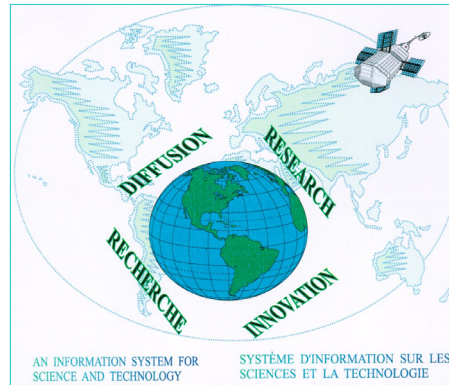


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Estimates of Research and Development Expenditures in the Higher Education Sector, 2000-2001



**ESTIMATION OF
RESEARCH AND DEVELOPMENT EXPENDITURES
IN THE HIGHER EDUCATION SECTOR, 2000-2001**

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Symbols

| | |
|-------------|--|
| r | revised numbers |
| AUCC | Association of Universities and Colleges of Canada |
| CAUBO | Canadian Association of University Business Officers. |
| CFI | Canada Foundation for Innovation |
| CIHR | Canadian Institutes of Health Research |
| CIHI | Canadian Institute for Health Information |
| GERD | Gross Expenditures on Research and Development |
| HERD | Higher Education Research and Development |
| Health GERD | Gross Expenditures on Research and Development in the Health Field |
| MRC | Medical Research Council |
| NSE | Natural Sciences and Engineering |
| NSERC | Natural Sciences and Engineering Research Council |
| R&D | Research and Development |
| SIEID | Science, Innovation and Electronic Information Division |
| SSH | Social Sciences and Humanities |
| SSHRC | Social Sciences and Humanities Research Council |

Note

Due to rounding of data, the tables may not add to the sum of their components.

Working Paper on Estimation of Higher Education R&D Estimates

Introduction

The Higher Education sector is composed of "all universities, colleges of technology and other institutes of post-secondary education, whatever their source of finance or legal status. It also includes all research institutes, experimental stations and clinics operating under the direct control of, or administered by, or associated with, the higher education establishments."¹

It is one of the components of a larger ongoing statistical series maintained by SIEID to measure Canadian expenditures on R&D as reported by the main R&D performing sectors. For most policy analyses, the R&D system is sub-divided into five performing sectors: federal government, provincial governments, business enterprise, higher education and private non-profit. It is also sub-divided into six funding sectors: the five above plus all foreign sources.

In constructing the GERD (Gross Expenditures on Research and Development) series, SIEID conducts actual surveys of all of the main R&D performing sectors² except for Higher Education whose R&D performance figures are estimated.

The manner in which research is performed and funded in Canadian universities and research hospitals has evolved in recent years, and current estimation methodologies may not take these changes into account. Quality estimates of R&D activities in the Higher Education sector are of increasing importance to policy developers, to the major funders of these activities, and also to the performing institutions. Thus, SIEID created a Working Group in the fall of 1999 to examine current HERD and health GERD estimation methods, to recommend revisions where appropriate, and to produce a framework³ for an improved estimation program. This work was completed in April 2000 and current estimates are based upon the new methodology derived from the study.

Funders of HERD include the Federal Government (through the three major granting councils⁴, the Canada Foundation for Innovation, and other federal departments and agencies); the provincial governments and provincial research organizations; the business sector; the private non-profit sector; foreign sources; and of course the universities and affiliated institutions (such as teaching hospitals) themselves. The HERD portion of the GERD series may be of assistance in answering various questions for policy analysts, HERD funders and others. These questions include: Is our national or provincial university research effort expanding or declining? What proportion of R&D is performed by this sector compared to other sectors (business, government, and private non-profit)? In what proportions under the major science fields, and by source of funds, are R&D being performed?

Work is still being completed on improved estimates of personnel involved in R&D in the Higher Education Sector and will hopefully be completed in the spring of 2003.

This Working Paper, which outlines a new method for calculating higher education R&D expenditures, is part of the initiative to improve estimates in an area that also includes estimates of the numbers of personnel engaged in higher education R&D, health GERD, and U.S. and international comparisons.

¹ "The Measurement of Scientific and Technical Activities – Frascati Manual," OECD 1993.

² The performing sectors are the federal government, the provincial governments, provincial research organizations, business enterprise, higher education, and private non-profit organizations.

³ Statistics Canada ST-00-03 "A Framework for Enhanced Estimates of Higher Education and Health R&D Expenditures", Mireille Brochu.

⁴ In the past, the three federal granting councils were the Medical Research Council (MRC), the Natural Sciences and Engineering Research Council (NSERC), and the Social Sciences and Humanities Research Council (SSHRC). Now the Canadian Institutes of Health Research (CIHR) have assumed the programs and responsibilities of the MRC but CIHR is technically not a "Council". Even so, references in this paper to the three federal granting councils will be to CIHR, NSERC, and SSHRC.

1. Estimation of Total R&D Expenditures in Higher Education

The material which follows is an explanation of a) the estimation procedures used to calculate 2000-2001 R&D expenditures in the Higher Education sector b) further refinements based upon investigations. These areas of further investigation will be summarized in the section "Future Work" toward the end of this paper. Plans to maintain continuity in the historical series will also be presented in the closing section.

The new estimation technique, proposed by a Working Group and applied for the first time to the 1998-99 HERD data assumes that the sponsored research value is the first ingredient of the total, with additional estimations of expenditures added to this value. Thus, total expenditures are equal to:

- a) sponsored research expenditures (available from CAUBO sources);
- b) indirect expenditures on sponsored research (those not reimbursed by sponsors);
- c) a value for the fraction of faculty members' time assumed to be devoted to sponsored and non-sponsored research (correcting for cases where sponsored research covers salaries of principal investigators);
- d) indirect expenditures related to faculty members' time on research (c above); and
- e) hospitals not included in CAUBO sources.

1.1 HERD Matrix

Before detailed explanations of the methodology are offered, it is necessary to understand the traditional format requirement for HERD data, called the HERD matrix, presented in Table 1 below.

Table 1. Higher Education Expenditures on R&D by Source of Funds and Major Fields of Science 2000-2001

| Source of funds | Social Sciences & Humanities | Health Sciences | Other Natural Sciences & Engineering | Total |
|----------------------------------|------------------------------|-----------------|--------------------------------------|----------------|
| | millions of dollars | | | |
| Federal Government | 186.7 | 433.3 | 672.8 | 1,292.8 |
| Provincial Government | 117.4 | 176.2 | 293.6 | 587.2 |
| Business Enterprise | 22.6 | 210.3 | 320.5 | 553.4 |
| Higher Education | 802.7 | 990.1 | 1,093.3 | 2,886.1 |
| Private Non-Profit Organizations | 76.5 | 263.6 | 78.1 | 418.2 |
| Foreign | 0.0 | 19.8 | 29.8 | 49.6 |
| Total | 1,205.9 | 2,093.3 | 2,488.1 | 5,787.3 |

Two of the main areas of interest in HERD are the sectors funding R&D and the fields of science being funded. In the sections below are described the methods by which **source of fund** allocations are made and also those by which allocations to the three **fields of science** are determined. There are no surveys of these sectors designed precisely to meet the needs of the HERD matrix, but the methodologies described below are an initiative to make reasonable allocations.

1.2 Sponsored Research

Sponsored research accounts for more than half of all higher education R&D in most universities and affiliated institutions in Canada. For sponsored research, the principal source of data are the annual tables prepared by Statistics Canada (Centre for Education Statistics) from data collected and provided to CAUBO. The CAUBO survey provides revenue data on sponsored research for member institutions and is classified by source of funds as follows:

- Federal Government:
 - Social Sciences and Humanities Research Council
 - Health Canada
 - Natural Sciences and Engineering Research Council
 - Canadian Institutes of Health Research (CIHR)
 - Canada Foundation for Innovation (CFI)
 - Canada Research Chairs
 - Other federal
- Provincial Governments
- Municipal Governments
- Other Provinces
- Foreign
- Tuition and other fees
- Donations, including bequests - subdivided into:
 - a) Individuals, b) Business enterprises, c) Foundations, and d) Not-for-profit organizations
- Non-government grants and contracts - subdivided into:
 - a) Individuals, b) Business enterprises, c) Foundations, and d) Not-for-profit organizations
- Investment income - subdivided into: Endowment and Other
- Other income - subdivided into: Sale of services and products and Miscellaneous

Most of these revenue data may be used to create the funding distribution needed to complete the HERD matrix. There are five funding categories in the matrix into which these CAUBO revenue data may be allocated by making certain assumptions: the categories are federal government; provincial governments; business enterprise; private non-profit organizations; and foreign sources. The sixth funding category, higher education, is estimated by using a combination of CAUBO data and faculty data provided by the Centre for Education Statistics at Statistics Canada.

First, it is assumed that there is exact correspondence between HERD funding sources and CAUBO revenues for the following three HERD areas:

| HERD Funding Source | CAUBO Reported Revenues |
|----------------------------|---|
| Federal Government | Federal Government |
| Provincial Governments | Provincial Governments Municipal Governments |
| Foreign | Foreign |

The challenge is to allocate by **source of funds** the remaining sponsored research funds reported to CAUBO. "Donations (including bequests) and non-government grants and contracts" are now relatively easily allocated because of the use of reporting subdivisions. Funds reported to CAUBO under "individuals" and "business enterprises" are allocated to "business enterprises" in Table 1; and "foundations" and "not-for-profit" are reported under "private non-profit" in Table 1. Further, CAUBO reported "tuition and other fees" and "sale of services and products" is not relevant to research and is not distributed. Similarly, CAUBO reported "investment income" is not allocated. Finally, CAUBO reported "miscellaneous" funds are allocated to Business Enterprise and Private Non-Profit categories (Table 1) in the same ratio as that used for "Donations (including bequests) and non-government grants and contracts".

Having distributed sponsored research by funding source, the next goal is to estimate which fraction of sponsored research funds should be assigned to the three major **fields of science**. A number of assumptions, based upon those used in the current method, are employed as follows:

- NSERC funding is in the Natural Sciences and Engineering (NSE);
- SSHRC funding is in the Social Sciences and Humanities (SSH);
- CIHR and Health Canada are included in Health;
- CFI and Research Chairs funding are prorated to NSE, SSH and Health based on the same ratio as NSERC, SSHRC and CIHR funds each individual institution.
- Other federal funding is estimated to be: 60% in the NSE, 30% in the SSH and 10% in health (based on survey of federal expenditures);
- Provincial funding is estimated to be: 50% in the NSE, 20% in the SSH and 30% in Health (based on data reported by provincial governments);
- Business and not-for-profit funding and miscellaneous funding (this is estimated using data supplied by CIHR, SSHRC and NSERC, based on the 1989-90 university reports on "matching funding");
- Foreign (60% to health and 40% to NSE, based on National Science Foundation U.S.A. data).

These allocations of funds address our HERD needs only for the sponsored research component of higher education R&D. To complete the HERD expenditure estimates, we now have to turn to the formula components dealing with the contributions of the higher education institutions themselves to HERD. The first of these is the indirect expenditures generated by sponsored research revenues.

1.3 Indirect Expenditures for Sponsored Research

There are two terms of special note that the reader should be familiar with to better understand the detail that follows. They are **direct** and **indirect** expenditures. **Direct** expenditures are those that can be directly attributed to a research project or activity. Examples include salaries of researchers and research assistants, equipment, supplies, travel costs, fees for services, publication and patenting expenditures, and the like. **Indirect** expenditures are those that are incurred by an institution by virtue of the fact that researchers conduct sponsored or intramural research with the support of the institution. They are expenditures that cannot be identified readily and specifically with a particular project, instructional or other activity of the institution. Examples include the costs of the office of research or intellectual property management services, departmental administration, utilities, physical plant operation and maintenance, library, laboratory furniture and permanent equipment.

The steps below describe the methodology for arriving at a direct to indirect expenditure ratio for operating a university which is then applied to sponsored research to obtain a value for the additional expenditures required of a university when it conducts this research. It is generally recognized that the bulk of sponsored research funds is direct in nature. Our working assumption is that only about 5% of reported sponsored research are reimbursements for indirect expenditures. Institutions do receive some indirect cost reimbursements from industry, some provincial governments and other sources, but they are not generally reported under sponsored research.

The first step in the calculation, using a CAUBO methodology going back to 1982, is to come up with a satisfactory ratio of indirect to general operating expenditures for the institution. The CAUBO data on university expenditures break out "general operating" from "other" expenditures as follows:

General Operating Expenditures:

- Instruction and non-sponsored research (the largest of all categories and consisting mainly of academic and support salaries)
- Non-credit instruction
- Library
- Computing and communications
- Administration and general
- Physical plant
- Student services

Other Expenditures:

- Sponsored research
- Special purpose and trust
- Ancillary enterprises (this is a separate, self-supporting activity)
- Plant (these are one time as opposed to ongoing costs).

Of general operating expenditures, the following are deemed under the new estimation model to be indirect expenditures:

- 11% of instruction and non-sponsored research and non-credit instruction (based on the assumption that 11% of the time of academic and support staff is for various administrative duties that support teaching and research)
- 100% of Library
- 100% of Computing and communications
- 100% of Administration and general
- 100% of Physical plant

While it is believed that some of “Student Services” can be considered as “indirect”, it is not known how much. So this item is removed from the calculation for the moment. The ratio of the above five indirect expenditures over general operating expenditures (minus “Student Services”) gives an indirect to total expenditure ratio for general operating expenditures (again minus “Student Services”).

The next step is to apply this ratio to the “Special purpose and trust” portion of “other” expenditures, based on the assumption (in the absence of survey data) that the indirect portion here is the same as that for general operating expenditures. Also, we reintroduce “Student Services” at this point and apply the same ratio, in the absence of better information about what this ratio might be.

“Ancillary” (includes “sales producing” operations ancillary to the normal university functions of instruction and research) and “capital” are excluded from total expenditures, the former because they are self-supporting, and the latter because they are not ongoing.

By adding together the estimates of indirect expenditures for each of sponsored research (5%), general operating, special purpose and trust, and student services, we now have a value for indirect expenditures for operating a university. Subtracting this total value from total operating expenditures gives us a total direct expenditure value. The end result is a total indirect to total direct expenditure value for operating a university.

The above calculation is not made on an individual university basis but made, rather, for three clusters of universities – small, medium, and large institutions – by aggregating the appropriate values in each of the categories of expenditure discussed above by university size. In this manner we arrive at a working ratio by university size for the next step in the calculation (the assumptions used to classify universities by size are described in Section 1.4 below).

To estimate the additional indirect expenditures an institution likely makes in performing sponsored research, one simply removes that small portion (estimated at 5%) of indirect costs included in reported sponsored research funds (so as not to double count), and multiplies the remainder by the total indirect to total direct expenditure ratio referred to above, based on university size. This gives us an estimated value for those indirect expenditures picked up by the university in the performance of sponsored research.

A question may be asked about why a cluster direct-to-indirect expenditure ratio for small, medium, and large institutions (university size) was used rather than individual institution ratios in this step. The answer has two parts. First, the estimated ratio for indirect expenditures using the above method shows a strong correlation to university size. We use the three university sizes to estimate the costs of the time faculty members spend on research, backed by studies that show that time spent on research is proportional to discipline and size of institution. So, the first reason is to remain consistent in our estimation approach throughout. The second reason is that using the cluster values for each group of institutions should make it much easier for readers to reproduce our results since they are accessible while individual institutional numbers may not be so.

Concerning the distribution of this value across the three major fields of science (in Table 1 above), it is assumed that the same percentages should apply as one has calculated above for sponsored research.

1.4 Estimation of Faculty Time on R&D

This part of the HERD estimation formula has been changed from that used in previous years.

It is generally accepted that higher education faculty divide their time among the three main missions of a university: teaching, research, and community service work. In order to estimate the value in dollar terms of the research fraction, it is necessary to have data on the numbers and salaries of faculty in Canada's universities and affiliated institutions, and if possible, estimates of the research fraction. The faculty counts by each of the eight teaching disciplines in the three major fields of science are available from the University and Colleges Annual Staff Survey conducted by the Centre for Education Statistics at Statistics Canada. Also, academic salary data are available from the annual CAUBO Survey.

In 2001, Statistics Canada hired a consultant to conduct a telephone survey directed at improving estimates of the time spent on research by the faculty members of Canadian universities. The survey had 10 questions and was answered by 2,173 faculty members at 36 Canadian universities between the months of April and June. A report on the survey results is available to interested readers.

Statistics Canada analysed the results of the survey and modified the faculty time coefficients for research activities that are used in our HERD estimates. Because we feel that the new coefficients better reflect current research activity levels at the universities, we have revised the 1998-99 HERD estimates by applying the new coefficients.

Table 2. Faculty Time Coefficients for Research

| Institution Size | Education | Fine Arts | Humanities | Social Sciences | Agriculture and Biological Sciences | Engineering and Applied Sciences | Health Professions | Mathematics and Physical Sciences |
|------------------|-----------|-----------|------------|-----------------|-------------------------------------|----------------------------------|--------------------|-----------------------------------|
| Small | 0.20 | 0.20 | 0.25 | 0.25 | 0.30 | 0.35 | 0.30 | 0.30 |
| Medium | 0.25 | 0.20 | 0.25 | 0.30 | 0.40 | 0.35 | 0.40 | 0.35 |
| Large | 0.25 | 0.20 | 0.30 | 0.35 | 0.45 | 0.40 | 0.45 | 0.45 |

Table 2 reflects the assumption that, depending on the size of the university, some universities spend relatively more time on R&D than others, and also that R&D is a more important activity in some teaching fields than in others.

As an example of how the coefficients are applied, take a professor of health sciences from a medium size university who probably works in an affiliated teaching hospital. Table 2 is based on the assumption that for every \$1,000 in salary, 40% of that amount is paid for R&D activities. Were he/she to work in a large institution, the amount would be 45%, and in a small institution, 30%. These coefficients are applied against the number of full-time faculty in each of the eight teaching disciplines and the salaries of "academic ranks" reported by CAUBO for each institution. It is further assumed that all faculty members are at the same salary levels in the absence of more detailed salary information from existing sources.

The classification of universities into three categories of size is based on the following criteria: 1) the amount of expenditures on sponsored research (reported by CAUBO); 2) the proportion of sponsored R&D expenditures as a percentage of general operating expenditures; and 3) the number of doctoral programs. A university is classified as **small** if its expenditures on sponsored R&D are less than \$10 million and less than 10% of general operating, and whose doctoral programs are less than ten in number. A **medium** size university is one in which the sponsored research dollar range is between \$10-30 million, the percentage of general operating is from 10% to less than 20%, and whose doctoral program counts are between 10 and 30. A **large** university is one whose sponsored research dollar value is greater than \$30 million, whose general operating percentage is more than 20%, and whose doctoral

programs are greater than 30. It is worthy of note that the final objective is not to create an individual ranking for universities but rather to group them into three size groups to make possible R&D expenditure estimates at the aggregate level.

In applying the above assumptions to the teacher counts to arrive at values for teacher time spent on R&D, it should be noted that, where the salaries of primary researchers are already reported by CAUBO as part of sponsored research, they are removed from the estimate to avoid double counting. Also, regarding the distribution of teacher salary values across the three science fields in the HERD matrix, this is done by attributing the R&D portion of salaries of teachers found in each field to that field.

Other sources of information for the distribution of faculty time include the National Science Foundation in the United States which reported in a 1984⁵ that for the U.S. institutions surveyed, R&D accounted for 22% of the total faculty time in engineering, 23% for physical scientists, 33% for agricultural and biological scientists, 26% for medical scientists, 8% for psychologists and social scientists, and 6% for mathematicians.

The Australian Bureau of Statistics estimated in 1990 that HERD was 32.6% of total higher education expenditures.

A more recent technical paper produced for the Ontario Council on University Affairs and published in 1994 set out a model, using existing financial information on revenues and expenses in the Ontario university system, that distributed the university functions of teaching, research, and community service in the proportions of 53%, 36%, and 11% respectively. Finally, a faculty workload study conducted by the University of Western Ontario in 1996 found that R&D activities corresponded to an R&D coefficient of 31.9%. Variations by faculty included 10% for business, about 20% for education, journalism and nursing, and about 38% for medicine.

1.5 Indirect Expenditures Related to Faculty Time

Similar to the assignment of a value for indirect expenditures connected with sponsored research, a value must now also be calculated for the indirect expenditures connected with faculty time spent on R&D within the institutional setting. The time of faculty spent on sponsored research is netted out of this calculation. To make this calculation, it is assumed that the same direct-to-indirect ratio used to calculate the indirect values for sponsored research will apply in this case. Also, the distribution of this estimate across the three science fields in Table 1 will be in the same proportion as that found for the salary component above.

1.6 Teaching Hospitals not included in CAUBO Data.

The inclusion in CAUBO statistics sponsored research activities performed in teaching hospitals is constantly reviewed as some teaching hospitals are included and some are not. For those that are not included, estimates are made using information from the Annual Hospital Survey, collected by The Canadian Institute for Health Information (CIHI).

1.7 HERD Total

It is now possible to calculate the national and provincial values for higher education R&D as follows:

- a) sponsored research, plus
- b) (sponsored research minus 5% for indirect) multiplied by (average ratio by university size of indirect to direct total operating expenditures), plus
- c) faculty salaries devoted to sponsored and non-sponsored research (correcting for cases where sponsored research covers salaries of principal investigators), plus
- d) indirect expenditures related to faculty time (c above multiplied by the ratio by university size of indirect to direct total operating expenditures),
- e) hospitals not included in CAUBO sources.

⁵ Academic Science/Engineering: Scientists and Engineers, January 1983, National Science Foundation, Washington D.C., 1984, page 16 (Table B-18 divided by Table B-17).

It is also possible, based on the above estimates, to complete all cells of both the HERD matrix and the GERD matrix appropriate to Higher Education. These data together with those of the other performing and funding sectors make it possible to compare HERD performance with that of other R&D activity centres (business; private non-profit; government) and to identify the flow of funds among them.

2. Selection of Institutions

A list of the institutions retained for the estimation of R&D expenditures for 2000-2001 is presented in Appendix List 1. Selection is based on payments (grants and contracts) awarded to institutions or their faculty for sponsored research and reported in the annual CAUBO survey. Authorization was received to include Université du Québec à Chicoutimi (a non-CAUBO member) in our estimates this year. Revisions were made back to 1998-1999 to include this institution.

3. Future Work

3.1 Sponsored Research:

Statistics Canada will work closely with CAUBO in its efforts to improve the reporting of financial information, particularly with respect to sponsored research funding and inter-institutional awards. The latter is necessary to avoid double counting where several institutions working on the same project may report the same funds.

3.2 Indirect Expenditures:

The assumptions concerning what constitutes indirect expenditures and also the assumption that sponsored research expenditures include 5% in indirect cost reimbursement will remain open to discussion, particularly among the established users of these data and those who have constituted the review and support partnership. The 5% estimate is particularly arbitrary because CAUBO does not have any information on the amount of indirect costs covered by reported sponsored research grants and contracts. These may be reported by universities as sponsored research or elsewhere under other types of expenditures. It is known that some of the indirect costs are covered by business and private not-for-profit awards and that Québec covers 15% of indirect costs in its awards (but universities do not necessarily report these funds under sponsored research). The Québec figure suggests that the 5% estimation overall for that province is likely low. Project staff will continue to work closely with CAUBO and the universities and related associations in the future to improve estimates in this area.

3.3 Historical Continuity of Data Series:

This working paper contains thirteen years of HERD estimates based on the revised estimation procedure first used for 1998-99 estimates. During the 1999-2000 estimation procedure, revised faculty time coefficients on research were used. These new coefficients were then applied to the 1998-99 estimates as we feel those new coefficients better reflect university research activity levels. During the 2000-2001 estimation procedure a better analysis of "teaching hospitals" expenditures was completed. Some overlap between the Private non-profit sector and the Higher education sector was discovered and modified. One will see historical revisions in both sectors back as far as 1991-1992.

Appendix Tables

TABLE 1. Estimated Costs of R&D in the Higher Education Sector, by Source of Funds and by Major Fields of Science, 2000-2001

| Source of funds | Social Sciences and Humanities | Health Sciences | Other Natural Sciences and Engineering | Total |
|----------------------------------|--------------------------------|-----------------|--|----------------|
| millions of dollars | | | | |
| Federal Government | 186.7 | 433.3 | 672.8 | 1,292.8 |
| Provincial Governments | 117.4 | 176.2 | 293.6 | 587.2 |
| Business Enterprise | 22.6 | 210.3 | 320.5 | 553.4 |
| Higher Education | 802.7 | 990.1 | 1,093.3 | 2,886.1 |
| Private Non-Profit Organizations | 76.5 | 263.6 | 78.1 | 418.2 |
| Foreign | 0.0 | 19.8 | 29.8 | 49.6 |
| Total | 1,205.9 | 2,093.3 | 2,488.1 | 5,787.3 |

TABLE 2. Estimated Costs of R&D in the Higher Education Sector, by Source of Funds, 1988-89 to 2000-2001

| Year | Federal Government | Provincial Governments | Business Enterprise | Higher Education | Private Non- Profit Organizations | Foreign | Total |
|------------------------|--------------------|------------------------|---------------------|------------------|-----------------------------------|---------|----------------|
| millions of dollars | | | | | | | |
| 1988-89 | 624.9 | 261.2 | 115.1 | 1,481.5 | 172.8 | 13.2 | 2,668.7 |
| 1989-90 | 669.4 | 285.5 | 139.7 | 1,571.9 | 165.2 | 11.8 | 2,843.5 |
| 1990-91 | 782.9 | 282.7 | 151.1 | 1,618.4 | 185.8 | 12.1 | 3,033.0 |
| 1991-92 ^f | 813.3 | 288.9 | 229.2 | 1,731.6 | 215.2 | 11.0 | 3,289.2 |
| 1992-93 ^f | 848.7 | 294.2 | 293.1 | 1,867.2 | 196.2 | 20.1 | 3,519.5 |
| 1993-94 ^f | 872.7 | 312.4 | 313.9 | 1,892.1 | 248.3 | 20.3 | 3,659.7 |
| 1994-95 ^f | 869.8 | 314.7 | 296.1 | 1,913.8 | 259.2 | 21.3 | 3,674.9 |
| 1995-96 ^f | 854.8 | 323.2 | 296.7 | 1,926.6 | 265.7 | 24.2 | 3,691.2 |
| 1996-97 ^f | 809.0 | 297.6 | 335.6 | 1,905.5 | 312.7 | 36.4 | 3,696.8 |
| 1997-98 ^f | 792.7 | 369.9 | 381.0 | 1,971.5 | 324.5 | 39.5 | 3,879.1 |
| 1998-99 ^f | 862.9 | 371.6 | 411.0 | 2,339.4 | 335.1 | 49.5 | 4,369.5 |
| 1999-2000 ^f | 1,084.6 | 482.2 | 460.3 | 2,648.8 | 349.2 | 56.6 | 5,081.7 |
| 2000-2001 | 1,292.8 | 587.2 | 553.4 | 2,886.1 | 418.2 | 49.6 | 5,787.3 |

TABLE 3. Estimated Costs of R&D in the Higher Education Sector, by Source of Funds and by Province, 2000-2001

| Province | Federal Government | Provincial Governments | Business Enterprise | Higher Education | Private Non- Profit Organizations | Foreign | Total |
|---------------------------|--------------------|------------------------|---------------------|------------------|-----------------------------------|-------------|----------------|
| millions of dollars | | | | | | | |
| Newfoundland and Labrador | 23.3 | 1.5 | 6.9 | 50.4 | 1.3 | 0.0 | 83.4 |
| Prince Edward Island | 2.7 | 0.7 | 0.6 | 10.7 | 1.0 | 0.0 | 15.7 |
| Nova Scotia | 39.9 | 7.8 | 19.8 | 119.9 | 10.5 | 1.7 | 199.6 |
| New Brunswick | 15.2 | 2.4 | 4.1 | 61.0 | 4.8 | 0.5 | 88.0 |
| Québec | 372.8 | 166.6 | 144.8 | 831.7 | 97.2 | 11.9 | 1,625.0 |
| Ontario | 504.7 | 235.3 | 250.6 | 1,098.9 | 203.5 | 22.6 | 2,315.6 |
| Manitoba | 42.0 | 14.3 | 15.0 | 99.4 | 16.6 | 2.3 | 189.6 |
| Saskatchewan | 54.0 | 39.8 | 10.2 | 115.5 | 8.2 | 0.4 | 228.1 |
| Alberta | 113.1 | 91.6 | 49.7 | 254.2 | 34.2 | 3.3 | 546.1 |
| British Columbia | 125.1 | 27.2 | 51.7 | 244.4 | 40.9 | 6.9 | 496.2 |
| Canada | 1,292.8 | 587.2 | 553.4 | 2,886.1 | 418.2 | 49.6 | 5,787.3 |

TABLE 4. Estimated Costs of R&D in the Higher Education Sector, by Province, 1988-89 to 2000-2001

| Year | Province | | | | | | | | | | Canada |
|------------------------|-----------|--------|-------|------|---------|---------|-------|-------|-------|-------|----------------|
| | Nfld.Lab. | P.E.I. | N.S. | N.B. | Qué. | Ont. | Man. | Sask. | Alta. | B.C. | |
| millions of dollars | | | | | | | | | | | |
| 1988-89 | 50.9 | 3.9 | 116.8 | 41.3 | 707.6 | 1,044.3 | 110.7 | 84.9 | 264.3 | 244.0 | 2,668.7 |
| 1989-90 | 52.8 | 4.0 | 117.3 | 43.4 | 788.4 | 1,108.2 | 110.8 | 89.0 | 270.6 | 259.0 | 2,843.5 |
| 1990-91 | 54.8 | 4.1 | 117.9 | 45.7 | 878.5 | 1,176.1 | 110.8 | 93.2 | 277.0 | 274.9 | 3,033.0 |
| 1991-92 ^f | 57.5 | 5.1 | 127.5 | 49.7 | 1,030.7 | 1,211.2 | 113.8 | 100.7 | 290.4 | 302.6 | 3,289.2 |
| 1992-93 ^f | 60.5 | 4.8 | 121.2 | 53.2 | 1,150.4 | 1,280.1 | 116.8 | 103.3 | 294.7 | 334.5 | 3,519.5 |
| 1993-94 ^f | 60.9 | 4.4 | 119.0 | 52.5 | 1,163.0 | 1,422.6 | 110.7 | 106.2 | 296.8 | 323.6 | 3,659.7 |
| 1994-95 ^f | 58.5 | 3.8 | 113.2 | 53.8 | 1,136.1 | 1,441.3 | 114.8 | 108.2 | 309.0 | 336.2 | 3,674.9 |
| 1995-96 ^f | 58.4 | 3.7 | 117.0 | 56.2 | 1,111.5 | 1,432.7 | 113.5 | 113.9 | 327.8 | 356.5 | 3,691.2 |
| 1996-97 ^f | 56.6 | 4.2 | 117.6 | 56.3 | 1,099.3 | 1,456.1 | 111.3 | 113.6 | 328.8 | 353.0 | 3,696.8 |
| 1997-98 ^f | 61.2 | 5.9 | 125.0 | 57.4 | 1,131.6 | 1,554.2 | 108.3 | 118.9 | 357.7 | 358.9 | 3,879.1 |
| 1998-99 ^f | 72.0 | 11.4 | 164.1 | 80.4 | 1,273.8 | 1,699.7 | 130.8 | 138.4 | 408.1 | 390.8 | 4,369.5 |
| 1999-2000 ^f | 78.6 | 11.4 | 199.6 | 89.0 | 1,532.9 | 1,908.0 | 157.6 | 176.1 | 490.9 | 437.6 | 5,081.7 |
| 2000-2001 | 83.4 | 15.7 | 199.6 | 88.0 | 1,625.0 | 2,315.6 | 189.6 | 228.1 | 546.1 | 496.2 | 5,787.3 |

TABLE 5. Estimated Costs of R&D in the Higher Education Sector, on Social Sciences and Humanities, by Source of Funds and by Province, 2000-2001

| Province | Federal Government | Provincial Governments | Business Enterprise | Higher Education | Private Non- Profit Organizations | Foreign | Total |
|---------------------------|--------------------|------------------------|---------------------|------------------|-----------------------------------|------------|----------------|
| millions of dollars | | | | | | | |
| Newfoundland and Labrador | 3.3 | 0.3 | 0.0 | 14.8 | 0.9 | 0.0 | 19.3 |
| Prince Edward Island | 0.4 | 0.1 | 0.0 | 3.5 | 0.5 | 0.0 | 4.5 |
| Nova Scotia | 7.5 | 1.6 | 0.2 | 42.3 | 0.4 | 0.0 | 52.0 |
| New Brunswick | 3.3 | 0.5 | 0.0 | 26.2 | 0.2 | 0.0 | 30.2 |
| Québec | 51.8 | 33.3 | 10.2 | 207.9 | 22.1 | 0.0 | 325.3 |
| Ontario | 72.6 | 47.1 | 9.9 | 312.4 | 33.0 | 0.0 | 475.0 |
| Manitoba | 6.5 | 2.8 | 0.4 | 30.7 | 2.7 | 0.0 | 43.1 |
| Saskatchewan | 7.5 | 8.0 | 0.2 | 31.5 | 0.4 | 0.0 | 47.6 |
| Alberta | 14.2 | 18.3 | 0.6 | 56.3 | 5.9 | 0.0 | 95.3 |
| British Columbia | 19.6 | 5.4 | 1.1 | 77.1 | 10.4 | 0.0 | 113.6 |
| Canada | 186.7 | 117.4 | 22.6 | 802.7 | 76.5 | 0.0 | 1,205.9 |

TABLE 6. Estimated Costs of R&D in the Higher Education Sector, on Social Sciences and Humanities, by Province, 1988-89 to 2000-2001

| Year | Province | | | | | | | | | | Canada |
|------------------------|-----------|--------|------|------|-------|-------|------|-------|-------|-------|----------------|
| | Nfld.Lab. | P.E.I. | N.S. | N.B. | Qué. | Ont. | Man. | Sask. | Alta. | B.C. | |
| millions of dollars | | | | | | | | | | | |
| 1988-89 | 13.7 | 1.0 | 24.8 | 11.7 | 158.7 | 227.5 | 23.8 | 17.8 | 58.1 | 56.6 | 593.7 |
| 1989-90 | 15.8 | 1.0 | 24.6 | 12.4 | 173.8 | 239.7 | 23.8 | 19.0 | 56.1 | 59.8 | 626.0 |
| 1990-91 | 15.9 | 1.1 | 23.8 | 13.0 | 188.6 | 256.4 | 23.6 | 19.0 | 56.9 | 56.1 | 654.4 |
| 1991-92 ^f | 17.2 | 1.4 | 26.1 | 13.2 | 198.5 | 265.4 | 24.8 | 20.7 | 59.8 | 60.8 | 687.9 |
| 1992-93 ^f | 15.9 | 1.3 | 27.6 | 13.2 | 211.3 | 287.5 | 25.5 | 21.2 | 60.3 | 74.8 | 738.6 |
| 1993-94 ^f | 15.6 | 1.1 | 25.1 | 14.2 | 216.6 | 282.6 | 23.8 | 21.1 | 61.3 | 69.1 | 730.5 |
| 1994-95 ^f | 15.6 | 0.9 | 23.5 | 13.9 | 217.5 | 278.9 | 24.2 | 21.9 | 58.7 | 70.4 | 725.5 |
| 1995-96 ^f | 15.4 | 0.9 | 23.0 | 13.8 | 213.5 | 269.1 | 24.7 | 23.8 | 64.5 | 76.0 | 724.7 |
| 1996-97 ^f | 15.2 | 1.1 | 21.3 | 13.2 | 204.9 | 259.6 | 24.5 | 23.9 | 61.1 | 80.4 | 705.2 |
| 1997-98 ^f | 14.7 | 1.5 | 21.9 | 12.8 | 203.6 | 285.6 | 23.8 | 26.9 | 62.2 | 78.7 | 731.7 |
| 1998-99 ^f | 16.5 | 3.5 | 40.9 | 25.4 | 243.9 | 341.9 | 33.6 | 32.6 | 71.6 | 93.9 | 903.8 |
| 1999-2000 ^f | 20.5 | 3.7 | 48.1 | 27.8 | 296.4 | 401.0 | 40.4 | 36.8 | 86.2 | 101.6 | 1,062.5 |
| 2000-2001 | 19.3 | 4.5 | 52.0 | 30.2 | 325.3 | 475.0 | 43.1 | 47.6 | 95.3 | 113.6 | 1,205.9 |

TABLE 7. Estimated Costs of R&D in the Higher Education Sector, on Health Sciences, by Source of Funds and by Province, 2000-2001

| Province | Federal Government | Provincial Governments | Business Enterprise | Higher Education | Private Non-Profit Organizations | Foreign | Total |
|---------------------------|--------------------|------------------------|---------------------|------------------|----------------------------------|-------------|----------------|
| millions of dollars | | | | | | | |
| Newfoundland and Labrador | 3.9 | 0.5 | 4.4 | 14.8 | 0.3 | 0.0 | 23.9 |
| Prince Edward Island | 0.4 | 0.2 | 0.0 | 0.8 | 0.0 | 0.0 | 1.4 |
| Nova Scotia | 9.6 | 2.3 | 13.9 | 35.8 | 9.6 | 0.7 | 71.9 |
| New Brunswick | 1.0 | 0.7 | 0.0 | 5.2 | 0.0 | 0.2 | 7.1 |
| Québec | 152.2 | 50.0 | 45.6 | 321.0 | 55.4 | 4.7 | 628.9 |
| Ontario | 167.7 | 70.6 | 103.5 | 381.2 | 140.3 | 9.0 | 872.3 |
| Manitoba | 13.1 | 4.3 | 3.4 | 29.9 | 10.4 | 0.9 | 62.0 |
| Saskatchewan | 10.5 | 11.9 | 0.0 | 30.2 | 5.1 | 0.2 | 57.9 |
| Alberta | 40.3 | 27.5 | 25.4 | 108.9 | 21.6 | 1.3 | 225.0 |
| British Columbia | 34.6 | 8.2 | 14.1 | 62.3 | 20.9 | 2.8 | 142.9 |
| Canada | 433.3 | 176.2 | 210.3 | 990.1 | 263.6 | 19.8 | 2,093.3 |

TABLE 8. Estimated Costs of R&D in the Higher Education Sector, on Health Sciences, by Province, 1988-89 to 2000-2001

| Year | Province | | | | | | | | | | Canada |
|------------------------|-----------|--------|------|------|-------|-------|------|-------|-------|-------|----------------|
| | Nfld.Lab. | P.E.I. | N.S. | N.B. | Qué. | Ont. | Man. | Sask. | Alta. | B.C. | |
| millions of dollars | | | | | | | | | | | |
| 1988-89 | 12.8 | 0.4 | 35.6 | 2.0 | 248.3 | 367.0 | 44.2 | 22.4 | 93.8 | 68.6 | 895.1 |
| 1989-90 | 12.5 | 0.5 | 36.7 | 3.1 | 279.3 | 403.2 | 44.0 | 24.7 | 103.2 | 72.9 | 980.1 |
| 1990-91 | 12.9 | 0.6 | 32.9 | 3.4 | 324.8 | 417.1 | 44.3 | 25.1 | 103.9 | 84.3 | 1,049.3 |
| 1991-92 ^f | 14.6 | 0.7 | 36.6 | 3.3 | 401.5 | 429.1 | 44.2 | 26.9 | 110.7 | 88.8 | 1,156.4 |
| 1992-93 ^f | 13.8 | 0.5 | 34.7 | 3.1 | 443.6 | 448.6 | 46.4 | 27.3 | 115.7 | 95.3 | 1,229.0 |
| 1993-94 ^f | 15.3 | 0.5 | 39.1 | 3.6 | 460.4 | 561.8 | 44.2 | 28.0 | 120.0 | 94.0 | 1,366.9 |
| 1994-95 ^f | 15.6 | 0.3 | 38.8 | 3.6 | 458.6 | 571.4 | 44.9 | 27.8 | 123.7 | 97.4 | 1,382.1 |
| 1995-96 ^f | 15.3 | 0.3 | 45.7 | 4.7 | 452.5 | 606.1 | 43.8 | 30.4 | 126.8 | 102.8 | 1,428.4 |
| 1996-97 ^f | 15.0 | 0.3 | 46.3 | 4.6 | 449.0 | 614.1 | 42.7 | 27.3 | 130.0 | 101.1 | 1,430.4 |
| 1997-98 ^f | 17.3 | 0.6 | 52.8 | 4.8 | 457.4 | 661.6 | 40.8 | 31.1 | 147.3 | 102.4 | 1,516.1 |
| 1998-99 ^f | 21.6 | 0.6 | 62.2 | 6.8 | 507.8 | 671.1 | 45.6 | 36.1 | 166.5 | 109.5 | 1,627.8 |
| 1999-2000 ^f | 20.1 | 0.6 | 71.8 | 7.1 | 597.5 | 706.1 | 53.8 | 43.5 | 199.5 | 122.5 | 1,822.5 |
| 2000-2001 | 23.9 | 1.4 | 71.9 | 7.1 | 628.9 | 872.3 | 62.0 | 57.9 | 225.0 | 142.9 | 2,093.3 |

TABLE 9. Estimated Costs of R&D in the Higher Education Sector, on Natural Sciences and Engineering ⁽¹⁾, by Source of Funds and by Province, 2000-2001

| Province | Federal Government | Provincial Governments | Business Enterprise | Higher Education | Private Non-Profit Organizations | Foreign | Total |
|---------------------------|--------------------|------------------------|---------------------|------------------|----------------------------------|-------------|----------------|
| millions of dollars | | | | | | | |
| Newfoundland and Labrador | 20.0 | 1.2 | 6.9 | 35.6 | 0.4 | 0.0 | 64.1 |
| Prince Edward Island | 2.3 | 0.6 | 0.6 | 7.2 | 0.5 | 0.0 | 11.2 |
| Nova Scotia | 32.4 | 6.2 | 19.6 | 77.6 | 10.2 | 1.7 | 147.7 |
| New Brunswick | 11.9 | 1.9 | 4.1 | 34.8 | 4.5 | 0.6 | 57.8 |
| Québec | 321.0 | 133.2 | 134.6 | 623.9 | 75.1 | 11.8 | 1,299.6 |
| Ontario | 432.1 | 188.2 | 240.7 | 786.5 | 170.5 | 22.6 | 1,840.6 |
| Manitoba | 35.6 | 11.5 | 14.6 | 68.6 | 13.9 | 2.3 | 146.5 |
| Saskatchewan | 46.4 | 31.9 | 10.0 | 84.0 | 7.9 | 0.4 | 180.6 |
| Alberta | 98.9 | 73.3 | 49.1 | 197.9 | 28.3 | 3.3 | 450.8 |
| British Columbia | 105.5 | 21.8 | 50.6 | 167.3 | 30.4 | 6.9 | 382.5 |
| Canada | 1,106.1 | 469.8 | 530.8 | 2,083.4 | 341.7 | 49.6 | 4,581.4 |

¹⁾ Includes "Health" and "Other Natural Sciences and Engineering".

TABLE 10. Estimated Costs of R&D in the Higher Education Sector, on Natural Sciences and Engineering ⁽¹⁾, by Province, 1988-89 to 2000-2001

| Year | Province | | | | | | | | | | Canada |
|------------------------|----------|--------|-------|------|---------|---------|-------|-------|-------|-------|----------------|
| | Nfld.Lab | P.E.I. | N.S. | N.B. | Qué. | Ont. | Man. | Sask. | Alta. | B.C. | |
| millions of dollars | | | | | | | | | | | |
| 1988-89 | 37.2 | 2.9 | 92.0 | 29.6 | 548.9 | 816.8 | 86.9 | 67.1 | 206.2 | 187.4 | 2,075.0 |
| 1989-90 | 37.0 | 3.0 | 92.8 | 31.1 | 614.6 | 868.6 | 86.9 | 69.9 | 214.5 | 199.1 | 2,217.5 |
| 1990-91 | 38.8 | 3.1 | 94.1 | 32.7 | 689.9 | 919.6 | 87.2 | 74.2 | 220.2 | 218.8 | 2,378.6 |
| 1991-92 ^f | 40.4 | 3.7 | 101.3 | 36.5 | 832.2 | 945.8 | 89.0 | 80.0 | 230.7 | 241.7 | 2,601.3 |
| 1992-93 ^f | 44.6 | 3.6 | 93.6 | 39.9 | 939.0 | 992.6 | 91.3 | 82.2 | 234.4 | 259.7 | 2,780.9 |
| 1993-94 ^f | 45.3 | 3.3 | 93.9 | 38.3 | 946.4 | 1,140.0 | 86.9 | 85.1 | 235.5 | 254.5 | 2,929.2 |
| 1994-95 ^f | 42.9 | 3.0 | 89.7 | 39.8 | 918.6 | 1,162.5 | 90.5 | 86.3 | 250.3 | 265.7 | 2,949.3 |
| 1995-96 ^f | 43.0 | 2.8 | 94.0 | 42.3 | 898.0 | 1,163.7 | 88.8 | 90.1 | 263.3 | 280.5 | 2,966.5 |
| 1996-97 ^f | 41.4 | 3.1 | 96.3 | 43.0 | 894.4 | 1,196.6 | 86.8 | 89.7 | 267.7 | 272.6 | 2,991.6 |
| 1997-98 ^f | 46.5 | 4.3 | 103.1 | 44.5 | 928.1 | 1,268.6 | 84.5 | 92.1 | 295.5 | 280.2 | 3,147.4 |
| 1998-99 ^f | 55.5 | 7.9 | 123.2 | 55.0 | 1,029.8 | 1,357.8 | 97.2 | 105.9 | 336.5 | 296.9 | 3,465.7 |
| 1999-2000 ^f | 58.1 | 7.8 | 151.4 | 61.3 | 1,236.5 | 1,507.0 | 117.2 | 139.3 | 404.6 | 336.1 | 4,019.3 |
| 2000-2001 | 64.1 | 11.2 | 147.7 | 57.8 | 1,299.6 | 1,840.6 | 146.5 | 180.6 | 450.8 | 382.5 | 4,581.4 |

¹⁾ Includes "Health" and "Other Natural Sciences and Engineering".

List 1. Classification of Universities, by Size, 2000-2001

| Province | Institution | Size |
|----------------------------------|---|-------------|
| Newfoundland and Labrador | Memorial University of Newfoundland | Medium |
| Prince Edward Island | University of Prince Edward Island | Small |
| Nova Scotia | Acadia University | Small |
| | University College of Cape Breton | Small |
| | Dalhousie University | Large |
| | Kings College | Small |
| | Mount Saint Vincent University | Small |
| | Nova Scotia Agricultural College | Small |
| | Nova Scotia College of Art and Design | Small |
| | Université Sainte-Anne | Small |
| | St. Francis Xavier University | Small |
| | Saint Mary's University | Small |
| New Brunswick | Université de Moncton | Small |
| | Mount Allison University | Small |
| | St. Thomas University | Small |
| | University of New Brunswick | Medium |
| Québec | Bishop's University | Small |
| | Concordia University | Medium |
| | Université Laval | Large |
| | McGill University | Large |
| | École des Hautes Études Commerciales | Small |
| | École Polytechnique de Montréal | Large |
| | Université de Montréal | Large |
| | École de Technologie Supérieure | Small |
| | Université du Québec en Abitibi-Temis. | Small |
| | Université du Québec à Chicoutimi | Small |
| | Université du Québec à Hull | Small |
| | Université du Québec à Montréal | Medium |
| | Université du Québec à Rimouski | Small |
| | Université du Québec à Trois-Rivières | Medium |
| | École nationale d'administration publique | Small |
| | Télé-Université | Small |
| | Université de Sherbrooke | Large |
| Ontario | Brock University | Small |
| | Carleton University | Large |
| | University of Guelph | Large |
| | King's College | Small |
| | Lakehead University | Small |
| | Laurentian University of Sudbury | Small |
| | McMaster University | Large |
| | Nipissing University | Small |
| | University of Ottawa | Large |
| | Queen's University at Kingston | Large |
| | Redeemer College | Small |
| | St. Jerome's University | Small |
| | St. Michael's College | Small |
| | Ryerson Polytechnic University | Small |
| | University of Toronto | Large |
| | University of Sudbury | Small |
| | University of Trinity College | Small |
| | Université Saint Paul | Small |
| | Trent University | Small |
| | University of Waterloo | Large |
| | University of Western Ontario | Large |
| | Victoria University | Small |
| | Wilfrid Laurier University | Small |
| | University of Windsor | Medium |
| | York University | Medium |

Classification of Universities, by Size, 2000-2001 (continued)

| | | |
|-------------------------|---|--------|
| Manitoba | Brandon University | Small |
| | The University of Manitoba | Large |
| | The University of Winnipeg | Small |
| Saskatchewan | The University of Regina | Medium |
| | St. Thomas More College | Small |
| | University of Saskatchewan | Large |
| Alberta | The University of Alberta | Large |
| | The University of Calgary | Large |
| | The University of Lethbridge | Small |
| | The King's College | Small |
| British Columbia | The University of British Columbia | Large |
| | Simon Fraser University | Medium |
| | University of Northern British Columbia | Small |
| | University of Victoria | Large |

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