Statistics in focus

SCIENCE AND TECHNOLOGY

THEME 9 – 5/2001

Contents

Government budget appropriations or outlays on R&D are all appropriations allocated to R&D in central government or federal budgets and therefore refer to budget provisions, not to actual expenditure.

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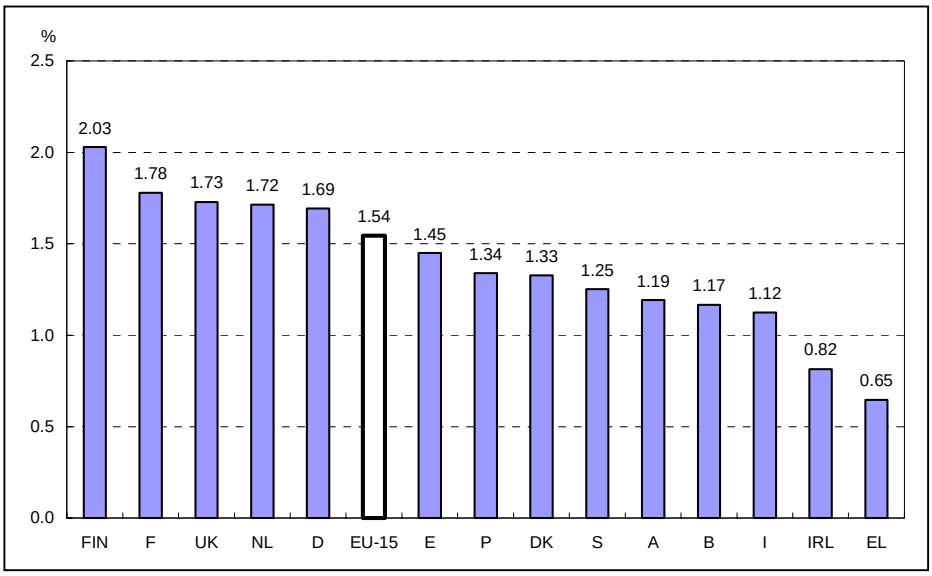
How much do Governments budget for R&D activities?

Benchmarking Europe, the US and Japan

Ibrahim LAAFIA

Figure 1: GBAORD as a % of total general government expenditure, 1999



Source: Eurostat

- In 1999, Finland budgeted more to R&D activities than any other EU country, measured as a proportion of its total general government expenditure.
- Correcting for inflation, total EU Government budget appropriations or outlays for R&D were alsmost stable in 2000 relative to 1990. When civil GBAORD experienced a slight increase between 1990 and 2000, budgets towards "Defence" saw a sharp decrease during the last decade.
- The socio-economic objective 'Social structures and relationships' has seen the highest absolute growth at the EU level in the last five years, with Germany accounting for over 30 % of EU budgeting in 2000, the UK 20 % and Italy close to 13 %.
- 'Research financed from General University Funds' has an increasingly dominant share in EU GBAORD, partly as a result of its steady increase and partly as a result of the decline in the socio-economic objective 'Technological objectives'.
- 'Research financed from General University Funds' has seen similar, if not slightly stronger, increases in Japan.
- In the US, government budgeting towards 'Defence' has fallen in absolute terms during the '90s, but it still accounted for more than 50 % of GBAORD in 1998.

Finland budgets more government finance to R&D than other EU countries

In 1999, Finland budgeted more to R&D activities than any other EU country, measured as a proportion of its total general government expenditure. Germany, France, the Netherlands and the United Kingdom were also above the EU average of 1.54 % (see Figure 1). Governments in Greece and Ireland put less emphasis on publicly funding R&D in 1999, with ratios of around half the EU average.

Nevertheless, spending has increased fairly steadily in absolute terms in both Greece and Ireland in the last decade, displayed by GBAORD measured in constant 1995 ECU/EUR (Table 1). Both countries show stronger growth between 1990-95 than 1995-2000 (see also Figure 2). France, Italy and the United Kingdom, meanwhile, have all seen absolute reductions in government budgeting towards R&D during the '90s, with the first half of the decade showing a greater impact on these trends than the 1995-2000 period. Though not extensive budget cuts, the weight of these countries in the EU is enough to see total EU GBAORD fall very slightly in 2000 relative to its 1990 figure.

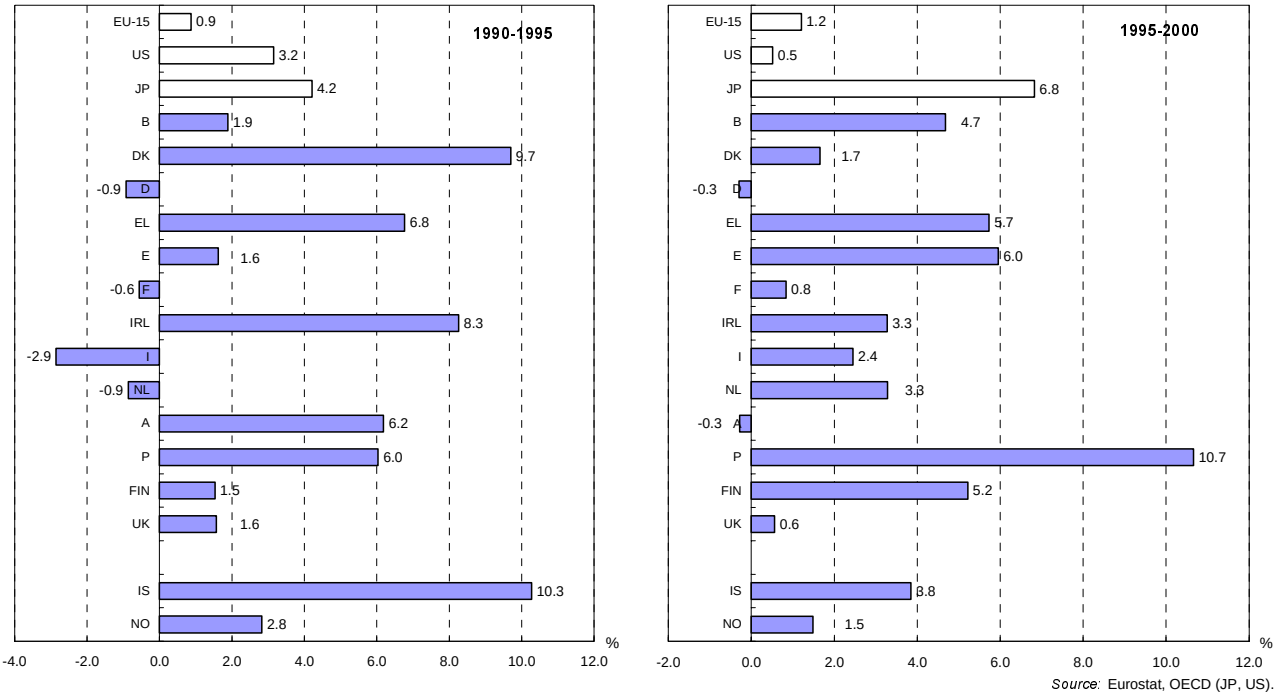
Table 1: Total GBAORD in millions of constant 1995 ECU/EUR, 1990-2000

	1990	1991	1992	1993	1994	1995	1996	1997	1998	1999	2000
EU-15	55 215	57 280	56 877	55 216	53 575	53 753	53 623	53 050 s	52 851	54 058 p	55 035 s
B	1 014	1 046	1 023	1 077	1 081	1 113	1 180	1 246	1 301	1 375	1 398 p
DK	918	921	855	812	876	976	1 005	1 051	1 095	1 123	1 061 p
D	15 997 a	17 901	18 004	17 519	16 845	16 885	17 012	16 399	16 232	16 398	16 447 p
EL	188	181	162	173	185	259	275	288	282	317	340 p
E	2 221 a	2 215 a	2 147 a	2 049 a	2 036 a	2 169	2 166	2 356	2 782	3 052	3 713 p f
F	15 341	15 397	14 658	14 174	13 935	13 262	12 992	12 280	12 315	12 438	12 511 p
IRL	113	123	134	143	134	169	182	178	182	211 p	:
I	5 775	5 972	6 402	5 492	5 081	5 153	4 929	5 246	5 039	4 912	5 340 p
NL	2 510	2 413	2 423	2 385	2 354	2 402	2 515	2 679	2 809	2 926	2 804 p f
A	890	1 032	1 073	1 141	1 232	1 201	1 158	1 153	1 203	1 263	1 184 p f
P	274 a	301 a	382 a	383 a	366 a	372	433	456	499	575	617
FIN	829	913	951	974	962	969	980	1 211	1 241	1 260	1 240
S	2 084 a	2 168 a	2 155 a	2 131	2 051	2 098	2 069	1 819	1 581	1 556	1 606 p
UK	7 062	6 696	6 509	6 763	6 436	6 726	6 727	6 688	6 289	6 652	6 576 p
EEA	56 016 d	58 152	57 847	56 191	54 558	54 709	54 585	54 021 s	53 885	55 072 p	55 930 d
IS	:	30	23	38	41	44	44	41	54	51 p	:
NO	800	843	947	937	942	912	919	929	980	964	895 f
JP	16 403	16 778	17 406	18 368	19 096	20 320	23 031	24 507	24 773	26 159	27 668
US	55 286	55 120	55 867	55 713	53 361	52 592	51 805	52 723	53 463	55 576 p	56 626 p

Source: Eurostat, OECD (JP, US).

'a' = GDP deflator completed using ESA '79; 'f' = forecast for GDP deflator; 'p' = provisional; 's' = Eurostat estimate; 'd' = EEA excludes Iceland; 'I' = break in series.

Figure 2: Annual average growth rate of civil GBAORD in constant 1995 ECU/EUR, 1990-95 and 1995-2000 (1)



Source: Eurostat, OECD (JP, US).

(1) Provisional data for 2000 except for P, FIN, JP; DK = 1993-95; D = 1991-95; F = 1992-95; FIN = 1991-94; IS = 1991-95; IS = 1995-99; NO = 1995-99; US = 1995-98; S not included.

A closer inspection of Figure 2, which shows the annual average growth rate of civil GBAORD (i.e. total GBAORD minus 'Defence') reveals that the majority of this reduction has occurred in the 'Defence' sector in France: civil GBAORD in France fell by only 0.6 % per year between 1992 and 1995 compared with the much larger absolute reductions for total GBAORD in Table 1. Figure 2 also reveals that, in some countries, government budgeting on civil R&D varies quite significantly over time.

However, although total GBAORD is relatively stable at the EU level, civil GBAORD has increased from around 43 billion ECU/EUR in 1990 to 44.5 billion in 1995 and over 47 billion in 2000 (measured in constant 1995 ECU/EUR). Eleven Member State governments budgeted over 1 billion constant 1995 ECU/EUR to R&D in 2000 as compared with nine in 1995 and eight in 1990.

General University Funds: the lion's share of EU GBAORD

Table 2 shows that, in the EU, the majority of provisional 2000 budgeting to R&D was allocated to the 'General University Funds' socio-economic objective, representing almost one-third of total GBAORD. Large differences exist between Member States: it accounts for around two-thirds of GBAORD in Austria yet only one-fifth in Belgium, Spain, France and the UK. Budgeting for this objective has increased in a majority of Member States in absolute terms (see Table 3), but the highest growth can be observed for the Netherlands (around 8 %), followed by Greece and Portugal (7 %).

In 2000, 'Defence' budgeting represented less than 10 % of total GBAORD in each of the Member States (15 % at the EU level) except Spain, France and the UK, where its proportion of total GBAORD ranged from a little more than one-fifth for France to around one-third for Spain and the UK. 'Defence', ahead of 'Exploration and exploitation of the earth', is the objective which has seen the greatest decline in the last five years at the EU level (4 % per year in real terms).

The socio-economic objective 'Social structures and relationships', which includes research into such social aspects as education and training or management of businesses and institutions, has seen the highest absolute growth at the EU level in the last five years, with Germany accounting for over 30 % of EU budgeting in 2000, the UK 20 % and Italy close to 13 %.

The European Commission budgeted nearly 2.5 billion EUR to R&D activities in 1999, with one-third of that allocated to 'Industrial production and technology'. This was followed at some distance by 'Production, distribution and rational utilization of energy'.

Table 2: GBAORD by NABS in millions of current ECU/EUR, 2000 provisional (1)

	EU-15	B	DK	D	EL	E	F	IRL	I	NL	A	P	FIN	S	UK	CEC	IS	NO	US	JP
1. Exploration and exploitation of the Earth	869	14	15	297	15	83	76	1	110	24	29	10	19	31	145	47	0	27	880	556
2. Infrastructure and general planning of Land-use	921	16	22	269	20	27	96	6	18	87	24	47	27	76	187	168	3	27	1 672	1 237
3. Control and care of the environment	1 660	51	33	560	13	112	239	4	168	114	25	27	28	26	260	187	0	34	509	264
4. Protection and improvement of human health	3 862	23	24	558	23	202	735	7	457	108	30	41	85	25	1 545	195	3	84	12 633	1 282
5. Production, distribution and rational utilization of energy	2 081	39	24	570	6	152	664	0	302	89	5	5	65	108	51	371	2	30	846	5 965
6. Agricultural production and technology	2 049	42	148	410	27	176	321	51	142	90	40	80	67	35	420	130	15	107	1 379	1 144
7. Industrial production and technology	6 131	321	76	1 999	54	662	838	76	1 045	386	76	80	353	102	62	826	1	146	355	2 231
8. Social structures and relationships	1 854	63	133	592	16	24	98	18	238	79	26	21	68	106	373	93	29	84	624	301
9. Exploration and exploitation of space	3 640	169	33	741	4	231	1 437	0	587	90	1	3	26	63	255	17	0	28	7 313	1 836
10. Research financed from General Universty Funds (GUF)	19 142	273	463	6 274	179	895	2 345	60	2 875	1 358	763	223	333	953	2 148	0	0	470	0	11 702
11. Non-oriented research	9 395	340	212	2 712	31	307	2 942	32	755	315	177	50	153	0	1 370	158	12	99	3 889	4 621
12. Other civil research	891	66	0	17	1	52	343	0	0	135	0	21	0	215	40	249	0	0	0	510
13. Defence	9 179	5	7	1 308	3	1 264	2 960	0	59	76	0	7	16	133	3 340	0	0	60	35 522	1 368
Total civil appropriations	52 494	1 418	1 182	15 000	388	2 923	10 132	256	6 697	2 875	1 197	610	1 224	1 739	6 854	2 441	65	1 136	30 099	31 649
Total appropriations	61 673	1 423	1 189	16 308	391	4 187	13 092	256	6 756	2 951	1 197	617	1 240	1 873	10 194	2 441	65	1 196	65 621	33 017

Source: Eurostat, OECD (JP, US).

(1) IRL, CEC (European Commission), IS = 1999 provisional data; US = 1998 final data; P, FIN, JP = final data.

Table 3: Annual average growth rate of GBAORD by NABS in millions of constant 1995 ECU/EUR, 1995-99 (1)

	EU-15	B	DK	D	EL	E	F	IRL	I	NL	A	P	FIN	S	UK	IS	NO	JP	US
1. Exploration and exploitation of the Earth	-2.1	-3.6	-2.2	-6.6	1.9	2.6	-3.8	10.2	7.8	30.9	11.0	-12.5	15.9	44.6	-9.4	:	-4.7	10.8	1.3
2. Infrastructure and general planning of Land-use	1.1	9.7	3.2	2.3	25.3	22.6	-0.9	4.1	-4.7	-1.4	-6.1	42.8	-2.7	-6.1	-0.3	5.8	10.8	24.5	-2.2
3. Control and care of the environment	-0.6	16.8	-2.1	-1.7	2.0	9.6	-6.6	7.9	4.6	6.9	-6.7	9.4	2.9	-15.7	-0.1	-35.6	2.1	13.1	-0.4
4. Protection and improvement of human health	1.6	-10.7	5.1	0.1	5.7	7.9	0.9	13.8	-5.7	21.6	2.5	17.7	26.7	-3.5	2.3	8.5	2.8	13.9	4.9
5. Production, distribution and rational utilization of energy	3.3	0.9	1.6	0.7	-10.8	19.8	0.9	:	10.5	2.0	12.9	25.1	23.1	11.7	-16.3	0.3	-3.3	5.0	-31.8
6. Agricultural production and technology	-1.6	-1.3	7.7	-1.2	-5.2	5.1	-5.0	4.7	-0.4	-6.3	2.8	15.1	1.0	-4.7	-4.8	-0.2	-0.1	6.8	-5.3
7. Industrial production and technology	0.2	18.6	-0.2	-1.7	6.7	6.4	-1.2	7.9	-2.8	6.0	-1.5	17.0	3.5	-15.8	-31.2	-12.9	-4.8	22.2	-10.3
8. Social structures and relationships	6.2	13.5	0.8	8.1	24.4	6.2	4.2	-5.1	13.8	8.1	6.4	2.6	1.3	-8.5	8.9	:	0.7	-1.3	-4.3
9. Exploration and exploitation of space	-1.4	-0.6	4.7	-4.0	17.5	-3.9	-0.4	:	-0.6	-2.4	13.7	:	10.8	14.2	-4.5	:	-5.5	2.3	-0.5
10. Research financed from General Universty Funds (GUF)	1.4	0.2	5.8	-0.4	7.0	2.1	2.4	-1.4	1.8	7.8	0.9	7.0	5.8	-0.9	0.4	:	4.9	3.3	:
11. Non-oriented research	1.0	6.4	2.7	0.8	0.0	-0.6	1.6	45.0	5.1	2.5	3.8	3.0	13.0	:	-1.1	30.2	2.5	14.4	14.0
12. Other civil research	0.2	-0.1	:	-23.5	40.4	-4.5	9.7	:	:	-2.6	-32.6	44.2	:	:	-6.7	:	:	:	:
13. Defence	-4.0	6.6	6.8	-2.8	-3.5	36.3	-8.2	:	-39.6	-2.1	-39.1	18.2	-3.7	-28.5	1.0	:	-0.3	-0.8	0.6
Total civil appropriations	0.9	5.4	3.5	-0.5	5.3	4.0	0.9	5.7	0.8	5.3	1.3	11.4	7.0	-3.5	-1.0	3.8	1.5	7.0	0.5
Total appropriations	0.1	5.4	3.6	-0.7	5.2	8.9	-1.6	5.7	-1.2	5.1	1.3	11.5	6.8	-7.2	-0.3	3.8	1.4	6.5	0.5

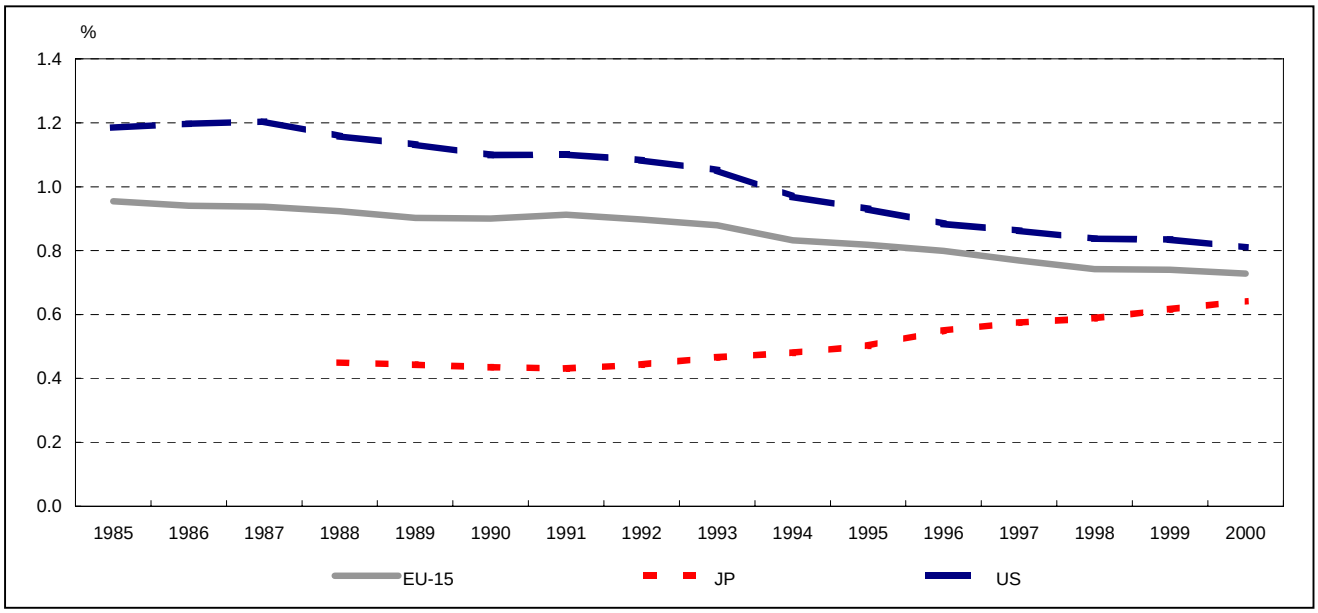
Source: Eurostat, OECD (JP, US).

(1) IRL, IS = 1999 provisional data; IS = 1997-99 for non-oriented research; US = 1995-98 final data.

Europe's place in the Triad: both convergence and decline

Figure 3 clearly shows the converging path of government budgeting towards R&D over the last 15 years. The governments in Europe and the United States have budgeted less public funding towards R&D related activities. Meanwhile, Japan, where time series begin in 1988, has seen GBAORD increase from just under 0.5 % to 0.64 % of GDP in the same period. It should be noted that this is partly as a result of rising levels of GBAORD and partly as a result of stagnant or falling GDP.

Figure 3: GBAORD as a % GDP, 1985-2000 (1)

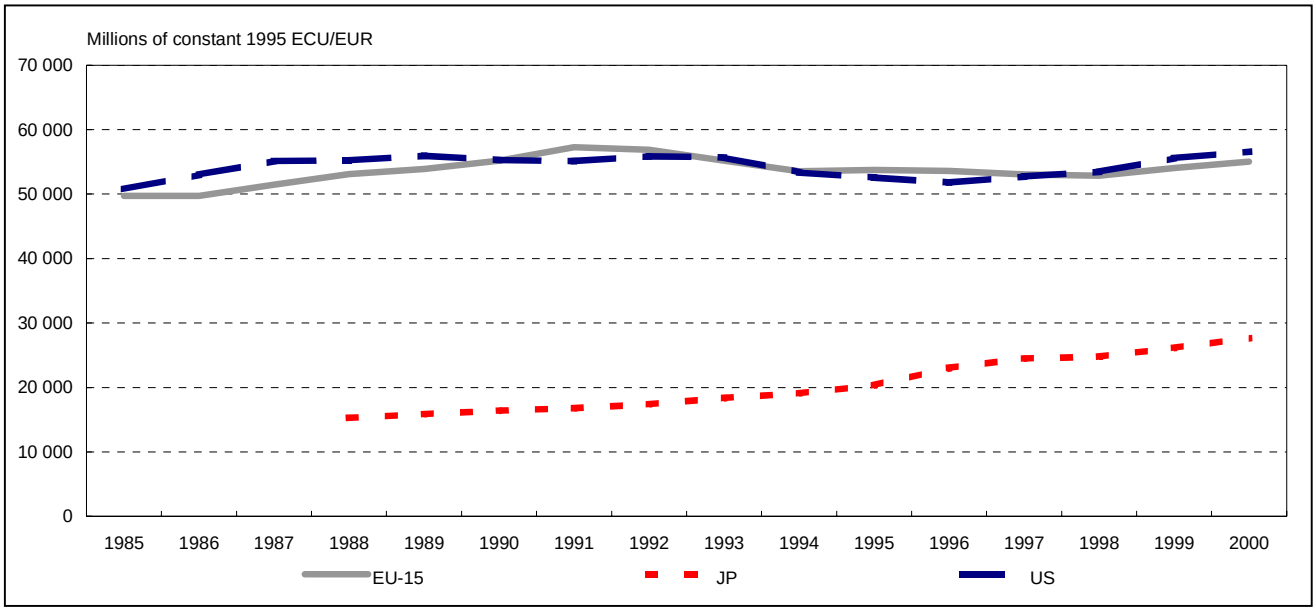


Source: Eurostat, OECD (JP, US).

(1) EU = estimate in 2000; US = 1999 and 2000 provisional data.

Against this backdrop and correcting for inflation, Figure 4 shows GBAORD in millions of constant 1995 ECU/EUR, also from 1985 to 2000. EU government budgeting to R&D related activities peaks in 1991, since then it has fallen to its provisional figure of 55 billion ECU/EUR in 2000. GBAORD in the US follows a similar path. Japan, on the other hand, has seen its absolute expenditure increase by around 80 % between 1988 and 2000.

Figure 4: GBAORD in millions of constant 1995 ECU/EUR, 1985-2000 (1)



Source: Eurostat, OECD (JP, US).

(1) EU = estimate in 2000; US = 1999 and 2000 provisional data.

Differing socio-economic priorities in the Triad

Whereas total government budgeting towards R&D has remained relatively stable over the last 15 years for the EU and the US (when measured in constant prices), this conceals relative differences in socio-economic objectives. Figure 5 displays for the EU-15, Japan and the US the evolution of these priorities over the last decade.

In the European Union, 'Research financed from General University Funds' has an increasingly dominant share in GBAORD, partly as a result of its steady increase and partly as a result of the decline in 'Technological objectives'. This latter objective has diminished in importance mainly as a result of budget decreases in 'Industrial production and technology'. 'Defence' has also decreased markedly.

Showing shallow but steady growth in the EU is 'Non-oriented research'. The same is true for 'Human and social objectives', which includes the strong growth of one of its constituent parts — 'Protection and improvement of human health'.

'Research financed from GUF' has seen similar, if not slightly stronger, increases in Japan. However, in the last decade both 'Technological objectives' and 'Non-oriented research' have seen strong growth, also.

In the US, government budgeting towards 'Defence' has fallen in absolute terms during the '90s, but it still accounted for more than 50 % of GBAORD in 1998. Budgeting for 'Human and social objectives' is around one-third higher in absolute terms at the end of the decade compared to the beginning. Much of the increase is accounted for by 'Protection and improvement of human health'.

Due to constraints of space, some NABS chapters are grouped together. The categories 'Human and social objectives' and 'Technological objectives' are obtained by grouping the following NABS chapters:

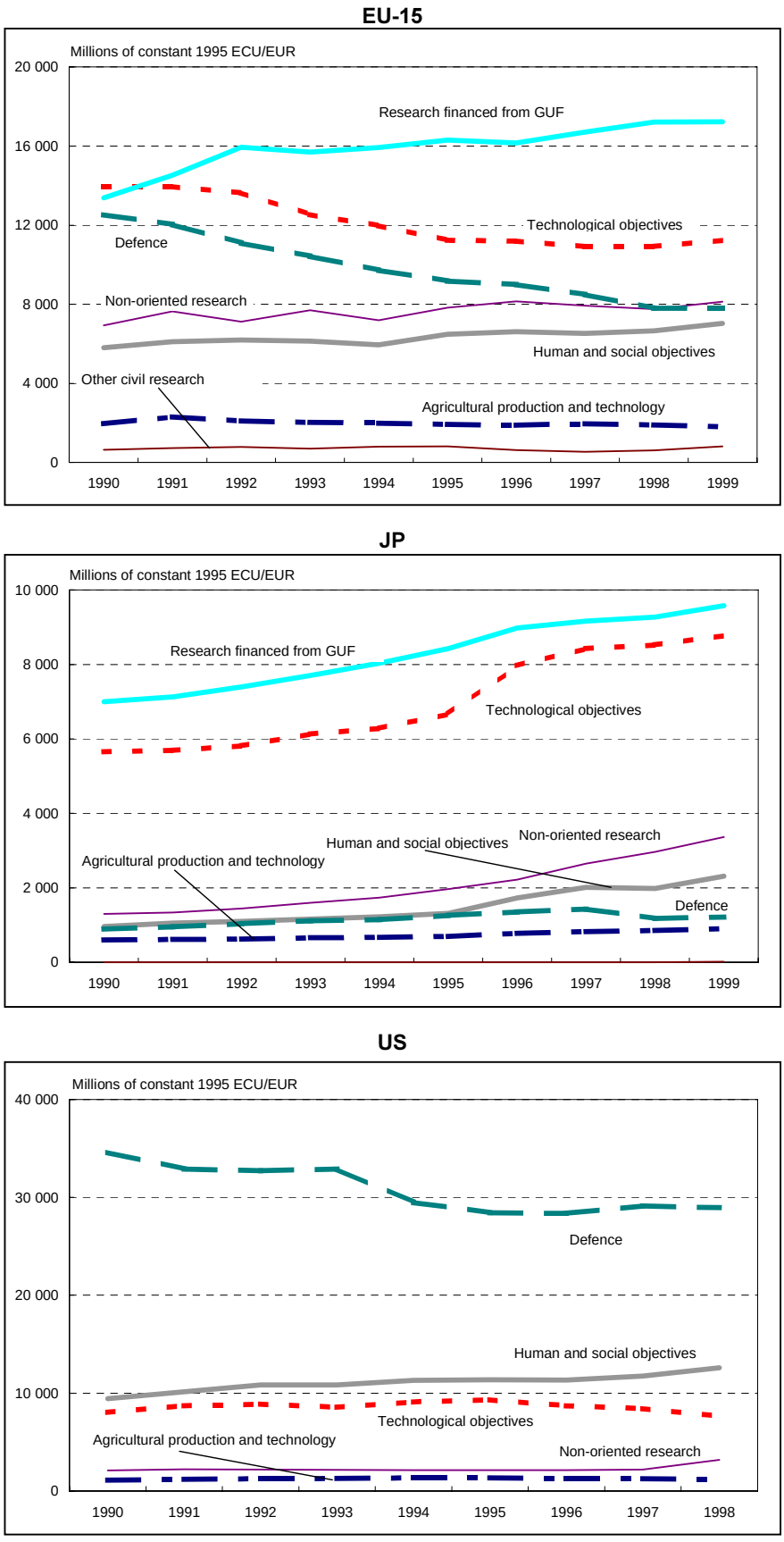
'Human and social objectives' groups NABS:

2. Infrastructure and general planning of Land-use
3. Control and care of the environment
4. Protection and improvement of human health
8. Social structures and relationships

'Technological objectives' groups NABS:

1. Exploration and exploitation of the Earth
5. Production, distribution and rational utilization of energy
7. Industrial production and technology
9. Exploration and exploitation of space

Figure 5: GBAORD by grouped socio-economic objectives in millions of constant 1995 ECU/EUR, 1990-99 (1)



Source: Eurostat, OECD (JP, US).

(1) US = 1990-98

➢ ESSENTIAL INFORMATION – METHODOLOGICAL NOTES

Definition — GBAORD

Government budget appropriations or outlays on R&D 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). 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.

The European Commission's budget for R&D does not include the European Development Fund's resources for technological research. Administrative costs are also excluded.

Exceptions

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

EEA totals exclude Liechtenstein and Luxembourg.

Only data for total GBAORD exist for US in 1999 and 2000.

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 ECU/EUR 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.

Abbreviations and symbols

'a'	GDP deflator completed using ESA '79	'p'	provisional
'd'	EEA excludes Iceland	's'	Eurostat estimation
'e'	estimation	'l'	break in series
ESA	European System of Accounts	':'	not available
'f'	forecast for GDP deflator	'-'	not applicable or real zero.

Further information:

➢ **Reference publications**

Title Research and Development: Annual Statistics 2001 (forthcoming)

➢ **Databases**

New Cronos, Theme 9
Domain GBAORD

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For information on methodology

Ibrahim Laafia, Eurostat/A4, L-2920 Luxembourg, Tel. (352) 4301 34462, Fax (352) 4301 34149, E-mail: ibrahim.laafia@cec.eu.int

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