

# Statistics in focus

## SCIENCE AND TECHNOLOGY

THEME 9 – 2/2001

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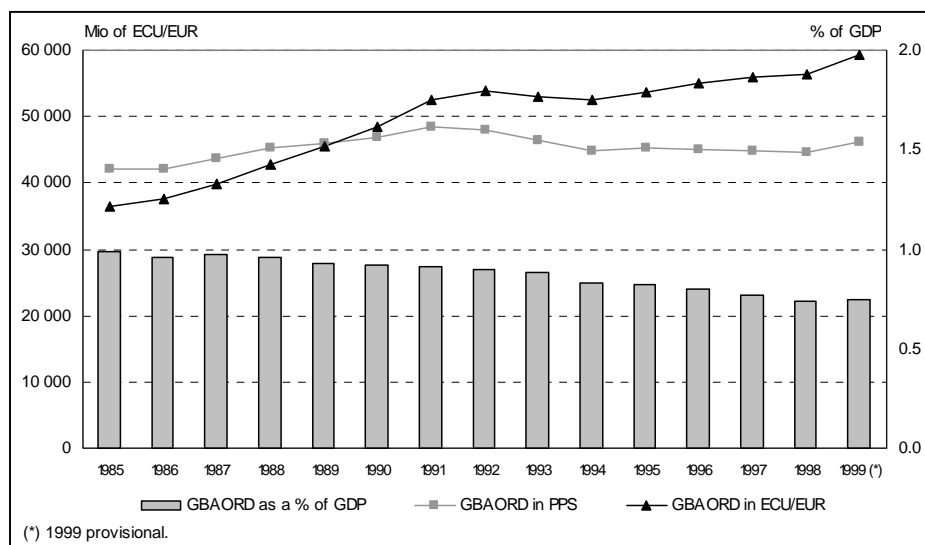


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# Government Budget Appropriations or Outlays on R&D in Europe

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Figure 1: Evolution of GBAORD in the EU-15 (\*), 1985-99



(\*) EU-15 data exclude Luxembourg.

- EU governments allocated 59 388 millions of Euro to R&D activities in 1999, 1.6 times the level of 1985. But as a percentage of GDP, the comparison between 1985 and 1999 shows a clear decrease.
- As a percentage of GDP, funds allocated to R&D activities by the governments of the large four countries of the EU (Germany, France, Italy and the UK) have declined substantially since 1990. Over the same period, smaller EU countries like Finland, Belgium, Spain and Portugal increased their allocation of funds to R&D activities.
- Since 1995, the largest increase in the allocation of funds to R&D activities devoted by the government is recorded for Spain (13 %), followed by Portugal (12 %), Ireland (7 %) and Finland (7 %).
- Distinguishing the GBAORD by socio-economic objectives, the evolution at EU level since the early 1990s shows that emphasis has shifted from the defence category towards the General University Funds.
- In 1999, about 70 000 millions of Euro were allocated by US to R&D activities (excluding General University Funds), and 26 000 millions by Japan (excluding the R&D portion of military contracts).

Note:

Government Budget Appropriations or Outlays on Research and Development (GBAORD) is an indicator of the government support for Research and Development activities.

## Introduction and definitions

Government Budget Appropriations or Outlays on Research and Development (GBAORD) is an indicator of the government support for Research and Development activities. This issue of Statistics in Focus presents some data and analysis of GBAORD, for the period 1985-99.

GBAORD of the EU-15 increased, in terms of current prices, at an annual average growth rate of 5.7 % between 1985 and 1992, and at a rate of 1.4 % between 1992 and 1999. In current prices,

EU-15 governments allocated EUR 59 388 million to R&D activities in 1999, 1.6 times the level of 1985.

However, in constant prices (PPS 1990), GBAORD of the EU-15 governments increased steadily until 1991, when it reached a peak, and since then it has followed a downward path. In constant prices, funds allocated by EU governments to R&D increased by 2.4 % annually between 1985-91, but later decreased at an average annual rate of 0.6 % between 1991 and 1999.

GBAORD as a proportion of Gross Domestic Product (GDP) shows a slightly negative trend for the 1985-99 period. In fact, the budgets allocated for the R&D activities as a proportion of GDP by the EU governments have consistently declined: in 1985, 0.99 % of the EU-15 GDP was allocated for R&D activities, but by 1999 the ratio had declined to 0.75 %.

All data presented for 1999 are provisional.

## GBAORD within the EU-15 countries: upward and downward paths

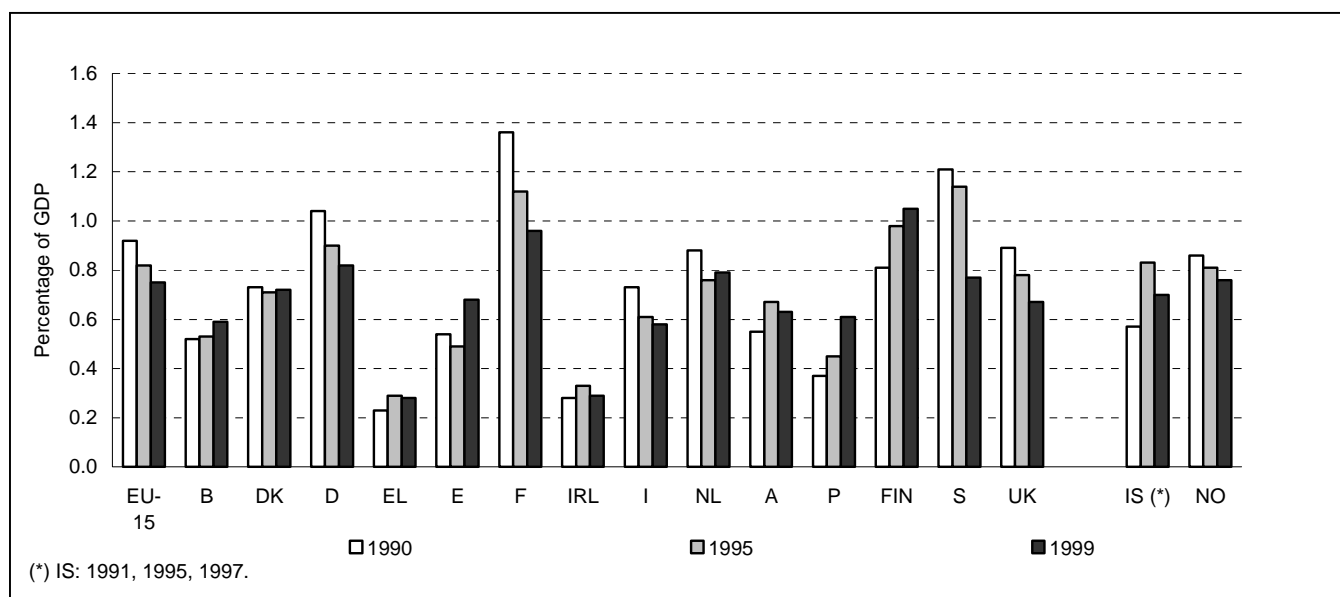
Aggregated GBAORD data of the EU-15 hide the existence of large disparities among the Member States. Expressing GBAORD as a proportion of GDP reveals that in 1999 Finland and France stand out from the rest of the EU countries (Figure 2). They allocated about 1 % of their respective GDP to R&D activities, which is far above the EU-15 average (0.75 %). At the other extreme, Ireland and Greece allocated only 0.28 % and 0.29 % of

their respective GDP to R&D activities in 1999.

Funds allocated to R&D activities (GBAORD as a percentage of GDP) by the governments of the large four countries of the EU (Germany, France, Italy and the UK) have declined substantially since the beginning of the 1990s. Over the same period, smaller EU countries like Finland, Belgium, Spain and Portugal have increased their

allocation of funds to R&D activities. In 1990, the French government allocated 1.36 % of its GDP to R&D activities (the highest proportion among the EU countries), but by 1995 this figure had declined to 1.08 % and to 0.96 % in 1999. The United Kingdom, Germany and Italy also experienced a substantial decline in GBAORD as a percentage of their respective GDP.

Figure 2: GBAORD as percentage of GDP in the EEA countries



The United Kingdom saw its ratio dropping from an initial 0.89 % in 1990 to 0.78 % in 1995 and to 0.67 % in 1999. Germany went from the initial 1.04 % in 1990 to 0.9 % in 1995 and finally 0.82 % in 1999. Italy went from 0.73 % in 1990, passing to 0.61 % in 1995, and 0.58 % in 1999. The Finnish government, on the other hand, increased its allocation of funds to R&D activities from 0.81 % in 1990 to 0.98 % by 1995 and up to 1.05 % in 1999 (the largest increase within the EU-15). Portugal also experienced a substantial increase in the GBAORD as a percentage of GDP: between 1990 and 1999, it increased from 0.37 % (1990) of GDP to 0.45 % (1995) and up to 0.61 % in 1999.

Table 1 shows the annual average growth rates of GBAORD between 1995 and 1999, expressed in PPS 1990: the largest increase in the allocation of funds to R&D activities devoted by the government is recorded for Spain (13.0 %), followed by Portugal (11.7 %), and Ireland and Finland (both 6.6 %). This is in sharp contrast to the allocation of funds to R&D activities by the governments of Sweden (- 7.2 %), France (- 1.6 %), the United Kingdom (- 1.1 %), Germany (- 0.7 %) and Italy (- 0.3 %), all of which have allocated fewer funds in 1999 than in 1995.

Table 1: Annual average growth rate of GBAORD, constant prices, 1995-99

	1995-99 (*) (annual average)
EU-15	0.48
B	5.28
DK	3.20
D	- 0.67
EL	2.69
E	13.05
F	- 1.55
IRL	6.61
I	- 0.28
NL	4.22
A	0.10
P	11.73
FIN	6.58
S	- 7.17
UK	- 1.09
IS	4.51
NO	2.38

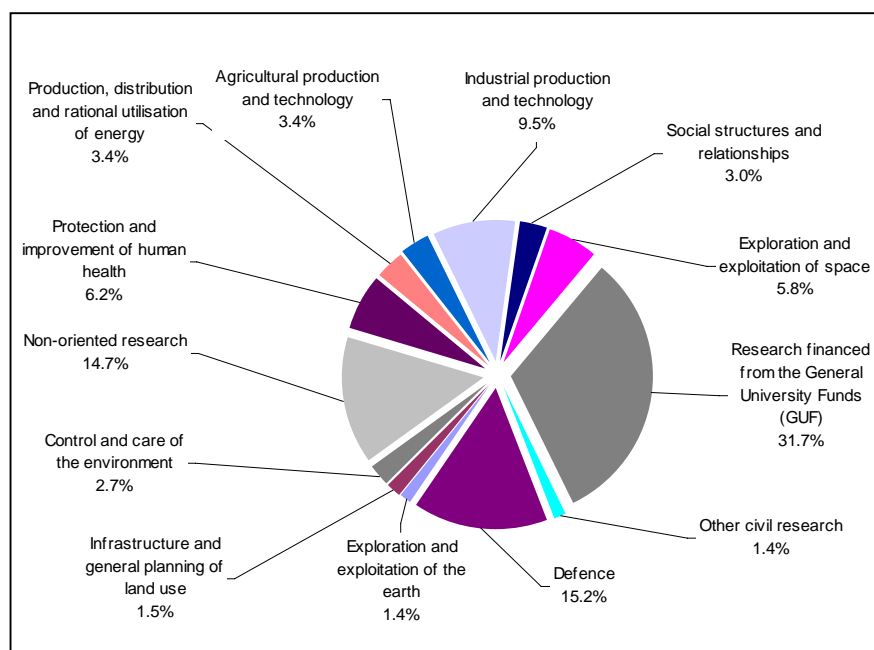
(\*) 1999: provisional data.

## GBAORD by socio-economic objectives: largest share to University Funds

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 analysis of the disaggregated data reveals the priorities placed by individual governments on the different categories.

Figure 3 shows the breakdown of R&D appropriations for the EU-15 by socio-economic objectives in 1999. The largest share of R&D funds allocated by the EU-15 was for the Government University Fund (GUF) category (31.7 %), followed by Defence (15.2 %) and Non-Oriented Research (14.7 %). In 1999, 18 806 millions of Euro were allocated for the GUF category in the EU-15 zone.

Figure 3: EU-15 GBAORD by socio-economic objectives (as percentage of total EU-15 GBAORD) in 1999 (provisional data)



Looking at individual country data reported in Tables 2 and 3, it can be noticed that there are wide variations in the emphasis placed by the EU Member States governments on the NABS categories. The majority of the EU countries

allocated the largest share of GBAORD to the GUF category. The percentage of funds allocated to Research financed from the GUF varies from 18.3 % in France to the highest value of 65.9 % in Austria. The United Kingdom, Spain and

France allocated the largest shares to the defence category (35, 30 and 22.7 % respectively). Ireland, Finland and Belgium placed more emphasis on Industrial Production and Technology (29.8, 28 and 3.6 %, respectively).

Table 2: GBAORD by chapter of NABS as percentage of total national GBAORD, 1999

	EU-15	B	DK	D	EL	E	F	IRL	I	NL	P	A	FIN	S	UK	IS	NO
1. Exploration and exploitation of the earth	1.4	1.0	1.3	1.8	4.3	2.0	0.7	0.4	1.6	0.8	2.7	1.8	1.7	2.0	1.4	:	2.3
2. Infrastructure and general planning of land use	1.5	1.0	1.9	1.7	3.8	0.6	0.6	2.4	0.3	3.7	2.8	1.9	2.4	6.0	1.9	5.3	2.3
3. Control and care of the environment	2.7	2.8	3.4	3.5	3.3	2.7	1.6	1.4	2.6	4.0	4.3	2.2	2.2	1.6	2.6	0.6	3.1
4. Protection and improvement of human health	6.3	1.4	1.8	3.3	4.9	4.8	5.5	2.9	9.4	3.7	5.3	2.6	7.0	1.8	14.7	4.2	7.0
5. Production, distribution and rational utilisation of energy	3.4	2.7	2.1	3.6	1.8	3.6	4.9	:	4.4	2.8	1.4	0.6	6.2	5.9	0.5	2.5	2.2
6. Agricultural production and technology	3.4	3.0	9.0	2.6	8.9	4.2	3.0	20.0	1.8	3.0	13.1	3.2	5.7	1.9	4.5	23.5	8.7
7. Industrial production and technology	9.5	23.6	9.6	12.7	8.0	15.7	6.2	29.8	7.2	14.1	17.2	5.7	28.0	4.0	1.5	1.2	12.3
8. Social structures and relationships	3.0	4.3	9.3	3.2	3.9	0.6	1.1	6.9	5.5	2.6	4.3	2.1	5.1	6.3	2.8	44.3	7.1
9. Exploration and exploitation of space	5.9	11.8	2.6	4.5	1.0	5.5	11.0	:	8.2	2.9	0.3	0.0	2.6	3.3	2.4	:	2.5
10. Research financed from General University Funds (GUF)	31.7	19.3	58.5	38.6	52.0	21.8	18.3	23.6	45.3	44.2	35.0	65.9	25.4	50.9	19.0	:	39.1
11. Non-oriented research	14.7	23.2	:	16.1	6.5	7.3	22.0	12.7	11.2	11.0	7.4	13.8	12.5	:	13.2	18.3	8.2
12. Other civil research	1.4	5.3	:	0.2	0.2	1.2	2.3	:	:	4.2	4.3	0.2	:	9.1	0.5	:	:
13. Defence	15.2	0.6	0.6	8.4	1.4	30.0	22.7	:	2.5	3.1	2.0	0.0	1.4	7.4	35.0	:	5.3
	100	100	100	100	100	100	100	100	100	100	100	100	100	100	100	100	100

Table 3: GBAORD by chapter of NABS in millions of Euro at current prices and current exchange rates, 1999

	EU-15	B	DK	D	EL	E	F	IRL	I	NL	P	A	FIN	S	UK	IS	NO
1. Exploration and exploitation of the earth	854	14	15	292	14	75	93	1	104	24	17	22	21	34	128	:	25
2. Infrastructure and general planning of land use	910	13	22	270	13	25	83	6	19	109	18	24	31	103	175	3	25
3. Control and care of the environment	1 594	38	41	566	11	101	206	4	166	115	28	28	28	28	235	0	33
4. Protection and improvement of human health	3 712	19	21	536	16	183	710	7	593	108	34	32	89	30	1 333	3	76
5. Production, distribution and rational utilisation of energy	2 027	38	25	586	6	138	633	:	278	81	9	7	79	102	47	2	23
6. Agricultural production and technology	2 035	41	106	428	30	160	386	51	114	86	84	39	73	33	404	15	95
7. Industrial production and technology	5 623	328	113	2 072	27	600	798	76	457	411	111	71	357	69	133	1	134
8. Social structures and relationships	1 792	60	110	516	13	22	148	18	351	76	28	26	65	109	250	29	77
9. Exploration and exploitation of space	3 474	164	31	738	3	210	1 417	:	519	84	2	0	33	57	216	:	27
10. Research financed from General University Funds (GUF)	18 806	268	692	6 293	174	833	2 366	60	2 875	1 286	225	811	323	877	1 722	:	426
11. Non-oriented research	8 720	322	:	2 624	22	278	2 843	32	710	320	48	170	159	:	1 193	12	89
12. Other civil research	805	74	:	32	1	47	296	:	:	121	27	2	:	156	49	:	:
13. Defence	9 037	9	7	1 364	5	1 146	2 937	:	160	89	13	0	18	127	3 164	:	58
Total	59 388	1 387	1 183	16 316	334	3 819	12 914	256	6 347	2 911	644	1 230	1 275	1 725	9 047	65	1 088

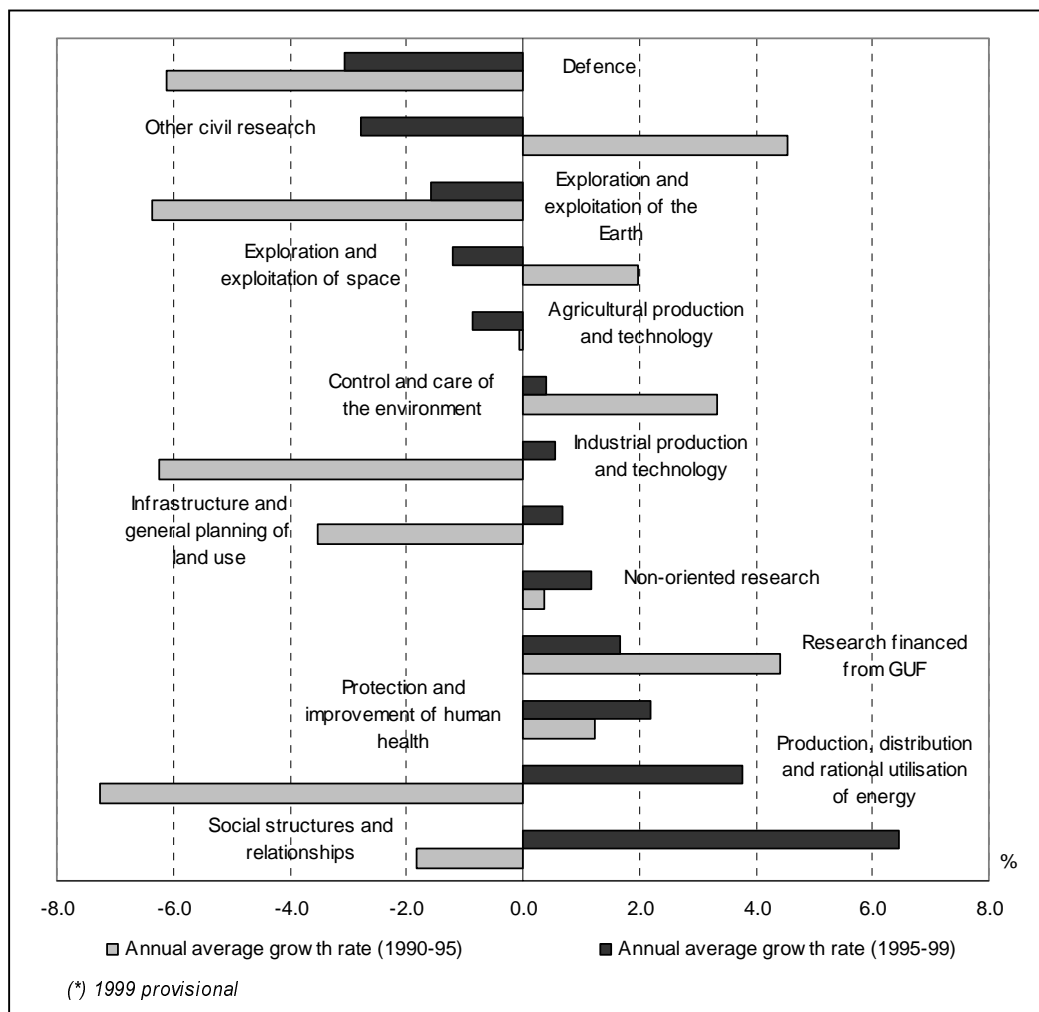
In the EU, since the early 1990s, emphasis has shifted from the defence category towards the GUF category. R&D funds allocated to defence related research declined from 23.6 % in 1990 to 15.2 % in 1999. Figure 4 shows the average growth rates in the two sub-periods 1990-95 and 1995-99: they are both negative for Defence, which experienced declines of respectively 6.1 % and 3.1 %. On the other hand, R&D funds allocated to GUF increased from 23.6 % in 1990 to 31.7 % in 1999, with annual average growth rates of 4.4 and 1.7 % respectively.

The category 'Exploration and exploitation of Earth' is showing a continuous downward trend since 1990, as well as the 'Agricultural production and technology'. Meanwhile, 'Exploration and exploitation of Space' seems to experience a decreasing interest, after five years of positive growth. Important changes in the allocation of funds are observed for the 'Industrial Production and Technology' category, which accounted for 13.2 % of the total EU-15 GBAORD in 1990 and 9.5 % in 1999. Nevertheless, this category shows a slight positive growth rate in the last five years.

Three categories that were losing importance in the period 1990-95 are now gaining weight: 'Social Structures and Relationships', 'Production, Distribution and Rational Utilisation of Energy' and 'Infrastructure and general planning of land use'.

Beside GUF, two other categories show continuous growing interest by the Governments: 'Control and care of the environment' and 'Protection and improvement of human health'.

Figure 4: Growth rate of EU-15 GBAORD by NABS, 1990-95 and 1995-99 (\*) (1990 PPS)



## GBAORD allocation of the EU-15, US and Japan: towards a convergence

The importance attributed to R&D by the three major economies has changed over the last ten years. Throughout the 1990s, the largest amount of funds for R&D activities was allocated by the United States government, followed by the EU-15 and Japan.

In 1999 and in current prices, the US allocated 70 000 millions of Euro to R&D activities, as compared to 59 400 millions of the EU-15 and 26 000 millions of Japan.

It must be considered that neither data on 'Research financed by the GUF' nor 'Other civil services' are

available for the US, as data presented in this publication refer to Federal government budget only. For Japan, GBAORD data are in general underestimated because the R&D portion of military contracts is excluded.

However, at constant prices (Table 4), the gap between Japan, on one hand, and the EU-15 and US, on the other hand, has been narrowed since the beginning of the 1990s, following an evolution that was already visible from the late 1980s.

A similar pattern is observed for the three economies when the

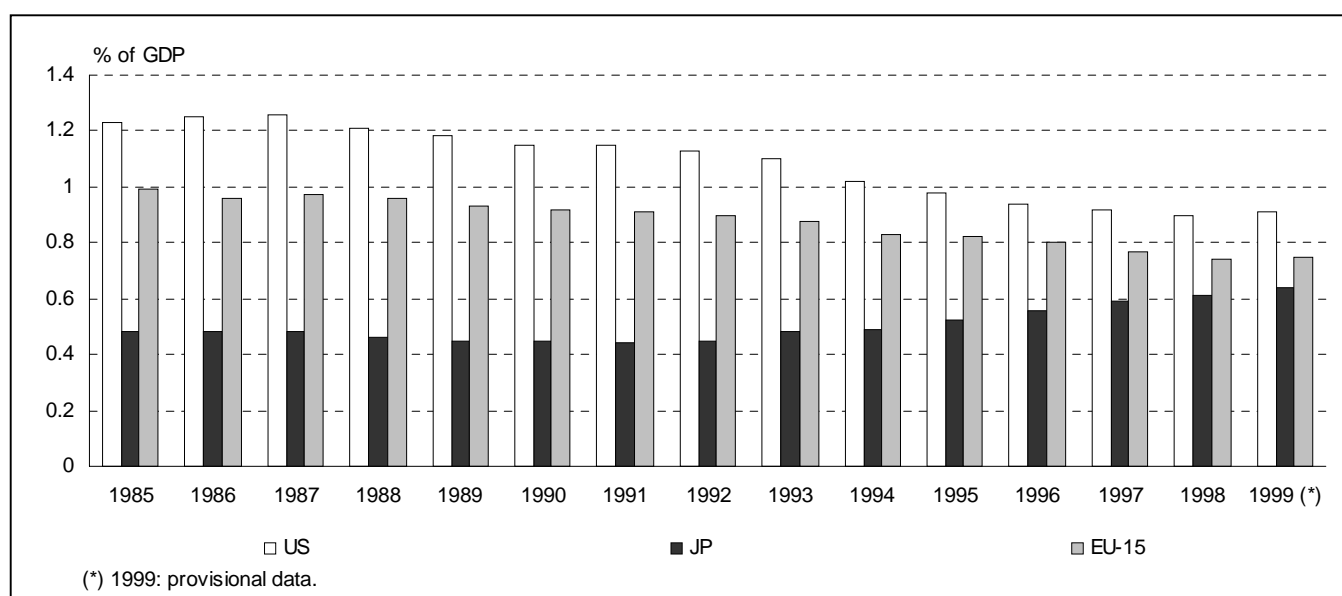
GBAORD data are expressed as a proportion of their respective GDP (Figure 5). Both the United States and the EU-15 have experienced a substantial decline in the GBAORD over GDP ratio, in contrast to Japan, which has experienced a gradual increase of its shares of GDP allocated for R&D purposes. In 1999, the US and the EU-15 allocated 0.91 % and 0.75 % of their respective GDP to GBAORD, a substantial decrease from the 1990 level (US: 1.15 %, EU-15: 0.92 %). Japan, on the other hand increased its GBAORD over GDP ratio from 0.45 % in 1990 to 0.64 % in 1999.

Table 4: GBAORD evolution in the US, Japan and the EU-15, 1985-99 (PPS 1990)

	1985	1986	1987	1988	1989	1990	1991	1992	1993	1994	1995	1996	1997	1998	1999
US	55 319	57 599	59 775	59 617	60 035	59 056	58 725	59 410	59 094	56 541	55 678	54 879	55 659	56 679	56 862
Japan	:	:	:	8 488	8 805	9 104	9 334	9 681	10 219	10 615	11 325	12 795	13 592	13 673	14 309
EU-15 (*)	42 075	42 187	43 630	45 333	45 922	46 956	48 399	47 981	46 385	44 942	45 212	45 051	44 836	44 712	46 094

(\*) 1999: provisional data.

Figure 5: GBAORD as percentage of GDP of the US, Japan and the EU-15, 1985-99



## ➤ ESSENTIAL INFORMATION – METHODOLOGICAL NOTES

### Government budget appropriations or outlays on R&D (GBAORD)

From the *Frascati Manual* (OECD 1993, 422 and following): 'There are two ways of measuring government support for R&D. The first and most accurate way is to hold surveys of the units which actually carry out R&D in order to identify the amount actually spent on R&D over the previous year and the share financed by the government... Data do not become available until several years after the R&D has been carried out... In consequence, a second way of measuring government support for R&D has been developed, using data collected from budgets...'. Budget based data are referred to as government budget appropriations or outlays for R&D (GBAORD).

GBAORD means all appropriations by central government allocated to R&D in central government budgets. Data on government R&D appropriations therefore refer to budget provisions, not to actual expenditure, i.e. GBAORD measures government support for R&D using data collected from budgets. The figures on actual 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.

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. One methodological discrepancy lies in the treatment of transfers of funds for R&D purposes by the European Commission to the Member States in the context of the Community Support Framework.

### NABS — breakdown by socio-economic objectives

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 *Frascati Manual*).

### Tables

'.' not available;

'-' not applicable or real zero;

'0' less than half of the unit used.

# Further information:

## ➤ Reference publications

Title Statistics on Science and Technology in Europe (to be published)  
 Catalogue No KS-32-00-904-EN-C Price EUR 35

## ➤ Databases

New Cronos, Theme 9  
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