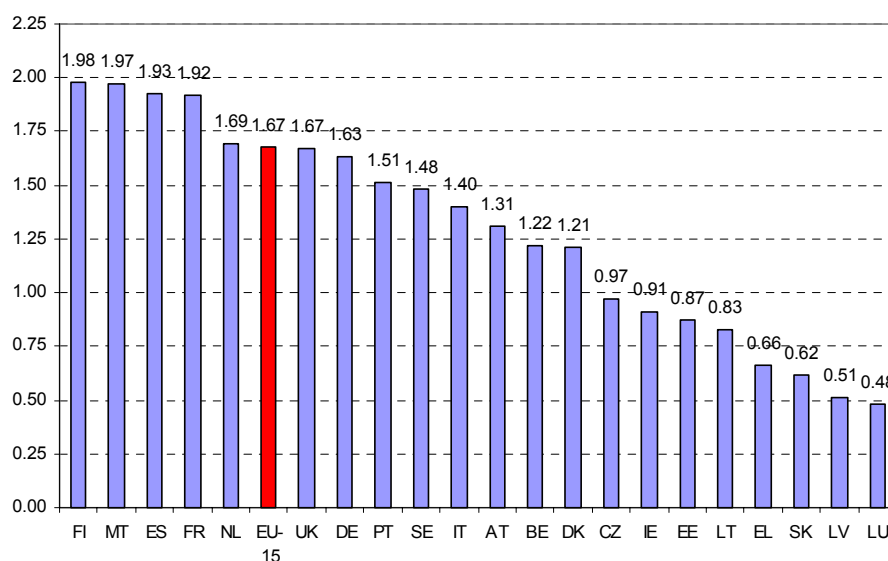


# Government Budget Appropriations or Outlays on R&D

*EU-25's total GBAORD steadily increasing*

Graph 1: Government budget appropriations or outlays on R&D (GBAORD) as a percentage of total general government expenditure, 2002



EE, EL, FR, LT, MT, SE: 2001. IT: 2000 – NL: estimates. HU, PL, SI, CY: not available.

## Main findings

- Growth in Government Budget Appropriations or Outlays on R&D (GBAORD) in the European Union between 1998 and 2002 was essentially due to marked efforts by certain Member States such as Spain, Ireland and Portugal. However, the GBAORD of several countries did not change substantially over this period (Germany, Finland).
- GBAORD in the European Union is primarily allocated to "Research financed from General University Funds (GUF)" which alone represented 33 % of total GBAORD in 2002. The other main categories were "Defence" and "Non-oriented research".
- GBAORD in the EU-15 represented 1.67 % of total general government expenditure. Five countries exceeded this average: Finland, Malta, Spain, France and the Netherlands
- Total GBAORD in European Union registered an annual average growth rate of 4.1 % for the period 1998-2002, while in Japan and in the United States, the corresponding rates were 5.5 % and 6.7 % respectively.
- In 1991, GBAORD of the United States represented more than 1.10 % of GDP whereas it represented 0.91 % for the EU-15 and only 0.43 % of GDP for Japan. In 2002, those ratios were converging: the shares for the US, EU-15 and Japan (in 2001) amounted to 0.98 %, 0.78 % and 0.71 % respectively.

Statistics  
in focus

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5/2005

R&D Statistics

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The following section is primarily concerned with total GBAORD at EU-15, EU-25 and at national level for Member States and EFTA countries.

The analysis will then focus on the socio-economic objectives according to which the Government Budget Appropriations or Outlays for R&D (GBAORD) is categorised.

### The EU-25's total GBAORD steadily increasing, but less than in Japan or in the US

Graph 1 displays total GBAORD figures at national level. It shows the emphasis governments place on publicly funded Research and Development. In 2002, Finland, Malta (2001 data), Spain, France (2001 data) and the Netherlands all had a ratio of GBAORD to total government expenditure above the EU-15's

average (1.67 %). Other countries such as Greece (0.66 %), Slovakia (0.62 %), Latvia (0.51 %) or Luxembourg (0.48 %) showed the lowest GBAORD ratios as a percentage of total general government expenditure.

**Table 1: Government budget appropriations or outlays on R&D (GBAORD), in millions of 1995 PPS, and annual average growth rate between 1998 and 2002\***

	1995	1998	1999	2000	2001	2002	2003	AAGR
EU-25	:	:	54 042 s	57 155 s	59 462 s	62 295 s	:	4.9
EU-15	51 335 s	50 899 s	52 247 s	55 387 s	57 649 s	59 856 s	:	4.1
BE	1 023	1 195	1 257	1 279	1 338	1 394	1 407	3.9
CZ	:	:	:	:	:	634	:	:
DK	739	836	867	:	881 b	823	923	-0.4
DE	13 981 b	13 465	13 656	13 624	13 626	13 646	13 786	0.3
EE	:	:	43	38 e	37 e	:	:	-6.5
EL	352	385	431	501	477 r	434 p	:	3.1
ES	2 660	3 404	3 739	:	:	5 359	:	12.0
FR	11 609 b	10 778	10 879	11 569 r	12 186	12 446 p	:	3.7
IE	182 r	201 r	230 r	283 r	320	314	:	11.8
IT	:	6 339	6 182	7 620	:	:	:	:
CY	:	:	:	:	:	:	:	:
LV	32	33 r	32 r	31	37	35	:	1.3
LT	:	:	84	74	78	:	:	-4.0
LU	:	:	:	22 r	29 r	36 r	45 r	29.3
HU	:	:	:	:	:	:	:	:
MT	:	:	:	:	:	:	:	:
NL	2 247	2 634	2 748	2 860	2 834	2 922	2 787 p	2.6
AT	1 074	1 098 r	1 156 r	1 146	1 229	1 262	1 100 p	3.5
PL	1 072	1 238	1 310	:	:	:	:	:
PT	527	707	815	873	912	1 009	928 p	9.3
SI	:	126	146	140	146	157	:	5.7
SK	148	184	179	165	164	157	166	-3.8
FI	804	1 025	1 048	1 028	1 045	1 065	1 113 p	0.9
SE	1 844 be	1 396 p	1 372 p	1 409	1 667 p	1 747 p	1 946 p	5.8
UK	7 929	7 436	7 867	8 183	8 363	8 679	:	3.9
IS	44	57	96	97	95	82 p	87 p	9.6
NO	744	802	787 r	723 r	716	874	915	2.2
EEA28	:	53 339 s	54 925 s	57 975 s	60 274 s	63 255 s	:	4.4
CH	:	:	:	1 247	:	1 336	:	3.5
US	63 694	65 035	67 649	71 306 b	76 205	84 435	94 517 e	6.7
JP	13 220	16 134	17 036	18 094	19 392	20 017 p	20 885 p	5.5

\* between 1998 and 2001 when 2002 is not available, between 1999 and 2002 when 1998 is not available, between 1999 and 2001 when neither 1998 nor 2002 are available and between 2000 and 2002 when neither 1998 nor 1999 are available

Total GBAORD at European level has increased over the last years, as shown in Table 1. The EU-25 amount had an average annual growth rate equal to 4.9 % over the period 1999-2002 (4.1 % for EU-15 over the period 1998-2002) driven by countries such as Spain, Ireland, Portugal and Luxembourg. Indeed,

for these countries, annual average growth rates of 12.0 %, 11.8 %, 9.3 % and 29.3 % respectively have been registered. Even though these four countries only account for a small share of the European Union's total GBAORD, their high growth rates boost the EU-15's total GBAORD increase. Sweden and

Slovenia also experienced above EU-25 average growth rates of their GBAORD. In contrast, several countries such as Denmark, Germany or Finland saw low average annual growth rates for the 1998-2002 period (-0.4 %, 0.3 % and 0.9 % respectively), due to public budget problems in general.

The EU-15 and EU-25's annual average growth rates were lower than those of the US and Japan, which reached 6.7 % and 5.5 % respectively over the same period.

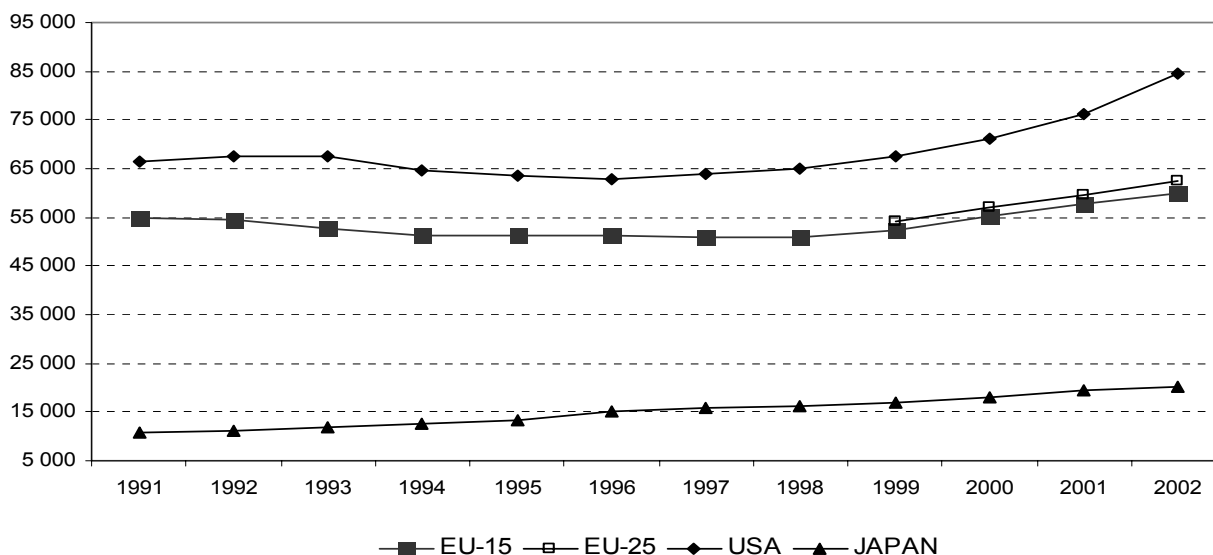
Graph 2 shows the evolution of the GBAORD in real terms (in constant 1995 prices) for the EU-15, EU-25, the US and Japan. The EU-25's total GBAORD has been steadily increasing since 1998, reaching approximately 62 billion constant 1995 PPS in 2002.

This development is quite similar to Japan whose

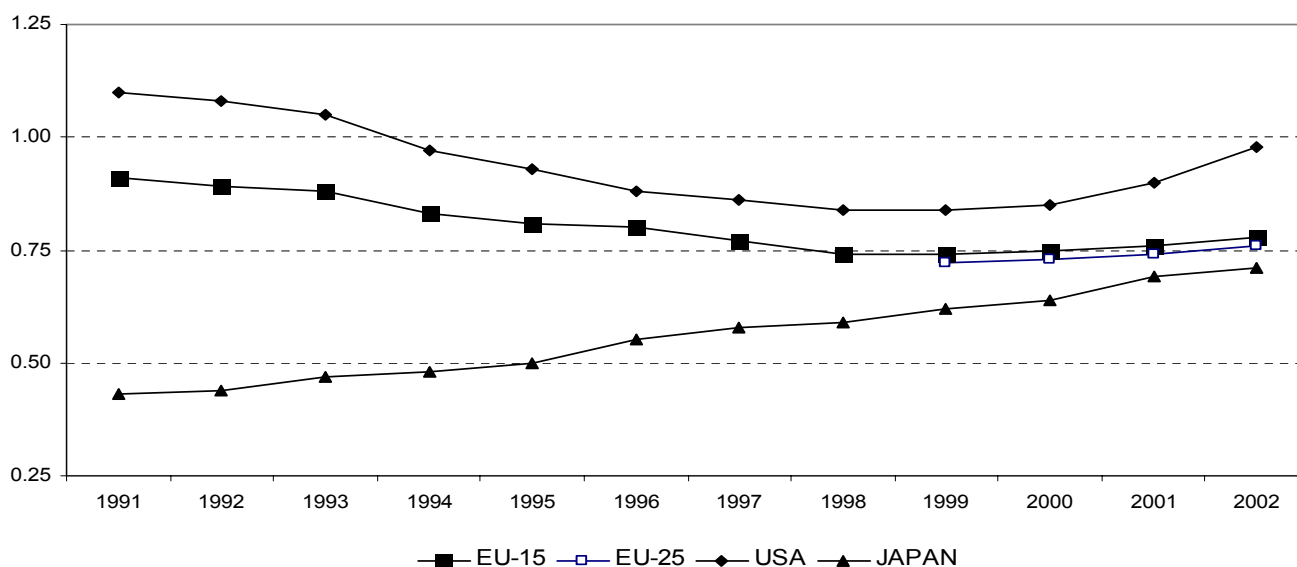
GBAORD rose to 20 billion constant 1995 PPS by 2002. The total GBAORD of the US grew at a faster pace from 1996 onwards to reach about 85 billion constant 1995 PPS in 2002 and 95 billion constant 1995 PPS in 2003.

Graph 3 shows that Japan's GBAORD as a percentage of GDP is approaching the ratio of the EU and the US in the last couple of years, while these have followed a similar evolution since 1991. In 1991, the GBAORD of the US (1.10 %) as a share of GDP was higher than the EU-15's (0.91 %) and Japan's (0.43 %). By 2002, those ratios were more in line (0.98 % for the US, 0.78 % for the EU-15 and 0.71 % for Japan).

**Graph 2: Government budget appropriations or outlays on R&D (GBAORD) for EU-15, EU-25, Japan and USA, from 1991 to 2002, in millions of 1995 PPS**



**Graph 3: Government budget appropriations or outlays on R&D (GBAORD) for EU-15, EU-25, Japan and USA, from 1991 to 2002, as a percentage of GDP**



## Defence is the most important objective for the UK and Spain

GBAORD is broken down by socio-economic objectives on the basis of the 1993 NABS classification, corresponding to the specific aims of the government appropriations or outlays on research and development.

Table 2 shows that within the EU-25, the main socio-economic objective is "Research financed from General University Funds (GUF)", representing 32.7 % of total GBAORD. It is followed by "Defence" (14.7 %), "Non-oriented research" (13.3 %) and "Industrial production and Technology" (10.6 %). The public research budget for "Research financed from General University Funds (GUF)" represents the most important part of GBAORD for eleven Member

States out of twenty for which data is available. The share of General University Funds absorbed as much as 62.7 % of Austria's total GBAORD, 50.6 % of Greece's and 47.8 % of Italy's.

Publicly financed research in "Defence" represents 26.6 % of total national GBAORD in Spain and 37.6 % in the UK. In France and Sweden, "Defence" was the second largest expense item, making up 23.0 % and 18.2 % respectively of total national GBAORD. In the US, more than half of the total national GBAORD (52.1 %) is devoted to "Defence" whereas in Japan, "Defence" only takes up 4.1 % of total GBAORD.

**Table 2: Government budget appropriations or outlays on R&D (GBAORD) by socio-economic objectives (NABS) as a percentage of total GBAORD-2002**

	01. Exploration and exploitation of the earth	02. Infrastructure and general planning of land use	03. Control and care of the environment	04. Protection and improvement of human health	05. Production, distribution and rational utilisation of energy	06. Agricultural production and technology	07. Industrial production and technology	08. Social structure and relationships	09. Exploration and exploitation of space	10. Research financed from General University Funds (GUF)	11. Non-oriented research	12. Other civil research	13. Defence	86. Total civil research and development appropriations	99. Total appropriations	Percentage of GDP in 2002 for total GBAORD
EU-25	1.3 s	1.6 s	2.4 s	6.4 s	2.6 s	3.0 s	10.6 s	3.2 s	5.3 s	32.7 s	13.3 s	1.8 s	14.7 s	85.3 s	100 s	0.76 s
EU-15	1.3 s	1.6 s	2.4 s	6.5 s	2.7 s	3.0 s	10.7 s	3.2 s	5.4 s	33.2 s	13.3 s	1.7 s	15.0 s	85.0 s	100 s	0.78 s
BE	0.7	1.5	2.7	1.6	2.6	2.0	28.5	4.7	10.8	18.2	23.2	3.2	0.3	99.7	100	0.62
CZ	3.0	3.9	4.0	8.1	1.8	4.5	9.7	1.6	0.9	27.6	25.7	6.1	3.3	96.7	100	0.51
DK	1.2	1.5	2.5	2.4	1.4	9.4	6.6	9.0	2.3	42.6	20.5	0.0	0.6	99.4	100	0.67
DE	1.7	1.8	3.1	4.1	3.0	2.0	12.5	4.8	5.1	39.7	17.0	0.5	5.5	94.5	100	0.79
EE	:	:	:	:	:	:	:	:	:	:	:	:	:	:	:	0.32 e
EL	4.1 p	2.6 p	3.7 p	6.4 p	1.9 p	6.7 p	6.8 p	4.8 p	0.1 p	50.6 p	11.0 p	0.3 p	0.9 p	99.1 p	100 p	0.32 r
ES	1.2	3.7	1.7	6.7	1.3	4.0	20.3	0.5	3.4	25.8	4.7	0.2	26.6	73.4	100	0.77
FR	0.7 p	0.6 p	2.9 p	5.8 p	3.7 p	2.1 p	6.0 p	0.9 p	9.0 p	23.1 p	20.7 p	1.6 p	23.0 p	77.0 p	100 p	1.01
IE	0.7 p	2.1 p	2.7 p	5.0 p	0.0 p	20.3 p	26.5 p	4.5 p	0.0 p	20.8 p	17.4 p	0.0 p	0.0 p	100.0 p	100 p	0.30
IT	1.4	0.2	2.3	6.7	4.0	2.2	13.8	3.2	7.7	47.8 e	10.0	0.0	0.8	99.2	100	0.66
CY	:	:	:	:	:	:	:	:	:	:	:	:	:	:	:	:
LV	0.9	0.3	2.4	11.2	2.0	13.4	16.5	5.9	1.3	0.0	20.7	24.6	0.8	99.3	100	0.18
LT	1.6	5.2	5.2	10.3	0.9	5.4	15.6	8.7	0.0	0.0	0.0	47.0	0.1	99.9	100	0.29
LU	:	:	:	:	:	:	:	:	:	:	:	:	:	:	:	0.21 r
HU	:	:	:	:	:	:	:	:	:	:	:	:	:	:	:	:
MT	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	100.0	0.0	0.0	0.0	0.0	100	0.57
NL	0.4	4.9	2.9	3.1	3.3	4.0	11.7	2.9	3.3	46.9	10.2	4.5	1.7	98.3	100	0.81
AT	2.0	2.1	1.3	3.0	0.7	2.7	9.3	1.8	0.1	62.7	14.3	0.1	0.0	100.0	100	0.67
PL	:	:	:	:	:	:	:	:	:	:	:	:	:	:	:	:
PT	1.9	5.1	3.6	7.8	1.3	12.9	17.4	4.0	0.5	31.5	10.2	2.0	1.9	98.1	100	0.70
SI	0.5	0.9	1.6	2.3	0.6	3.7	19.0	3.0	0.0	3.8	64.4	0.0	0.2	99.8	100	0.55
SK	0.0	1.1	2.7	4.4	2.5	18.1	7.6	3.8	0.0	16.6	32.4	1.6	9.3	90.8	100	0.32
FI	1.0	0.6	2.2	7.5	4.2	5.6	27.9	6.8	1.8	27.2	13.6	0.0	1.6	98.4	100	0.99
SE	0.4 p	3.3 p	0.9 p	0.7 p	2.6 p	2.1 p	2.2 p	6.6 p	2.4 p	45.6 p	0.0 p	15.1 p	18.2 p	81.8 p	100 p	0.84 p
UK	1.9	1.4	1.7	14.6	0.4	3.7	3.7	4.0	2.1	22.3	6.0	0.5	37.6	62.4	100	0.70
IS	0.0 p	7.9 p	0.8 p	8.7 p	2.4 p	24.8 p	2.5 p	37.6 p	0.0 p	0.0 p	15.3 p	0.0 p	0.0 p	100.0 p	100 p	1.29
NO	1.9	2.1	2.6	7.2	2.1	10.8	8.6	6.9	2.1	38.2	10.3	0.0	7.1	92.9	100	0.76
EEA28	1.3 s	1.7 s	2.4 s	6.4 s	2.6 s	3.2 s	10.5 s	3.3 s	5.3 s	32.8 s	13.2 s	1.7 s	14.5 s	85.5 s	100 s	:
CH	0.3	0.5	0.3	1.7	1.2	2.7	3.4	1.2	4.6	61.0	5.7	16.9	0.5	99.5	100	0.69
US	1.1 e	1.7 e	0.6 e	23.7 e	1.5 e	2.1 e	0.4 e	0.8 e	6.4 e	:	5.6 e	:	52.1 e	47.9 e	100 e	0.98
JP	1.8 p	4.1 p	0.9 p	3.9 p	17.3 p	3.5 p	7.5 p	0.8 p	6.0 p	34.9 p	15.4 p	:	4.1 p	95.9 p	100 p	0.71 p

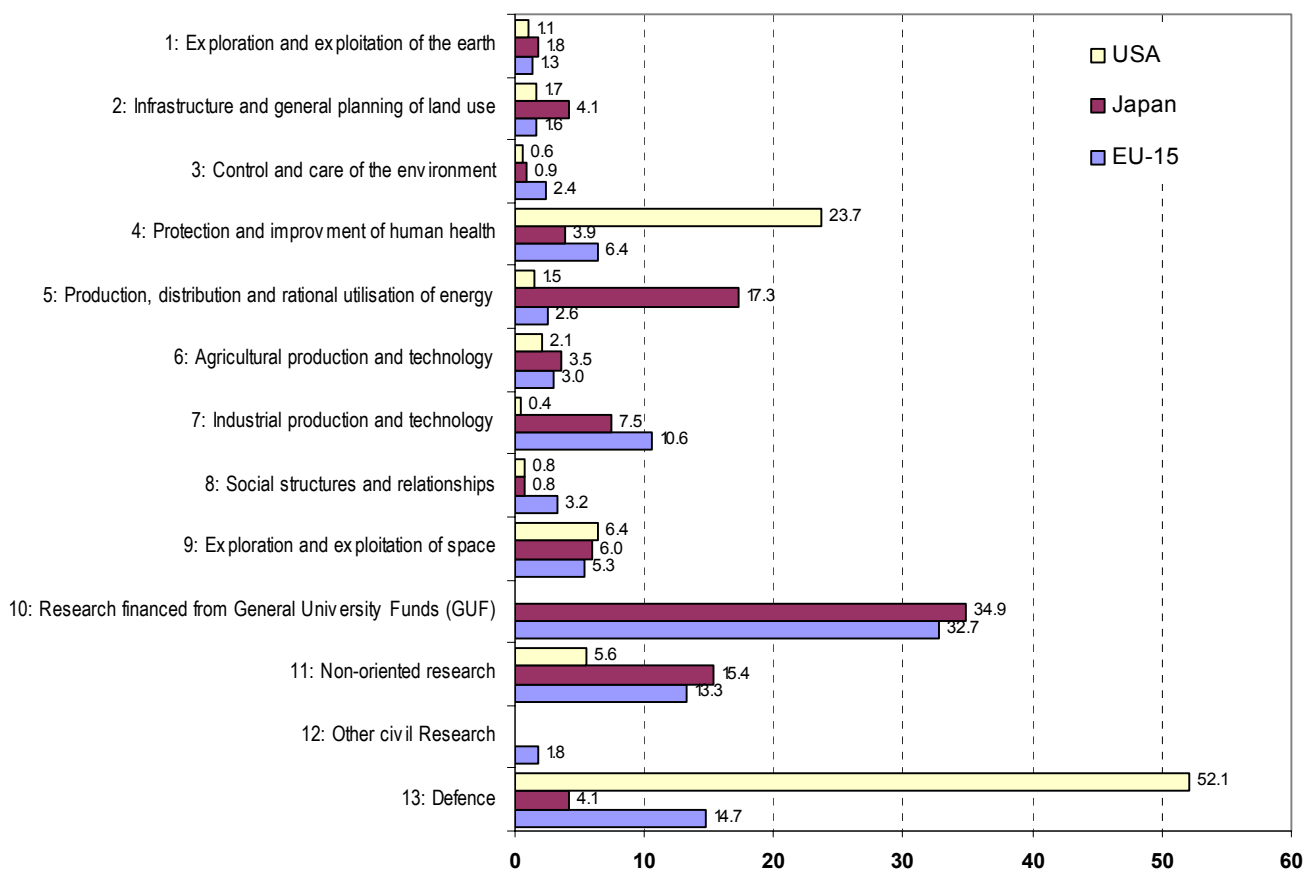
IT, LV: 2000; EE, LT: 2001

Graph 4 shows that in Japan, the main public research socio-economic objective in 2001 was “Research financed from GUF”, just as for the EU, taking up 34.9 % of total GBAORD. Moreover, 17.3 % of Japan’s GBAORD was apportioned to the “Production, distribution and rational utilisation of energy”, and 15.4 % to the “Non-oriented research”.

As mentioned earlier, more than half (52.1 %) of the United States’ total GBAORD in 2002 was spent on “Defence”. The public research budget for “Protection and improvement of human health” came second,

accounting for about a quarter of total GBAORD (23.7 %). Consequently, other socio-economic objectives are proportionally much less important. Notable exceptions are the 6.4 % of total GBAORD earmarked for the “Exploration and exploitation of space” and 5.6 % allotted to “Non-oriented research”. Then again, US data for “Research financed from General University Funds (GUF)” and “Other civil research” are not available, preventing an all-inclusive comparison with Japan and the EU.

**Graph 4: GBAORD broken down by NABS chapters as a percentage of the total - 2002**



US: Figures for NABS 10 and 12 are not available

JP: Figures for NABS 12 are not available

## Annual average growth rates rather heterogeneous between objectives and world regions

**Table 3: Government budget appropriations or outlays on R&D (GBAORD) by chapter of socio-economic objectives (NABS): average annual growth rate between 1994 and 1998, and between 1998 and 2002**

		1994 to 1998	1998 to 2002
01. Exploration and exploitation of the earth	EU-15	-4.2 s	1.4 s
	US	-1.6	0.7 p
	JP	10.6	13.0
02. Infrastructure and general planning of land use	EU-15	0.3 s	5.6 s
	US	-2.7	-3.7 p
	JP	19.0	16.6
03. Control and care of the environment	EU-15	1.6 s	0.1 s
	US	-0.9	-1.0 p
	JP	10.0	15.1
04. Protection and improvement of human health	EU-15	6.6 s	6.6 s
	US	4.2	12.4 p
	JP	12.4	7.5
05. Production, distribution and rational utilisation of energy	EU-15	2.8 s	-2.7 s
	US	-25.5 b	10.9 p
	JP	5.9	1.9
06. Agricultural production and technology	EU-15	-1.3 s	-0.5 s
	US	-4.2	6.9 p
	JP	6.3	5.6
07. Industrial production and technology	EU-15	-3.7 s	8.8 s
	US	-0.5	0.8 p
	JP	24.9	7.9
08. Social structure and relationships	EU-15	0.9 s	9.0 s
	US	-2.3	2.2 p
	JP	2.8	1.1
09. Exploration and exploitation of space	EU-15	-2.7 s	1.6 s
	US	0.9	-7.2 p
	JP	2.1	4.3
10. Research financed from General University Funds (GUF)	EU-15	2.1 s	4.9 s
	US	:	:
	JP	3.7	3.7
11. Non-oriented research	EU-15	3.2 s	1.4 s
	US	10.7 b	5.0 p
	JP	14.3	12.3
12. Other civil research	EU-15	0.2 s	5.3 s
	US	:	:
	JP	:	:
13. Defence	EU-15	-4.7 s	2.7 s
	US	-0.3	5.7
	JP	0.8	1.4
86. Total civil research and development appropriations	EU-15	0.9 s	4.4 s
	US	0.8	7.9
	JP	7.1	5.7
99. Total appropriations	EU-15	-0.1 s	4.1 s
	US	0.2	6.7
	JP	6.8	5.5 p

Table 3 shows the average annual growth rate of the GBAORD by socio-economic objectives over the 1998-2002 and 1994-1998 periods.

In the EU-15, the publicly financed R&D item which expanded most between 1994 and 1998 was related

to "Protection and improvement of human health" (6.6 %), followed by "Non-oriented research" (3.2 %) and "Production, distribution and rational utilisation of energy" (2.8 %). During the same period, publicly financed R&D decreased in some areas such as "Industrial production and technology" (-3.7 %), "Exploration and exploitation of the earth" (-4.2 %) and "Defence" (-4.7 %). Over the period 1998-2002, publicly financed R&D only decreased for "Agricultural production and technology" (-0.5 %) and "Production, distribution and rational utilisation of energy" (-2.7 %). "Social structure and relationships", "Industrial production and technology", "Protection and improvement of human health" showed the highest growth rates in the EU-15 with 9.0 %, 8.8 % and 6.6 % respectively.

In the United States, this pattern was different. The three most important rises over 1994-1998 were registered in the "Non-oriented research" (10.7 %), the "Protection and improvement of human health" (4.2 %), and the "Exploration and exploitation of space" (0.9 %). Over 1998-2002, the highest average annual growth rates were recorded in "Protection and improvement of human health" (12.4 %), "Production, distribution and rational utilisation of energy" (10.9 %) and "Agricultural production and technology" (6.9 %) whereas "Control and care of environment", "Infrastructure and general planning of land use" and "Exploration and exploitation of space" are the objectives which experienced falls of -1.0 %, -3.7 % and -7.2 % respectively. This illustrates a certain redistribution of public R&D funds in the US.

In Japan, over the two periods, none of the socio-economic objectives saw a negative average annual growth rate. Over the first observation period, Japan oriented publicly financed R&D towards "Industrial production and technology" (24.9 %), "Infrastructure and general planning of land use" (19.0 %) and "Non-oriented research" (14.3 %). Over the second observation period, the fastest growing socio-economic objectives were "Infrastructure and general planning of land use" (16.6 %), "Control and Care of the environment" (15.1 %) as well as "Exploration and exploitation of the earth" (13.0 %).

Considering "Total civil research and development appropriations", the EU-15's and US's growth rates were very similar over the first period (0.9 % and 0.8 % respectively) whereas the ratio of Japan was higher (7.1 %). Over the following period, the US led with 7.9 % followed by Japan (5.7 %) and the EU-15 (4.4 %).

## ➤ ESSENTIAL INFORMATION – METHODOLOGICAL NOTES

### ABBREVIATIONS

**PPS:** Purchasing Power Standard

The PPS is an artificial currency that reflects differences in national price levels that are not taken into account by exchange rates. This unit allows meaningful volume comparisons of economic indicators over countries. Aggregates expressed in PPS are derived by dividing aggregates in current prices and national currency with the respective Purchasing Power Parity (PPP).

### SYMBOLS

: not available  
e: estimated value  
b: break in series  
p: provisional value  
r: Revised value  
s: Eurostat estimate

### DEFINITIONS:

#### **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 (*Frascati Manual*, § 496). 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, 2002.

GBAORD data do not consider the amount of money actually spent, but are rather based on budget provisions, and so should be seen as intentions of spending. These data reflect policies at a given moment in time and the priorities of the policy makers when allocating their budgets. These data are not obtained from regular surveys, but in most cases are obtained from national budget statistics. The difficulty is due more specifically to the fact that national budgets already have their own

terminology and methodology and therefore do not coincide entirely with the Eurostat guidelines and the methodology proposed by the *Frascati Manual*.

#### **Methodology**

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

The US data exclude the socio-economic objectives. "Research financed from General University Funds" and "other civil research" and are therefore systematically underestimated.

The figures for Japan are estimates made by the OECD and recognised as official data by the Japanese Government. They underestimate expenditure on the social and human sciences. Moreover, this data is in general underestimated because the R&D share of military contracts is excluded.

#### **Breakdown by socio-economic objectives – NABS**

Government R&D appropriations or outlays on R&D 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 1993 version of NABS applies from the 1993 final and the 1994 provisional budgets onwards. Not all countries collect the data directly by NABS: some follow other compatible classifications (OECD, Nordforsk), which are then converted to the data compiled in accordance to NABS classification (see paragraph 502 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 the Eurostat website. Where the series was incomplete, the adjusted GDP deflator from ESA 79 was used.

### SOURCES

The source of the figures presented in this publication is Eurostat (unless stated otherwise) and reflects the **state of data availability** on the Eurostat website of 22 November 2004.

## ***Further information:***

### ➤ **Databases**

[EUROSTAT Web site/Science and technology/Research and development/Statistics on research and development/R&D personnel](#)

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This document has been produced in collaboration with Grégory Czerwinski.

ORIGINAL TEXT: English