

SCIENCE AND TECHNOLOGY

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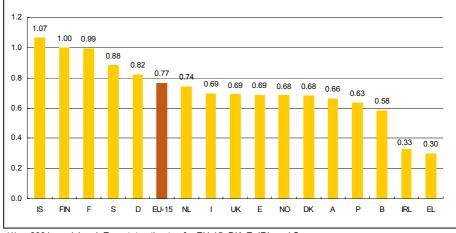


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Government budget appropriations or outlays on R&D in 2001

Ibrahim Laafia

Figure 1: Government budget appropriations or outlays on R&D as a percentage of national GDP — 2001 (\(^{l}\))



(1) 2001 provisional, Eurostat estimates for EU-15, DK, E, IRL and S.

Source: Eurostat.

- In 2001, the governments of the European Union allocated nearly EUR 67.5 billion in budget appropriations or outlays on R&D — GBAORD (estimate based on provisional data). In 1991, GBAORD was only EUR 52.6 billion, representing an increase, in nominal terms, of more than 25 % over 10 years.
- In real terms (at constant 1995 PPS), GBAORD of the EU saw little change over the ten-year period (1990-2000), with an average annual growth rate of 0.47 %. However, a more detailed analysis shows that there was a decline between 1990 and 1995 (-0.56 %), and then an increase between 1995 and 2000, with an average annual growth rate of 1.5 % (+3.84 % between 2000 and 2001).
- The growth in GBAORD which the European Union saw between 1995 and 2001
 was essentially due to special efforts by certain countries such as Spain, Ireland,
 Greece and Portugal. The GBAORD of the large EU countries such as Germany,
 France, Italy and the United Kingdom hardly changed over this period or declined
 slightly.
- GBAORD in the EU is primarily allocated to 'Research financed from General University Funds (GUF)', which alone represented 31.8 % of GBAORD in 2001. The other main categories are 'Defence' and 'Non-orientated research'. 'Defence' was the main category in Spain (1), France and the United Kingdom.
- In 1991, GBAORD of the United States represented over 1.10 % of GDP, i.e. more than 2.5 times the figure for Japan (0.43 %). The figures for EU-15, Japan and the United States in 2001 were 0.75 %, 0.64 % and 0.80 % of GDP respectively. At international level, there is a convergence in the ratio of GBAORD as a percentage of GDP.

(1) See methodological notes.

Revival in government budget appropriations or outlays on R&D by the Member States

This section is primarily concerned with total GBAORD at EU-15 level and at national level for the Member States, Iceland and Norway.

The analysis will then focus on the socio-economic objectives according to which the research activities are categorised.

This issue of *Statistics in Focus* highlights the specific trends in GBAORD of the European Union over the course of the last decade.

Total budget appropriations or outlays

Total GBAORD at European level has hardly changed over the last ten years, as shown by Figure 2. In terms of a percentage of GDP, GBAORD declined at EU level up to 1998, which marked the low point at 0.74 %. Subsequently, GBAORD increased slightly, rising to 0.77 % in 2001, thus regaining the level reached in 1997, which, for EU-15, represented approximately EUR 68 billion in nominal terms and EUR 60 billion in constant 1995 PPS (real terms).

Figure 1 highlights the scale of GBAORD at national level. It can be seen that in 2001, four Member States — Finland, France, Sweden and Germany — had a ratio of GBAORD to GDP above the Community average (0.77 %). This was also the case for Iceland.

Greece and Ireland allocated the equivalent of only approximately 0.3 % of their GDP to GBAORD.

The GBAORD of the other Member States fell within a range of 0.74 % (the Netherlands) to 0.58 % (Belgium) of GDP.

As can be seen from Table 1, in real terms, total GBAORD of EU-15 had average annual growth rates of the order of 1.5 % between 1995 and 2000. This rate was 3.84 % between 2000 and 2001 (provisional and estimated data).

The Member States with the highest growth rate in national GBAORD between 1995 and 2000 were Spain, Portugal, Ireland and Greece. On the other side of the coin, Germany, Sweden and Norway saw a fall in GBAORD over the same period.

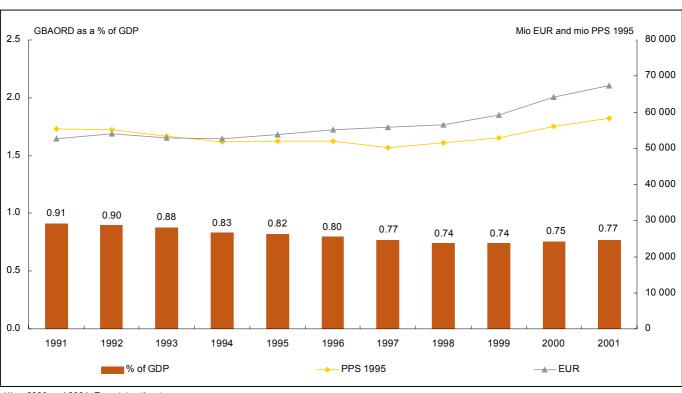


Figure 2: Change in total GBAORD of EU-15 as a percentage of GDP, expressed in current EUR and constant 1995 PPS (1)

(1) 2000 and 2001: Eurostat estimates.

Source: Eurostat.



Table 1: Average annual growth of GBAORD expressed in 1995 PPS (1)

The GBAORD of France remained stable, whilst that of the United Kingdom saw an average annual rate of 0.4 % over this period, which was four times less than the Community average.

To summarise, whilst GBAORD increased, at European level, between 1995 and 2000, it was due to the efforts of certain Member States, Spain, Greece, Ireland and Portugal — which offset the stagnation or slight decline in GBAORD by the large EU countries — Germany, France and the United Kingdom.

Between 2000 and 2001, total GBAORD of the EU grew even more substantially, at a rate of 3.8 % (in real terms). In fact, the large countries such as Germany, France and United Kingdom regained a markedly positive rate of growth over this period. Only Greece saw GBAORD decline between 2000 and 2001.

	1990-1995	1995 -2000	2000-2001
EU-15	-0.6	1.5	3.8
В	1.9	4.4	2.9
DK	1.2	1.9	:
D	1.2	-0.5	3.1
EL	6.1	6.8	-9.5
E	-0.4	10.2	:
F	-2.9	0.0	3.7
IRL	6.9	8.4	12.7
1	-2.3	3.2	7.4
NL	-0.9	3.0	1.7
Α	5.8	1.3	6.8
Р	6.1	9.6	3.9
FIN	3.1	4.9	2.4
S	0.2	-5.6	18.6
UK	-0.9	0.4	3.0
IS	:	:	:
NO	2.6	-0.6	2.7

(1) 2000 and 2001: Eurostat estimates.

Source: Eurostat.

GBAORD broken down by socio-economic objective

On the basis of the 1993 NABS classification, GBAORD is broken down by socio-economic objective, corresponding to the specific aims of the appropriations or outlays.

Within the EU, the main objective is 'Research financed from General University Funds (GUF)'. This is followed by 'Defence', 'Non-oriented research' and 'Industrial production and Technology'. Though the objective 'Defence' represents a substantial percentage of total GBAORD, this is due to the contribution made by certain countries, namely Spain, France, Sweden and the United Kingdom.

The objective 'Defence' represents 30.2 %, 23.2 % and 34.9 % of total national GBAORD in Spain, France and the United Kingdom, respectively. In the case of Sweden, the objective 'Defence' was in second position with 18.2 % of total GBAORD.

Table 2 shows the relative importance of each objective by Member State. Figure 3 shows the trend of the main objectives in the EU, excluding the objective 'Defence'.

As it includes the areas of mathematics and computer science, medicine and engineering sciences, the objective 'Research financed from GUF' is not only the main objective, but this is also the one which has seen the strongest growth over the last ten years, rising from 25 % of total GBAORD in 1991 to approximately 32 % in 2001.

The objective 'Non-oriented research', covering research areas as varied as mathematics, social sciences, medicine, agriculture and biology, also gained ground in the total

GBAORD of the EU over the decade, rising to approximately 15 % in 2001.

The third main objective 'Industrial production and technology', comprising areas such as 'Increasing economic efficiency and competitiveness', 'Production techniques', 'Chemical industry products' and 'Electronic and related industries', saw a slight decline over the period 1991-2001, dropping below the level of 10 % of total GBAORD of the EU. Table 3 details these specific trends.

In real terms (constant 1995 PPS), the socio-economic objective 'Research financed from GUF' grew over the whole period 1990-2000 — and did so more substantially than the growth in total GBAORD — with an average annual growth rate of 3.68 %.

Likewise, the objective 'Non-oriented research' saw a positive trend over the period 1990-2000, albeit with lower growth rates (2.24 %).

The decline in the objective 'Industrial production and technology' was largely due to its trend over the first half of the decade. Over the period 1990-1995, the average annual rate of change was -6.61 %. Subsequently, the objective saw a resumption in growth, with an average annual rate of 2.69 % over the period 1995-2000.

Between 2000 and 2001 (provisional data), the three objectives experienced growth, but saw their 'roles' reversed. The objective 'Research finance from GUF' continued to grow but at a slower pace than the objectives 'Non-oriented research' and 'Industrial production and technology'.



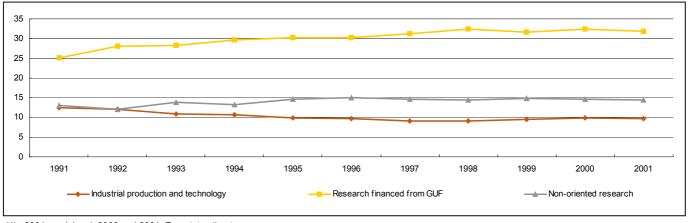
Table 2: GBAORD by NABS as a percentage of total national GBAORD — 2001 (1)

	NABS	EU-15	В	DK	D	EL	E	F	IRL	I	NL	А	Р	FIN	s	UK	IS	NO
01.	Exploration and exploitation of the earth	1.4	0.8	1.3	1.8	3.0	2.0	0.8	3.0	1.9	1.0	2.2	1.7	1.3	0.4	1.5	0.0	2.2
02.	Infrastructure and general planning of land use	1.5	8.0	1.8	1.7	2.6	0.6	0.6	2.7	0.4	3.8	1.8	8.2	2.1	3.3	1.9	7.5	2.3
03.	Control and care of the environment	2.8	2.6	2.8	3.1	4.3	2.7	2.9	1.7	2.3	3.9	1.5	4.7	2.2	0.9	2.6	0.8	2.8
04.	Protection and improvement of human health	6.3	1.4	2.0	4.0	7.5	4.8	5.8	4.0	7.0	3.1	2.9	7.2	6.4	0.7	14.2	8.7	7.2
05.	Production, distribution and rational utilisation of energy	2.9	2.7	2.0	3.4	1.4	3.6	3.9	0.0	3.6	3.0	0.6	0.9	5.7	2.6	0.5	2.5	2.0
06.	Agricultural production and technology	3.2	2.4	12.4	2.4	5.8	4.2	2.1	23.3	1.8	3.2	2.6	13.4	5.6	2.1	3.9	22.6	8.9
07.	Industrial production and technology	9.7	26.4	6.4	12.1	8.6	15.8	6.3	15.3	14.8	13.5	9.1	10.2	27.4	2.2	0.6	2.5	13.7
08.	Social structures and relationships	3.4	5.2	11.2	4.5	6.2	0.6	0.8	4.0	4.4	2.9	2.0	3.7	5.6	6.6	3.5	38.7	7.1
09.	Exploration and exploitation of space	5.5	11.4	2.8	4.7	0.3	5.5	9.8	0.0	7.3	2.4	0.1	0.6	2.2	2.4	2.4	0.0	2.3
10.	Research financed from General University Funds (GUF)	31.8	18.8	39.0	39.0	48.7	21.4	21.6	18.3	43.7	45.5	60.7	35.6	25.9	45.6	20.0	0.0	37.3
11.	Non-oriented research	14.4	23.3	17.8	16.1	10.6	7.3	19.8	27.6	8.8	10.6	13.8	8.8	14.1	0.0	13.7	16.8	9.3
12.	Other civil research	1.5	4.0	0.0	0.1	0.8	1.2	2.3	0.0	0.0	4.8	2.7	3.7	0.0	15.1	0.4	0.0	0.0
13.	Defence	15.5	0.2	0.6	7.1	0.4	30.2	23.2	0.0	4.0	2.2	0.0	1.3	1.6	18.2	34.9	0.0	4.8
	Total civil appropriations	84.5	99.8	99.4	92.9	99.6	69.8	76.8	100.0	96.0	97.8	100.0	98.7	98.4	81.8	65.1	100.0	95.2
	Total appropriations	100.0	100.0	100.0	100.0	100.0	100.0	100.0	100.0	100.0	100.0	100.0	100.0	100.0	100.0	100.0	100.0	100.0

⁽¹⁾ EU-15 2001: Eurostat estimate.

Source: Eurostat.

Figure 3: The objectives' Industrial production and technology', 'Research financed from GUF' and 'Non-oriented research' of the EU-15 between 1990 and 2001, as a percentage of total GBAORD (1)



(1) 2001 provisional, 2000 and 2001: Eurostat estimates.

Source: Eurostat.

Table 3: Average annual growth rates (%) of the main socio-economic objectives of the EU-15 expressed in constant 1995 PPS (¹)

	NABS objectives	1990-2000	1990-1995	1995-2000	2000-2001
07.	Industrial production and technology	-2.1	-6.6	2.7	2.8
10.	Research financed from GUF	3.7	4.2	3.2	1.3
11.	Non-oriented research	2.2	2.5	2.0	1.3
	Total GBAORD	0.5	-0.6	1.5	3.8

(1) 2000 and 2001: Eurostat estimates.

Source: Eurostat.



Nevertheless, the share of these three principal objectives in the total EU GBAORD has diminished between 2000 and 2001, their growth rate being below that of total GBAORD (3.84%).

In Denmark, Ireland and Portugal, the objective 'Agricultural production and technology' represented a non-negligible proportion of their respective total GBOARD. This seemed to be due in large part to the fishing industry, which is an important activity in these countries.

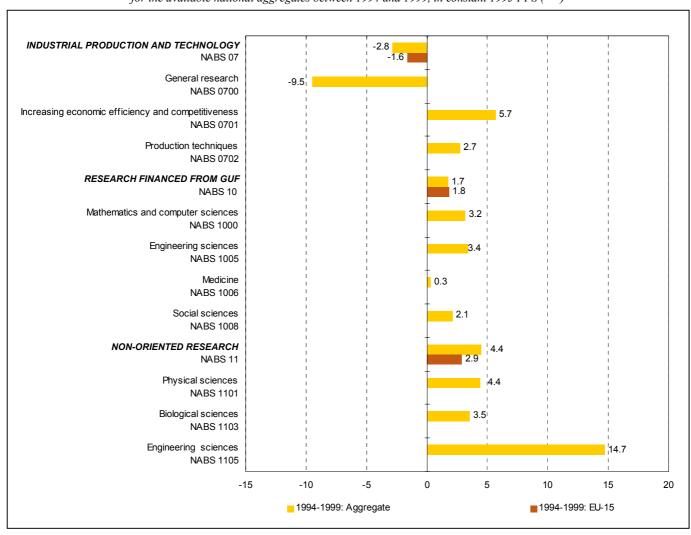
Figure 4 shows the trend of the social-economic objectives in more detail, using more specific objectives - subchapters of NABS (1). These trends are calculated according to the availability of data. This is why Figure 4 presents various individual aggregates rather than the EU-15 total.

The aggregate calculated for the objective 'Industrial production and technology' - NABS 07 - on the basis of data from seven Member States, represents 67.3 % of EU-15 GBAORD for this objective. The aggregates of the objectives 'Research financed from GUF' - NABS 10 and 'Non-oriented research' - NABS 11 - calculated on the basis of six and eight Member States, represent 48.1 % and 58.7 % respectively.

The decline in the objective 'Industrial production and technology' between 1994 and 1999 therefore seemed to be largely due to the decline in 'General research' - NABS 0700.

Likewise, the increase in the objective 'Non-oriented research' was in large part due to the increase in the objective 'Engineering sciences' - NABS 1105.

Figure 4: Average annual growth (%) of GBAORD by main sub-chapter of the socio-economic objectives NABS 07, 10 and 11 for the available national aggregates between 1994 and 1999, in constant 1995 PPS (1,2,3)



The NABS 07 aggregate includes DE, E, EL, IRL, I, NL and UK. The NABS 10 aggregate includes DE, E, FIN, EL, IRL and NL.

Source: Eurostat.



⁽¹⁾ See methodological notes.

The NABS 11 aggregate includes DE, E, FIN, EL, IRL, I, NL and UK.

An international perspective

Figure 5 shows that, in 2001, the main objective in the EU was 'Research financed from GUF', at 31.8 % of total GBAORD.

The objectives, 'Non-oriented research' and 'Defence', represented 14.4 % and 15.7 % of GBAORD respectively. The objective 'Industrial production and technology' represented 9.7 % of total GBAORD of the EU in 2001.

In Japan, the main socio-economic objective in 2000 was also 'Research financed from GUF', at 35.4 % of total GBAORD. Moreover, 18.1 % of GBAORD was allocated to the objective of 'Production, distribution and rational utilisation of energy'.

In the United States, more than half (54.1 %) of total GBAORD in 1998 was allocated to the objective 'Defence'. The objective 'Public health' accounted for a fifth of GBAORD, and 'Exploration and exploitation of space' accounted for just over a tenth.

Table 4 shows that GBAORD increased more substantially in Japan than in the United States and the European Union.

In the EU, the objective which increased the most between 1995 and 2000 was 'Social structures and relationships', at a rate of 7.2 %, whereas in the United States, it was the objective 'Non-oriented research', increasing at an average annual rate of 14 %.

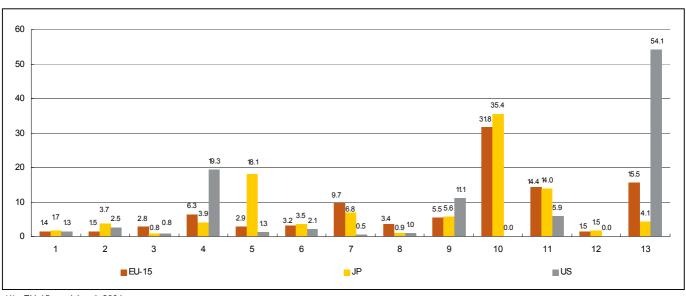
Table 4: Annual average growth rates (%) of socio-economic objectives for EU-15, Japan and the USA, expressed in constant 1995 PPS for the periods 1995-2000 and 2000-2001

		EU-1	5 (1)	JP	US (2)
		1995-2000	2000-2001	1995-2000	1995-2000
01.	Exploration and exploitation of the earth	-2.6	15.2	12.7	1.3
02.	Infrastructure and general planning of land use	1.3	5.0	21.9	-2.2
03.	Control and care of the environment	-0.2	16.7	14.3	-0.4
04.	Protection and improvement of human health	2.2	6.4	13.4	4.9
05.	Production, distribution and rational utilisation of energy	2.8	-3.9	3.9	-31.8
06.	Agricultural production and technology	-0.1	-4.1	6.7	-5.3
07.	Industrial production and technology	2.6	3.2	19.7	-10.3
08.	Social structures and relationships	7.2	10.8	1.3	-4.3
09.	Exploration and exploitation of space	-0.4	0.2	0.6	-0.5
10.	Research financed from General University Funds (GUF)	3.4	0.6	3.2	÷
11.	Non-oriented research	2.1	1.0	14.6	14.0
12.	Other civil research	-0.4	12.9	:	:
13.	Defence	-1.7	6.8	-1.7	0.9
	Total civil appropriations	2.3	2.3	6.9	0.9
	Total appropriations	1.7	3.0	6.5	0.5

- (1) EU-15: 2000 and 2001, Eurostat estimates.
- (2) US: figures for chapters 01 to 12 are 1995–1998 figures

Sources: Eurostat, OECD.





(1) EU-15 provisional: 2001; US: 1998; JP: 2000.

Sources: Eurostat, OECD.



> ESSENTIAL INFORMATION - METHODOLOGICAL NOTES

Definition — GBAORD

Government budget appropriations or outlays on R&D (GBAORD) are all appropriations allocated to R&D in central government or federal budgets and therefore refer to budget provisions, not to actual expenditure. Provincial or state government should be included where the contribution is significant. Unless otherwise stated, data include both current and capital expenditure and cover not only government-financed R&D performed in government establishments, but also government-financed R&D in the business enterprise, private non-profit and higher education sectors, as well as abroad, i.e. international organisations whose activities are solely or principally devoted to R&D (¹). Data on actual R&D expenditure, which are not available in their final form until some time after the end of the budget year concerned, may well differ from the original budget provisions. This and further methodological information can be found in the *Frascati Manual*, OECD, 1994.

Methodological discrepancies

Despite all efforts, the concepts and methods used by the individual Member States of the EU-15, the United States of America and Japan for collecting data on government R&D appropriations are not completely harmonised.

US data exclude the socio-economic objectives 'Research financed from General University Funds' and 'Other civil research' and are therefore systematically underestimated. Comparisons with other countries should be made with caution.

The figures for Japan are estimates made by the OECD Secretariat and recognised as official data by the Japanese Government. They underestimate expenditure on the social and human sciences and are thus only to some extent comparable with the data for other countries. Moreover, data are in general underestimated because the R&D portion of military contracts is excluded.

Exceptions

No GBAORD data exist for Luxembourg and therefore the EU-15 and EUR-12 totals exclude Luxembourg.

There are no 1997 data for Sweden.

The EU-15 and EUR-12 aggregates are Eurostat estimates for the years 1995, 1996, 1997, 2000 (final data) and 2001 (provisional data).

The GBAORD data for the USA for 1999, 2000 and 2001 are available only for the total, total civil objectives and the objective 'Defence'. The 2001 data are provisional.

The increase in the 'Defence' objective, since 1997, for Spain is due to the incorporation of significant amounts from the Ministry of Industry and Energy.

Breakdown by socio-economic objectives — NABS

Government R&D appropriations are broken down by socio-economic objectives on the basis of NABS (Nomenclature for the analysis and comparison of scientific programmes and budgets, Eurostat 1994). The 1983 version of NABS applies to all the figures up until the 1992 final budgets and the 1993 provisional budgets. The 1993 version applies from the 1993 final and the 1994 provisional budgets onwards. As a result of the revision of NABS, the data for some 1- and 2-digit NABS headings cannot really be compared with those in earlier publications. The greatest differences are to be found in chapters 1, 3, 5, 7, 10 and 11 of NABS. Not all countries collect the data directly by NABS: some follow other compatible classifications (OECD, Nordforsk), which are then converted to the NABS classification (see paragraph 455 of the *Frascati Manual*).

Time series

Data measured in constant 1995 PPS (Purchasing Power Standard) are first corrected for inflation using the GDP deflator (a Paasche index with 1995 = 100 as a base) of the country in question before applying the 1995 ECU/EUR exchange rate. The GDP deflator in general conforms to the 1995 European System of Accounts (ESA 95), available on New Cronos (Theme 2). Where the series was incomplete, the adjusted GDP deflator from ESA 79 was used. Appropriate caution should be employed interpreting the results in such cases.

As with the GDP deflator, time series on GDP are built up using the two systems of European accounts.

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not available.

(1) See the Frascati Manual, 6th edition, chapter 8.6.6.



Further information:

Reference publications

Title

Statistics on Science and Technology, 2002 edition (forthcoming)

Databases

New Cronos, Domain GBAORD

To obtain information or to order publications, databases and special sets of data, please contact the **Data Shop** network:

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