Standard-documentation
Meta information
(Definitions, comments, methods, quality)
on
Annual R&D estimates

This documentation is valid from the reference period:
2015

Status: 05.11.2015

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Executive Summary

The goal of the annual estimates of statistics on research and experimental development (R&D) is to analyse the funding of research in Austria and to estimate the domestic gross expenditures on R&D (GERD) for the current year, based on up-to-date documents and information, such as budget data and economic forecasts (“source-based reporting”).

The annual R&D estimates comprise the following sub-projects:

- Contribution to the compilation of the Annex T of the Auxiliary Document for the Federal Finances Act
- R&D-relevant analyses of the federal budget based on the data in Annex T of the respective Federal Finance Act by socio-economic objectives
- Estimate of the R&D expenditure of the regional governments ("Länder")
- Analyses of the federal research database
- Global estimate on the funding of the Austrian gross domestic expenditures on R&D (GERD)

While in the framework of R&D surveys the R&D performing institutions are asked ("performer-based surveys"; "performer-based reporting") in order to – amongst others – to compile total R&D expenditures in Austria, the focus of the annual R&D estimates lies on the funding of research ("source-based reporting"). Just as for the R&D census surveys, also for the annual estimates the methodological base is the internationally valid Frascati Manual of the OECD\(^1\).

Research and experimental development (R&D) is defined there as 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. The element of novelty and originality (new findings, new knowledge, new applications) is the most important criteria to distinguish R&D from other scientific activities.

In the various chapters of the federal budget, research-relevant expenditures of the federal government are appropriated and allocated. In the Annex T of the Auxiliary Document for the Federal Finances Act, the R&D-relevant expenditures (appropriations and outlays) are displayed in a tabular presentation, broken down by budget chapters. Annex T of the Auxiliary Document for the Federal Finances Act is compiled by the Federal Ministry of Finance (BMF). The selection of the relevant budget lines and/or sub-chapters as well as the determination of the R&D content of each budget line is done in close co-operation between the federal ministries concerned, the Federal Ministry of Finance and Statistics Austria. Annex T is divided into two parts; part a) includes payments of contribution to international organisations which have research and research funding as (one) aim, and part b), which comprises the domestic expenditures of the federal government for research and research funding.

The formal structure of the Annex T corresponds to the presentation of the federal budget in the so-called “Teilheften”, i.e. budget data in total for three years are presented (two years appropriations, one year outlays), broken down by budget lines. R&D coefficients, which are disclosed as whole-number percentages in a tabular presentation – when there is a direct relationship with empirical data of the R&D surveys –, are checked after the availability of latest R&D survey results and, if necessary, proposed for revision and updated.

In analogy to the Annex T of the federal government, regional governments report R&D-relevant budget data of the regions ("Länder") to Statistics Austria annually. The total of this data collection is entered into the global R&D estimate as the funding share of regional governments of the total Austrian research expenditure. The reports of the regional governments are also

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used as an important information source for preparing and conducting the regular R&D census surveys. Based on the results of the R&D surveys proposals for revisions are developed and reported back to the regional governments.

Annual analyses of the federal research data base comprise breakdowns of paid out funds of the individual federal ministries by socio-economic objectives, fields of science and grant recipients. The evaluation of the grant data does not only yield important information for identifying potential survey units for the R&D surveys, but also relevant data for plausibility checks in the framework of the R&D surveys.

The global estimate of the Austrian gross domestic expenditure on R&D is in principle carried out once a year (usually in April). In line with the world-wide (OECD, EU) valid Frascati Manual, and therefore guaranteeing international comparability, the funding of the expenditure on research and development carried out in Austria is presented. According to these definitions and standards funding from abroad for R&D performed in Austria is included, Austrian payments for R&D carried out abroad, on the contrary, is excluded.

There is also a political relevance for the "research intensity" which is used as an important indicator for international purposes and shows the share of domestic R&D expenditure in the nominal gross domestic product (GDP); it is regularly calculated in the framework of the global estimate and updated.

For the respective current calendar year the expected R&D funding shares from the federal government, the regional governments, business enterprise sector, abroad and other financing sectors (other public sector and private non-profit sector) are estimated. The values of previous years are revised, depending on the availability of more up-to-date information (e.g. final instead of provisional budget data, revised GDP values and up-to-date economic forecast data).

The R&D global estimate has been published annually in the national Research and Technology Report since the beginning of the 1980s, together with the analyses on Annex T and the federal research data base. Data of the Annex T, broken down by socio-economic objectives, are also reported in the framework of the compulsory data delivery to Eurostat, and the OECD².

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²) "Government Budget Appropriations or Outlays for R&D".
System of the Austrian R&D statistics

Results of the R&D survey among R&D performing units

- Level of analyses:
  - Single units, several units combined, survey sectors

  - R&D performer (yes/no)
  - Share of R&D expenditure of total expenditures
  - R&D funding by the federal government
  - R&D funding by the regional governments
  - R&D expenditure by socio-economic objectives
  - R&D expenditure by field of science

Totals
- Funding of the gross national expenditure for R&D by
  - Federal government
  - Local governments
  - Other public sector
  - Private non-profit sector
  - Business enterprise sector
  - Abroad
  - EU

R&D Annual estimates

- Contribution to the compilation of Annex T
- Analyses of Annex T
- R&D expenditure of regional governments
- Analyses of the federal research database
- Global estimate of the financing of the gross domestic expenditure for R&D (GERD)

R&D surveys in the public sector and the business enterprise sector among R&D performing units

- (R&D register of potential survey units; plausibility checks)

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| **Subject Matter** | Annual secondary statistical analyses of the research budgets of the federal and the regional governments; analyses of the federal research database; compilation of the annual global estimate on the funding of the Austrian gross domestic expenditure on R&D |
| **Population** | Gross domestic expenditure for research and experimental development (R&D) in Austria; research grants and contracts of the federal government and the regional governments |
| **Type of statistics** | Secondary statistics |
| **Data sources/Survey techniques** | Budget documents of the federal government and the regional governments  
Federal research database  
National and international economic forecasts  
Detailed results of the national R&D surveys  
Annual reports and progress reports from research funding institutions (e.g. FWF, FFG) and R&D performing institutions and organisations (ÖAW, Ludwig Boltzmann Societies) |
| **Reference period or due day** | Analyses of Annex T: current year, 2 previous years  
Estimates of R&D expenditures of the regional governments: current year, 2 previous years  
Analyses of the federal research database: previous year  
R&D global estimate: current year, previous years (revisions) |
| **Periodicity** | Annual |
| **Survey participation (in case of a survey)** | Does not apply |
| **Main legal acts** | National: F&E-Statistik-Verordnung (BGBl. II Nr. 396/2003)  
EU: Commission implementing regulation (EU) No 995/2012 |
| **Most detailed regional breakdown** | Regions (Estimate of the R&D expenditures of the regional governments; otherwise: Austria) |
| **Availability of results** | Annually in April |
| **Other** | - |