



# Measuring Research and Experimental Development

# Research and Development

- First edition published in 1963!
- Sixth edition published in 2002
- Data also collected since 1963
- Deals with expenditure and personnel





# Highlights of the 5<sup>th</sup> Frascati Manual revision

- Improved methodological guidelines
- Update various classifications
- R&D in service sectors
- Human resources for R&D
- Survey methods business enterprise sector
- GBAORD
- Globalisation and links to SNA (capitalisation of R&D!)
- Annexes on health, ICT and biotechnology

## Definition of R&D

- **Research and experimental development (R&D)** comprise creative work undertaken on a systematic basis in order to increase the stock of knowledge, including knowledge of man, culture and society, and the use of this stock of knowledge to devise new applications.

## Exclusions from R&D

- Education and training
- Other science and technology activities
- Other industrial activities
- Administration and other supporting activities

## Intramural R&D expenditure

- By sector of performance (BES, HE, GOV, PNP)
- By source of funds (same plus abroad)
- By type of activity (BR, AR, ED)
- By type of cost (current and capital)
- By field of science (nat sc, eng & techn, med sc, agri sc, soc sc, hum)
- By socio-economic objective (~ NABS)

# Business Expenditure on R&D

- BERD by industry (NACE/ISIC)
  - Main activity
  - Product field
  - ISIC 73
- BERD by size-class



# Government Budget Appropriations or Outlays for R&D (GBAORD)

1. Exploration and exploitation of the earth
2. Environment
3. Exploration and exploitation of space
4. Transport, telecommunication and other infrastructures
5. Energy
6. Industrial production and technology
7. Health
8. Agriculture
9. Education
10. Culture, recreation religion and mass media
11. Political and social systems, structures and processes
12. General advancement of knowledge: GUF
13. General advancement of knowledge: non-GUF
14. Defence



- **R&D Personnel:** are all persons employed directly on R&D, as well as those providing direct services such as R&D managers, administrators, and clerical staff.
  - Researchers
  - Technicians
  - Other supporting staff



# Researchers

## Researchers

are professionals engaged in the conception or creation of new knowledge, products, processes, methods and systems and also in the management of the projects concerned

## Researchers (continued)

- Researchers are classified in ISCO-88 Major Group 2, “Professionals”, and in “Research and Development Department Managers” (ISCO-88, 1237). By convention, members of the armed forces with similar skills who perform R&D should also be included.
- Managers and administrators engaged in the planning and management of the scientific and technical aspects of a researcher’s work also fall into this category. Their rank is usually equal or superior to that of persons directly employed as researchers and they are often former or part-time researchers.
- Postgraduate students at the PhD level engaged in R&D should be considered as researchers. They typically hold basic university degrees (ISCED level 5A) and perform research while working towards the PhD (ISCED level 6).

## Technicians and equivalent staff

### Technicians and equivalent staff

are persons whose main tasks require technical knowledge and experience in one or more fields of engineering, physical and life sciences or social sciences and humanities. They participate in R&D by performing scientific and technical tasks involving the application of concepts and operational methods, normally under the supervision of researchers.

*Equivalent staff* perform the corresponding R&D tasks under the supervision of researchers in the social sciences and humanities.

## Technicians and equivalent staff (contd.)

- Technicians and equivalent staff are classified in ISCO-88 Major Group 3, “Technicians and Associate Professionals”, notably in Sub-major Groups 31, “Physical and Engineering Science Associate Professionals”, and 32, “Life Science and Health Associate Professionals”, and in ISCO-88, 3434, “Statistical, Mathematical and Related Associate Professionals”. Members of the armed forces who work on similar tasks should also be included.
- Their tasks include:
  - Carrying out bibliographic searches and selecting relevant material from archives and libraries.
  - Preparing computer programmes.
  - Carrying out experiments, tests and analyses.
  - Preparing materials and equipment for experiments, tests and analyses.
  - Recording measurements, making calculations and preparing charts and graphs.
  - Carrying out statistical surveys and interviews.



## Other supporting staff

### **Other supporting staff**

includes skilled and unskilled craftsmen, secretarial and clerical staff participating in R&D projects or directly associated with such projects.

## Other supporting staff (continued)

- Other R&D supporting staff are essentially found in ISCO-88 Major Groups 4, “Clerks”; 6, “Skilled Agricultural and Fishery Workers”; and 8, “Plant and Machine Operators and Assemblers”.
- Included under this heading are all managers and administrators dealing mainly with financial and personnel matters and general administration, insofar as their activities are a direct service to R&D. They are mainly found in ISCO-88 Major Group 2, “Professionals”, and Minor Group 343, “Administrative Associate Professionals” (except 3434).

## Head Count data

### **“Head Count (HC)” data**

are data on the total number of persons who are mainly or partially employed on R&D.

Headcount data are the most appropriate measure for collecting additional information about R&D personnel, such as age, gender or national origin.



- *Possible approaches and options*
  - Number of persons engaged in R&D at a given date (e.g. end of period).
  - Average number of persons engaged in R&D during the (calendar) year.
  - Total number of persons engaged in R&D during the (calendar) year.

## Full time equivalent - FTE

- Series based on the number of full-time equivalent staff are considered to be a true measure of the volume of R&D.
- R&D may be the primary function of some persons (e.g. workers in an R&D laboratory) or it may be a secondary function (e.g. members of a design and testing establishment). It may also be a significant part-time activity (e.g. university teachers or postgraduate students). To count only persons whose primary function is R&D would result in an underestimate of the effort devoted to R&D; to do a headcount of everyone spending some time on R&D would lead to an overestimate. The number of persons engaged in R&D must, therefore, also be expressed in full-time equivalents on R&D activities.

- One FTE may be thought of as one person-year. Thus, a person who normally spends 30% of his/her time on R&D and the rest on other activities (such as teaching, university administration and student counselling) should be considered as 0.3 FTE. Similarly, if a full-time R&D worker is employed at an R&D unit for only six months, this results in an FTE of 0.5.
- Another option is to calculate FTEs based on the average hours worked per week, or devoted to each activity per week.

## FTE: sources

- Time-use surveys
- Survey: Full-time / part-time
- R&D coefficients

- Calculating full-time equivalents (FTE) is key to adequately calculating the Gross Expenditure in R&D (GERD). Since researcher's salaries are a significant part of GERD, it is important to include in the GERD only the proportion of the salaries devoted to R&D, this is, the FTE R&D salaries. If the HC salaries are included, GERD will be significantly overestimated.

## Tables recommended by Frascati Manual

- Total national R&D personnel by sector and by occupation (HC & FTE)
- Total national R&D personnel by sector and by level of qualification (HC & FTE)
- Researchers and, if possible, other categories of R&D personnel (HC), by:
  - Sex
  - Age



**Thank you!**

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