



A Multi-Variate Reducible Product-Type Estimator in Two-Phase Sampling

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Abstract

To estimate population mean using multiple supplementary variables in a two-phase sampling set-up, a reducible or generalized product estimator has been constructed. It is assumed that the mean of the primary supplementary variable is unavailable and the means of p other (additional) supplementary variables are easily available. After studying reducibility property of the proposed estimator, some of its desirable statistical properties have been analyzed both theoretically and empirically.

Keywords: Supplementary variable, bias, efficiency, product estimator, two-phase sampling.

Introduction

Let y_i and x_i , $i = 1, 2, \dots, N$, be the measurements corresponding to survey variable y and a high negatively correlated supplementary (auxiliary) variable x for the i th unit of a population U whose means are $\bar{Y} = \frac{1}{N} \sum_{i=1}^N y_i$ and $\bar{X} = \frac{1}{N} \sum_{i=1}^N x_i$. As is already known, to estimate \bar{Y} in the absence of information on \bar{X} , one needs a two-phase sampling. In the present context permitting simple random sampling without replacement (SRSWOR) at each phase, this sampling scheme consists of the selection of n_1 units for the first-phase sample s_1 ($s_1 \subset U$) to observe x for an estimation of \bar{X} , and then selection of n_2 units for the second-phase sample s_2 ($s_2 \subset s_1$) to determine y - values.

Define $\bar{y}_2 = \frac{1}{n_1} \sum_{i \in s_1} y_i$ and $\bar{x}_2 = \frac{1}{n_2} \sum_{i \in s_2} x_i$ as the mean values of y and x respectively for s_2 , and $\bar{x}_1 = \frac{1}{n_1} \sum_{i \in s_1} x_i$ as the mean value of x for s_1 . Then the traditional product estimator of \bar{Y} is given by $t_p = \bar{y}_2 \frac{\bar{x}_2}{\bar{x}_1}$.

Even though t_p is biased, effect of bias is insignificant for large samples, and the asymptotic mean square error (MSE) expression is given by

$$M(t_p) = \theta_2 S_y^2 + (\theta_2 - \theta_1) R (R S_x^2 + 2\rho_{yx} S_y S_x), \quad (1)$$

where $\theta_1 = \frac{1}{n_1} - \frac{1}{N}$, $\theta_2 = \frac{1}{n_2} - \frac{1}{N}$, $R = \frac{\bar{Y}}{\bar{X}}$, $S_y^2 = \frac{1}{N-1} \sum_{i=1}^N (y_i - \bar{Y})^2$, $S_x^2 = \frac{1}{N-1} \sum_{i=1}^N (x_i - \bar{X})^2$ and ρ_{yx} is the coefficient of correlation among y and x . t_p is more error-free (precised) than the direct estimator \bar{y}_2 when $\frac{\beta_{yx}}{R} < -\frac{1}{2}$, such that β_{yx} is regression coefficient of y on x .

Following Chand and Kiregyera, improvement over t_p in the sense of reduction of its MSE is possible by involving an additional supplementary variable¹⁻³. This technique may be called *Chand-Kiregyera (C-K) Technique* that encompasses estimating \bar{X} from s_1 exploiting prior details on an additional supplementary variable to be used in place of \bar{x}_1 in any standard estimator. Although many researchers followed the idea of wielding an additional supplementary variable to compose varieties of estimators, only a handful efforts have been given to generate product-type estimators. Considering availability of multiple additional auxiliary variables, the present paper not only considers a generalized product-type estimator under C-K approach but also develops another new generalized product-type estimator under a modified approach called *Redesigned Approach*⁴.

Association of Multiple Additional Supplementary Variables

Consider a situation where prior details on p cheaply and easily accessible additional supplementary variables z_1, z_2, \dots, z_p (may be called as z - variables) with $\mathbf{z}' = (z_1, z_2, \dots, z_p)$, are obtainable. Assume that these z - variables acquire high correlation with y and x . Define $\bar{\mathbf{z}}' = (\bar{z}_1, \bar{z}_2, \dots, \bar{z}_p)$ as vector of their population means, where $\bar{z}_j = \frac{1}{N} \sum_{i=1}^N z_{ji}$ and z_{ji} is the observation for z_j on the i - th unit of U , $j = 1, 2, \dots, p$; $i = 1, 2, \dots, N$. It is also accepted that \bar{z}_j 's are known precisely.

In the usual definition, let $\mathbf{S}_{zz} = \begin{pmatrix} S_{z_1}^2 & \dots & S_{z_1 z_p} \\ \vdots & \ddots & \vdots \\ S_{z_p z_1} & \dots & S_{z_p}^2 \end{pmatrix}$, $\mathbf{S}'_{yz} = (S_{yz_1}, S_{yz_2}, \dots, S_{yz_p})$, $\mathbf{S}'_{xz} = (S_{xz_1}, S_{xz_2}, \dots, S_{xz_p})$, $\boldsymbol{\beta}_{yz} = \mathbf{S}_{zz}^{-1} \mathbf{S}'_{yz}$ and $\boldsymbol{\beta}_{xz} = \mathbf{S}_{zz}^{-1} \mathbf{S}'_{xz}$, where $S_{z_j}^2 = \frac{1}{N-1} \sum_{i=1}^N (z_{ji} - \bar{z}_j)^2$, $S_{z_j z_k} =$

$$\frac{1}{N-1} \sum_{i=1}^N (z_{ji} - \bar{z}_j) (z_{ki} - \bar{z}_k), S_{yzj} = \frac{1}{N-1} \sum_{i=1}^N (y_i - \bar{y}) (z_{ji} - \bar{z}_j) \text{ and } S_{xzj} = \frac{1}{N-1} \sum_{i=1}^N (x_i - \bar{x}) (z_{ji} - \bar{z}_j), j \neq k = 1, 2, \dots, p.$$

Let us further define $\rho_{yzj} = S_{yzj}/S_y S_{zj}$ and $\rho_{xzj} = S_{xzj}/S_x S_{zj}$, $j = 1, 2, \dots, p$ respectively as the coefficients of simple correlation among (y, z_j) and (x, z_j) ; and $\rho_{y.z}^2 = \frac{S_{yz}^2 S_{zz}^{-1} S_{yz}}{S_y^2}$ as the squared of the coefficient of multiple correlation of y with the elements of z .

In the considered two-phase sampling set-up, s_1 is used to accumulate information on x and all z -variables where as s_2 on y only. Define $\bar{z}'_1 = (\bar{z}_{11}, \bar{z}_{12}, \dots, \bar{z}_{1p})$ and $\bar{z}'_2 = (\bar{z}_{21}, \bar{z}_{22}, \dots, \bar{z}_{2p})$ such that $\bar{z}_{1j} = \frac{1}{n_1} \sum_{i \in s_1} z_{ji}$ and $\bar{z}_{2j} = \frac{1}{n_2} \sum_{i \in s_2} z_{ji}$ for $j = 1, 2, \dots, p$.

Let us first discuss a generalized product-type estimator that can be considered under the C-K method in the presence of p z -variables. Superseding $\bar{x}_1 - A'(\bar{z}_1 - \bar{Z})$ for \bar{x}_1 in t_p , the following generalized product-type estimator can be defined:

$$t_{MP} = \bar{y}_2 \frac{\bar{x}_2}{[\bar{x}_1 - A'(\bar{z}_1 - \bar{Z})]},$$

where $A' = (A_1, A_2, \dots, A_p)$ such that A_j 's are known constants (coefficients) normally decided to control MSE of the estimator. Note that, for various choices of the coefficients, t_{MP} clearly defines a class or a system of estimators of \bar{Y} . Asymptotic MSE expression for t_{MP} is given as

$$M(t_{MP}) = M(t_p) + \theta_1 R A' S_{zz} (R A + 2\beta_{yz}). \quad (2)$$

From (2), $M(t_{MP}) < M(t_p)$ i.e., t_p is less efficient than t_{MP} if $A < -2 \frac{\beta_{yz}}{R}$. (3)

Hence, under this reasonable limitation, t_{MP} can give a remarkable increase of precision over t_p and accordingly selection of A can be made. Note that this selection is not only influenced by the correlation of x with y but also by the correlations of all z -variables with y .

The optimum value of A that computed in the usual manner to minimize $M(t_{MP})$ is

$$\hat{A} = -R^{-1} S_{zz}^{-1} S_{yz} = -R^{-1} \beta_{yz}. \quad (4)$$

Utilization of this optimum value gives minimum $M(t_{MP})$ i.e., the minimum MSE bound of t_{MP} as

$$M_{\min}(t_{MP}) = M(t_p) - \theta_1 S_y' S_{zz}^{-1} S_{yz} = M(t_p) - \theta_1 S_y^2 \rho_{y.z}^2, \quad (5)$$

and the optimum i.e., minimum MSE bound estimator of t_{MP} as

$$\hat{t}_{MP} = \bar{y}_2 \frac{\bar{x}_2}{[\bar{x}_1 + R^{-1} \beta_{yz}(\bar{z}_1 - \bar{Z})]}.$$

For the case of one z -variable $z_j, j = 1, 2, \dots, p$, say, $\hat{t}_{MP} = t = \bar{y}_2 \frac{\bar{x}_2}{[\bar{x}_1 - d(\bar{z}_{1j} - \bar{z}_j)]}$, a composite estimator considered earlier⁵.

See that t is generalizable for various selections of d . For example, $t_p, t_{RP} = \bar{y}_2 \frac{\bar{x}_2 \bar{z}_{1j}}{\bar{x}_1 \bar{z}_j}, t_{PP} = \bar{y}_2 \frac{\bar{x}_2 \bar{z}_j}{\bar{x}_1 \bar{z}_{1j}}$ and $t_{RGP} = \bar{y}_2 \frac{\bar{x}_2}{[\bar{x}_1 - \beta_{xzj}(\bar{z}_{1j} - \bar{z}_j)]}$ appear as specified cases of t if $d = 0, \frac{\bar{x}_1}{\bar{z}_{1j}}, -\frac{\bar{x}_1}{\bar{z}_j}$ and $\beta_{xzj} = \frac{S_{xzj}}{S_{zj}^2}$ respectively. For this case, also note that

$$\hat{t}_{MP} \rightarrow \hat{t} = \bar{y}_2 \frac{\bar{x}_2}{\bar{x}_1 - \frac{\beta_{yzj}}{R}(\bar{z}_{1j} - \bar{z}_j)}$$

and

$$M_{\min}(t_{MP}) \rightarrow M_{\min}(t) = M(\hat{t}) = M(t_p) - \theta_1 S_y^2 \rho_{yzj}^2. \quad (6)$$

The Proposed Reducible Product-Type Estimator

In many times the C-K approach has been denounced on the ground that it encourages substitution of \bar{x}_1 only by another estimator of \bar{X} taking into account of one z -variable using data on s_1 but without considering \bar{x}_2 which happens to be less efficient estimate than \bar{x}_1 for estimating \bar{X} ⁴. This approach therefore fails to exploit information contents on the additional supplementary variable z_j at different phases of sample selection. Keeping this in mind, the authors developed a more refined system contemplating certain modification over the C-K approach for the adequate use of available information on single z -variable z_j and to bring increased precision over t_p . They also called this technique a *Redesigned Technique* that involves making use of two difference estimators viz., $\bar{x}_1 - \delta(\bar{z}_{1j} - \bar{z}_j)$ established on s_1 and $\bar{x}_2 - \eta(\bar{z}_{2j} - \bar{z}_{1j})$ established on s_2 in lieu of \bar{x}_1 and \bar{x}_2 respectively in t_p . This methodology prompted them to define a new more generalized or a reducible (as named by the authors) product-type estimator:

$$\ell^{(G)} = \bar{y}_2 \frac{\bar{x}_2 - \eta(\bar{z}_{2j} - \bar{z}_{1j})}{\bar{x}_1 - \delta(\bar{z}_{1j} - \bar{z}_j)}.$$

The reducibility characteristic of $\ell^{(G)}$ brings a system of estimators of product-type for \bar{Y} . Taking $\eta = 0$ and $\delta = d$, $\ell^{(G)} = t$. This implies that the generalized estimator t forms a sub-class of the class generated by $\ell^{(G)}$. On the other hand, if $\eta = 0$ and $\delta = 0$, $\ell^{(G)} = t_p$ i.e., our base estimator; and if $\eta = 0$, $\ell^{(G)} \rightarrow t_{RP}, t_{PP}$ and t_{RGP} for $\delta = \frac{\bar{x}_1}{\bar{z}_{1j}}, -\frac{\bar{x}_1}{\bar{z}_j}$ and β_{xzj} respectively.

Under their designed technique using p z -variables, the following reducible estimator, a direct multi-variate extension of $\ell^{(G)}$, is proposed:

$$\ell_{MP}^{(G)} = \bar{y}_2 \frac{\bar{x}_2 - C'_2(\bar{z}_2 - \bar{z}_1)}{\bar{x}_1 - C'_1(\bar{z}_1 - \bar{Z})},$$

where: $C'_1 = (C_1, C_2, \dots, C_p)$ and $C'_2 = (C_{21}, C_{22}, \dots, C_{2p})$ are vectors of known coefficients decided to reduce $M(\ell_{MP}^{(G)})$ as per requirement. Notice that $\ell_{MP}^{(G)}$ is compiled when \bar{x}_1 and \bar{x}_2 in t_p are replaced by $\bar{x}_1 - C'_1(\bar{z}_1 - \bar{Z})$ and $\bar{x}_2 - C'_2(\bar{z}_2 - \bar{Z}_1)$ respectively. Furthermore, note that $\ell_{MP}^{(G)} = t_{MP}$ if $C'_1 = A$ and $C'_2 = 0$.

An asymptotic MSE of $\ell_{MP}^{(G)}$ is obtained as

$$M(\ell_{MP}^{(G)}) = M(t_p) + \theta_1 RC'_1 S_{zz} (RC_1 + 2\beta_{yz}) + (\theta_2 - \theta_1) RC'_2 S_{zz} (RC_2 - 2\beta_{yz} - 2R\beta_{xz}). \quad (7)$$

As from (7) it is difficult to get both necessary and sufficient conditions, the following sufficient conditions are presented for warranting an appreciable gain in precision of $\ell_{MP}^{(G)}$ over t_p i.e., $M(\ell_{MP}^{(G)}) < M(t_p)$:

$$C_1 < -2 \frac{\beta_{yz}}{R} \text{ and } C_2 < \frac{2(\beta_{yz} + R\beta_{xz})}{R}. \quad (8)$$

Hence, to meet (8) selections of the coefficient vectors C_1 and C_2 don't depend on the impact of x on y but on the impacts of all z -variables on both x and z .

To explain situations where the gain in efficiency of $\ell_{MP}^{(G)}$ over t_{MP} is remarkable, from (2) and (7) it is deduced that

$$M(\ell_{MP}^{(G)}) = M(t_{MP}) + \theta_1 R(C_1 - A)' [R(C_1 + A) + 2\beta_{yz}] + (\theta_2 - \theta_1) RC'_2 S_{zz} (RC_2 - 2\beta_{yz} - 2R\beta_{xz}). \quad (9)$$

This implies that $\ell_{MP}^{(G)}$ would be more efficient than t_{MP} when the following conditions are met: either

$$A < C_1 < -\frac{RA + 2\beta_{yz}}{R} \text{ or } -\frac{RA + 2\beta_{yz}}{R} < C_1 < A, \quad (10)$$

and

$$C_2 < \frac{2(\beta_{yz} + R\beta_{xz})}{R}. \quad (11)$$

But when $C_1 = A$, (11) is sufficient for $M(\ell_{MP}^{(G)}) < M(t_{MP})$.

It is very important to remark that the comparisons of $\ell_{MP}^{(G)}$ with t_p and t_{MP} would of course be meaningful only when t_p outperforms over the direct estimator \bar{y}_2 i.e., if $2\beta_{yz} < -R$.

Following conventional optimization procedure, the optimum values of C_1 and C_2 to minimize $M(\ell_{MP}^{(G)})$ in (9) are determined as

$$\hat{C}_1 = -R^{-1} S_{zz}^{-1} S_{yz} = -R^{-1} \beta_{yz} \quad (12)$$

$$\hat{C}_2 = R^{-1} S_{zz}^{-1} S_{yz} + S_{zz}^{-1} S_{xz} = R^{-1} \beta_{yz} + \beta_{xz}. \quad (13)$$

Evaluating (9) for $C_1 = \hat{C}_1$ and $C_2 = \hat{C}_2$, after simplification, the minimum MSE bound of $\ell_{MP}^{(G)}$ is derived as

$$M_{\min}(\ell_{MP}^{(G)}) = M(t_p) - \theta_1 S_y^2 \rho_{yz}^2 - (\theta_2 - \theta_1) (S_{yz} + RS_{xz})' S_{zz}^{-1} (S_{yz} + RS_{xz}). \quad (14)$$

See that the minimum MSE bound expression for $\ell_{MP}^{(G)}$ relies upon the partial correlation of y and x for fixed z , and multiple correlations of y and x with z .

Conclusively, a minimum MSE bound estimator of $\ell_{MP}^{(G)}$ corresponding to equation (14) is

$$\hat{\ell}_{MP}^{(G)} = \bar{y}_2 \frac{\bar{x}_2 - (R^{-1} \beta_{yz} + \beta_{xz})' (\bar{z}_2 - \bar{Z}_1)}{\bar{x}_1 + R^{-1} \beta_{yz}' (\bar{z}_1 - \bar{Z})}.$$

Here we also straight forwardly derive that when one additional supplementary variable z_j has been used,

$$\hat{\ell}_{MP}^{(G)} \rightarrow \hat{\ell}_P^{(G)} = \bar{y}_2 \frac{\bar{x}_2 - \left(\frac{\beta_{yzj}}{R} + \beta_{xzj} \right) (\bar{z}_{2j} - \bar{z}_{1j})}{\bar{x}_1 + \frac{\beta_{yzj}}{R} (\bar{z}_{1j} - \bar{Z}_j)},$$

and

$$M_{\min}(\ell_{MP}^{(G)}) \rightarrow M_{\min}(\ell_P^{(G)}) = M(\hat{\ell}_P^{(G)}) = M(t_p) - S_y^2 \left[\theta_1 \rho_{yzj}^2 + (\theta_2 - \theta_1) \left(\rho_{yzj} + \frac{c_x}{c_y} \rho_{xzj} \right)^2 \right]. \quad (15)$$

Efficiency Comparison

Various conditions procured above to show $\ell_{MP}^{(G)}$ is more efficient than t_p and t_{MP} are hard to verify unless they are tried to a definite surveyed situation. However, from the said conditions it may be inferred that the composed redesigned methodology has scope to bring improvements over that of Chand-Kiregyera. But for more clarification, precision of $\ell_{MP}^{(G)}$ compared t_p and t_{MP} has been evaluated in term of minimum MSE bound. For this let us modify (14) as

$$M_{\min}(\ell_{MP}^{(G)}) = M(t_p) - \theta_1 S_y^2 \rho_{yz}^2 - (\theta_2 - \theta_1) U' S_{zz}^{-1} U, \quad (16)$$

such that $U' = (U_1, U_2, \dots, U_p)$ and $U_j = \frac{1}{N-1} \sum_{i=1}^N (g_i - \bar{G})(z_{ji} - \bar{Z}_j)$, $j = 1, 2, \dots, p$, where $g_i = y_i + R x_i$ and $\bar{G} = \frac{1}{N} \sum_{i=1}^N g_i = \bar{Y} + R \bar{X}$. S_{zz} being a variance-covariance matrix, is necessarily positive definite and so also S_{zz}^{-1} . Hence, the quadratic form $U' S_{zz}^{-1} U$ is positive definite, i.e., $U' S_{zz}^{-1} U \geq 0$. Then, from (5), (14) and (16)

$$M_{\min}(\ell_{MP}^{(G)}) < M_{\min}(t_{MP}) < M(t_p), \quad (17)$$

which establishes that $\hat{\ell}_{MP}^{(G)}$ is more efficient than both \hat{t}_{MP} and t_p . This outcome simply confirms that the methodology used to

formulate $\ell_{MP}^{(G)}$ is superior to that used for t_{MP} under the minimum MSE bound criterion.

Empirical Study

To authenticate previous theoretical outcomes relating to the recommended generalized estimators t_{MP} and $\ell_{MP}^{(G)}$, five populations with two z -variables (z_1 and z_2), as detailed below, have been considered.

Population 1⁷: $N = 32$ automobiles, y = miles/gallon, x = displacement, z_1 = horse power, z_2 = weight.

Population 2⁸: $N = 64$ countries, y = child mortality, x = female literacy rate, z_1 = per capita GNP, z_2 = total fertility rate.

Population 3⁹: $N = 46$ observations, y = evaporation, x = integrated area under daily humidity curve, z_1 = minimum daily relative humidity, z_2 = integrated area under daily air temperature curve.

Population 4¹⁰: $N = 45$ observations, y = pigment creatinine, x = Phosphate (mg/mL), z_1 = volume (mL), z_2 = creatinine (mg/mL).

Population 5¹¹: $N = 44$ married couples of medium and high-class families, y = no. of ever born children, x = education level of mother, z_1 = education level of father, z_2 = duration of marriage

To avoid complications, we focused on the minimum MSE so that only minimum MSE bound estimators \hat{t} , $\hat{\ell}_P^{(G)}$, \hat{t}_{MP} and $\hat{\ell}_{MP}^{(G)}$ along with the base estimator t_P were taken for comparison. Relative efficiencies (REs) of these equipotential estimators

compared to \bar{y}_2 whose variance is $V(\bar{y}_2) = \theta_2 S_y^2$, are compiled in Table-1 for specific values of n_1 and n_2 .

Table-1 shows that t_P works better than the direct estimator \bar{y}_2 but as desired, its performance over all minimum MSE bound estimators is considerably inferior. Among four minimum MSE bound estimators, \hat{t} turns out as the worst performer and appears to be less efficient than $\hat{\ell}_P^{(G)}$ although the efficiency loss in population 4 is marginal when established on z_1 . $\hat{\ell}_{MP}^{(G)}$ emerges as the best performer followed by $\hat{\ell}_P^{(G)}$ in most cases even though the efficiency gain of $\hat{\ell}_{MP}^{(G)}$ compared to $\hat{\ell}_P^{(G)}$ in population 4 is just marginal. Although this empirical study has a limited scope, its overall findings indicate that $\hat{\ell}_{MP}^{(G)}$ is superior to others on the ground of MSE.

Conclusion

Reviewing foregoing theoretical as well as empirical findings under the two-phase sampling network with numerous additional supplementary variables, we may eventually conclude that the imputed redesigned method with reference to the new reducible estimator $\ell_{MP}^{(G)}$ is not likely inferior to the C-K method and can be applied in many sample surveys for constructing estimators under the considered situations.

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Table-1: REs of Comparable Estimators w.r.t. \bar{y}_2 (in%).

Estimator	Supplementary variable(s) used	Population				
		1 $n_1 = 10$ $n_2 = 5$	2 $n_1 = 19$ $n_2 = 10$	3 $n_1 = 14$ $n_2 = 7$	4 $n_1 = 14$ $n_2 = 7$	5 $n_1 = 13$ $n_2 = 7$
t_P	x	152.48	157.94	117.81	119.39	116.50
\hat{t}	x, z_1	256.19	178.49	152.90	137.06	143.13
	x, z_2	271.29	229.52	150.77	151.59	171.56
$\hat{\ell}_P^{(G)}$	x, z_1	360.15	182.81	201.44	137.72	144.09
	x, z_2	349.02	231.37	208.45	153.02	202.38
\hat{t}_{MP}	x, z_1, z_2	280.82	250.42	166.42	151.83	178.74
$\hat{\ell}_{MP}^{(G)}$	x, z_1, z_2	403.40	259.66	227.91	153.27	224.55

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