



# Statistics in focus

## SCIENCE AND TECHNOLOGY

THEME 9 – 3/2003

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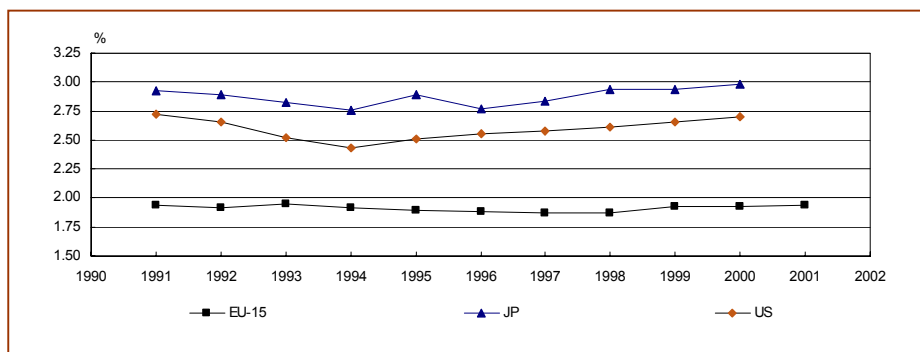


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# R&D expenditure and personnel in Europe: 1999-2001

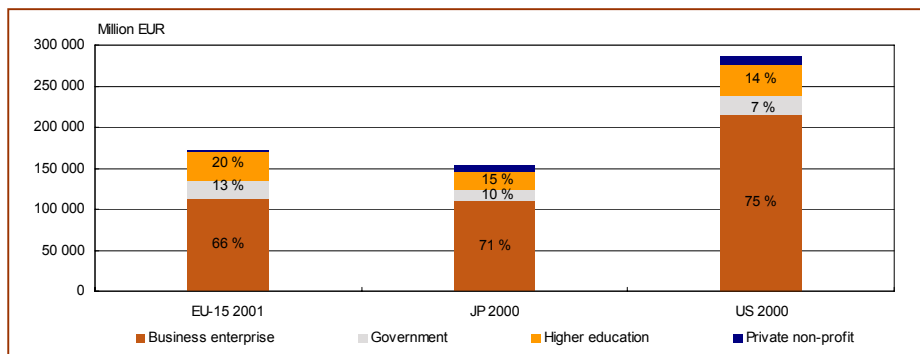
*Simona Frank*

*Figure 1: R&D expenditure as a percentage of GDP  
All sectors — 1991 to 2001*



Sources: Eurostat, OCDE.

*Figure 2: Breakdown of R&D expenditure by institutional sector  
in million current EUR, for EU-15, Japan and the USA — 2001*



Sources: Eurostat, OCDE.

- In 2001, EU-15 devoted 1.94 % of its GDP to R&D, compared with 1.93 % in 2000. In spite of this slight increase in expenditure, it still lagged significantly behind Japan and the United States, which had research intensities of 2.98 % and 2.70 % respectively (in 2000). At current prices, the EU spent EUR 171 billion on R&D in 2001, compared with EUR 287 billion by the USA (2000) and EUR 154 billion by Japan (2000).
- In general, the Member States intensified their research intensity, with a few exceptions showing only a very slight decrease.
- The number of EU-15 R&D personnel continued to increase, rising from 1.73 million in full-time equivalent (FTE) in 2000 to 1.76 million in 2001, by contrast with Japan where the total fell from 0.92 million in 1999 to 0.90 million in 2000.
- The total for researchers in EU-15 rose to 0.96 million (FTE) in 2001 from 0.94 million in 2000, just as in the United States where the latest figures indicate a total of 1.11 million (FTE) in 1997 compared with 0.99 million in 1995. Conversely, Japan experienced a downward trend, with the number of researchers falling by 10 000 units to 0.65 million in 2000.
- In the EEA, the Nordic countries have the highest proportion of R&D personnel among the active population, with levels of 2.70 % in Iceland, 2.58 % in Finland and 2.45 % in Sweden.

## International comparison

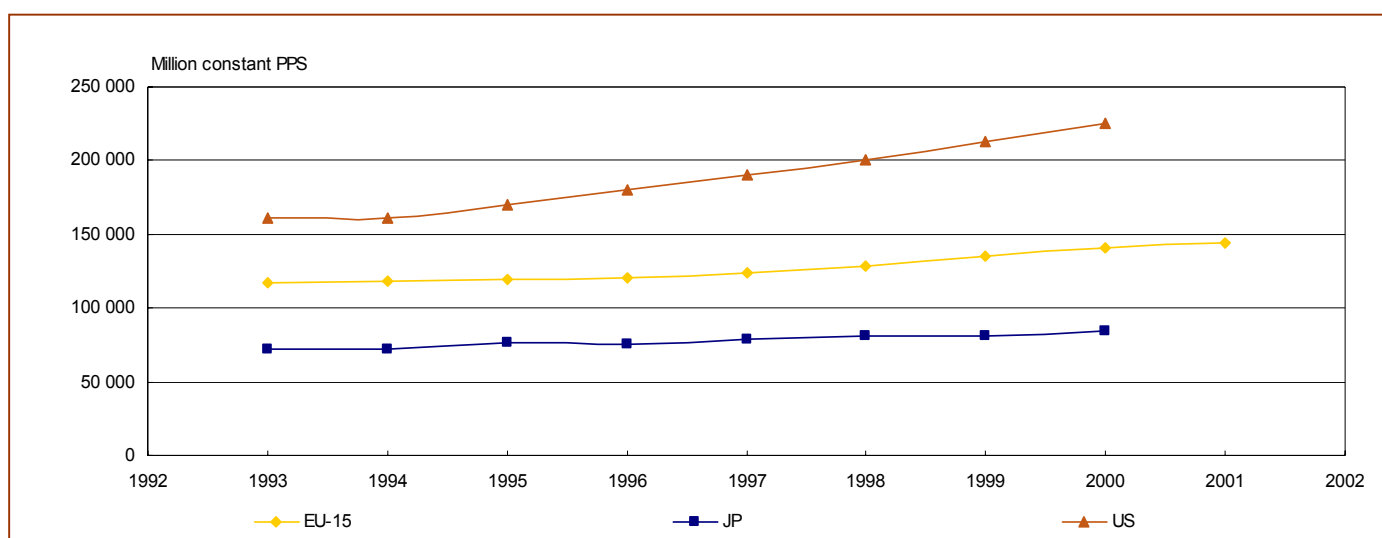
EU R&D expenditure rose from EUR 164 billion in 2000 to EUR 171 billion in 2001. Despite this increase, the gap with the US and Japan remained significant in terms of the relative percentages of GDP. Thus, the EU spent only 1.94 % of its GDP on R&D, compared with 2.98 % by Japan and 2.70 % by the US (in 2000). The business sector is responsible for most of the R&D activity, accounting for 75 % of spending in the United States, 71 % in Japan and 66 % in the EU.

In 2001 some 1.8 million FTE were employed in Community R&D. Whilst the EU experienced an upward trend of the order of 1.6 % over the preceding year, Japan registered a slight fall relative to 1999 which was reflected in a reduction in R&D personnel (FTE) from 919 132 to 896 847 in 2000.

The number of EU researchers continued to increase to a total of 960 000 (FTE) in 2001. Nevertheless, the United States remains the leader (FTE), with 1.1 million registered researchers in 1997. The United States also had the highest rate of increase, recording a 13 % rise between 1995 and 1997.

In Japan, the number of researchers remained relatively stable in the region of 650 000 FTE between 1995 and 2000. The majority of US researchers are employed in the business sector (82 %). The EU has the highest proportion of higher education sector researchers (35 %) compared with 28 % in Japan and 12 % in the United States (Figure 4).

Figure 3: R&D expenditure in constant 1995 PPS, all sectors, EU-15, Japan and the United States — 1993 to 2001



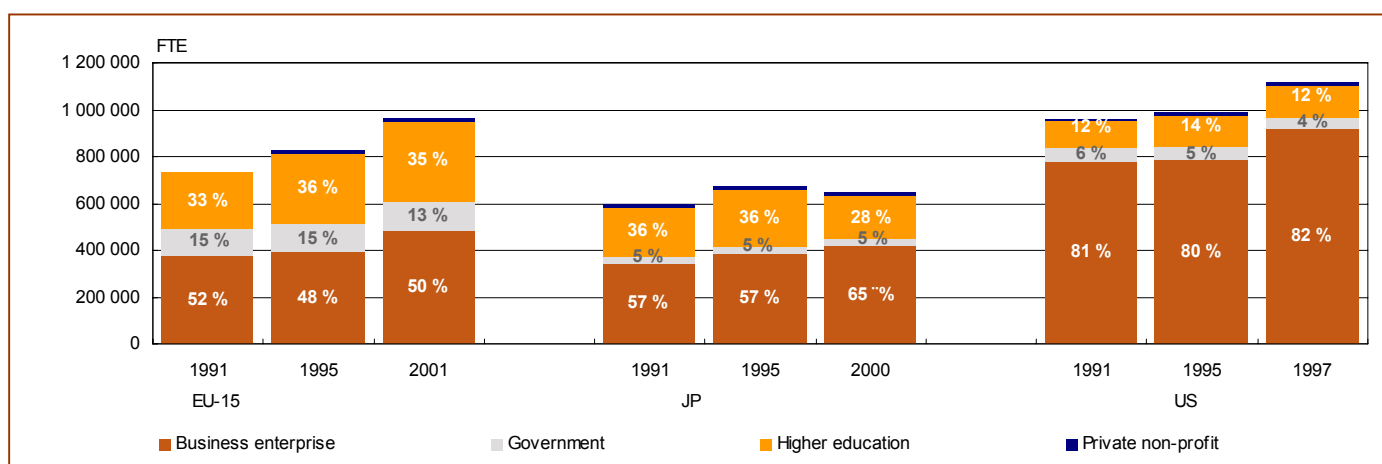
### Methodological notes

EU-15: Eurostat estimation.

US: 2000 provisional data.

Sources: Eurostat, OECD.

Figure 4: Number of researchers in full-time equivalent (FTE), by institutional sector, EU-15, Japan and the United States



### Methodological notes

EU-15: Eurostat estimation.

US: Business enterprise — BES: estimated data.

Government — GOV: excluding defence, only Federal or central government.

Sources: Eurostat, OECD.

## R&D expenditure in Europe

As shown in Figure 5, Germany, the UK and France are the EU Member States with the highest R&D activity in nominal value (EUR) for all sectors, spending EUR 52 billion, EUR 31 billion and EUR 30 billion respectively. These three countries are responsible for 65 % of total R&D expenditure in the EEA, with nine countries — that is slightly more than half the EEA total — accounting for nearly 90 % of that aggregate.

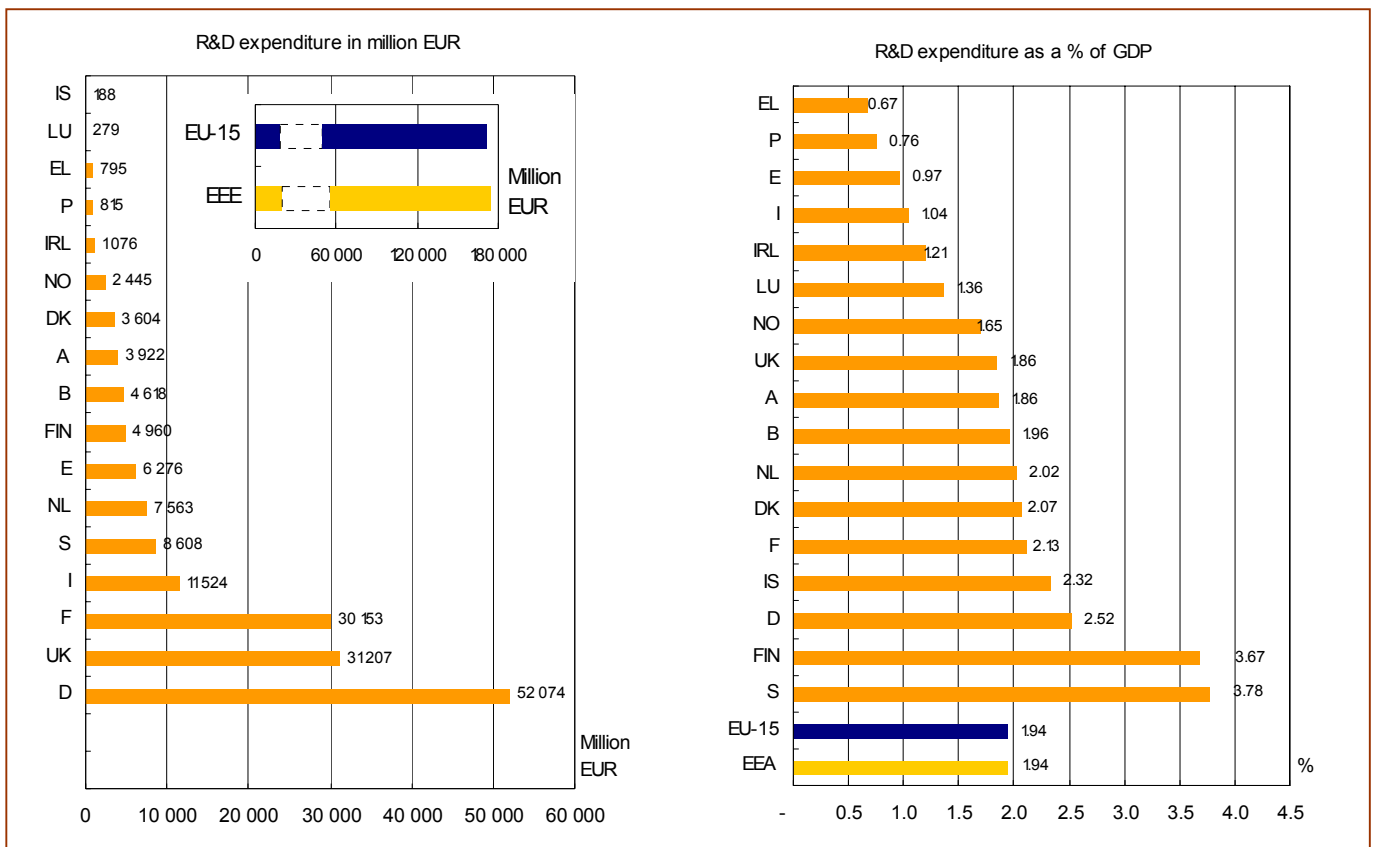
If R&D expenditure is considered as a percentage of GDP, which provides a better measure of R&D relative to national size and economic importance, the ranking is somewhat different. Within the EEA, R&D intensity is highest in Finland and Sweden, where the respective rates of approximately

3.67 % and 3.78 % are significantly above the EU-15 average of 1.94 % and also exceed the US and Japanese levels.

These two Nordic countries represent exceptions in the Community context, outperforming by more than one percentage point a group of nine countries with relatively similar research intensities varying from 2.52 % (Germany) to 1.65 % (Norway). This group is followed by Luxembourg (1.36 %), for which R&D data became available for the first time this year.

The relatively modest research intensity achieved by Italy, which is among the high-volume R&D countries, should also be noted.

Figure 5: R&D expenditure in million current EUR and as a percentage of GDP, all sectors, EEA countries — 2001



### Methodological notes

Exceptions to 2001 reference year:

UK: 2002;

DK, F and LU: 2000;

B, EL, I, IRL, IS, NL, NO, P and S: 1999.

Source: Eurostat.

Table 1: R&D expenditure in current EUR prices by institutional sector, EEA countries, Japan and the USA – 1995 and 2001

	EU-15	B	DK	D	EL	E	F	IRL	I	L	NL	A	P	FIN	S	UK	EEA	IS	NO	JP	US
<b>All sectors</b>																					
2001	170 792 s	4 618 e	3 604 e	52 074 e	795	6 276 e	30 153 e	1 076 e	11 524 r	279 p	7 563 r	3 922 e	815 r	4 960 f	8 608	31 207 f	174 162 s	188	2 445 p	153 852	287 266 i
1995	124 427 s	3 629 e	2 531	42 438	437	3 624	27 447	683 e	8 386	:	6 313	2 797 e	470	2 263	6 361	17 097	126 429 s	82	1 920	117 129 i	140 729 i
<b>Business enterprise</b>																					
2001	112 150 s	3 605 f	2 299 e	37 200 e	227 r	3 407 e	19 308 e	784	6 442 p	244 p	4 263 r	2 146 r	185	3 616 f	6 466	20 138 f	114 045 s	88	1 368	109 176	216 385 i
1995	78 081 s	2 586 e	1 452	28 196	129	1 748	16 737	487 e	4 479	:	3 294	:	98	1 430	4 718	11 168	79 196 s	26	1 089	76 382 i	100 995 i
<b>Government</b>																					
2001	23 025 s	153 e	496	6 818 e	173	971 e	5 357 e	68 e	2 411 p	43 p	1 250	218 r	228 r	515 f	289	3 768 f	23 543 s	57	377	15 216	21 485 i
1995	20 061 s	125 e	431	6 540	111	675	5 761	58 e	1 772	:	1 142	:	127	390	239	2 464	20 423 s	31	332	11 301	13 276 i
<b>Higher education</b>																					
2001	34 448 s	1 103 e	770	8 056 e	394	1 846 e	5 040 e	228 e	3 628 r	0.09 p	1 983 r	1 003	314	829 f	1 842	6 879 f	35 403 s	39 r	700	22 352	38 929 i
1995	25 417 s	867 e	620	7 702	194	1 161	4 585	132 e	2 135	:	1 817	:	174	442	1 394	3 252	25 940 s	23	500	24 243 i	21 386 i
<b>Private non-profit</b>																					
2001	1 168 s	55 e	39	:	2	52 e	447 e	:	0	0	67	10	88 r	:	10	421	1 172 s	4 r	-	7 108	10 468 i
1995	867 s	51 e	27	:	3	41	363	5 e	0	:	61	:	71	:	10	214	870 s	3	-	5 203 i	5 072 i

**Methodological notes**

Exceptions to 2001 reference year:

UK: 2002;

DK, F, L (All sectors and BES), JP and US: 2000;

B (except BES: 2000), EL, IRL (except GOV: 2000), IT (All sectors and HES), NL, P, S, IS and NO: 1999;

A (except All sectors): 1998.

Sources: Eurostat, OECD.

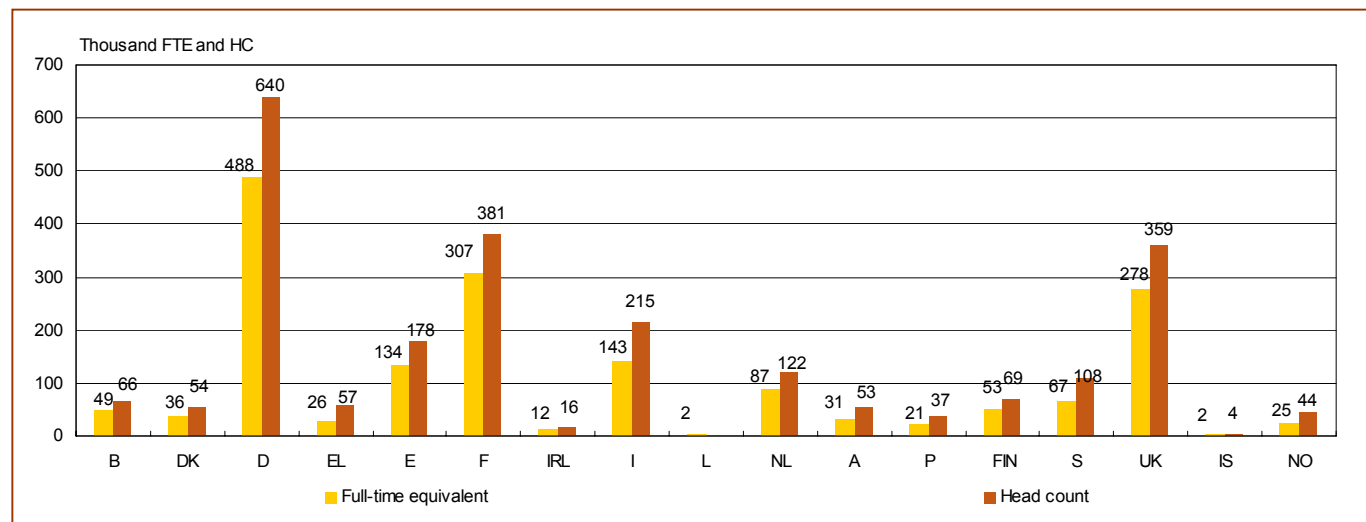
## R&D personnel in Europe

### Total personnel in Europe

Figure 6 provides a breakdown of R&D personnel by EEA country for all sectors. In 1999, Germany had the highest number of R&D workers, namely 640 000 individuals (HC) or 488 000 FTE. Next, as with R&D expenditure, came France (381 000 HC) and the UK (359 000 HC). These countries are well ahead of the quartet of Italy, Spain, the Netherlands and Sweden, each of which, nevertheless, has

more than 100 000 R&D personnel. The number of R&D personnel (HC) showed a rise over the preceding year in all EEA countries, with an estimated annual EU growth of 2.1 % between 2000 and 2001. These developments are broadly in line with those for R&D expenditure (by volume), except in Italy where the number of R&D personnel fell (- 3.2 % HC between 1998 and 1999).

Figure 6: R&D personnel as FTE and HC, all sectors — 1999



**Methodological notes**

Exceptions to 1999 reference year:

In FTE — E, L : 2001; D and FIN: 2000; F and A: 1998; UK: 1993.

In HC: D and FIN: 2000; F and A: 1998; EL: 1997; UK: 1993.

Source: Eurostat.

## Research workers as a proportion of total R&D personnel

With almost 260 000 FTE, Germany has the largest number of EU researchers and accounts for more than a quarter of the EEA total. It precedes France and the UK in an identical ranking to that observed for total R&D personnel (Table 2). The number of researchers in all sectors (FTE) increased in every country relative to the preceding year, by levels ranging from 1 % (Italy) to more than 24 % (Spain). This increase is estimated at 1.9 % for EU-15 between 2000 and 2001.

In the business sector, whilst the annual variations appear to be virtually identical, they are more extreme. An increase in the number of researchers, estimated at 37 % in Spain, was observed for all countries except the UK (- 7 %) and Italy, where the total remained stable.

Portugal has the highest proportion of researchers (76 %) among total R&D personnel (Figure 7), compared with a

Community average of 55 % for all sectors. Like Portugal, several countries are significantly above this average — particularly Norway, but also Spain, Ireland, Finland and Iceland.

Conversely, the figures for Italy and the Netherlands are appreciably below the Community average, with researchers accounting for 46 % and 47 % of total R&D personnel respectively. All other countries fall within a range from 50 % (France and United Kingdom) to 61 % (Belgium).

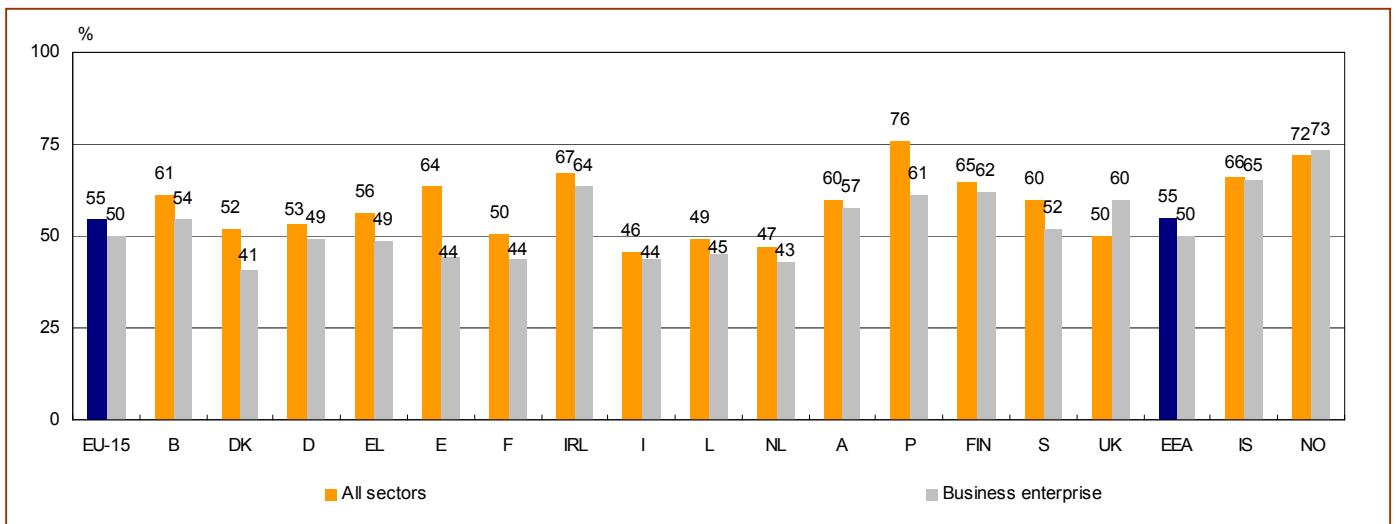
In the business sector, as Figure 7 indicates, research workers generally account for a lower proportion of total R&D personnel than in all sectors combined, thereby reducing the EU-15 average from 55 % to 50 %. Ireland (64 %), Iceland (65 %) and Norway (73 %) have significantly higher levels. The overall range within the EU runs from 41 % to 73 %. The proportion of researchers employed in the business sector is lowest in Denmark, Spain, France, Italy and the Netherlands, where it remains below 44 %.

Table 2: Researchers as FTE in all sectors and the business sector of the EEA countries — 1999

	EU-15	B	DK	D	EL	E	F	IRL	I	L	NL	A	P	FIN	S	UK	EEA	IS	NO
All sectors	959 949 s	30 219 e	18 439	259 214 e	14 828	76 670 e	155 006	8 217 e	64 886	1 188	40 639	18 715	15 752	32 677	39 921	158 586 e	980 570 s	1 577 e	18 295
Business enterprise	483 954 s	18 031 f	8 575	153 210	2 235	20 869 e	75 310	5 291	26 192	909	19 359	11 716	1 994	17 309	22 822	88 000 f	494 798 s	626	9 737

Source: Eurostat.

Figure 7: Research workers (FTE) as a proportion of total R&D personnel, all sectors and business sector — 1999



Source: Eurostat.

### Methodological notes in respect of Table 2 and Figure 7

Exceptions to 1999 reference year:

- All sectors:  
EU-15, EEA and L: 2001;  
D and E: 2000;  
F and A: 1998;  
UK: 1998 (Table 2), 1993 (Figure 7).
- Business enterprise sector:  
UK: 2002;  
EU-15, EEA and L: 2001;  
B, D, E and UK: 2000;  
A: 1998.

## Female R&D personnel

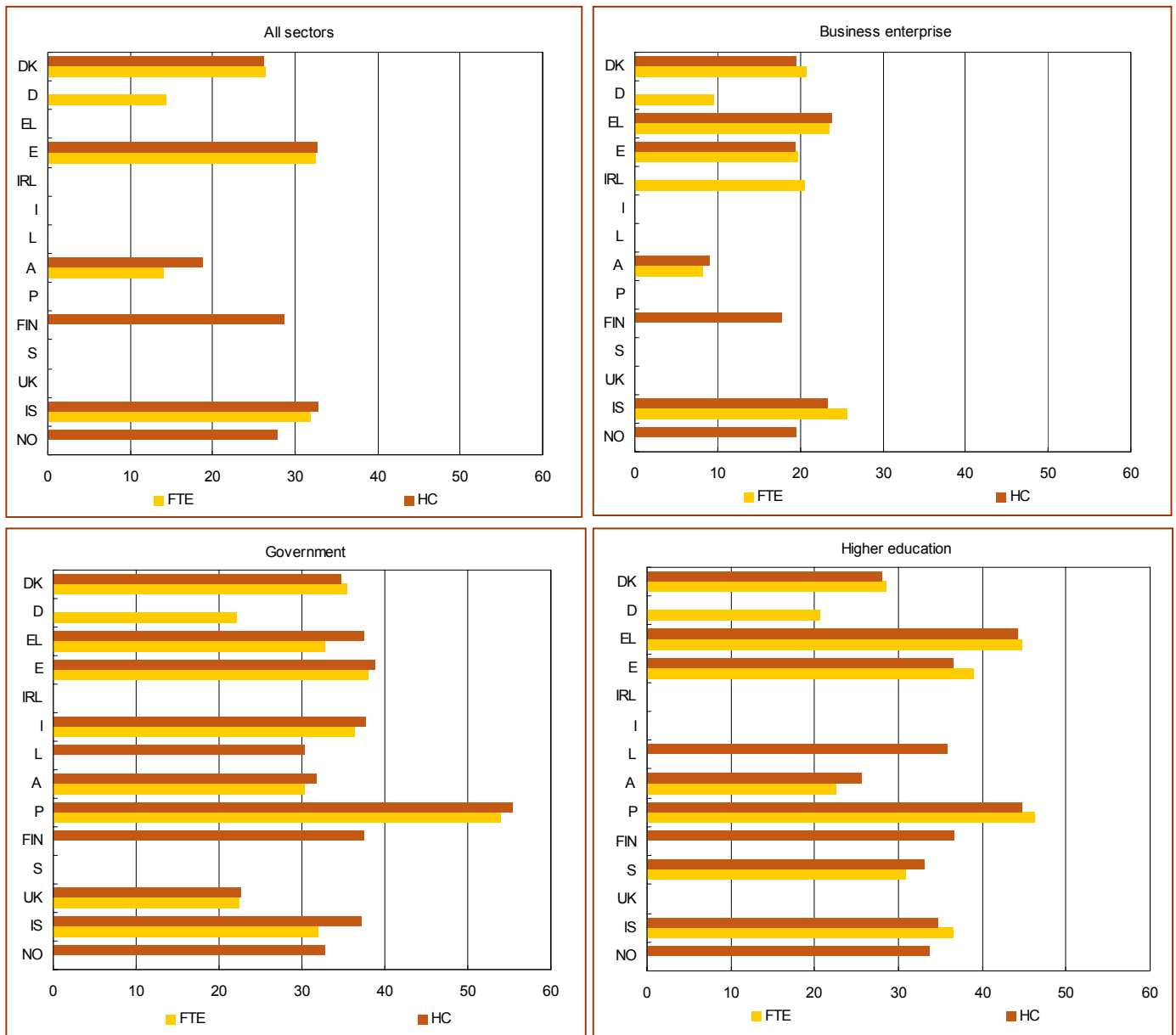
Female research workers are generally under-represented compared with their male counterparts in Europe. In countries for which data are available, male-female research parity is almost never achieved, with women hardly ever exceeding 40 % of the total (Figure 8). These percentages remain broadly unchanged whether FTE or HC are adopted as the unit of measurement.

Women are least represented in the business sector, where the highest levels (Greece and Iceland) of female employment are around 25 %. At the other extreme, they continue to

account for less than 10 % of researchers in Germany and Austria.

The position is markedly better in the public and higher education sectors with approximately one researcher in three being a woman. Whilst the figure for most countries varies between 30 % and 40 %, Portugal is way ahead in the public sector, where women occupy more than half of all research posts in the government sector. Higher education shows a similar picture, with two countries, Portugal (again) and Greece, leading the general trend and exceeding 44 %.

Figure 8: Proportion of female research workers, as FTE and HC, by institutional sector, EEA country — 1999



### Methodological notes

Exceptions to 1999 reference year:

#### FTE data:

- 2002 — UK (GOV)
- 2000 — DK (GOV and HES)
- 1998 — I and A.

#### HC data:

- 2001 — L (GOV and HES)
- 2000 — DK (GOV and HES) and UK (GOV)
- 1998 — I and A.

Method: the ratio is calculated with reference to R&D personnel (women + men) rather than total personnel.

Source: Eurostat.

## ➤ ESSENTIAL INFORMATION – METHODOLOGICAL NOTES

### Research and experimental development — R&D

Research and experimental development (R&D) activities 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.

### Institutional classifications

Internal expenditure and R&D personnel are broken down with reference to the four institutional sectors in which the R&D takes place.

- **The business enterprise sector — BES**

With regard to R&D, the business enterprise sector includes — *Frascati Manual*, § 145: all firms, organisations and institutions whose primary activity is the market production of goods or services (other than higher education) for sale to the general public at an economically significant price and the private non-profit institutions mainly serving them.

- **The government sector — GOV**

In the field of R&D, the government sector includes — *Frascati Manual*, § 168: all departments, offices and other bodies which furnish but normally do not sell to the community those common services, other than higher education, which cannot otherwise be conveniently and economically provided, and administer the state and the economic and social policy of the community (public enterprises are included in the business enterprise sector) as well as PNP's controlled and mainly financed by government.

- **The higher education sector — HES**

This sector comprises — *Frascati Manual*, § 190: all universities, colleges of technology and other institutes of post-secondary education, whatever their source of finance or legal status. It also includes all research institutes, experimental stations and clinics operating under the direct control of or administered by or associated with higher education establishments.

- **The private non-profit sector — PNP**

This sector covers — *Frascati Manual*, § 178: non-market, private non-profit institutions serving households (i.e. the general public) and private individuals or households.

### R&D indicators: R&D personnel

All persons employed directly on R&D should be counted, as well as those providing direct services such as R&D managers, administrators and clerical staff. Those providing indirect services, such as canteen and security staff, should be excluded.

- **Researchers**

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

- **Full-time equivalent — FTE**

One FTE may be thought of as one person-year. For instance, a person who normally spends 40 % of his time on R&D and the rest of it on other work (e.g. lecturing, university administration, guidance) should be counted as only 0.4 FTE.

- **Personnel by number of individuals — HC**

The number of individuals who are employed mainly or partly on R&D.

### R&D indicators: R&D expenditure

- **Current EUR**

Current EUR values are obtained for the Eurozone by recalculating former national currency values on the basis of the fixed exchange rate and then applying the average exchange rate for the year in question. As a result, the values for countries appearing in tables quoted in national currencies differ from those quoted in current EUR for years before 1999, except in the case of Greece (2001). Current EUR values for non-Eurozone countries are obtained by directly applying the average exchange rate for the year in question.

- **Purchasing power standards—PPS**

Purchasing power parities are based on comparisons of the prices of representative and comparable goods or services recorded in the national currency of the country in question on a specific date. As a result, financial aggregates can be expressed in purchasing power standards—PPS—rather than EUR based on exchange rates.

- **Current PPS**

Data quoted in current PPS are obtained by applying the average exchange rate of the year in question to the national currency value.

- **Constant 1995 PPS**

Data measured in constant 1995 PPS are first corrected for inflation using the GDP deflator (a Paasche index based on 1995=100) of the country in question before applying the 1995 PPS exchange rate. The GDP deflator broadly correlates with the 1995 European System of Accounts (ESA 95) available on NewCronos (Theme 2). The adjusted GDP deflator provided for by ESA 79 was used in the case of incomplete series.

- **GDP**

As with the GDP deflator, the GDP time series are prepared with reference to the SEC 95 and SEC 79 European account systems.

- **R&D intensity**

R&D intensity is calculated by relating R&D expenditure in current EUR for the sectors and years in question to GDP.

### European aggregates

For both R&D expenditure and personnel, EU totals are calculated as the sum of the national data by sector. If data are missing, estimates are first made for the country in question, reference period, institutional sector or relevant R&D variable, as appropriate. This method is not applied to the calculation of R&D personnel in NIs. The estimates for R&D personnel in full time equivalents (FTEs) serve as a basis for the NIs calculation at national level. An FTE/NI ratio based on available FTE and NI personnel data is estimated for each country, institutional sector and year. This ratio is then applied to the FTE data to calculate missing NI data.

EU-15: does not include Luxembourg.

EEA: does not include Luxembourg or Liechtenstein.

### General abbreviations

e: estimate

f: forecast

p: provisional data

b: break in series

r: revised data

i: **Japan:** overestimated or based on overestimates

**United States:**

All sectors except government: excluding all or certain capital expenditure

Public sector: Federal or central government only.

### Reference manual

Standard method proposed for research and experimental development surveys — *Frascati Manual*, OECD, 1993.

# Further information:

## ➤ Reference publications

Title Statistics on Science and Technology, 2002 edition (forthcoming)  
 Catalogue No KS-CT-02-001-EN-C Price EUR 29.50

## ➤ Databases

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