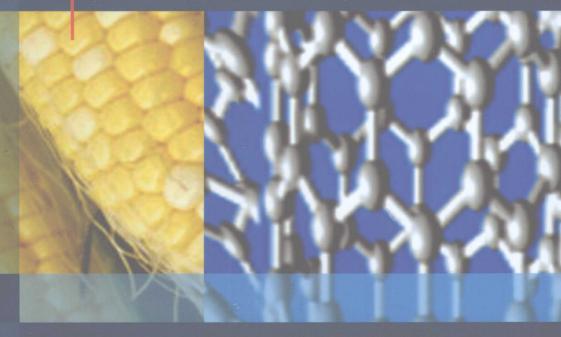


What Can Nanotechnology Learn From Biotechnology?

Social and Ethical Lessons for Nanoscience from the Debate over Agrifood Biotechnology and GMOs

生物技术对纳米科学的启示

Kenneth David, Paul B. Thompson







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农产品生物技术及转基因生物的争议给纳米科学带来的社会意义及道德启示

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纳米科学与技术是新兴的前沿与交叉研究领域,成为世界各国作为国家战略优先发展的关键技术,广泛用于材料科学、生物、医学、微电子学、信息通讯等领域,许多国家和地区的政府及企业不断增加对该领域的投资强度。随着纳米技术飞速发展,标称使用纳米技术的产品几乎渗透到社会的各个领域,与人们的日常生活密切相关。纳米技术或者纳米科学并不是一个专有的词汇,而是泛指各种纳米技术的应用。与所有的新技术一样,人们开始认识到纳米科学与技术的发展将会对人类的健康、安全、环境以及现有的社会伦理和道德规范等提出新的挑战。目前,还没有制定出任何针对纳米技术应用的社会伦理和监管准则。

考虑到纳米技术可能产生的巨大经济效益和社会效益,纳米材料以及包含纳米技术的产品和其他应用都很可能被广泛地生产和使用,因此理解和最大限度地减小潜在的风险尤其重要。纳米技术作为一种新兴技术其未来的发展方向是什么?应该如何科学合理地发展纳米科学和技术对社会发展的推动作用?如何引导社会及消费者能够正确认识纳米技术,确保纳米技术的健康发展和公众的认可与接受?新技术通常会遇到两种技术层面以外的风险:即公众的认可风险和管理风险,将快速有效地使公众了解新技术及其应用的益处和潜在危害,以使社会公众对这一新兴技术做出科学正确的反应。由科学出版社引进的Elsevier 出版集团出版的《生物技术对纳米科学的启示》(导读版)(What Can Nanotechnology Learn From Biotechnology?)一书较好地回答了这些问题。

本书的两位主编(Kenneth David 博士、Paul B. Thompson 博士)分别是人类学和社会伦理学领域的著名学者。Kenneth David 博士在法国、荷兰、印度、韩国、斯里兰卡和美国长期从事组织机构人类学的研究。Paul B. Thompson 博士则是密西根州立大学农业经济学与社团、农业、再生资源系哲学教授及凯洛格商学院农业、食品和社会伦理学主席,他在研究与农业文化和食品相关的伦理和哲学问题,尤其是农业技术与科学的发展和管理问题方面具有较深的造诣。他们组织数十位在科学政策、伦理学、人类学、农业纳米技术、科学技术与社会的关系研究等领域享有盛誉的专家学者编写了《生物技术对纳米科学的启示》一书,为科学政策的决策者、从事纳米科学与技术的研究人员明确纳米技术的发展方向,科学地发展纳米技术提供了重要参考。同时本书也不失为一本优秀的介绍纳米技术的科普书籍。

本书逻辑性强、语言简练,通过回顾生物技术发展过程中的历史争议和经验教训、比较生物技术与纳米技术的异同,生动地向我们展示了纳米技术从生物技术的发展历程中可以借鉴的经验教训。

全书共分 13 章,五大部分。第一部分(第 1 章): 概述纳米技术所涉及的不同人群,纳米技术的优势、可能出现的社会、环境、法律和伦理问题,以及社会可能对纳米技术的消极反应,同时介绍了本书的目的以及各章节作者的主要观点。

第二部分(第2~4章):该部分首先分析了造成公众对转基因生物以及生物技术误

解的原因,以及从中可以借鉴的经验教训(第2章),之后回顾了农业食品生物技术存在的环境伦理学问题以及转基因食品的安全性问题,同时谈到公众对是否接纳转基因生物的选择权,如何解决这一伦理学问题,以及纳米技术是否也会面临同样的问题等(第3章);最后讨论纳米技术的支持者和质疑者如何能使社会调控新技术所带来的影响,从而享受纳米技术带来的益处,而尽量减少其负面影响(第4章)。

第三部分(第5~8章):本部分首先从生物技术的三个经验教训谈如何解决纳米技术初期面临的伦理和社会问题(第5章);之后类比生物技术与纳米技术的异同,以及纳米技术应该从生物技术的发展过程中吸取哪些经验教训(第6-7章);最后讨论社会可能对纳米技术做出怎样的反应,以及如何使社会能够正确认识纳米技术,科学应对新技术所带来的一切影响(第8章)。

第四部分(第9~11章):本部分首先分析纳米技术如何借鉴生物技术的发展框架(第9章);之后分析如何推广和转化一种新兴技术(第10章);最后探讨对于新兴技术(生物技术和纳米技术)媒体信息和公众观点的关系问题(第11章)。

第五部分: (第 12~13 章) 总体展望纳米技术未来前景,以及纳米技术如何借鉴生物技术带来的启示。

本书的主要特色表现在以下几个方面:

- 1. 客观、全面地分析、评价了过去 20 多年来生物技术的发展历程及在此过程中所 暴露出来的问题;
- 2. 将纳米技术与生物技术进行比较分析,生动地向读者展示了作为一种新兴技术, 纳米技术应该在哪些地方借鉴生物技术的经验教训;
 - 3. 作者始终以中立者的身份,客观、公正地提出问题、分析问题和解决问题。

过去,纳米技术的影响主要集中在工程、通信、电子和消费产品等方面,安全性问题可能并不明显。然而今天,越来越多的纳米生物技术应用于人类药物,我们就需要知道后果是好是坏,而这正是我们尚未弄清的问题。2005年,英国皇家学会发布了一份报告:"纳米科学与技术:机遇和不确定性",总结有关纳米技术的科学知识现状;确认已经在使用的以及将要使用的纳米技术;对这些技术的应用进行前瞻性研究;讨论目前和将来这些技术的应用可能引起的健康、安全、环境、伦理和社会问题。美国食品药品监督局(FDA)已经成立了一个纳米技术相关工作组,关于 FDA 以及其对纳米技术产品的规章的信息可以浏览 FDA 的官方网站(http://www.fda.gov/nanotechnology/regulation.html)。欧盟(EC)也将会对纳米技术采取比较谨慎的监管措施,和美国及其他地区一样,欧盟目前还没有现行的关于纳米技术的监管框架出台。

纳米科学与技术作为一个新的研究领域,其研究和开发在中国受到了广泛重视,对于纳米技术伦理学方面的研究也是刚刚起步。同时,国内公众对于纳米科学与技术的认知程度较低,绝大部分人甚至从未听说过纳米技术;且国内市场较为混乱,许多商家为求得一时的销量,常冠以"纳米技术产品"标识误导消费者,使得纳米技术对于公众来说变得更加"神秘",严重影响了纳米科学与技术的科学发展。《生物技术对纳米科学的启示》导读版的发行,无疑给中国的纳米科技工作者们提供了一些重要参考,使得他们在大力推广、转化纳米技术的同时,能够注意到纳米技术可能带来的社会和伦理问题,并在发展初期明确纳米技术的科学发展方向。现阶段,与公众的交流沟通是非常重要

的。这既包括向公众普及纳米技术相关知识,也要充分考虑他们的想法。此外,该书的 出版发行也为科学政策的决策者提供了重要参考,且使得非政府组织及消费者等能够正 确认识纳米技术,使社会公众对这一新兴技术做出科学正确的反应。

笔者在国家纳米科学中心的博士后刘颖和研究生邱旸及许利耕参加了本书的序言、 目录和封底的翻译工作;责任编辑孙红梅认真负责的工作保证了本书在中国的出版。在 此谨表谢意。

> 陈春英 二零零九年春于北京

致 谢

首先,我们要感谢国家科学基金委员会(NSF)¹。2005 年度"生物技术对纳米科学的启示"国际会议以及 2006 年的"纳米技术标准"研讨会得到了国家科学基金委员会和纳米多学科研究组的鼎力支持,为农业食品纳米技术的社会和伦理学研究与教育提供了广阔的空间(SES-0403847)。尤其要感谢国家科学基金委员会的 Rachelle Hollander (已退休),Mihail Roco,Rita Teutonico 以及 Priscila Regan,还要感谢凯洛格基金会在农业、食品和社会伦理学方面的大力支持。

2005年的国际会议是由密西根州立大学校长 Lou Anna K. Simon 发起的。

会议的计划和报告的准备工作需要通力合作才能完成,这次讨论会也不例外。特别要感谢以下人员,他们在 2005 年的国际会议和 2006 年讨论会的计划、组织和承办过程中发挥了重要作用:负责管理、后勤和秘书工作的 Julie Eckinger, Sibbir Noman, Scott Menhart, Mim Sumbler, Linda Estill, Mary Keyes, Nicole Schoendorf 和 Jill Crandell,以及负责图画设计的 Biran Cools 和 Linda Currier。

Tammi J. Cady, Rhonda Bucholtz 和 Bill Burke 在凯洛格宾馆 & 会议中心召集发起了 2005 年的国际会议。Peter Lecholoer 和 Theresa Pharms 在考利斯宫召集发起了 2006 年的国际会议。

感谢研究生研究助理 Sho(Lisa)Ngai,Meghan Sullivan,Norbismi Nordin,Brian Depew,Zahra Meghani,William Hannah 以及本科生研究助理 Lawrence Judd、Erin Pullen、Keiko Tnanka 在记录及录制会议和研讨会进程中的帮助,这些材料对于介绍和标准化研讨会记录贡献巨大。John Stone 主要负责整理记录。Marc Erbisch 和 Erin Pullen 花费了大量时间准备各章节的原稿,来自 Academic/Elsevier 的编辑 Nancy Maragioglio 和项目主管 Clair Hutchins 在本书的出版过程中与我们密切合作,使本书得以付梓,特此感谢。

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^{1.} 本书所阐述的观点仅为与会成员个人的观点,不代表国家科学基金委员会、密西根州立大学和参会者所在的机构。

前言

纳米科学与纳米技术在全球范围内飞速发展。尤其在欧洲和美国,伴随着纳米科学与技术投资力度的不断加大,人们认识到需要确定一个纳米科学与技术的发展方式,使 其得到公众的接纳和认可。对于转基因农作物和转基因家畜的国际性争议,同样存在于 纳米科学与技术。来自工业、政府和公共利益组织的评论家们认为,应该从那些广为人 知的转基因技术科学家、管理人员和公司的成功与失败中汲取一些经验教训。

然而都有哪些经验教训呢?本书旨在回答这个问题,其中囊括了许多系统研究的成果。为了达到这一目的,密西根州立大学的编辑们以及其他几位同事历时三年,研究了关于转基因生物方面有争议的文献,同时与为这些文献做出重大贡献的作者们广泛交流,并将他们与那些从事纳米尺度科学技术应用的专家学者们以及纳米技术的管理和公众认可人物聚集在一起参加研讨会。本书是该项研究的结晶,其中包括一些多学科交叉研究的重要观点。我们非常感激所有参与研讨会的专家学者以及负责设计、执行该项研究的密西根州立大学的农业食品纳米技术研究小组的成员们。而对于该项研究的热情支持和帮助也是极其重要的,没有这些,本次会议和研讨会难以顺利召开。谨将这些人员的名单列于致谢和本书的附录中,不胜感激。

我们要特别提及的是 Rachelle Hollander 博士在科学与工程技术的社会和伦理学问题研究中的突出贡献。她在研究方面的重要贡献不言自明,而局外人可能对她在国家基金会研究制定制度标准中发挥的重要作用不太清楚,对该项研究所提供的资金支持自不待言。在退休之前,她所做的最重要、最有意义的一件事即是在国家纳米技术发展初期,为纳米技术的社会和伦理学问题研究工程提供了大量的资金支持。没有她的努力,本书也难以问世。谨以此书献给 Rachelle。

作者简介

David J. Bjornstad, 田纳西州,橡树岭,橡树岭国家实验室,环境科学部,社会与科学技术课题组。其研究主要集中于经济政策分析,包括科技政策、能源环境及资源政策、应用微观经济理论、自然资源评价和实验经济学。1973 年获得雪城大学经济学博士学位。

Jeffrey Burkhardt,佛罗里达州立大学,食品及农业科学研究所,食品和资源经济学部 (FRED),农业与自然资源伦理和政策教授。1979 年获得佛罗里达大学哲学博士学位及经济学辅修学位,1985 年在佛罗里达大学任教。目前教授农业和自然资源伦理、科学伦理、以及经济哲学课程。

Lawrence Busch,密西根州立大学社会学系杰出教授以及食品和农业标准研究所主任。他的研究方向涵盖了食品和农业标准、食品安全政策、生物技术政策、农业科学和技术政策、农业高等教育以及政策实施过程中的公共参与状况等。

Kenneth David,哲学博士、工商管理硕士,密西根州立大学跨文化管理和结构人类学副教授。在芝加哥大学获得哲学博士学位,密西根州立大学获得工商管理硕士学位。他在法国、荷兰、印度、韩国、斯里兰卡和美国的组织人类学研究主要集中于组织间关系、联合风险、工程采购设计项目。

George Gaskell,社会心理学教授,曾任伦敦政治经济学院院长,现为伦敦经济学院生物科学、生物医学、生物技术与社会学研究中心 BIOS 副主任。基于社会心理学的专业背景,其研究方向主要为科学、技术与社会的关系,尤其是风险与信任问题,社会价值如何影响人们对技术革新的观点,以及科学与技术的管理等。

Mickey Gjerris,哥本哈根大学生物伦理与风险评价丹麦中心助理教授。其研究集中在生物和纳米技术领域,尤其是使用动物和新技术涉及到的伦理学问题。这些研究属于自然和宗教哲学伦理学范畴,对于促进哲学传统现象学具有重要意义。

Hans Geerlings,曾在壳牌环球资讯国际有限公司和代夫特技术大学工作,毕业于阿姆斯特丹大学,获得物理学博士学位。作为壳牌研究技术中心的首席科学家和代夫特技术大学应用科学系的访问学者,主要从事一些探索性的研究工作,其研究兴趣包括金属和复杂氢化物中的贮氢问题以及矿化过程中二氧化碳的埋存技术研究等。

John R. Lloyd,密西根州立大学机械工程系杰出教授。其研究工作为纳米和分子尺度的能量传输,这一新兴领域在许多领域有着广泛的应用价值,如农业食品系统、热电器件、燃料电池的能量传输以及种子和农作物表面微米、纳米和分子水平薄膜结构相转变热传递的能量效应等。

Alan McHughen,现在加利福尼亚大学河滨分校植物科学系工作。此前,在牛津大学获得博士学位后,曾在耶鲁大学和萨省大学工作。分子遗传学家,对国家科学院、医学研究所和经合组织研究小组在基因工程作物和食品的环境和健康效应研究有着浓厚兴趣。

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要研究技术和政策革新的文化多元性及其与环境和日常生活的交叉作用。

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Susanna Priest,拉斯维加斯内华达大学汉克·格林斯潘学院新闻与传媒研究教授。她的研究与教学工作主要集中在通讯科技、环境与健康,公众对通讯科技和环境健康政策的认知以及公众观点的形成;大众媒体在社会中作用的变化以及媒体理论和研究方法。

David Sparling, 圭尔夫大学管理与经济学院研究生部副主任。曾为圭尔夫大学食品、农业与资源经济学副教授。他曾在剑桥和安大略附近经营农场 20 年,还是一家农牧企业保险公司的总裁以及一个生物技术公司的创建人。同时,还是墨尔本大学的高级顾问。其教学和研究兴趣主要为新技术的运行、供应链管理和商业化研究,包括澳大利亚和加拿大的生物技术知识产权研究。

Paul B. Thompson,密西根州立大学农业经济学与社团、农业、再生资源系哲学教授及凯洛格商学院农业、食品和社会伦理学主席。曾在德克萨斯大学和普度大学哲学系工作。其主要研究与农业文化和食品相关的伦理和哲学问题,尤其关注农业技术与科学的发展和管理问题。

Any K. Wolf, 田纳西州橡树岭国家实验室,环境科学部社会一技术效应研究组的负责人。其研究工作绝大多数集中在研究社会对于有争议的、复杂的科技和环境问题采取怎样的方法去制定和实施决策。同时,研究在制定决策过程中科学的运作与应用之间的联系。她需获得宾夕法尼亚大些的区域规划学硕士学位和人类学博士学位。

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The 2005 international conference was sparked by opening remarks from Lou Anna K. Simon, President of Michigan State University.

Event planning and report preparation are truly collaborative efforts and this workshop was no exception. Special thanks are due the following people for their roles in helping to plan, organize, and host the 2005 conference and the 2006 workshop: Julie Eckinger, Sibbir Noman, Scott Menhart, Jim Sumbler, Linda Estill, Mary Keyes, Nicole Schoendorf, and Jill Crandell for administrative, logistical and secretarial support; Brian Cools and Linda Currier for graphic design.

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^{1.} The views expressed here are those of the conference and workshop participants and reviewers, and do not necessarily reflect those of the National Science Foundation, Michigan State University, or the participants' employers.

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Preface

The rapid growth of nanoscience and nanotechnology is a global and widely acknowledged phenomenon. In Europe and the United States in particular, the rapid increase in both public and private investment in nono-scale science and technology has been accompanied by statements recognizing the need to steer the process in a democratic fashion and to secure broad public acceptance. The international controversy over genetically engineered crops and livestock is often mentioned in this connection. Commentators from industry, government and public interest organizations alike pledge to "learn the lessons," from the successes and failures of scientists, regulators and companies who developed the technology that came to be popularly known as "genetically modified organisms," or GMOs.

But what were those lessons? This volume is the result of a systematically planned research activity designed to answer that question. To that end, the editors and several colleagues at Michigan State University undertook a three year process to survey literature on the GMO controversy, contact a number of authors who had made distinguished contributions to that literature, and to bring them together in a workshop setting with others who were undertaking both technical applications in nano-scale science and engineering as well as schlorship on the processes of governance and public acceptance of nanotechnology. This volume is the end product of that research, consisting of reflective and critical essays written by just a few of the participants in this iterative interdisciplinary research project. We owe an enormous debt to all of those who participated in our workshop, as well as to all the members of Michigan State Agrifood Nanotechnology Research Team responsible for planning and conducting the research. Research assistants for the project were

especially important in actually making the nuts and bolts of the conference and workshop work. These names are listed in the acknowledgments and in appendices to the volume.

We would like, however, to make special note of the career contribution that Dr. Rachelle Hollander has made to research on the social and ethical issues in science and engineering. Her important research contributions speak for themselves. What may be less evident to outsiders is the continuing role that she played at the National Science Foundation in finding an institutional home for this work, not to mention dollars to support it. Her last assignment at NSF before entering what we hope will be a well earned but still productive retirement was to help lay the foundations for the program in Social and Ethical Issues in Nanotechnology component of the National Nanotechnology Initiative. Without that work, this volume would truly have been impossible. It is to Rachelle that this book is dedicated.

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