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Background Information on Research and Development (R&D) Statistics in the UIS Database

June 2022



Objective

This document serves as a reader's guide to help data users understand and interpret the Research and Development (R&D) data disseminated by the UNESCO Institute for Statistics (UIS). It presents the following information:

- The list of symbols accompanying data.
- The annual data release cycles.
- The data sources used by the UIS and their updates, including population and economic data used to calculate R&D indicators.
- Technical notes.

The following symbols are used:

| | |
|-----|-----------------------------|
| ... | Data not available |
| (a) | Category not applicable |
| (n) | Magnitude nil or negligible |
| (+) | National estimation |
| (‡) | UIS estimation |

Data releases

At present, the UIS launches its annual R&D Statistics Survey in September each year. Accordingly, the UIS releases R&D data through a data refresh in March and a data release in June in the subsequent year. The data refresh includes updated national data (as available by then) and the data release contains the final set of data for the respective survey cycle with new national and regional data.

This release includes new national data for the reference years 2019 and 2020, as well as updated time series data and regional averages. The new data are based on the UIS 2021 R&D Statistics Survey as well as statistics obtained from UIS partners, notably the Organisation for Economic Co-operation and Development ([OECD](#)), the Statistical Office of the European Union ([Eurostat](#)) and the Ibero-American Network of Science and Technology Indicators ([RICYT](#)).

UIS R&D data can be accessed in the following ways:

- [UIS Data Portal](#), which houses internationally comparable data on R&D for more than 150 countries and territories. This includes data for the [two Sustainable Development Goal's \(SDG\) global indicators related to R&D](#), SDG 9.5.1: R&D expenditure as a proportion of GDP, and SDG 9.5.2: Researchers (in full-time equivalent) per million inhabitants. Country level data and regional averages are available for the period of 1996 – 2020, as per June 2022 data release.
- [Bulk Data Download Service](#) (BDDS), which enables access to all UIS databases in comma-separated values (CSV) format. The R&D data (SDG 9.5) from the June 2022 data release can



be referred to through the 'Science' tab in BDDS. The other non-SDG related R&D data and indicators that UIS used to disseminate in the past, but which are discontinued and not updated through this data release, can still be accessed through the 'Archive' tab in BDDS. This contains R&D data which had been released as of March 2021.

Note: As of June 2020, the UIS SDMX API has reached its End-of-Life (EOL) and is no longer up-to-date with the latest UIS datasets.

Definitions/Metadata for R&D data and indicators can be accessed at:

<http://uis.unesco.org/en/glossary>.

Stay informed of the latest data releases by signing up for the UIS email alert service at:

<http://uis.unesco.org>.

Data sources

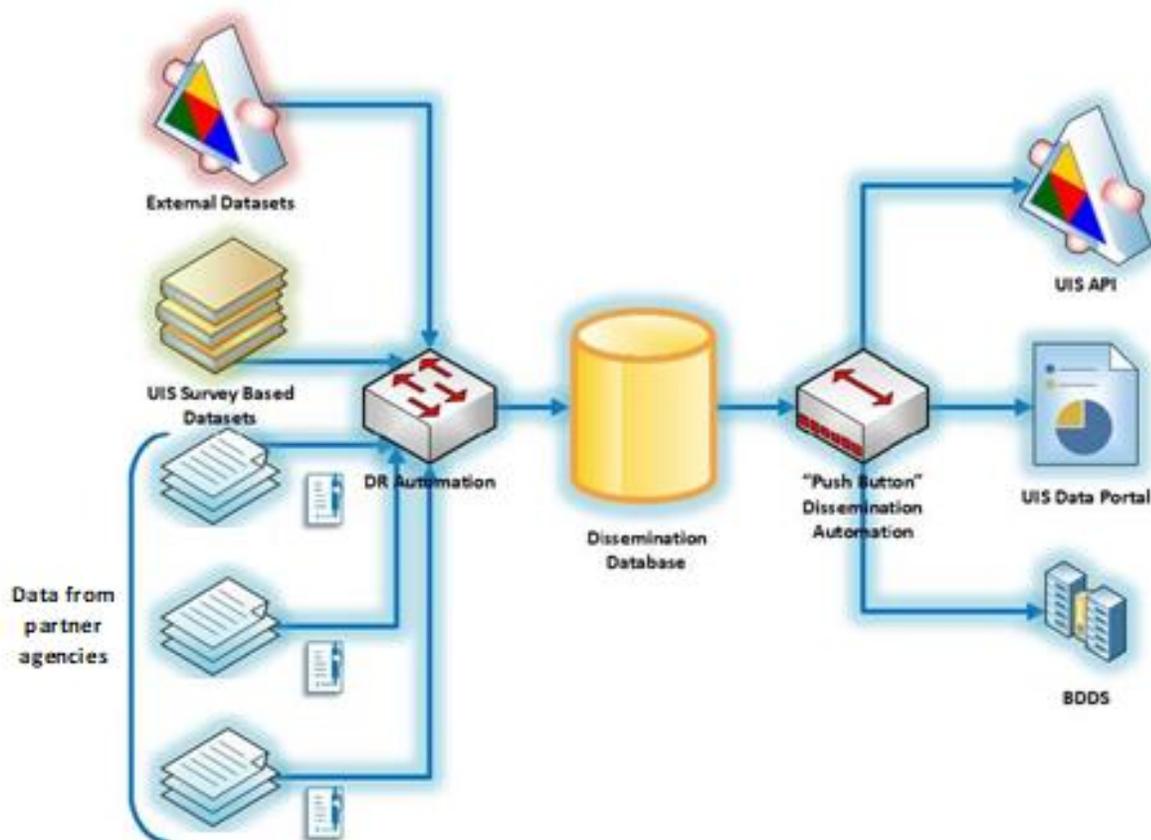
Underlying data in the UIS Database or used data for calculating indicators are essentially based on data provided by UNESCO Member States through the UIS Annual R&D Statistics Survey. In addition, the UIS obtains raw data directly from the Organisation for Economic Co-operation and Development (OECD), the Statistical Office of the European Union (Eurostat) and the Ibero-American Network of Science and Technology Indicators (RICYT), for countries which participate in the data collections of these organisations.

At the national level, data sources for R&D statistics are nationally representative R&D surveys, and/or data compiled through administrative data sources or data derived by a combination of the two, by the National Statistical Offices or relevant line ministries such as the Ministry of Science and Technology.



Figure 1 presents the UIS R&D database and dissemination cycle, illustrating the centralized collection of data that originate from different sources.

Figure 1. UIS R&D database production and dissemination cycle



Source: UNESCO Institute for Statistics.

Note: DR = data release



Overview of SDG indicators currently available

Table 1 provides a snapshot of the SDG indicators available in the UIS database.

Table 1. Description and details of SDG indicator released for R&D

| SDG indicator no. | Indicator name | Indicator description | | | |
|-------------------|---|---|--|---|------------------------------|
| | | Is the indicator being reported for the first time? (Y/N) | Total number of countries for which the indicator is available | Range of years for which data are available for the indicator | Dimensions of disaggregation |
| 9.5.1 | Research and development expenditure as a proportion of GDP | N | 150 | 1996 - 2020 | - |
| 9.5.2 | Researchers (in full-time equivalent) per million inhabitants | N | 140 | 1996 - 2020 | - |

UIS R&D data collection

The UIS collects R&D statistics in aggregated form from UNESCO Member States through its annual R&D Statistics Survey as well as from its partner agencies.

i) UIS Survey of Research and Experimental Development (R&D) Statistics

The UIS administers an R&D data collection, through its Survey of Research and Experimental Development (R&D) Statistics, focusing on a minimum set of data, covering human and financial resources devoted to R&D at the national level. It is specially focused on the essential underlying data set on R&D personnel and expenditure, which are needed for the production and validation of the two SDG global indicators related to R&D, SDG 9.5.1: R&D expenditure as a proportion of GDP and SDG 9.5.2: Researchers (in full-time equivalent) per million inhabitants, ensuring the required quality aspects.

The UIS R&D Statistics Survey questionnaire is sent directly to approximately 125 countries annually (which are not covered by the data collections of other partner agencies), to collect the most recent data. The questionnaire is based on international standards, classifications and other measures that are regularly reviewed and modified by the UIS to address emerging statistical issues and improve data quality. Notably, the concepts, definitions and classifications related to R&D statistics used in the questionnaire are based on the *Frascati Manual* (OECD, 2015).

The questionnaire, instruction manual and other related supporting documents can be downloaded from the UIS website at: <http://uis.unesco.org/uis-questionnaires>.



ii) Data obtained from partner agencies

Underlying data for the remainder of countries are obtained from the Organisation for Economic Co-operation and Development ([OECD](#)), the Statistical Office of the European Union ([Eurostat](#)) and the Ibero-American Network of Science and Technology Indicators ([RICYT](#)). In agreement with these three organisations, their data (which were collected from their member states/associated member states, etc., – around 65 countries) are either directly obtained from the respective databases (OECD and Eurostat) or received from the partner (RICYT). These partnerships had been established in order to reduce response burden on countries.

External data sets

Population estimates

The main source of population estimates is from the following reference: United Nations, Department of Economic and Social Affairs, Population Division (2019). *World Population Prospects: The 2019 Revision*, (<https://population.un.org/wpp/Download/Standard/Population/>).

Where UN Population Division (UNPD) estimates are not available or where population issues have arisen, national data or UIS estimates are used. Population-based indicators are listed as missing (...) if population data are not available.

Summary of population data sources

The UN Population Division (UNPD) is the standard source of population data used for the calculation of population-based R&D indicators at the UIS. For five countries, population data from a different source are used to generate more precise indicator values. The exceptions, summarized in **Table 2**, can be classified as follows:

- No UNPD population estimates are available. This is the case for a few small countries (e.g. Monaco).
- Population data by UNPD represent a geographically larger area than R&D data. Without adjustments, this would lead to an underestimation of population-based indicators. Countries in this group include Cyprus, Republic of Moldova, Serbia and Ukraine.

The UIS has collaborated with the UNDP and the World Bank on the use of UN or non-UN population data for calculation of SDG indicators, as part of a task team established by the Committee for the Coordination of Statistical Activities (CCSA). UNPD has revised its estimation method for national population figures and expects to release updated World Population Prospects based on the new methodology in May 2022 (details are available at:

<https://www.un.org/development/desa/pd/events/expert-group-meeting-methods-world-population-prospects-2021-and-beyond>.

**Table 2. Sources of population data for UIS R&D indicator calculation**

| Source of population data | Number of countries | Criteria used |
|--|---------------------|--|
| United Nations Population Division (UNPD): World Population Prospect 2019, released in June 2019 | 150 | UNPD is the main source of population data used for calculation of population based R&D indicators by the UIS for all countries, with the exception of the countries below in this column. |
| Eurostat population database | 4 | Countries for which R&D data do not cover certain areas but UNPD data do*: <ul style="list-style-type: none"> - Cyprus (excluding areas not under the control of the national government) - Serbia (excluding Kosovo and Metohija) - Ukraine (2015 onwards: excluding areas not under the control of the national government) |
| | | Small European countries for which the UNPD did not provide data: <ul style="list-style-type: none"> - Monaco |
| Data obtained from National Statistical Offices | 1 | Countries for which R&D data do not cover certain areas but UNPD data do*: <ul style="list-style-type: none"> - Republic of Moldova (excluding some districts: the left side of the river Nistru and municipality Bender) |

Note: *Refer to section on 'Country notes' for additional information.

Economic statistics

The main source of economic data, for gross domestic product (GDP) in current local currency, the GDP deflator and the purchasing power parity (PPP) conversion factor (local currency per international dollar), used for the calculation of economic-based R&D indicators at the UIS is the World Bank estimates (World Development Indicators DataBank) as of December 2021. It also uses the PPP conversion factor (local currency per international dollar), of the most recent World Bank International Comparison Program of 2017. For countries where GDP estimates are not published by the World Bank, data are obtained from the United Nations Statistics Division (UNSD), as of December 2021. Economic-based indicators are listed as missing (...) if the underlying economic data are not available.



High level summary of countries that reported data that could not be released

Tables 3 below presents a summary of the number of countries for which R&D data was reported through UIS 2021 R&D Statistics Survey but not released, grouped by key causes.

Table 3. UIS Survey of R&D Statistics – summary of causes preventing the publication of data

| Issues preventing the publication of data submitted through UIS 2021 R&D Statistics Survey for the reference years 2019 and/or 2020 or latest available year | Number of countries |
|--|---------------------|
| Significantly partial/under-coverage data | 1 |

Technical notes

A. Resources

- Frascati Manual, OECD (2015): The OECD Frascati Manual provides standard guidelines and recommendations for collecting and reporting internationally comparable statistics on the financial and human resources devoted to R&D. This can be referred to at: http://www.oecd-ilibrary.org/science-and-technology/frascati-manual-2015_9789264239012-en.
- The UIS provides a guide to conducting an R&D survey for countries starting to measure R&D. This can be referred to at: <http://uis.unesco.org/sites/default/files/documents/guide-to-conducting-an-rd-survey-for-countries-starting-to-measure-research-and-experimental-development-2014-en.pdf>.

B. R&D data

The underlying R&D data compiled at the national level should comply with the concepts/definitions provided in the international standards (i.e. Frascati Manual). According to the guidelines, the reported data should cover all sectors of performance (government, higher education, business enterprise and private non-profit sectors, as defined in the Frascati Manual), representing all institutions, which are engaged in R&D activities in a particular country.

With regard to developing countries, R&D data are not collected on a regular basis in many countries and all the sectors of R&D performance (those mentioned above) are not fully covered. In some cases, certain sectors are partially covered, and in particular the business enterprise sector often does not get covered. To inform of any discrepancies between standard classifications and national practices, as well as differences in coverage, appropriate footnotes accompany data/indicators which are published in the UIS Database to adequately document the results and provide explanations. These limitations should be taken into consideration when comparing data among countries.

According to the Frascati Manual guidelines, data on R&D personnel (including 'researchers') should be compiled/reported in headcounts (HC) and full-time equivalents (FTE). These are two different units of measurement for accounting human resources devoted to R&D. However, the unit of underlying data (i.e. number of researchers) used for the SDG 9.5.2 indicator (researchers per million inhabitants)



is in FTEs. In some developing countries, data on number of researchers are only collected/reported in HCs and they lack the data based on FTEs, which leads to unavailability of SDG 9.5.2 indicator.

The R&D regional averages are based on both publishable data and non-publishable estimated or imputed data. They are calculated based on data as of June 2022.

C. Country notes

- **Cyprus:** R&D data for Cyprus do not cover areas that are not under control of the national government, whereas the 2019 Revision of the World Population Prospects data do. The population data used for the calculation of indicators were taken from Eurostat, as is the R&D data.
- **Republic of Moldova:** R&D data do not cover some districts (from the left side of the river Nistru and municipality Bender), whereas the 2019 Revision of the World Population Prospects data do. The population data used to calculate indicators were taken from the National Bureau of Statistics (NBS) of the Republic of Moldova. In addition, starting from 2014, revised population data contains usual resident population, which replaces resident population figures.
- **Serbia:** R&D data do not cover Kosovo and Metohija, whereas the 2019 Revision of the World Population Prospects do. The population data used for the calculation of indicators were taken from Eurostat.
- **Ukraine:** R&D data do not cover some regions (Autonomous Republic of Crimea, the city of Sevastopol, and parts of some other zones) that are not under government control from the year 2015 onwards, whereas the 2019 Revision of the World Population Prospects do. The population data used for the calculation of indicators were taken from Eurostat.