

A comparison of design-based and model-based approaches for finite population spatial data.

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Abstract

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1. Introduction

There are two general approaches for using data to make statistical inferences about a population: design-based and model-based. When data cannot be obtained for all units in a population (population units), data on a subset of the population units is collected and called a sample. In the design-based approach, inferences about the underlying population are informed from a probabilistic process in which population units are selected to be in the sample. Alternatively, in the model-based approach, inferences are made from specific assumptions about the underlying process that generated the data. Each paradigm has a deep historical context (Sterba, 2009) and its own set of general advantages (Hansen et al., 1983).

Though the design-based and model-based approaches apply to statistical inference in a broad sense, we focus on comparing these approaches for spatial data. We define spatial data as data that incorporates the specific locations of the population units into either the design or estimation process. De Gruijter and Ter Braak (1990) give an early comparison of design-based and model-based

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approaches for spatial data, quashing the belief that design-based approaches could not be used for spatially correlated data. Thereafter, several comparisons between design-based and model-based for spatial data have been considered (Brus and De Gruijter, 1997; Ver Hoef, 2002, 2008). Cooper (2006) review the two approaches in an ecological context before introducing a “model-assisted” variance estimator that combines aspects from each approach. In addition to Cooper (2006), there has been substantial research and development into estimators that use both design and model-based principles (see e.g. Cicchitelli and Montanari (2012), Chan-Golston et al. (2020) for a Bayesian approach, and Sterba (2009)). More recent overviews include Brus (2020) and Wang et al. (2012).

Though comparisons between design-based and model-based approaches to spatial data have been studied, no numerical comparison has been made between design-based approaches that incorporate spatial locations and model-based approaches. In this manuscript, we compare design-based approaches that incorporate spatial locations to model-based approaches for spatial data. Though these comparisons generalize to both finite populations (e.g. point resources) and infinite populations (e.g. linear and areal resources), we focus on applications to finite populations. The rest of the manuscript is organized as follows. In Section 2, we compare sampling and estimation procedures between the design-based approach and the model-based approach for spatial data. In Section 3, we use a simulation approach to study the behavior and performance of both approaches. In Section 4, we use both approaches to analyze real data. And in Section 5, we end with a discussion and provide directions for future research.

2. Background

The design-based and model-based approaches incorporate randomness in fundamentally different ways. In this section, we describe the role of randomness and its effects on subsequent inferences. We then discuss specific inference methods for the design-based and model-based approaches for spatial data.

2.1. Comparing Design-Based and Model-Based Approaches

The design-based approach assumes the population is fixed. Randomness is incorporated via the selection of units in a sampling frame according to a sampling design. A sampling frame is the set of all units available to be sampled. A sampling design assigns a positive probability of inclusion (inclusion probability) to each unit in the sampling frame. Some examples of commonly used sampling designs include simple random sampling, stratified random sample, and cluster sampling. These sampling designs tend to select units from the sampling frame independently of other units, so we call them “Independent Random Sampling” (IRS) designs. Sampling designs incorporating the spatial locations of units in the sample frame are called spatially balanced designs. Spatially balanced designs can be obtained using the Generalized Random Tessellation Stratified (GRTS) algorithm (Stevens and Olsen, 2004), which we discuss in more detail

79 in Section 2.2. The design-based approach combines the randomness of the
80 sampling design and the data collected via the sample to estimate parameters
81 (e.g. means and totals) of a population. Generally, these population parameters
82 are assumed to be fixed, unknown constants.

83 Treating the data as fixed and incorporating randomness through the sampling
84 design yields estimators having very few other assumptions. Confidence intervals
85 for these types of estimators are typically derived using limiting arguments
86 that incorporate all possible randomizations of sampling units selected via the
87 sampling design. Means and totals, for example, are asymptotically normally
88 distributed (normal) by the Central Limit Theorem (under some assumptions).
89 If we repeatedly sample the surface, then 95% of all 95% confidence intervals
90 constructed from a procedure with appropriate coverage will contain the true,
91 fixed mean. Särndal et al. (2003) and Lohr (2009) provide thorough reviews of
92 the design-based approach.

93 The model-based approach assumes the data are a random realization of
94 a data-generating process. Randomness is incorporated through distributional
95 assumptions on this process. Strictly speaking, randomness need not be incor-
96 porated through random sampling, though Diggle et al. (2010) warn against
97 preferential sampling. Preferential sampling occurs when the process generating
98 the data locations and the process being modeled are not independent of one
99 another. To guard against preferential sampling, model-based approaches often
100 still implement random sampling.

101 Instead of estimating fixed but unknown parameters (as in the design-based
102 approach), the goal of model-based inference in the spatial context is often to
103 predict a realized variable, or value. For example, suppose the realized mean of all
104 population units is the value of interest. Instead of *estimating* a fixed, unknown
105 mean, we are *predicting* the value of the mean, a random variable. Prediction
106 intervals are then derived leveraging assumptions of the data generating process.
107 If we repeatedly generate the response values from a fixed spatial process and
108 obtained a sample, then 95% of all 95% prediction intervals constructed from a
109 procedure with appropriate coverage will contain their respective realized means.
110 Cressie (1993) and Schabenberger and Gotway (2017) provide reviews of model-
111 based approaches for spatial data. A visual comparison of the design-based and
112 model-based assumptions is provided in Figure 1 (Brus (2020) provides a similar
113 figure).

114 2.2. Spatially Balanced Design and Analysis

115 Spatially balanced samples can be obtained using the design-based approach.
116 Spatially balanced samples are useful because parameter estimates from these
117 samples tend to vary less than parameter estimates from samples that are not
118 spatially balanced (Barabesi and Franceschi, 2011; Benedetti et al., 2017; Graf-
119 ström and Lundström, 2013; Robertson et al., 2013; Stevens and Olsen, 2004;
120 Wang et al., 2013). The first spatially balanced sampling algorithm that saw
121 widespread use was the Generalized Random Tessellation Stratified (GRTS)
122 algorithm (Stevens and Olsen, 2004). To quantify the spatial balance of a

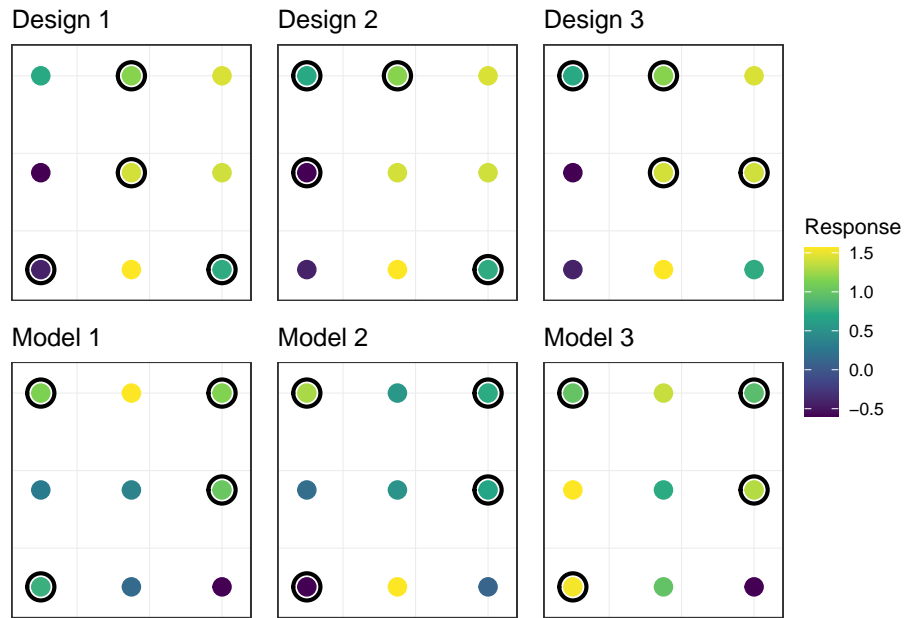


Figure 1: A comparison of sampling under the design-based and model-based frameworks. Points circled are those that are sampled. In the top row, we have one fixed population, and three random samples of $n = 4$. The response values at each site are fixed, but we obtain different estimates for the mean response because the randomly sampled sites vary from sample to sample. In the bottom row, we have three realizations of the same spatial process sampled at the same locations. The spatial process generating the response values has a single mean, but the realized mean is different in each of the three panels.

sample, Stevens and Olsen (2004) proposed loss metrics based on Voroni polygons. Since GRTS was developed, several other spatially balanced sampling algorithms have emerged, including the Local Pivotal Method (Grafström et al., 2012; Grafström and Matei, 2018), Spatially Correlated Poisson Sampling (Grafström, 2012), Balanced Acceptance Sampling (Robertson et al., 2013), Within-Sample-Distance Sampling (Benedetti and Piersimoni, 2017), and Halton Iterative Partitioning Sampling (Robertson et al., 2018). In this manuscript, we use Generalized Random Tessellation Stratified (GRTS) sampling because it has several attractive properties: GRTS sampling accommodates finite and infinite sampling frames; accommodates equal, unequal, and proportional (to) size inclusion probabilities; accommodates legacy (historical) sampling; accommodates a minimum distance between units in a sample; accommodates reverse hierarchically ordered replacement units in a sample (replacement units are units available to be sampled if an original unit cannot be sampled); and is available in the `spsurvey` R package Dumelle et al. (2021).

The GRTS algorithm samples from finite and infinite populations by utilizing a mapping between two-dimensional and one-dimensional space. The units in the two-dimensional sampling frame are divided into cells using a hierarchical address. This hierarchical address is then used to map the units from two-dimensional space to a one-dimensional line where each unit's line length equals its inclusion probability. A systematic sample is conducted on the line and linked back to a unit in two-dimensional space, which results in the desired sample. Stevens and Olsen (2004) and Dumelle et al. (2021) provide further details.

After selecting a GRTS sample, data are collected and used to estimate population parameters. To unbiasedly estimate population means and totals from sample data, one can use the Horvitz-Thompson estimator (Horvitz and Thompson, 1952). If τ is a population total, the Horvitz-Thompson estimate of τ , denoted by $\hat{\tau}_{ht}$, is given by

$$\hat{\tau}_{ht} = \sum_{i=1}^n Z_i \pi_i^{-1}, \quad (1)$$

where Z_i is the value of the i th unit in the sample and π_i is the inclusion probability of the i th unit in the sample. An estimate of the population mean is obtained by dividing $\hat{\tau}_{ht}$ by the population size.

While the Horvitz-Thompson estimator is unbiased for population means and totals, it is also important to quantify the uncertainty in these estimates. Horvitz and Thompson (1952) and Sen (1953) provide variance estimators for $\hat{\tau}_{ht}$, but they have two drawbacks. First, these estimators rely on calculating π_{ij} , the probability that unit i and unit j are both in the sample – this quantity can be challenging if not impossible to calculate analytically. Second, these estimators ignore the spatial locations of the units in the sampling frame. To address these two drawbacks simultaneously, Stevens and Olsen (2003) proposed the local neighborhood variance estimator. The local neighborhood variance estimator does not rely on π_{ij} and incorporates spatial locations – for technical details see Stevens and Olsen (2003). Stevens and Olsen (2003) show the local neighborhood

160 variance estimator tends reduce $\text{Var}(\hat{\tau})$ compared to variance estimators ignoring
 161 spatial locations, yielding narrower confidence intervals for τ .

162 2.3. Finite Population Block Kriging

163 Finite Population Block Kriging (FPBK) is a model-based approach that
 164 expands the geostatistical Kriging framework to the finite population setting
 165 (Ver Hoef, 2008). Instead of basing inference off of a specific sampling design, we
 166 assume the data are generated by a spatial process. Ver Hoef (2008) gives details
 167 on the theory of FPBK, but some of the basic principles are summarized below.
 168 Let $\mathbf{z} \equiv \{z(s_1), z(s_2), \dots, z(s_N)\}$ be a response vector at locations s_1, s_2, \dots, s_N
 169 that can be measured at the N population units and is represented as an
 170 $N \times 1$ vector. Suppose we want to predict some linear function of the response
 171 variable, $f(\mathbf{z}) = \mathbf{b}'\mathbf{z}$, where \mathbf{b}' is a $1 \times N$ vector of weights. For example, if we
 172 want to predict the population total across all population units, then we would
 173 use a vector of 1's for the weights.

174 We often only have a sample of the N population units. Denoting quantities
 175 that are part of the sampled population units with a subscript s and quantities
 176 that are part of the unsampled population units with a subscript u ,

$$\begin{pmatrix} \mathbf{z}_s \\ \mathbf{z}_u \end{pmatrix} = \begin{pmatrix} \mathbf{X}_s \\ \mathbf{X}_u \end{pmatrix} \beta + \begin{pmatrix} \boldsymbol{\delta}_s \\ \boldsymbol{\delta}_u \end{pmatrix}, \quad (2)$$

177 where \mathbf{X}_s and \mathbf{X}_u are the design matrices for the sampled and unsampled
 178 population units, respectively; β is the parameter vector of fixed effects; and
 179 $\boldsymbol{\delta}_s$ and $\boldsymbol{\delta}_u$ are random errors for the sampled and unsampled population units,
 180 respectively. Denoting $\boldsymbol{\delta} \equiv [\boldsymbol{\delta}_s \ \boldsymbol{\delta}_u]'$, we assume the expectation of $\boldsymbol{\delta}$ equals $\mathbf{0}$.

In addition to assuming the expectation of $\boldsymbol{\delta}$ equals $\mathbf{0}$, we also assume that
 there is spatial correlation in $\boldsymbol{\delta}$ that can be modeled using a covariance function.
 It is common to assume the covariance function is second-order stationary
 and isotropic (Cressie, 1993), and that the spatial covariance decreases as
 the separation between population units increases. Many spatial covariance
 functions exist, but the primary function we use throughout the simulations and
 applications in this manuscript is the exponential covariance function: the i, j th
 entry for $\text{cov}(\boldsymbol{\delta})$ is

$$\text{cov}(\delta_i, \delta_j) = \begin{cases} \sigma_{ps}^2 \exp(-h_{i,j}/\phi) & h_{i,j} > 0 \\ \sigma_{ps}^2 + \sigma_n^2 & h_{i,j} = 0 \end{cases}, \quad (3)$$

181 where σ_{ps}^2 is the partial sill measuring coarse-scale (correlated) variability, σ_n^2 is
 182 the nugget measuring fine-scale (independent) variability, ϕ is the range parameter
 183 measuring the distance-decay rate of the covariance, and $h_{i,j}$ is the Euclidean
 184 distance between population units i and j . Any spatial covariance function could
 185 be used in the place of the exponential, however, including functions that allow
 186 for non-stationarity or anisotropy (Chiles and Delfiner, 1999, pp. 80–93).

187 With the above model formulation, the Best Linear Unbiased Predictor
 188 (BLUP) for $f(\mathbf{b}'\mathbf{z})$ and its prediction variance can be computed. While details

of the derivation are in (Ver Hoef, 2008), we note here that the predictor and its variance are both moment-based, meaning they don't rely on any distributional assumptions.

We note that we only use FPBK in this paper in order to focus more on comparing the design-based and model-based approaches. However, k-nearest-neighbors (Fix and Hodges, 1951; Ver Hoef and Temesgen, 2013), random forest (Breiman, 2001), Bayesian models (Chan-Golston et al., 2020), among others, can also be used to obtain predictions for a mean or total from spatially correlated responses of a finite population. We choose to use FPBK because it is faster than a Bayesian approach and random forest and because Ver Hoef and Temesgen (2013) showed that the method outperforms k-nearest-neighbors in many scenarios.

3. Numerical Study

We used a numerical simulation study to investigate performance of four design-analysis combinations, summarized in Table 1.

	IRS	GRTS
IRS	IRS-Design	GRTS-Design
GRTS	IRS-Model	GRTS-Model

Table 1: Types of Sampling Design and Analysis combinations considered in the simulation study. The rows give the two types of sampling designs while the columns give the two types of analyses.

We used a crossed design with the simulation parameters given in Table 2 for a total of 36 scenarios. All scenarios used exponential correlation with an effective range of $\sqrt{2}$ for $N = 900$ response values simulated on the unit square in either random locations (Layout = Random) or gridded locations (Layout = Gridded). The mean for the spatial process generating the response was set to zero.

For the lognormal scenarios, the response values were simulated using the specified correlation parameters using a normal distribution and were subsequently exponentiated. A total variance of 2 and a mean of 0 on the normal scale is equivalent to a total variance of 47 and a mean of 2.72 after exponentiation. Therefore, when the model-based methods were used for lognormal response, the correlation was mis-specified. We chose to simulate values with a lognormal distribution so that we could test the model-based analysis approach with a mis-specified model and so that we could test both analysis approaches on data that exhibits a large amount of skewness.

There were 2000 simulation trials for each of the 36 parameter combinations. In each trial, response values were generated from a spatial process with the specified parameters, and a GRTS sample and an IRS sample were selected. For the GRTS sample, the design-based approach using the local neighborhood variance (GRTS-Design) and a model-based approach were applied (GRTS-Model). For the IRS sample, the design-based approach using the simple random

Sample Size (n)	50	100	200
Layout	Random	Gridded	-
Proportion of Dependent Error	0	0.5	0.9
Response Type	Normal	Lognormal	-

Table 2: Simulation parameters. Total variability for all scenarios was 2 so that the partial sill was 0, 1, or 1.8.

sample variance (IRS-Design) and a model-based approach were applied (IRS-Model).

The GRTS algorithm and the local neighborhood variance estimator are available in the **R** package `spsurvey` (Dumelle et al., 2021). FPBK can be readily performed in **R** with the `sptotal` package (Higham et al., 2021). We use `sptotal` for both the simulation analysis and the application, estimating parameters with Restricted Maximum Likelihood (REML).

Mike For design-based, it’s really RMSE – how should we address this? Figure 2 shows the relative efficiency of the four approaches from Table 1 with “IRS-Design” as the baseline:

$$\text{EFF} = \frac{\text{rMSPE of approach}}{\text{rMSPE of IRS-Design}},$$

where rMSPE is the root-mean-squared-prediction error. When there is no spatial correlation (top row), the four approaches have approximately equal rMSPE, even when the assumptions of the model-based approaches are violated. So, using GRTS or using a spatial model does not result in much, if any, loss in efficiency even if the response variable is not spatially correlated. When there is high spatial correlation (bottom row), the GRTS-Model approach tends to perform best, but difference in relative efficiency between GRTS-Model and GRTS-Design is small. In the lognormal, high partial sill settings (bottom-right facet), GRTS-Design outperforms IRS-Model by a large margin, suggesting that the design decision (whether to use IRS or GRTS) is more important than the analysis decision (whether to analyze using model assumptions or not).

Unsurprisingly, Figure 2 also shows that, when the assumptions for GRTS-Model are satisfied, the approach outperforms GRTS-Design. However, even when the model that generates the data is different than the model used to fit the data, as in the lognormal response, the model-based approach still outperforms the design-based approach when there is a high amount of spatial correlation.

We also studied 95% interval coverage among the approaches. The design-based 95% confidence intervals and model-based 95% prediction intervals are constructed using the normal distribution. Justification for the design-based intervals lies in the asymptotic normality of totals via the Central Limit Theorem, and justification for the model-based intervals lies in the normality assumption of the errors. Figure 3 shows the 95% interval coverage for each of the four approaches. All four approaches have somewhat similar interval coverage in all settings, with GRTS-Design having slightly lower coverage when the response is normal.

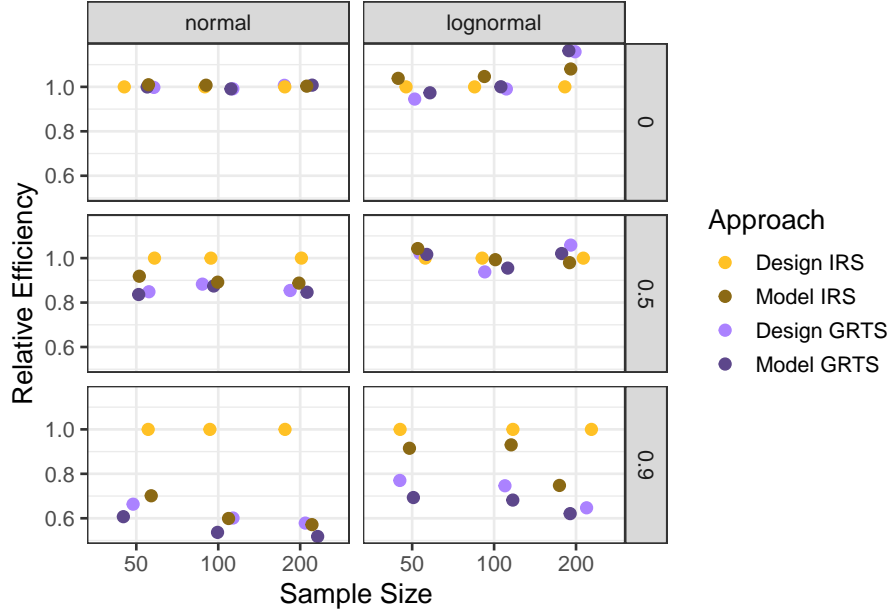


Figure 2: Relative Efficiency of the four design-analysis approaches. The plot is faceted by the type of response on the columns and the partial-sill to total-variance ratio on the rows.

In the normal response settings, all approaches have coverage around 95%. This is expected, as the intervals are also based on the normal distribution. In the lognormal response settings, however, all approaches have coverage below 95%. This is also expected, as the intervals are still based on the normal distribution. In the lognormal response settings, interval coverage increases both as the sample size increases and as the strength of spatial dependence increases. This suggests that the larger the sample size and the stronger the spatial dependence, the more resistant these intervals are to departures from normality of the data.

4. Application

The Environmental Protection Agency (EPA), states, and tribes periodically conduct National Aquatic Research Surveys (NARS) in the United States to assess the water quality of various bodies of water. We will use the 2012 National Lakes Assessment (NLA), which measures various aspects of lake health and quality in lakes in the contiguous United States, to obtain an interval for mean mercury concentration. Although we know the true mean mercury concentration values for the 986 lakes from the 2012 NLA, we will explore whether or not we obtain an adequately precise estimate for the realized mean mercury concentration if we sample only 100 of the 986 lakes.

Figure 4 shows that mercury concentration is right-skewed, with most lakes having a low value of mercury concentration but a few having a much higher

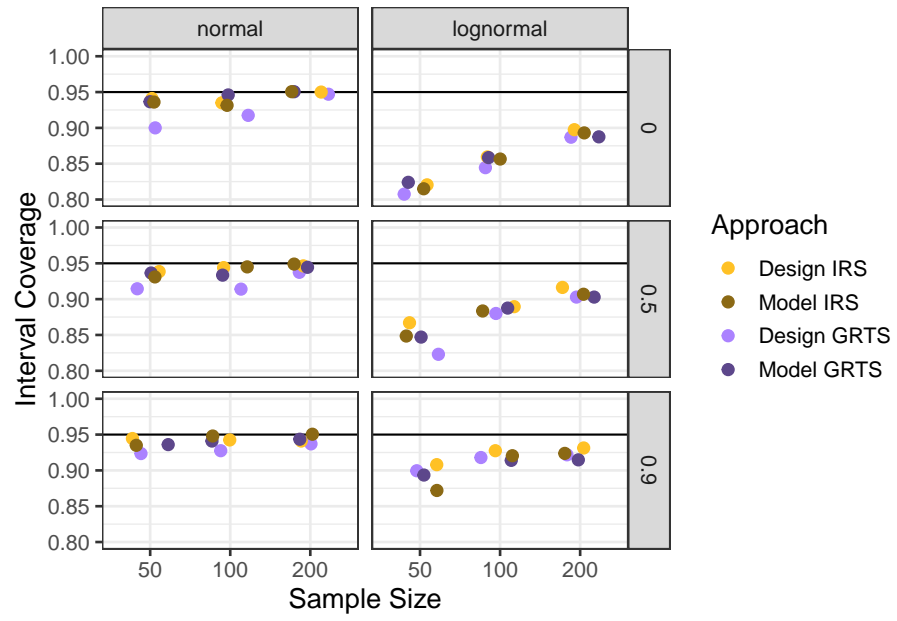


Figure 3: Coverage of the four design-analysis approaches. All confidence intervals are normal-based and have a nominal confidence level of 0.95, marked with a horizontal line. The plot is faceted by the type of response on the columns and the partial-sill to total-variance ratio on the rows.

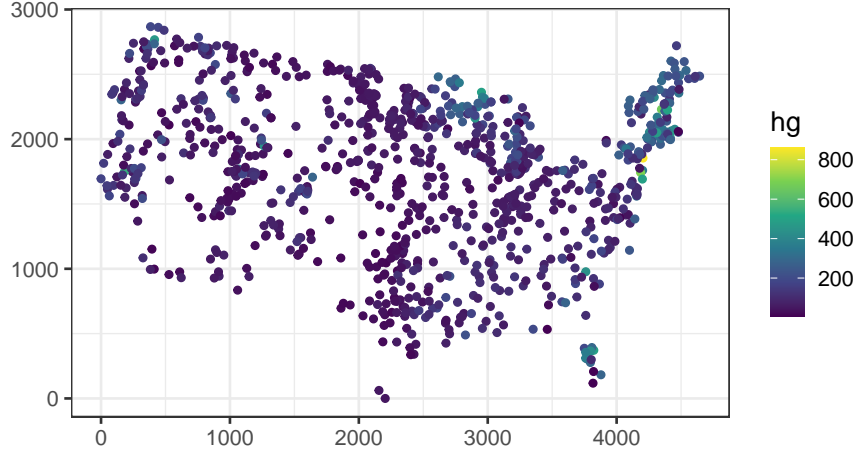


Figure 4: Population distribution of mercury concentration for 986 lakes in the contiguous United States.

concentration. Mercury concentration exhibits some spatial correlation, with high mercury concentrations in lakes in the northeast and north central United States. The realized mean mercury concentration in the 986 lakes is 103.2 ng / g.

Approach	Estimate	SE	95% LB	95% UB
IRS-Design	112.7	8.8	95.4	129.9
IRS-Model	110.5	7.9	95.0	125.9
GRTS-Design	101.8	6.1	89.8	113.7
GRTS-Model	102.3	5.9	90.8	113.9

Table 3: Application of design-based and model-based approaches to the NLA data set on mercury concentration. The true mean concentration is 103.2 ng / g.

Table 3 shows the application of a design-based analysis of an IRS sample, a model-based analysis of an IRS sample, a design-based analysis of a GRTS sample, and a model-based analysis of a GRTS sample. For all four analyses, the true realized mean mercury concentration is within the bounds of the 95% intervals. However, we should not generalize the results of this particular realization to any other data set or even to other potential samples of this data set.

But, we do note a couple of patterns. The design-based IRS analysis shows the largest standard error: a likely reason is that this is the only approach that

289 does not incorporate any spatial information regarding mercury concentration
290 across the contiguous United States. We also see that both approaches using
291 the GRTS sample have a lower standard error than the both approaches using
292 the IRS sample. We would expect this to be the case for most samples because
293 mercury concentration exhibits spatial patterning, so a spatially balanced sample
294 should usually yield a lower standard error.

295 5. Discussion

296 The design-based and model-based approaches to inference are fundamen-
297 tally different paradigms by which to select samples and analyze data. The
298 design-based approach incorporates randomness through sampling to estimate
299 a population parameter. The model-based approach incorporates randomness
300 through distributional assumptions to predict the realized value of a random
301 variable. Though these approaches have often been compared in the literature
302 both from theoretical and analytical perspectives, our contribution lies in study-
303 ing them in a spatial context while implementing spatially balanced sampling.
304 Aside from the theoretical differences described, a few analytical findings were
305 particularly notable: the design decision (GRTS vs IRS) seems much more im-
306 portant than the analysis decision (design-based vs model-based); Independent
307 of the analysis approach, there is no reason to prefer IRS over GRTS for spatial
308 data – GRTS tends to perform at least as well as IRS when there is no spatial
309 correlation increasingly than IRS as the strength of spatial correlation increases;
310 the gap in relative efficiency between design-GRTS and model-GRTS widens
311 as the strength of spatial correlation increases; and when the data are skewed,
312 interval coverage for all approaches improves both as the sample size increases
313 and as the strength of correlation increases.

314 There are several benefits and drawbacks of the design-based and model-based
315 approaches for spatial data, some of which we have not yet discussed but are
316 worthy of consideration in future research. The design-based approach relies on
317 few assumptions, while the model-based approach relies on rigid distributional
318 ones. The Horvitz-Thompson estimator of means and totals is unbiased and
319 computationally efficient, while model-based estimation of covariance parameters
320 can be computationally burdensome, especially for likelihood-based methods such
321 as REML that rely on inverting a covariance matrix. The design-based approach
322 also more naturally handles binary data, free from the more complicated logistic
323 regression formulation commonly used to handle binary data in a model-based
324 approach. The model-based approach, however, can quantify the relationship
325 between covariates (predictor variables) and the response variable, something
326 the design-based approach cannot do naturally. The model-based approach also
327 yields estimated spatial covariance parameters, which help better understand the
328 process of study. Model selection is also possible using model-based approaches
329 and criteria such as likelihood ratio tests or AIC (Akaike, 1974). Model-based
330 approaches are capable of more efficient small-area estimation than design-
331 based approaches by leveraging distributional assumptions in areas with few
332 observed sites. Model-based approaches can also compute site-by-site predictions

at unobserved locations and use them to construct informative visualizations. The benefits and drawbacks of both approaches, alongside our theoretical and analytical comparisons, should be heavily considered when choosing among them. This is especially true from an analysis perspective, as we found that using a spatially balanced sampling algorithm benefits both design-based and model-based analyses.

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