub>hja</sub>fa, the measure of size of the j<sup>th</sup> PSU in the h<sup>th</sup> stratum.
- $M_h$  = The total number of establishments in the h<sup>th</sup> stratum, i.e., j  $M_{hj}$ , the measure of size of all PSUs in the h<sup>th</sup> stratum.
- N<sub>hja</sub> = The number of establishments in the U.S. in the a<sup>th</sup> employee size class (according to CBP) in the hj<sup>th</sup> PSU.
  - $f_a$  = The oversampling ratio for establishments in the  $a^{th}$  size class (see below).

 $\leq \gamma$ 

 $k = \text{Sampling interval, } 1/(n_a/N_a).$ 

The probability of the PSU being selected in the J<sup>th</sup> PSU and h<sup>th</sup> stratum is  $M_{hj}/M_{h}$ . To obtain a self-weighting sample, establishments in the h, j<sup>th</sup> PSU should be selected with a rate  $r_{hj}$  such that the sampling rate for establishments is proportional to the probability of the PSU being selected, or such that:

$$1/k = \left(M_{hj}/M_{h}\right) \times r_{hj}, \qquad (1)$$

where 1/k is the sampling fraction desired. From this,

$$\mathbf{r}_{hj} = \left(\mathbf{M}_{h}/\mathbf{M}_{hj}\right) \times 1/k \tag{2}$$

Substituting (2) into (1), a self-weighting sample may be defined by the condition:

$$1/k = \left(M_{hj}/M_{h}\right) \times \left(M_{h}/M_{hj} \times 1/k\right).$$

### APPENDIX F. TELEPHONE SAMPLE WEIGHTS FOR ESTABLISHMENTS IN PSUS HAVING SIZE CLASSES SAMPLED WITH CERTAINTY NOES 1981-1983

| PSU      | SIZE CLASS |        |        |        |        |        |
|----------|------------|--------|--------|--------|--------|--------|
| <u> </u> | 3          | 4      | 5      | 6      | 7      | 8      |
| 204      |            |        |        | 14.928 | 14.928 | 14.928 |
| 205      |            |        |        | 18.391 | 18.391 | 18.391 |
| 206      |            |        | 23.968 | 23.968 | 23.968 | 23.968 |
| 207      |            |        |        | 16.857 | 16.857 | 16.857 |
| 212      |            |        |        | 13.609 | 13.609 | 13.609 |
| 213      |            |        |        |        | 10.378 | 10.378 |
| 401      |            |        | 20.295 | 20.295 | 20.295 | 20.295 |
| 404      |            |        | 26.61  | 26.61  | 26.61  | 26.61  |
| 405      |            |        |        | 16.176 | 16.176 | 16.176 |
| 406      |            | 32.1   | 32.1   | 32.1   | 32.1   | 32.1   |
| 407      |            |        | 20.194 | 20.194 | 20.194 | 20.194 |
| 410      |            |        |        | 20000  |        | 8.599  |
| 411      |            |        | 30.542 | 30.542 | 30.542 | 30.542 |
| 412      |            | 38.432 | 38.432 | 38.432 | 38.432 | 38.432 |
| 413      |            | 30.432 | 19.508 | 19.508 | 19.508 | 19.508 |
| 414      |            | 32.654 | 32.654 | 32.654 | 32.654 | 32.654 |
| 415      |            | 52.034 | 27.38  | 27.38  | 27.38  | 27.38  |
| 415      |            |        | 21.30  | 18.075 | 18.075 | 18.075 |
|          |            | 17 202 | 17 202 |        |        | 37.383 |
| 417      |            | 37.383 | 37.383 | 37.383 | 37.383 |        |
| 601      |            | 20 56  | 23.698 | 23.698 | 23.698 | 23.698 |
| 604      |            | 38.56  | 38.56  | 38.56  | 38.56  | 38.56  |
| 605      |            |        | 27.286 | 27.286 | 27.286 | 27.286 |
| 606      |            |        | 30.04  | 30.04  | 11.099 | 11.099 |
| 607      |            |        | 19.84  | 19.84  | 19.84  | 19.84  |
| 611      |            |        |        | 14.146 | 14.146 | 14.146 |
| 612      |            |        |        |        | 10.75  | 10.75  |
| 613      |            |        |        |        |        | 8.146  |
| 614      |            |        |        |        |        | 8.277  |
| 615      |            | 39.218 | 39.218 | 39.218 | 39.218 | 39.218 |
| 616      |            | 36.391 | 36.391 | 36.391 | 36.391 | 36.391 |
| 617      |            | 41.442 | 41.442 | 41.442 | 41.442 | 41.442 |
| 618      |            |        | 24.118 | 24.118 | 24.118 | 24.118 |
| 619      |            | 36.636 | 36.636 | 36.636 | 36.636 | 36.636 |
| 621      |            |        | 33.193 | 33.193 | 33.193 | 33.193 |
| 623      |            |        |        |        |        | 7.911  |
| 624      |            |        | 21.106 | 21.106 | 21.106 | 21.106 |
| 625      |            | 49.771 | 49.771 | 49.771 | 49.771 | 49.771 |
| 626      |            |        | 20.402 | 20.402 | 20.402 | 20.402 |
| 627      |            |        | 27.547 | 27.547 | 27.547 | 27.547 |
| 628      |            | 42.568 | 42.568 | 42.568 | 42.568 | 42.568 |
| 629      |            |        | 33.239 | 33.239 | 33.239 | 33.239 |
| 630      |            | 33.236 | 33.236 | 33.236 | 33.236 | 33.236 |
| 631      |            | 36.058 | 36.058 | 36.058 | 36.058 | 36.058 |
| 802      |            |        |        | 16.372 | 16.372 | 16.372 |
| 803      | 57.98      | 57.98  | 57.98  | 57.98  | 57.98  | 57.98  |
| 804      |            |        |        |        | 10.726 | 10.726 |
| 806      |            |        |        |        | 9.866  | 9.866  |
| 808      |            |        |        | 13.002 | 13.002 | 13.002 |
|          |            |        |        |        |        |        |

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#### APPENDIX G. ORDER OF COMBINING SELF-REPRESENTING PSUS FOR FIRST STAGE RATIO ESTIMATION AND FOR VARIANCE ESTIMATION NOES 1981-1983

| Pair<br><u>number</u> | <u>PSU</u> |
|-----------------------|------------|
| 1                     | 110        |
| 2                     | 150        |
| 2<br>3                | 120        |
| 4                     | 142        |
| 5                     | 130        |
| 6                     | 160*       |
| 7                     | 552*       |
| 8                     | 542        |
| 9                     | 381*       |
| 10                    | 350        |
| 11                    | 320*       |
| 12                    | 371        |
| 13                    | 310* #     |
| 14                    | 520*       |
| 15                    | 330        |
| 16                    | 752*       |
| 17                    | 392*       |
| 18                    | 340*       |
| 19                    | 720*       |
| 20                    | 761*       |
| 21                    | 530*       |
| 22                    | 511        |
| 23                    | 561*       |
| 24                    | 742*       |
| 25                    | 731*       |
| 26                    | 710*       |
| 27                    | 999* &     |
| 28                    | 999* &     |
|                       |            |

& Pairs 27 and 28 refer to size classes 9 and 10, respectively.

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<sup>\*</sup> Workload subsamples ABCD interviewed in the PSU (workload subsamples ABC in all other PSUs).

<sup>#</sup> Within PSU selection probabilities differ from other PSUs, see text and Appendix D.

### APPENDIX H. ORDER OF COMBINING NON-SELF-REPRESENTING PSUS FOR FIRST STAGE RATIO ESTIMATION AND FOR VARIANCE ESTIMATION NOES 1981-1983

|        | PSL           | <u>Is in pair</u> |
|--------|---------------|-------------------|
| Pair   | First         | Second            |
| number | <u>member</u> | <u>member</u>     |
|        |               |                   |
| 29     | 601*          | 602*              |
| 30     | 801*          | 802               |
| 31     | 401           | 803*              |
| 32     | 804*          | 603*              |
| 33     | 604           | 605*              |
| 34     | 606           | 607*              |
| 35     | 805*          | 806*              |
| 36     | 402*          | 403               |
| 37     | 404*          | 608*              |
| 38     | 609           | 610               |
| 39     | 611*          | 807*              |
| 40     | 808*          | 405               |
| 41     | 201           | 202               |
| 42     | 612           | 613               |
| 43     | 406*          | 614               |
| 44     | 615           | 616               |
|        | 0.0           | 010               |
| 45     | 203           | 204               |
| 46     | 617*          | 618*              |
| 47     | 205           | 206*              |
| 48     | 619*          | 620               |
| 49     | 207           | 208*              |
| 50     | 209           | 210*              |
| 51     | 407           | 408*              |
| 52     | 409           | 410               |
| 53     | 411           | 621               |
| 54     | 622*          | 623               |
| 55     | 624           | 809*              |
| 56     | 211           | 625               |
| 57     | 412           | 212               |
| 58     | 413           | 626*              |
| 59     | 414*          | 213*              |
| 60     | 627           |                   |
|        | 021           | 628*              |
| 61     | 415           | 416               |
| 62     | 629           | 630*              |
| 63     | 417           | 631*              |
| 64     | 214           | 418*              |
|        |               |                   |

<sup>\*</sup> Workload subsamples ABCD assigned in the PSU (workload subsamples ABC in all other PSUs).

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### APPENDIX I. ORDER FOR COMBINING 2-DIGIT SIC SUMMARIES TO SECOND STAGE OF RATIO ESTIMATION NOES 1981-1983

GROUP A: Establishments reporting 10-999 employees in the following SICs:

| <u>Order</u>     | <u>SIC</u>      | <u>Order</u> | <u>S1C</u>      |                                                               |
|------------------|-----------------|--------------|-----------------|---------------------------------------------------------------|
| •                | 160             |              |                 |                                                               |
| 1                | 15 <sup>0</sup> | 21           | 36              |                                                               |
| 2                | 16              | 22           | 37              |                                                               |
| 3                | 17              | 23           | 38              |                                                               |
| 4                | 20              | 24           | 39              |                                                               |
| 2<br>3<br>4<br>5 | 21              | 25           | 41              | (411, 412, 415, 417)                                          |
| 6<br>7           | 22              | 26           | 44              |                                                               |
| 7                | 23              | 27           | 45              |                                                               |
| 8                | 24              | 28           | 46 <sup>D</sup> |                                                               |
| 8<br>9           | 25              | 29           | 48              |                                                               |
| 10               | 26              | 30           | 49              |                                                               |
| 11               | 27              | 31           | 500             | • (501, 503, 505, 5093)                                       |
| 12               | 28              | 32           | 510             | ·L (516, 517)                                                 |
| 13               | 29              | 33           | 56              | (552, 553, 554)                                               |
| 14               | 13              | 34           | 7.0             | (JJ2, JJ3, JJ4)<br>(not including 7010)                       |
|                  |                 |              | 72-             | (not including 7218)<br>, <sup>L</sup> (733, 734, 7391, 7395, |
| 15               | 30              | 35           | 730             | <sup>72</sup> (733, 734, 7391, 7395,<br>7397, 7399)           |
| 16               | 31              | 36           | 75D             | (not including 752)                                           |
| 17               | 32              | 37           | 76              | ,                                                             |
| 18               | 33              | 38           | 84              |                                                               |
| 19               | 34              | 00           |                 |                                                               |
| 20               | 35              |              |                 |                                                               |
| 20               | 30              |              |                 |                                                               |

GROUP B: Establishments reporting 1,000 or more employees in SICs listed in group A.

Establishments reporting 1,000 or more employees in SICs 50, 51, 73 were assigned to Group C.

<sup>D</sup> CBP employee counts for one or more size classes will show "Disclosure".

L CBP count of large establishments (more than 1,000 employees) cannot be determined for the 2-digit SIC; Group C ratio procedure used for large firms.

### APPENDIX I. ORDER FOR COMBINING 2-DIGIT SIC SUMMARIES TO SECOND STAGE OF RATIO ESTIMATION (CONT.) NOES 1981-1983

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GROUP C: Establishments reporting 8 or 9 employees in any of the SICs enumerated in Groups A and B plus all establishments reporting 8 or more employees in the following SICs:

| 0723 | 422  |
|------|------|
| 0724 | 423  |
| 0742 | 4742 |
| 0782 | 478  |
| 0783 | 8062 |
| 4013 | 807  |
| 4212 | 809  |
| 4214 |      |

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Establishments reporting 1,000 or more employees in SICs 50, 51, 73.

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### APPENDIX J. RANDOM NUMBER TABLE USED TO DEFINE REPLICATES FOR VARIANCE ESTIMATION\* NOES 1981-1983

| PAIR NUMBER    |      |      |              |      |           |      |      |           |      |           |      |      |           |      |           |      |
|----------------|------|------|--------------|------|-----------|------|------|-----------|------|-----------|------|------|-----------|------|-----------|------|
| REPLI-<br>CATE | 1234 | 5678 | 1<br>9012    | 3456 | 2<br>7890 | 1234 | 5678 | 3<br>9012 | 3456 | 4<br>7890 | 1234 | 5678 | 5<br>9012 | 3456 | 6<br>7890 | 1234 |
| 1              |      |      | 1110         |      |           |      |      |           |      |           |      |      |           |      |           |      |
| 2<br>3         |      |      | 0111         |      |           |      |      |           |      |           |      |      |           |      |           |      |
| 3<br>4         |      |      | 1011<br>0101 |      |           |      |      |           |      |           |      |      |           |      |           |      |
| 5              |      |      | 1010         |      |           |      |      |           |      |           |      |      |           |      |           |      |
| 6              |      |      | 0101         |      |           |      |      |           |      |           |      |      |           |      |           |      |
| 7              |      |      | 0010         |      |           |      |      |           |      |           |      |      |           |      |           |      |
| 8              | 1101 | 0010 | 0001         | 0101 | 1101      | 1000 | 1111 | 1000      | 1101 | 0010      | 0001 | 0101 | 1101      | 1000 | 1111      | 1000 |
| 9              | 0110 | 1001 | 0000         | 1010 | 1110      | 1100 | 0111 | 1100      | 0110 | 1001      | 0000 | 1010 | 1110      | 1100 | 0111      | 1100 |
| 10             |      |      | 1000         |      |           |      |      |           |      |           |      |      |           |      |           |      |
| 11             |      |      | 0100         |      |           |      |      |           |      |           |      |      |           |      |           |      |
| 12             | 1100 | 1101 | 0010         | 0001 | 0101      | 1101 | 1000 | 1110      | 1100 | 1101      | 0010 | 0001 | 0101      | 1101 | 1000      | 1110 |
| 13             | 1110 | 0110 | 1001         | 0000 | 1010      | 1110 | 1100 | 0110      | 1110 | 0110      | 1001 | 0000 | 1010      | 1110 | 1100      | 0110 |
| 14             |      |      | 0100         |      |           |      |      |           |      |           |      |      |           |      |           |      |
| 15             |      |      | 1101         |      |           |      |      |           |      |           |      |      |           |      |           |      |
| 16             | 0111 | 1100 | 1110         | 1010 | 0001      | 0101 | 1101 | 1000      | UTT  | 1100      | 1110 | 1010 | 0001      | 0101 | 1101      | 1000 |
| 17             |      |      | 0111         |      |           |      |      |           |      |           |      |      |           |      |           |      |
| 18             |      |      | 0011         |      |           |      |      |           |      |           |      |      |           |      |           |      |
| 19             |      |      | 1001         |      |           |      |      |           |      |           |      |      |           |      |           |      |
| 20             | 1100 | 0111 | 1100         | 1110 | 1010      | 0001 | 0101 | 1100      | 1100 | 0111      | 1100 | 1110 | 1010      | 0001 | 0101      | 1100 |
| 21             | 0110 | 0011 | 1110         | 0111 | 0101      | 0000 | 1010 | 1110      | 0110 | 0011      | 1110 | 0111 | 0101      | 0000 | 1010      | 1110 |
| 22             |      |      | 1111         |      |           |      |      |           |      |           |      |      |           |      |           |      |
| 23             |      |      | 1111         |      |           |      |      |           |      |           |      |      |           |      |           |      |
| 24             | 1110 | 1100 | 0111         | 1100 | 1110      | 1010 | 0001 | 0100      | 1110 | 1100      | 0111 | 1100 | 1110      | 1010 | 0001      | 0100 |
| 25             |      |      | 0011         |      |           |      |      |           |      |           |      |      |           |      |           |      |
| 26             |      |      | 0001         |      |           |      |      |           |      |           |      |      |           |      |           |      |
| 27             | 0101 | 1101 | 1000         | 1111 | 1001      | 1101 | 0100 | 0010      | 0101 | 1101      | 1000 | 1111 | 1001      | 1101 | 0100      | 0010 |
| 28             | 1010 | 1110 | 1100         | 0111 | 1100      | 1110 | 1010 | 0000      | 1010 | 1110      | 1100 | 0111 | 1100      | 1110 | 1010      | 0000 |
| 29             | 0101 | 0111 | 0110         | 0011 | 1110      | 0111 | 0101 | 0000      | 0101 | 0111      | 0110 | 0011 | 1110      | 0111 | 0101      | 0000 |
| 30             | 0010 | 1011 | 1011         | 0001 | 1111      | 0011 | 1010 | 1000      | 0010 | 1011      | 1011 | 0001 | 1111      | 0011 | 1010      | 1000 |
| 31             | 0001 | 0101 | 11 <b>01</b> | 1000 | 1111      | 1001 | 1101 | 0100      | 0001 | 0101      | 1101 | 1000 | 1111      | 1001 | 1101      | 0100 |
| 32             | 0000 | 0000 | 0000         | 0000 | 0000      | 0000 | 0000 | 0000      | 0000 | 0000      | 0000 | 0000 | 0000      | 0000 | 0000      | 0000 |

Entries are 0 or 1, depending on whether to include the second or first member, respectively, of each pair in the replicate.

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