



6th EU Framework Programme



Developing Indicators on Public Project Funding of Research Activities

June 2004- December 2006

AIM OF THE PROJECT

The aim of this project is to provide comparative analysis of project funding of research in selected European countries using quantitative data. Thus the project aims also at developing and testing a methodology for producing quantitative indicators.

Relevance

Project funding –defined as money attributed to a group or an individual to perform a research activity limited in scope, budget and time – is the second major stream of public research funding, alongside general government allocation, accounting for between ¼ and 1/3 of public funding in most European countries.

In organizational terms, a major feature of it is that money is generally attributed through competitive procedures to individual research groups and managed by specific agencies (either autonomous as research councils or within ministries). Hence it allows public authorities a more direct intervention in research activities than general allocations.

Research issues on project funding concern the organizational features – for example the agencies managing it and their degree of autonomy from the State -, the orientation of funding instruments (academic vs. strategic) and the allocation criteria and the repartition among beneficiaries. Moreover, there is qualitative evidence of profound changes over time, with an increase of the share of project funding and a shift in the portfolio towards strategic research and support to innovation. Finally, similarities and differences between countries have to be systematically assessed and understood in reference to each national context and research policy.

Countries covered

To allow for testing of the methodology, the project covers only five countries in ENIP, namely Austria, Italy, Portugal, Spain and Switzerland; three further countries (France, Netherlands and Norway) will be added in 2006.

METHODOLOGY

Despite the importance of project funding in research policies, there is a lack of comparative analysis considering the whole portfolio of project funding instruments rather than individual instruments or agencies; moreover, since project funding is not included in the official R&D statistics, there are practically no comparable data on the funding volume, its repartition between instruments and agencies and its evolution over time.

The project has developed and tested in the participating countries a methodology for producing these data from national sources and making it reasonably comparable. The methodology is based on the following principles:

- Firstly national correspondents prepare a list of the most relevant project funding instruments in their country (those who account for a significant share of the funding volume).
- On this basis a chart of the project funding system for different years (1970, 1980, 1990, 2002) is produced.
- The amount of funds allocated yearly by these instruments are evaluated using different sources like national research reports, annual reports of funding agencies,...If possible, a breakdown for main performers sectors is provided (higher education, PRO, private economy).
- If possible time series for each instrument are produced; otherwise data for selected years (for example 1970, 1980, 1990)
- Finally, data are aggregated to produce national total and funding is divided according to the type of funding agency, the type of instruments and the beneficiaries.

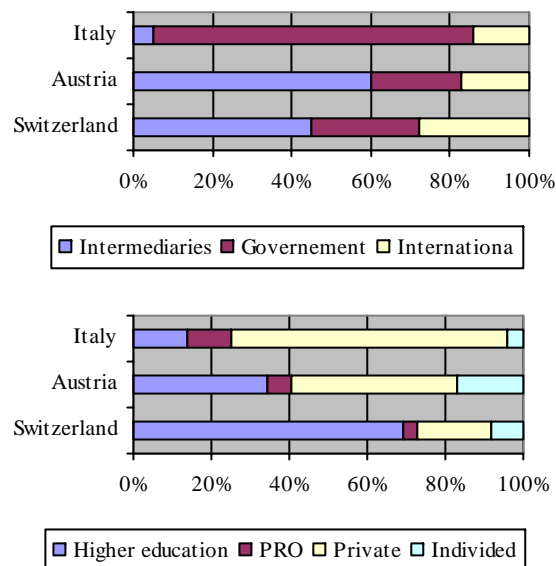
PRELIMINARY RESULTS

Preliminary results for three countries point to the differences between countries in the level of funding, in the portfolio of instruments and in the beneficiaries.

While in Switzerland project funding is essentially an instrument to finance university research with a strong role of the research council, in Italy it is managed by ministries and funds private companies for strategic research and innovation. Austria represents an intermediate model with a research council alongside a large innovation agency.

Time series point to an increase of project funding levels, with different rates in the considered countries, to a differentiation of the instruments, but to stability of the funding agencies. Moreover, the countries considered seem to follow quite distinct trajectories in the evolution of project funding.

Figure. Share of funding agencies and of beneficiaries in project funding, 2002.



DELIVERABLES AND PUBLICATIONS

National reports

A series of reports providing detailed analysis of project funding instruments in each country including agencies and instruments description, quantitative data for 2002 and time series from the end of the '70.

Austria (M. Dinges), January 2006.

France (J. Theves), April 2006.

Italy (B. Potì, E. Reale), January 2006.

Netherlands (B. Jongbloed, B. Van der Meulen), June 2006.

Norway (S. Slipersaeter), March 2006.

Portugal (T.S. Pereira), March 2006.

Spain (L. Sanz), April 2006.

Switzerland (Lepori B.), available.

All reports will be published on the ENIP website www.enip-europe.org.

Publications

Lepori B., Dinges M., Potì B., Reale E. (2005), *Public project funding of research activities. A methodology for comparative analysis and some preliminary results*, Workshop on S&T indicators production, Lisbon 22-23 September 2005.

Lepori B. (2006), *Public Research Funding and Research Policy: a long-term analysis for the Swiss case*, to be published in Science and Public Policy.

Potì B., Reale E. (2005a), *Changing Patterns in Public Allocation for R&D: Composition and Evolution of Government Project Funding in Italy*, Workshop on S&T indicators production, Lisbon 22-23 September 2005.

Sanz L., Cruz L., Santos Pereira T. (2005), *Quasi-Intermediary Agencies? The Development of Research Councils in Portugal and Spain*, Workshop on S&T indicators production, Lisbon 22-23 September 2005.

Other journal publications and conference presentations planned during 2006.

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