



# Statistics in focus

## SCIENCE AND TECHNOLOGY

THEME 9 – 7/2003

## Contents

**GBAORD:**  
An European perspective ..... 2

**GBAORD broken down**  
by socio-economic objective ... 5

**GBAORD:**  
An international perspective .... 6



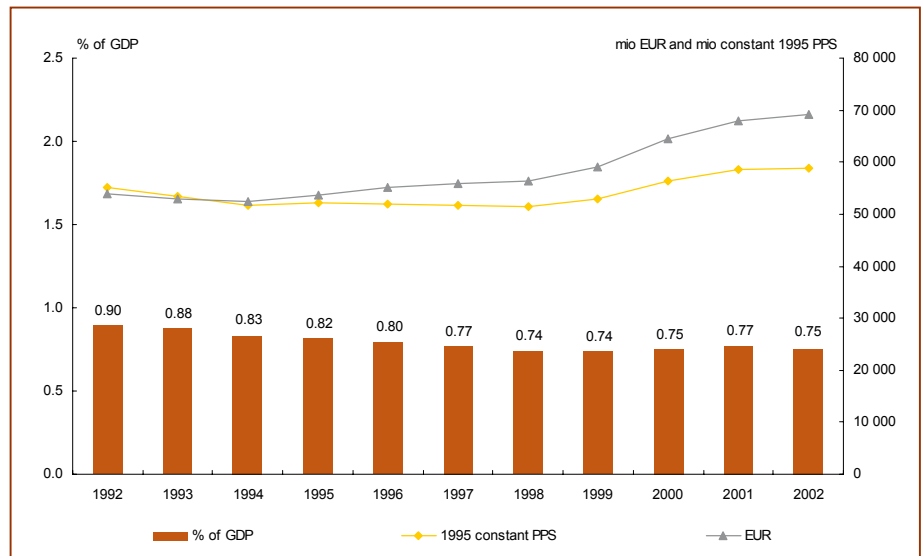
Manuscript completed on: 27.07.2003  
ISSN 1609-5995  
Catalogue number: KS-NS-03-007-EN-N  
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# Government budget appropriations or outlays on R&D

Rather stable ratio to the GDP for the EU,  
increase however for US and Japan

*Simona Frank*

Figure 1: Total GBAORD as a percentage of GDP, in current EUR and in constant 1995 PPS EU-15, 1992 to 2002 (1)



(1) 1992 to 1999, EU-15 excludes Luxembourg.  
1995-96 and 1999-2002, Eurostat estimates.

Source: Eurostat.

- In 2002 (Eurostat estimate based on provisional data), the governments of the European Union allocated more than EUR 69 billion in budget appropriations or outlays on R&D — GBAORD — which in real terms represents almost 59 billion 1995 constant PPS.
- In nominal terms (EUR), the total GBAORD of the European Union remained quite stable between 1992 and 1997, and then rose up to 2002 with an annual average growth rate of 4.4 %. In real terms this represents an annual average growth rate of 2.7 %.
- In 2002, the main socio-economic objective of GBAORD within the European Union was 'Research financed from General University Funds (GUF)' and represented 32.4 % of total GBAORD.
- 'Defence' represents a substantial part of the EU total GBAORD (15.4 %), and it is mainly due to the contribution of Spain, France, Sweden and the United Kingdom.
- In 2002, the GBAORD in EU-15, Japan and United States amounted to 0.75 %, 0.71 % and 0.94 % of their GDP respectively. At international level, there was a convergence of appropriations allocated to R&D.
- As in the European Union, 'Research financed from GUF' remains the main socio-economic objective in Japan (34.9 %), whereas the main objective in the United States is 'Defence' (54.0 %).

## GBAORD: An European perspective

This issue of *Statistics in Focus* highlights the specific trends in GBAORD of the European Union over the course of the last decade (1992 – 2002) and is primarily concerned with the total GBAORD at EU-15 level and at national level for the Member States, Iceland and Norway.

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

### Total GBAORD

In 2002 (Eurostat estimate based on provisional data), the governments of the European Union allocated more than EURO 69 billion in budget appropriations or outlays on R&D — GBAORD. This represents 0.75 % of GDP — Figure 1.

Within the EU, GBAORD has changed during the last ten years. As shown in Figure 1 GBAORD decreased up to 1999, which marked the lowest point at 0.74 % of GDP. From 1999 onwards, GBAORD at the EU level showed a slight increase and reached 0.77 % in 2001 of GDP, then decreased again in 2002 to 0.75 %.

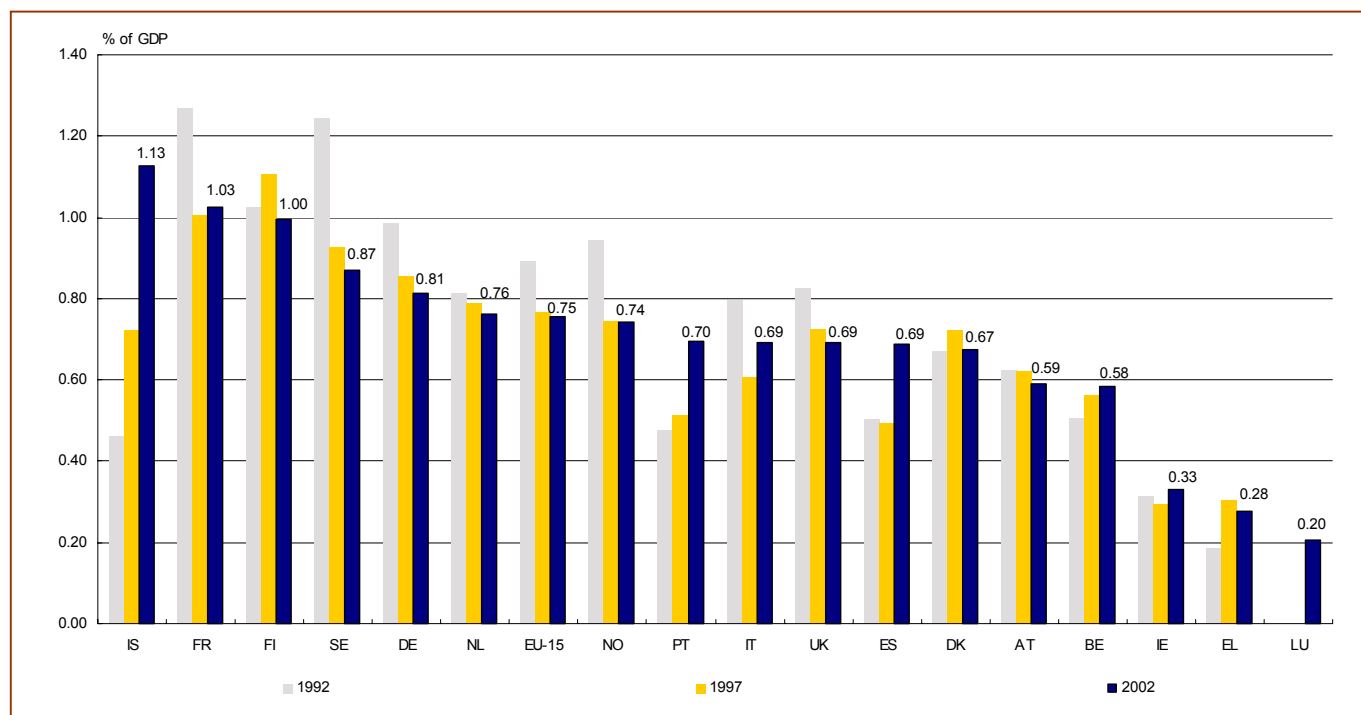
However, total GBAORD in the EU shows significant differences between Member States.

As shown in Figure 2, in 2002 the ratio of GBAORD as a percentage of GDP for six countries — Iceland, France, Finland, Sweden, Germany and the Netherlands — were higher than the EU average (0.75 %). On the contrary, the ratio was very low for three countries — Luxembourg (0.20 %), Greece (0.28%) and Ireland (0.33 %). GBAORD for the other countries ranged between 0.58 % (Belgium) and 0.74 % (Norway).

Figure 3 shows that the total GBAORD of the European Union remained quite stable between 1992 and 1997. However from 1997 to 2002, it rose at an annual average growth rate of 4.4 % (in nominal terms); large differences exist between Member States. For example, GBAORD of France, Italy and Sweden decreased between 1992 and 1997 and increased after 1997, whereas in Greece the total GBAORD grew at a very high annual average growth rate (17.9 %) between 1992 and 1997 then afterwards the rate decreased to lower than its GDP (3.9 %).

Between 1997 and 2002, the GDP of eight Member States — Denmark, Germany, Greece, the Netherlands, Austria, Finland, Sweden and United Kingdom — increased more than their GBAORD. Therefore, their GBAORD as a percentage of GDP decreased during this period — Figure 2 and 3. This pattern is also similar at the EEA and EU levels.

Figure 2: GBAORD as a percentage of GDP, EU-15, Iceland and Norway — 1992, 1997 and 2002 (1)



(1) 2002 provisional data and Eurostat estimates for EU-15, DK, ES, IT, IE and UK.

Source: Eurostat.

Table 1: Total GBAORD in EUR million, EU-15, Iceland and Norway — 1992 to 2003 (1)

	1992	1993	1994	1995	1996	1997	1998	1999	2000	2001	2002	2003
<b>EU-15</b>	<b>53 926</b>	<b>52 987</b>	<b>52 551</b>	<b>53 748 s</b>	<b>55 126 s</b>	<b>55 878</b>	<b>56 464</b>	<b>59 115</b>	<b>64 393 s</b>	<b>67 973 s</b>	<b>69 163 s</b>	:
<b>EUR-12</b>	<b>43 872</b>	<b>43 266</b>	<b>42 994</b>	<b>43 947 s</b>	<b>44 720 s</b>	<b>44 264</b>	<b>45 163</b>	<b>46 800</b>	<b>50 651 s</b>	<b>53 671 s</b>	<b>54 661 s</b>	:
<b>CEC</b>	<b>1 762</b>	<b>2 047 b</b>	<b>2 026</b>	<b>2 298</b>	<b>2 591</b>	<b>2 664</b>	<b>2 552</b>	<b>2 439</b>	<b>3 148 p</b>	:	:	:
BE	882	990	1 033	1 113	1 172	1 215	1 287	1 382	1 423	1 515	1 606	1 650 p
DK	764 b	757	836	976	1 029 p	1 078	1 141	1 216	1 189 p	1 296 bi	1 234 bi	1 230 p
DE	15 395	16 206	16 072	16 886 b	16 860	15 939	15 909	16 322	16 253	:	17 146 p	:
EL	142	160	178	259	293	324	312	365	425	407	392 p	:
ES	2 321	2 051	1 993	2 169	2 273	2 449	2 935	3 328	4 187 p	:	:	:
FR	13 198	13 482	13 592	13 263 b	13 239	12 456	12 622	12 892	13 842 r	14 839	15 609 p	:
IE	130	137 r	129 r	162 r	188 r	206 r	209 r	249 r	319 r	378 p	:	:
IT	7 564	5 846	5 381	5 153 p	5 644	6 244	6 114	6 079	7 657	8 441 p	:	:
LU	:	:	:	:	:	:	:	:	28 r	36 r	46	57 p
NL	2 103	2 207	2 248	2 402	2 497	2 624	2 795	2 982	3 226 bi	3 369	3 591	3 520 pr
AT	919	1 049	1 171	1 201	1 151	1 128	1 200	1 281	1 287	1 409	1 283 p	1303.2 p
PT	358	355	345	372	446	481	538	644	713	778	901	880 p
FI	860	782	852 b	969	958	1 197	1 242	1 275	1 291	1 351	1 392 pr	1416.7 p
SE	2 451 b	2 058	2 018	2 098 be	2 299 e	:	1 722 p	1 725 p	1 872 bi	2 068 p	2 221 p	2 522 p
UK	6 838	6 906	6 702	6 726	7 077	8 511	8 437	9 374	10 681	10 938	:	:
<b>EEA</b>	<b>54 879</b>	<b>53 933</b>	<b>53 496</b>	<b>54 704 s</b>	<b>56 139 s</b>	<b>56 956</b>	<b>57 550</b>	<b>60 318</b>	<b>65 706 s</b>	<b>69 284 s</b>	<b>70 765 s</b>	:
IS	25	38	41	44	45	46	64	113	124	110	101	110.4 s
NO	928	908	904	912	969	1 032	1 023	1 090 r	1 190 r	1 201	1 500 p	1 652 p

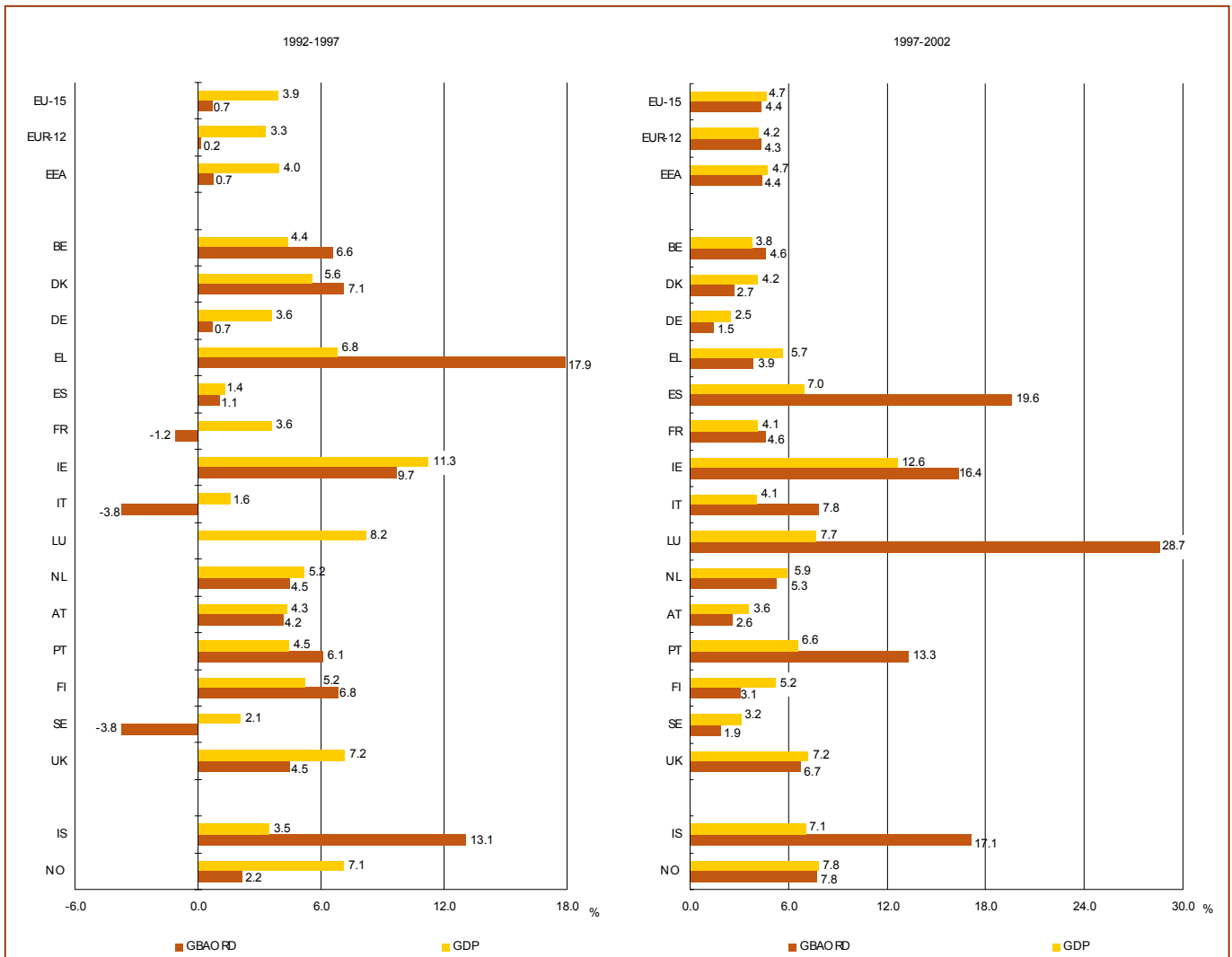
i: MSTI data.

CEC: Commission of the European Communities.

(1) 2002 EU-15, EUR-12 and EEA: Estimates based on provisional data.

Sources: Eurostat, OECD.

Figure 3: Annual average growth rate (calculated in EUR millions) of GBAORD and GDP, EU-15, Iceland and Norway — 1992-1997 and 1997-2002 (1)



(1) 2002 EU-15, EUR-12 and EEA: estimates based on provisional data.

2002 DK, ES, IT, IE and UK: Eurostat estimates.

LU: GBAORD AAGR calculated between 2000 and 2002.

Source: Eurostat.

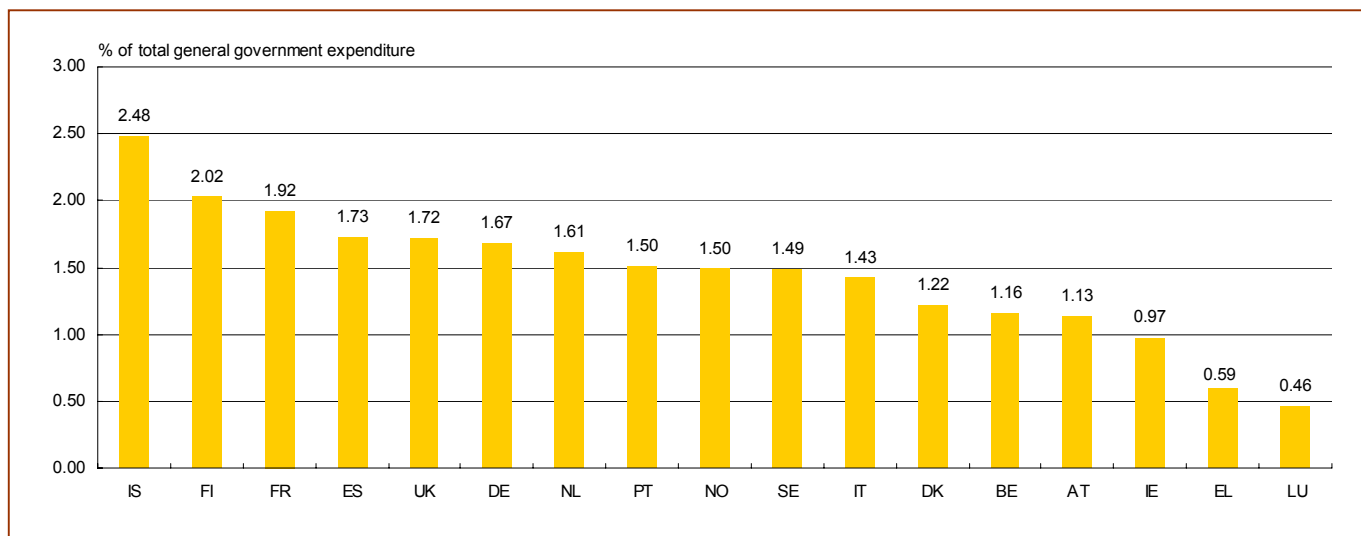
In other countries, the total GBAORD increased at the same or higher annual average growth rate than their GDP. Between 1997 and 2002 the growth of GBAORD is very significant compared to the growth rate of the GDP for countries like Luxembourg (2000 to 2002), Spain, Iceland and to a lesser extent Ireland with respective rates of 28.7 %, 19.6 %, 17.1 % and 16.4 %.

Another important indicator, GBAORD as a percentage of total general government expenditure, provides an estimation of the relative emphasis that government place on publicly funding R&D — Figure 4.

In 2002, in Iceland, Finland and France government budgeting to R&D activities represented 2.48 %, 2.02 % and 1.92 % of total general government expenditure respectively. These countries also had the highest GBAORD as a percentage of GDP. However, they are followed by Spain and United Kingdom with 1.73 % and 1.72 % of total general government expenditure respectively. Luxembourg and Greece allocated only 0.46 % and 0.59 % respectively.

As a percentage of GDP among all countries, Sweden was in 2002 the fourth in allocating the most to GBAORD, but as a percentage of total general expenditure, it was only the tenth.

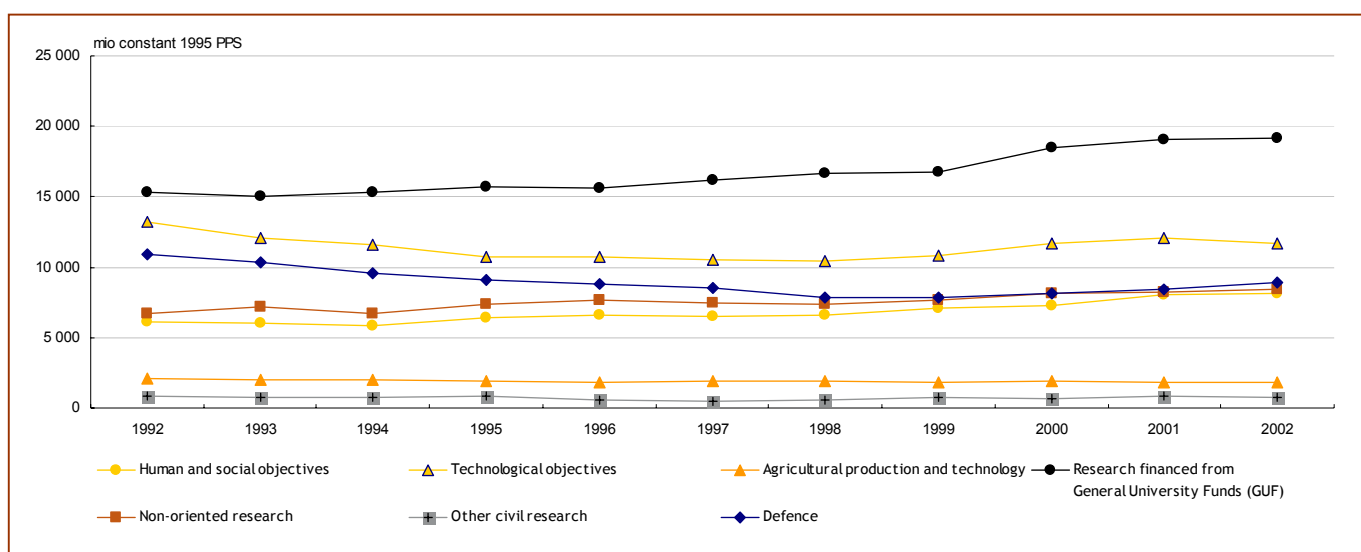
Figure 4: GBAORD as a % of total general government expenditure, EU-15, Iceland and Norway — 2002 (1)



(1) Eurostat estimates for DK, ES, IT, IE and UK.

Source: Eurostat.

Figure 5: Socio-economic objectives in millions of constant 1995 PPS, EU-15 — 1992 to 2002 (1)



(1) 1992 to 1999: EU-15 excludes Luxembourg. 1995-96 and 1999-2002: Eurostat estimates.

Source: Eurostat.

## GBAORD broken down by socio-economic objective

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

As shown in Figure 5, in 2002, the main objective within the EU is 'Research financed from GUF' corresponding to 32.4 % of total GBAORD. This represents in real terms 19 189 million of 1995 constant PPS.

Within the EU, another important objective is 'Technological objectives'. These include objectives such as 'Production, distribution and rational utilisation of energy', 'Industrial production and technology' and 'Exploration and exploitation of space'.

Table 2 shows that 'Defence' and 'Non-oriented research' represents 15.4 % and 14.5 % respectively of the EU total GBAORD (8 871 and 8 413 million 1995 constant PPS respectively).

However, if 'Defence' represents a substantial part of the EU total GBAORD, this is mainly due to the contribution of certain countries — Table 2.

In fact, 'Defence' is the main or one of the main objectives for Spain (30.2%), France (24.2%), Sweden (18.2%) and the United Kingdom (34.9%), but it represents less than 10 % of national total GBAORD for the other countries.

For certain countries, such as Ireland, Iceland and Portugal, the objective 'Agricultural production and technology' is quite significant due to the importance of fishing activity in these countries.

For the Commission of the European Communities (CEC), 'Industrial production and technology' is the main objective (1999 data), as it accounts for one third of the total budget. This is followed by 'Production, distribution and rational utilisation of energy' (15.2 %).

'Research financed from GUF' is not only the main objective within the EU, but it is also the objective that has increased the most in the period 1992-2002 — Figure 5.

The 'Technological objectives' decreased in 1998 and have slightly increased between 1999 and 2001. 'Defence' decreased between 1992 and 1999 and is stable since 1999 (11 684 million 1995 constant PPS in 2002).

The grouped socio-economic objectives 'Human and social sciences', including objectives such as 'Infrastructure and general planning of land use', 'Control and care of the environment', 'Protection and improvement of human health' and 'Social structure and relationships', have slightly increased in 2002 and represent (in real terms) 8 128 million 1995 constant PPS.

Table 2: GBAORD by NABS as a percentage of total national GBAORD and total national in EUR millions, EU-15, Iceland and Norway — 2002

NABS	EU-15	CEC (1)	BE	DK (2)	DE	EL	ES (3)	FR	IE (4)	IT (4)	LU	NL	AT	PT	FI	SE	UK (4)	IS	NO
01. Exploration and exploitation of the earth	1.4 s	1.9	0.7	1.1 i	1.8	4.1	2.0	0.7	3.0	1.9	:	0.5	2.1	1.7	1.0 r	0.4	1.5	-	2.0
02. Infrastructure and general planning of land use	1.5 s	6.9	1.3	1.5 i	1.8	2.6	0.6	0.6	2.7	0.4	:	4.9	1.9	7.9	0.6 r	3.3	1.9	7.9	2.2
03. Control and care of the environment	2.7 s	7.6	2.8	2.5 i	3.1	3.7	2.7	2.9	1.7	2.3	:	3.6	1.6	4.6	2.2 r	0.9	2.6	0.8	2.7
04. Protection and improvement of human health	6.3 s	8.0	1.8	2.4 i	4.1	6.4	4.8	5.8	4.0	7.0	:	3.2	2.3	7.0	7.5 r	0.7	14.2	8.7	7.4
05. Production, distribution and rational utilisation of energy	2.8 s	15.2	2.7	1.4 i	3.3	1.9	3.6	3.7	-	3.6	:	2.4	0.5	0.9	4.4 r	2.6	0.5	2.4	2.2
06. Agricultural production and technology	3.1 s	5.3	1.2	9.4 i	2.3	6.7	4.2	2.1	23.3	1.8	:	3.1	2.6	13.1	5.6 r	2.1	3.9	24.8	11.1
07. Industrial production and technology	9.7 s	33.8	26.0	6.6 i	12.5	6.8	15.8	5.9	15.3	14.8	:	12.5	7.6	16.0	27.7 r	2.2	0.6	2.5	8.8
08. Social structures and relationships	3.4 s	3.8	5.1	9.0 i	4.8	4.8	0.6	0.9	4.0	4.4	:	3.0	1.9	3.6	6.8 r	6.6	3.5	37.6	7.1
09. Exploration and exploitation of space	5.4 s	0.7	11.4	2.3 i	4.8	0.1	5.5	8.9	-	7.3	:	2.5	0.2	0.6	2.0 r	2.4	2.4	-	2.2
10. Research financed from General University Funds (GUF)	32.4 s	-	19.0	42.6 i	39.8	50.6	21.4	23.0	18.3	43.7	:	47.5	65.8	31.6	27.1 r	45.6	20.0	-	39.3
11. Non-oriented research	14.5 s	6.5	24.3	20.5 i	16.4	11.0	7.3	19.7	27.6	8.8	:	10.6	13.6	8.6	13.6 r	-	13.7	15.3	10.6
12. Other civil research	1.3 s	10.2	3.4	-	0.0	0.3	1.2	1.5	-	-	:	4.6	0.1	3.6	-	15.1	0.4	-	-
13. Defence	15.4 s	-	0.3	0.6 i	5.3	0.9	30.2	24.2	-	4.0	-	1.7	-	0.8	1.6 r	18.2	34.9	-	4.4
Total civil appropriations	84.5 s	100	99.7	99.4 i	94.7	99.1	69.8	75.8	100	96.0	100	98.3	100	99.2	98.4 r	81.8	65.1	100	95.6
Total appropriations in million EUR	69 163 s	3 148	1 521	1 234 i	17 146	392	4 187	15 609	378	8 441	46	3 391	1 283	898	1 392	2 221	11 047	101	1 500

i: MSTI data.

CEC: Commission of the European Communities.

(1) 2000 provisional data for Total GBAORD and 1999 provisional data for GBAORD by socio-economic objective.

(2) 2002 final data.

(3) 2000 provisional data.

(4) 2001 provisional data.

Sources: Eurostat, OECD.

## GBAORD: An international perspective

The total GBAORD amounted to almost EUR 70 billion and EUR 30 billion for the EU and Japan respectively and exceeded EUR 100 billion for the United States.

However, as shown in Figure 6, differences are less important as a percentage of GDP. In 2002, GBAORD in EU-15, Japan and United States amounted to 0.75 %, 0.71 % and 0.94 % of their GDP respectively. In 1993, GBAORD as a percentage of GDP for the EU was 1.9 times higher than for Japan, whereas that of the United States was 2.3 times higher. During the late 1990's, there was a GBAORD convergence at the international level, the EU, Japan and the USA reaching a similar level in 2000 (0.75 %, 0.64 % and 0.80 % of their respective GDP).

As previously said and as shown in Table 3, in 2002 the main socio-economic objective within the European Union was 'Research financed from GUF' which represented 32.4 % of total GBAORD.

In Japan, 'Research financed from GUF' is also the main objective at 34.9 %. Two other objectives — 'Production, distribution and rational utilisation of energy' and 'Non-oriented research' account for more than 15 % of the total GBAORD.

In the United States, the main objective is 'Defence', which represents more than half of the total GBAORD (54.0 %). The second main objective is 'Protection and improvement of human health', representing almost one fourth (24.9 %) of total GBAORD.

In real terms (1995 constant PPS), EU total GBAORD increased, between 1997 and 2002, at an annual average growth rate of 2.7 %. In Japan and the United States, the rate was 4.7 % in both countries.

For each of them, civil appropriations increased at a higher level than total appropriations.

In the EU, appropriations allocated to 'Defence' remained stable between 1997 and 2002, while in Japan the same objective decreased. On the contrary, annual average growth rate for 'Defence' increased in the United States almost as much as for total appropriations.

In the EU, objectives with the highest increase between 1997 and 2002 are 'Social structures and relationship' (9.0 %) and 'Other civil research' (8.1 %).

In Japan, four objectives had annual average growth rate higher than 10 %. There are 'Exploration and exploitation of the earth', 'Infrastructures and general planning of land use', 'Control and care of the environment' and 'Non-oriented research'.

In the United States, objectives that increased the most are namely 'Protection and improvement of human health' and 'Non-oriented research'. On the contrary, 'Production, distribution and rational utilisation of energy' decreased by almost 10 %.

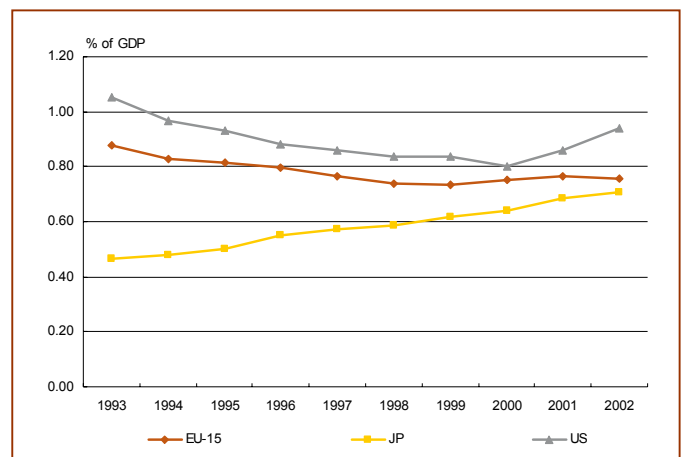
Table 3: GBAORD by NABS as a % of total GBAORD  
Total GBAORD in EUR million — 2002  
Annual average growth rate — 1997 to 2002 (1)

NABS	EU-15 (2)		JP (3)		US (3)	
	% of total	AAGR 1997-2002	% of total	AAGR 1997-2002	% of total	AAGR 1997-2002
01. Exploration and exploitation of the earth	1.4	2.7	1.8 i	10.6 i	1.1 i	4.4 i
02. Infrastructure and general planning of land use	1.5	2.6	4.1 i	14.2 i	1.8 i	-2.6 i
03. Control and care of the environment	2.7	3.3	0.9 i	13.9 i	0.6 i	-0.9 i
04. Protection and improvement of human health	6.3	3.5	3.9 i	4.2 i	24.9 i	11.7 i
05. Production, distribution and rational utilisation of energy	2.8	-0.6	17.3 i	1.6 i	1.6 i	-9.7 i
06. Agricultural production and technology	3.1	-1.2	3.5 i	5.4 i	2.2 i	3.3 i
07. Industrial production and technology	9.7	4.5	7.5 i	7.5 i	0.5 i	0.0 i
08. Social structures and relationships	3.4	9.0	0.8 i	1.6 i	0.8 i	3.7 i
09. Exploration and exploitation of space	5.4	-0.4	6.0 i	3.7 i	6.7 i	-5.1 i
10. Research financed from General University Funds (GUF)	32.4	3.4	34.9 i	3.3 i	-	:
11. Non-oriented research	14.5	2.3	15.4 i	12.4 i	5.8 i	12.3 i
12. Other civil research	1.3	8.1	-	:	-	:
13. Defence	15.4	0.9	4.1 i	-2.6 i	54.0 i	4.3 i
Total civil appropriations	84.5	3.0	95.9 i	5.1 i	46.0 i	5.3 i
Total appropriations in million EUR	69 163	2.7	29 973 i	4.7 i	103 671 i	4.7 i

- i: MSTI data.  
(1) AAGR calculated in 1995 constant PPS.  
(2) EU-15: Eurostat estimate.  
(3) JP and US 2002: provisional data.

Sources: Eurostat, OECD.

Figure 6: GBAORD as a % of GDP  
EU-15, Japan and USA — 1993-2002 (1)



- (1) EU-15: Eurostat estimates for 1995-96 and 1999-2002. US and JP 2002: provisional data.

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 <sup>(1)</sup>. 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 revised version of the *Frascati Manual*, OECD, 2002.

### 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 until 1999 and therefore the EU-15, EUR-12 and EEA totals exclude Luxembourg until 1999. The EU-15 and EUR-12 aggregates are Eurostat estimates for the years 1995, 1996, 1997, 2000, 2001 (final data) and 2002 (provisional data).

There are no 1997 data for Sweden.

The 2002 and 2003 data for United-States are provisional. The 2002 data for Japan 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 PPS\_NAC exchange rate. The GDP deflator in general conforms to the 1995 European System of Accounts (ESA 95), available on *NewCronos*, Theme 2. Where the series was incomplete, the adjusted GDP deflator was estimated using ESA 79. 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.

### Abbreviations and symbols

:	Not available
-	Not applicable or real zero
b	Break in series
e	National estimation
p	Provisional data
s	Eurostat estimation

(1) See the revised version of the *Frascati Manual*, Chapter 8.6.6.

# Further information:

## ➤ Reference publications

Title Statistics on Science and Technology, 2003 edition  
Catalogue No KS-CT-02-001-EN-C Price EUR 29.50

## ➤ Databases

New Cronos, Theme 9,  
Domain: gbaord

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This document has been produced in collaboration with Sammy Sioen.

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