

# ***THE EVOLUTION OF INDIA'S SCIENCE, TECHNOLOGY AND PUBLIC POLICY:***

***Lupin Science Park  
Science Day  
February 28, 2017***

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# ***OUTLINE***

- The epochal events of February 28
- Science in pre-independent India
- Origins of modern scientific enterprise
- Science in the 21<sup>st</sup> century
- Science in Independent India : Evolution of public policies
- Science in contemporary India

## ***The epochal events of February 28***



**C. V. Raman**

**7 November 1888 - 21 November 1970**

1906 Stood 1st in M.Sc (did not attend classes!!)

1907 Assistant Auditor General, AG's Office, Calcutta

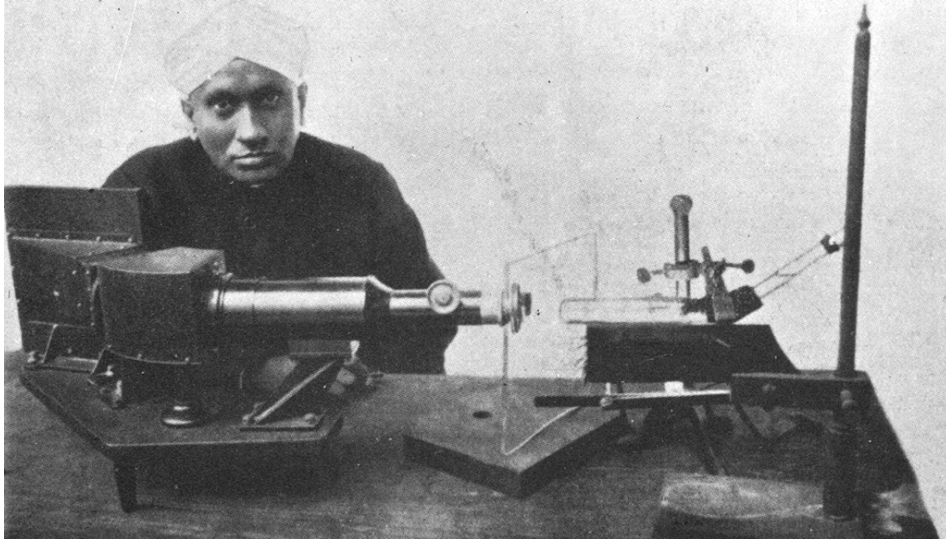
1907 Starts research at IACS, part time and publishes the first paper

“We have got a young student with fine intellect, doing research in our laboratory. A side issue of his work has been published in *Nature* (24 Oct, 1907). The prophecy of the great man (MLS) is now going to be fulfilled. If circumstances do not go against us, Raman will be the brightest ornament of IACS.”

*A.L Sarkar, son of Mahendra Lal Sarkar,  
founder of IACS, 21 November 1907*

*“Indian mind is not inferior ; what we lack is courage and a spirit of victory. If that indomitable spirit were to arise, nothing can hold us from achieving our rightful destiny”*

# THE RAMAN EFFECT



*On February 28, 1928, through his experiments on the scattering of light, Raman discovered a phenomena called Raman Effect*

Raman was supremely confident of winning the Nobel Prize in Physics. He was disappointed when the Nobel Prize went to Richardson in 1928 and de Broglie in 1929. He was so confident of winning the prize in 1930 that he booked tickets in July, even though the awards were to be announced in November, and would scan each day's newspaper for the announcement, tossing it away if it did not carry the news. He did eventually win the 1930 Nobel Prize in Physics "for his work on the scattering of light and for the discovery of the effect named after him". He was the first Asian and first non-white to get a Nobel Prize in the sciences.



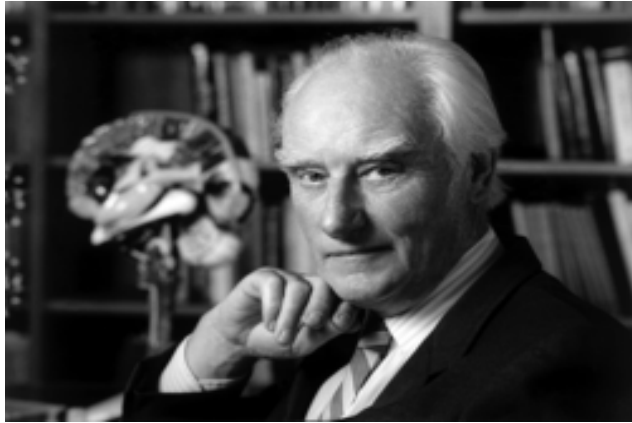
## ***ASUTOSH MUKHERJEE ON RAMAN'S SACRIFICE***

“I admire the courage and spirit with which Raman exchanged a lucrative official appointment for a university professorship. This instance encourages me to entertain the hope that there will be no lack of seekers of truth in the Temple of Knowledge which it is our ambition to erect.””

“ Sir Asutosh ventured to ask a young and unknown official to devote himself to the pursuit of knowledge under the aegis of the Calcutta University. This, on his part, was an act of courage. But for the action of Sir Asutosh, my scientific career would long ago suffered an abrupt termination.”

*C. V. Raman*

# 28 FEBRUARY 1953 : ANOTHER HISTORIC DAY FOR SCIENCE



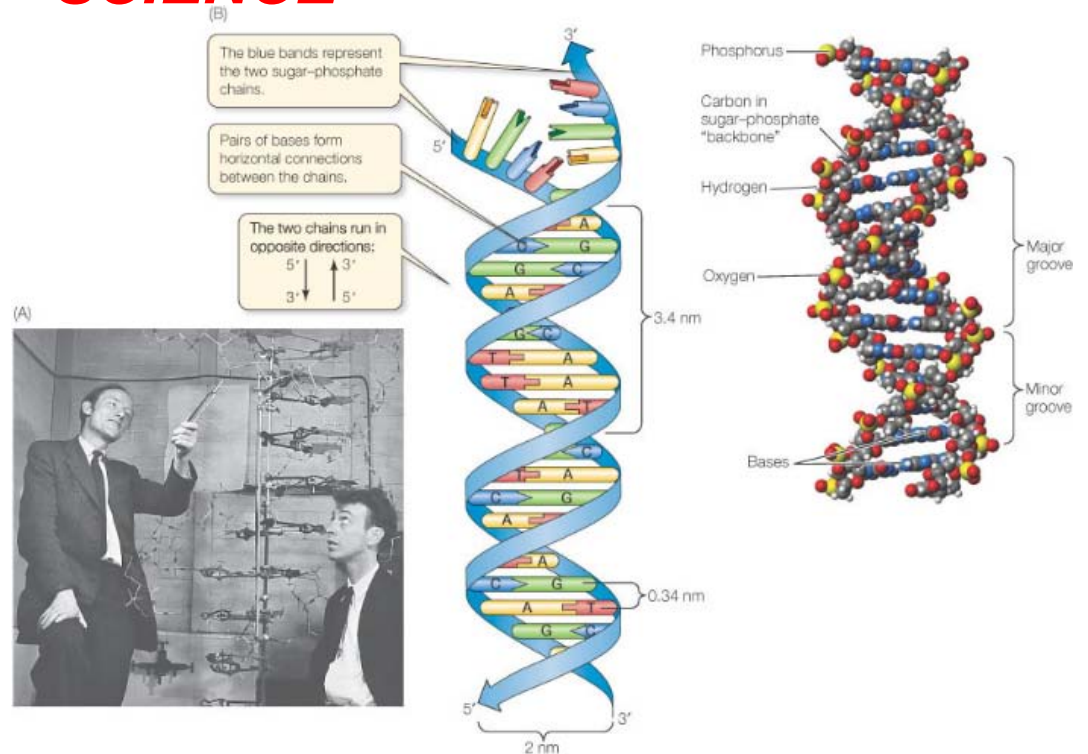
**F.Crick  
(1916-2004)**

**Then**



**J.D.Watson  
(1928- )**

**Now**

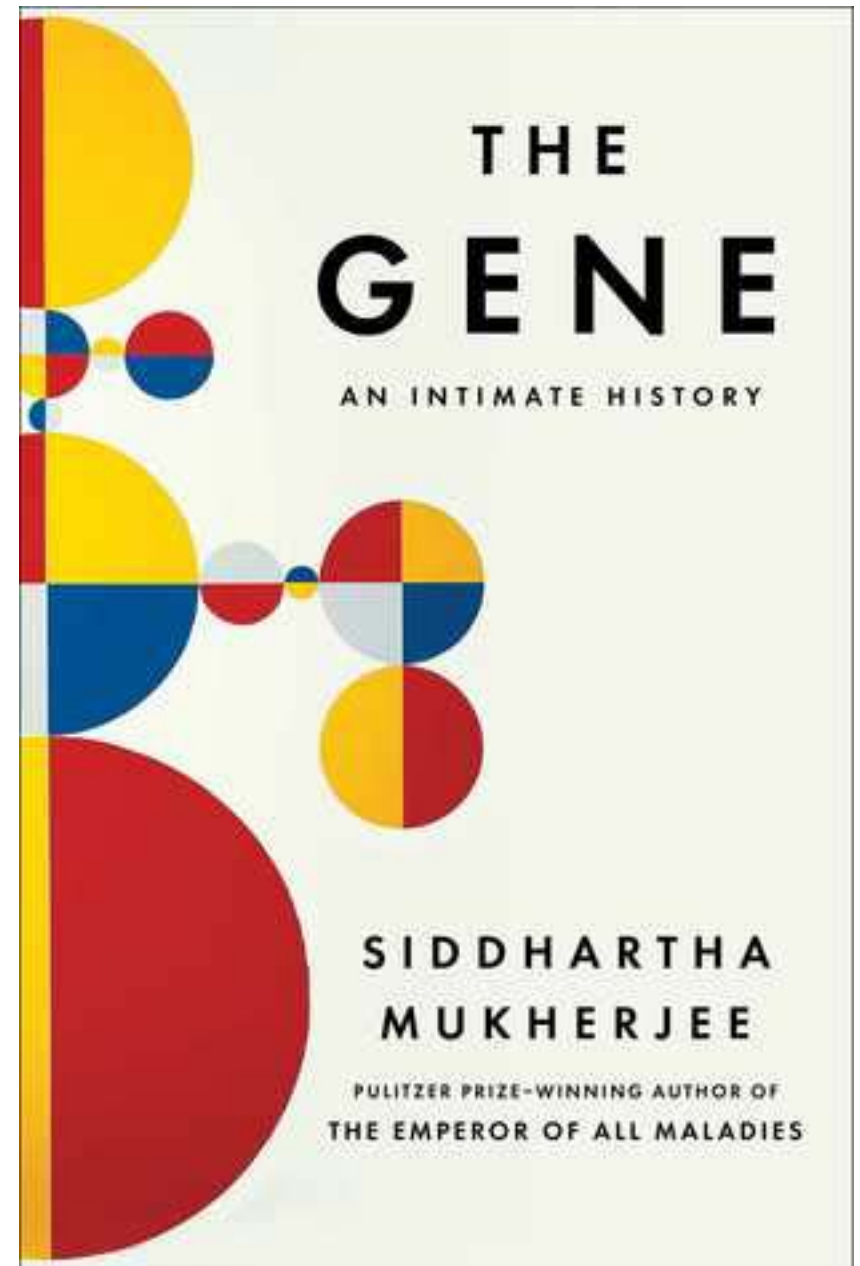


*"This structure has novel features which are of considerable biological interest".....It has not escaped our notice that the specific pairing we have postulated immediately suggests a possible copying mechanism for the genetic material"*

*Watson and Crick in Nature, April 25, 1953*



“Three profoundly destabilizing scientific ideas ricochet through the twentieth century, trisecting it into three unequal parts: **the atom, the byte, the gene.** Each begins its life as a rather abstract scientific concept, but grows to invade multiple human discourses- thereby transforming culture, society, politics and language. But the most crucial parallel between the three ideas is conceptual: each represents the *irreducible unit-the building block, the base organizational unit- of a larger whole: the atom of matter; the byte of digitized information and the gene, of heredity and biological information*”





# ***Science in pre-independent India***

## ***MISSED OPPORTUNITY FOR INDIAN SCIENCE***

By the thirteenth century the free spirit of the western mind was adapting to hypothesis driven and evidence based scientific methods for exploring our physical and material world; however, the Indian mind had been enslaved by successive conquests by alien cultures. The age of reason and enlightenment bypassed us, both materially and literally.

### ***India's awakening***

*Long years ago we made a tryst with destiny, and now that time comes when we shall redeem our pledge, not wholly or in full measure, but very substantially. At the stroke of the midnight hour, when the world sleeps, India will awake to life and freedom. A moment comes, which comes but rarely in history, when we step out from the old to new, when an age ends, and when the soul of a nation, long suppressed, finds utterance.*

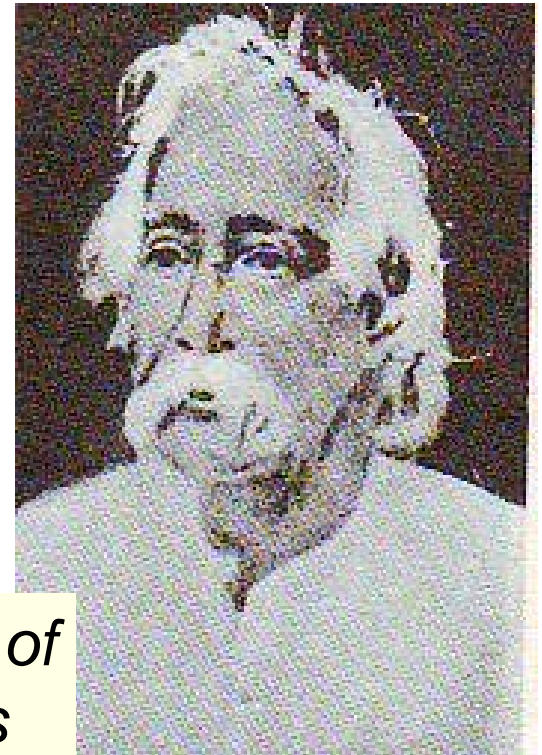
Jawaharlal Nehru, Midnight August 14, 2017

## **MAHENDRA LAL SARKAR 'S VIEWS ON INDIAN ASSOCIATION FOR THE CULTIVATION OF SCIENCE,ESTD 1876**

“The sole function will be science-learning and science- teaching. We should carry on unaided by the (British) Government or more properly speaking, without seeking its aid. **I want freedom for the institution. I want it to be solely native and purely National.**”

“I reiterate my conviction that if our country is to advance at all and take rank with civilized nations, it can only be by means of science. To this end, I have given the best portion of my life, but I am sorry to leave this world with the impression that my labours have not met with the success it deserves.” ( *Last letter*, Nov. 1903)

*Indian science was born by a deep sense of nationalism; to contribute to science was considered as a national service*



1833-1904

## **PROFESSOR NIL RATAN DHAR: ANOTHER STAUNCH NATIONALIST**

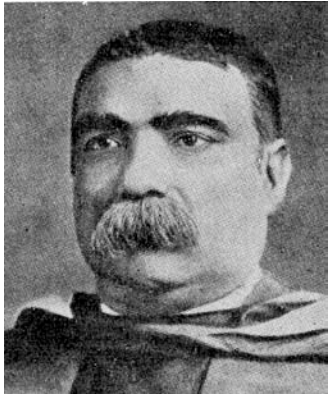


**1892-1986**

- Mentored by Acharya P. C. Ray, 1909
- Founder of the discipline of Physical Chemistry in India
- A staunch nationalist who believed in the power of evidence based science and science as a tool for nation building

*“ I sincerely believe that sound progress of our nation depends essentially on science and its applications and I have preached this gospel for over 40 years. I am extremely keen on seeing Indian scientists taking up this **matter of national regeneration through science with hard labour, great fortitude, devotion and sacrifice.** ”*

# ***BEGINNINGS OF MODERN INDIAN SCIENCE***



Asutosh Mukherjee (1864-1924)  
First Indian to publish a paper (1881)

J. C. Bose (1858-1937)

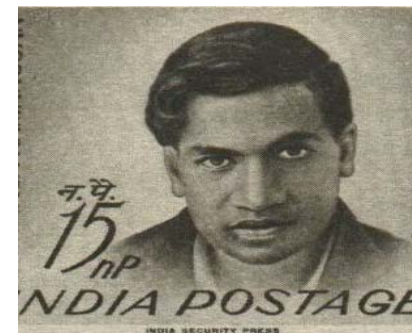
- Microwave communication, semiconductor
- Missed the 1902 Nobel (Marconi)
- “Satyagraha”: Salary boycott



P. C. Ray (1861-1944)  
First to do research in Chemistry  
Established Bengal Chemical and  
Pharmaceuticals (1901)

S. Ramanujan (1887-1920)

- FA fail (1908), First paper 1911, FRS (1918)



# ***JEWELS OF INDIAN SCIENCE IN PRE INDEPENDENCE PERIOD***

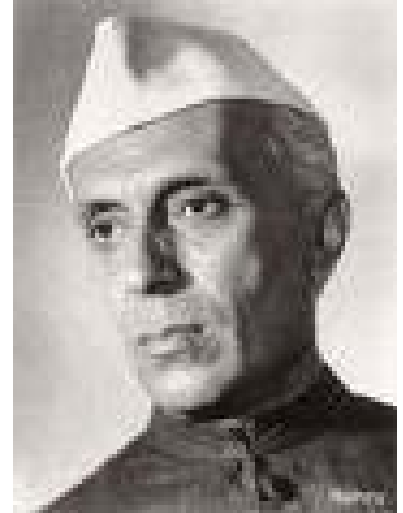
- C V Raman
- S Ramanujan
- Sir K S Krishnan
- S N Bose
- Sir M Visvesvaraya
- J C Bose
- Birbal Sahni
- P C Ray
- M N Saha





## ***NEHRUVIAN GRAND VISION OF SCIENCE***

“ I realized that science was not only a pleasant diversion and abstraction, but was of the very texture of life, without which our modern world would vanish away.....It was science alone that could solve these problems of hunger and poverty, of insanitation and illiteracy, of superstition and deadening custom and tradition, of vast resources running to waste, of a rich country inhabited by starving people.”



*Indian Science Congress, Calcutta, 1938*

# ***Origins of modern scientific enterprise***

## ***THE ORIGINS OF MODERN SCIENCE***

- Scientific modernity began around 1700 with the publication of Isaac Newton's publication of "Opticks"
- This was the forerunner to the Age of Reason and the emergence of Enlightenment
- Enlightenment provided an exalted view of human rationality and claimed that all individuals have the right as well as the power to shape their own destinies
- This led to the emergence of rational scientific inquiry processes resulting in epoch making discoveries and eventually to the industrial revolution

## ***MAN IN CONTROL OF HIS OWN DESTINY***

- I think; therefore, I am : Rene Descartes (1596-1650), Father of western philosophy and believer in rationalism
- The Critique of Pure Reason: Immanuel Kant (1724-1804), Mind shapes our experience; proposed the concept of space and time as well as cause and effect
- How we think (1910) ? : John Dewey(1859-1952), American philosopher and thinker who propagated the view that democracies encouraged free thought

***Human individuals are the primary agent of creativity***

*You are that which you create : Don Reitz, American  
Sculptor 1920-2014*

## **Science, technology and innovation are social activities.**

They can not be done in isolation and therefore, we can not disregard its history.....History, if viewed as a repository of more than anecdote or chronology, could produce a decisive transformation in the image of science in which we are now possessed.”

*Thomas Kuhn  
The Structure of Scientific Revolutions,  
Fourth Edition, 2012*

*Thomas Kuhn defined the history of science in the mold of an evolution*

***The domain of the natural is not essentially different from the domain of the social***

# ***THE SOCIAL FUNCTION OF SCIENCE***

*( J.D. Bernal, George Rutledge and Sons, 1939)*

- Utility is the central objective of the scientific enterprise
- Central role of state in supporting / promoting science

*The rationale for organized science, government funded or directed science*

*Roger Pielke, Nature, 27 March 2014, Vol. 507, 427*  
*The Sage of Science, A. Brown, Oxford University Press, 2007*



## ***THE ROMANTIC VIEW OF SCIENCE***

Individual scientists pursuing truth leads to the most efficient social outcomes

*Michael Polanyi*

*The Republic of Science : Its Economic Theory,  
Minerva, I , 54 (1962*

*The intellectual debate between Bernal and Polanyi was one of the most engrossing debates of the second half of twentieth century!*

## ***THE ROMANTIC VIEW OF SCIENCE***

“ Scientific research has to do only with the respect with which we regard one another, the dignity of men, our love of culture. It has to do with : are we good painters, good sculptors, great poets? I mean all the things we really venerate in our country and are patriotic about. It has nothing to do directly with defending our country except to make our country worth defending”

*Robert Wilson, arguing for support from the US Congress for building the Fermi National Accelerator, 1969*

*Source: Scientific Temperament: Three Lives in Contemporary Science, P. J. Hilts, Holiday House, 1984*

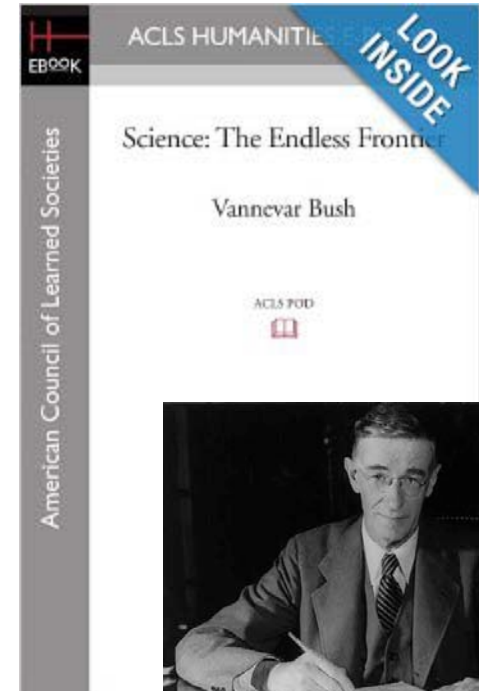
## **GOVERNMENT (PUBLIC) FUNDED RESEARCH IS OF A RECENT ORIGIN**

- State funding of research is a post world War II phenomena
- A large part of nineteenth and twentieth century research and explorations in science were not funded by the state.
- It was the two wars that gave impetus for the state to step in and direct research

*No government funded research project on energy technology led to the discovery of steam engine or electricity, nor the discovery of automobiles and airplanes a programmed outcome of a structured approach to transportation technology !*

## ***PUBLIC FUNDING OF SCIENCE : THE ORIGINS***

- The tenet : investment in “basic research” by a nation “performed without thought of practical ends” will lead to prosperity for its people.
- More money, more Institutions, more research, more papers and PhD’ s will result in greater prosperity and wealth creation in society
- This tenet was implicitly accepted by Governments around the world as an established public policy



**1945**

*The Cold War fuelled large public investment in science driven by the military-industrial complex; with the collapse of the Communism, this rationale was lost*

# ***WHY SHOULD GOVERNMENT FUND SCIENCE ?***

- Economic growth and prosperity of a nation depends on investments in science ( Vannevar Bush's hypothesis)
- Science is too delicate or precious to leave it to non governmental sectors
- Government intervention is necessary in S&T to prevent free market failures of emerging technologies
- Government and the scientists who get funded have the best collective wisdom on the future strategic directions of science and technology
- Politicians love to fund science; spend small money and take credit for large successes
- It is patriotic to fund science ( like defending our borders)
- Our country needs to produce more Noble Prize winners

*Scientists love public funds, because it comes with no obligations other than to their own community*

# ***JUSTIFICATION FOR PUBLICLY FUNDED SCIENCE***

- Public funding of science provides a framework of theory and experimental data that places limits on available space for innovation
- It creates human resources trained in critical inquiry
- It supports innovation that are too risky for industry to pursue
- Public funded research has led to a vast body of knowledge that lie at the foundation of all technologies
- Science leading to solutions in areas such a new energy sources, public health, built habitats, environment, natural resource conservation and recycling will need public investments

*It is perfectly reasonable to build an economic case for basic research. However, to realize value one needs practical and financial support to underpin training, networks and start up investment*

*M . Peplow, [www.chemistryworld.org](http://www.chemistryworld.org), August 2015*

*J. Stilgoe, The Guardian, October 26, 2015*

*V. Sivaram, The Newsweek, October 28, 2015*



***Science in Independent India : Evolution  
of public policies***

## ***POLITICAL AND ECONOMIC THOUGHT : EARLY YEARS OF INDIA'S INDEPENDENCE***

- State wielding “commanding heights” of the economy (Socialistic Pattern of Society)
- State ownership of industries; Government’s ability to promote technologies in public enterprises
- Control on import of processes, products and knowhow; regime of industrial licenses
- Central planning as an instrument of public policy (The Soviet Model)

*For a country gaining independence after almost four hundred years of external dominance, issues such as “self-reliance” and “indigenous development” of technology were the underlying basis of national pride, echoes of which we hear even today*

## **BEYOND MERE PRACTICE OF SCIENCE : THE SCIENTIFIC TEMPER**

Large numbers of people talk glibly about science today and yet in their lives or actions do not exhibit a trace of science.....But science is something more. It is a way of training the mind to look at life and the whole social structure...So I stress the need for the development of a *scientific mind and temper* which is more important than actual discovery as it is out of this temper and method that many more discoveries will come.

*Jawaharlal Nehru,  
Inaugural Speech at the opening of National Physical  
Laboratory, New Delhi, January 1950*

*Nehru borrowed the concepts of “scientific thoughts” from  
Francis Bacon, John Stuart Mill and Bertrand Russell and  
gave it his own unique idiom*

(It shall be the duty of every citizen of India) “ *to develop the scientific temper, humanism and the spirit of inquiry and reform*”

*42<sup>nd</sup> Amendment Part IV-A Article 51-A  
on Fundamental Duties to the Constitution of India, 1976*

*For Nehru the State was an instrument for building the scientific temper in the society; he assumed that the spread of education and research in S&T will embed the “scientific temper” in the lives of every Indian*

## ***SCIENCE IN INDIA POST 1950***

- Science in pre-independent India was predominantly individual science pursued within the confines of an University
- State funding of science began in the early fifties. Emphasis was on creation of large R&D organizations to serve developments in industrial research (CSIR), atomic energy (BARC), space research (ISRO), agricultural research (ICAR), medical research (ICMR) etc.
- In education, focus was on creating exclusive institutes for technology (IIT's)
- Education, originally a state subject, became a concurrent subject and federal government began to create central institutions. State Universities were left to the mercy of state funding

## ***BUILDERS OF SCIENTIFIC INSTITUTIONS NEHRU'S COMRADE-IN-ARMS***

- **Dr. Homi Bhabha** established the TIFR and BARC, leading to nuclear science and research. Today India has 14 reactors producing nearly 4000 MW electrical power
- **Professor Vikram Sarabhai's** space vision enabled India to acquire the capability to design, develop, build and launch any type of satellite from Indian soil. The recent journey of an Indian spacecraft to the orbit of Mars is a vindication of this vision
- **Professor Shanti Swarup Bhatnagar** created multiple CSIR laboratories in various disciplines for developing technology for India's industrial development
- **Dr D. S. Kothari** created a chain of Defense R&D laboratories for promoting self-reliance in critical defense technologies.





# ***IMPACT OF S&T ON SOCIETY***

*Some noteworthy successes*

➤ The Green Revolution (Agriculture)

➤ The White Revolution (Milk)

➤ The Blue Revolution (Space)

➤ The Grey Revolution ( IT and Communication)



*Much of these transformations were a consequence of India's post independence investment in S&T education and infrastructure*

# ***PUBLIC POLICIES ON SCIENCE AND TECHNOLOGY***

- Science Policy Resolution of 1958 (March 4, 1958)
- Technology Policy Statement of 1983
- Science and Technology Policy of 2003
- Science, Technology and Innovation Policy 2013

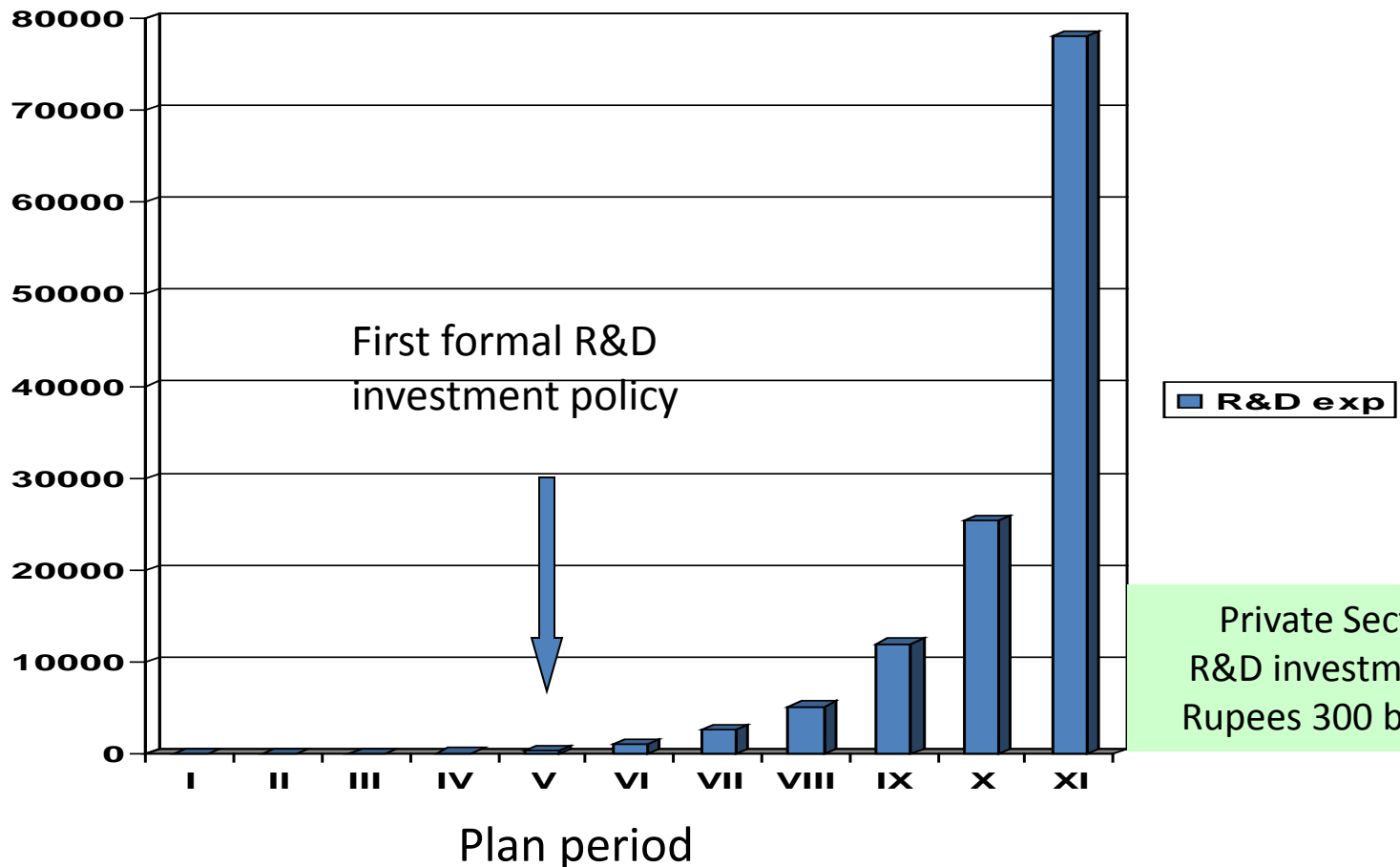
## ***POLITICAL AND ECONOMIC EVENTS THAT INFLUENCED INDIA'S SCIENCE POLICIES***

- The crisis of food, 1970
- The first nuclear explosion at Pokharan, 18 May 1974 leading to wide spread sanctions and embargo on technology exports into India
- The liberalization of economic policy, 1991
- The era of coalition Governments, 1989 to 2014
- The second nuclear explosion at Pokharan, 18 May 1998 leading to further economic sanctions
- The National Action Plan on Climate Change and the Eight Missions, 2007

# INDIA'S R&D INVESTMENTS

Rupees 800  
billion

Rupees in  
Crores (10  
million)



## ***INDIA SCIENCE INDICATORS***

- R&D investment as a % GDP (2011) : 0.88
- Gross domestic expenditure on R&D : 42.8 billion US \$ ( PPP, constant 2005 prices)
- Gross expenditure on R&D per researcher : 201,800 US \$ (PPP, 2013)
- Number of researchers : 1,93,000
- Total publications : 53,733 ( 4 % of global)
- Patents granted per million population : 1.6 ( USA 160, UK 90, China 13, Russia 7.7)

# RESEARCH SPENDING AND SCIENTIFIC PROWESS

Country	R&D as % GDP	GERD *, 2015 at PPP \$ billion	Share of world GERD, %	GERD per researcher, PPP \$ thousand, 2013	Share of Publications, %	Researchers, lakh	Patents per million population
USA	2.8	396.7	28.1	313.6	25.3	12.65	910
UK	1.8	-	-	-	6.9	2.59	-
Japan	-	-	-	-	5.8	6.61	3,716
S.Korea	-	-	-	-	4.0	3.22	4,451
Brazil	1.2	-	2.2	210.5	2.9	1.39	34
China	1.9	290	19.6	195.4	20.2	14.84	541
India	0.9	42.8	3.2	201.8	4.2	1.93	17

Country

- Gross Domestic Expenditure on R&D
- Source : UNESCO Science Report, 2015; Nature, 2011, 2013 and 2015

## ***R&D INSTITUTIONS AND NATIONAL INVESTMENT ON R&D ACTIVITIES (DSIR, 2007)***

<b>R&amp;D Institutes</b>	<b>Number of institutions</b>	<b>Percentage of national investment on R&amp;D (2003-04)</b>
Central government R&D institutions	707	62.6
Public sector institutions	115	4.5
State government institutions	834	8.5
Universities and institutions of National importance	284	4.1
Private sector institutions	2020	20.3
Total	3960	100

## **GLOBAL RANKINGS : INDIA**

- Global Innovation Index (INSEAD), 2015 : 81
- Global Competitiveness Index, 2016 : 50/142 ( USA 2, UK 10 , China 49)
- Global Intellectual Property Index (University of Maastricht, NL): 7.05, 37/38
- Bloomberg Innovation Index, 2016 : 45/50 ( S. Korea 1, Sweden 3, Singapore 6 and USA 8)

*India has to transition from a “Factor” driven to “Efficiency” driven and ultimately “Innovation” driven economy*



## **INDIA'S PUBLIC FUNDED S&T FOCUS SHIFTING TO TRANSLATIONAL RESEARCH**

- DBT : Commercialize public funded R&D; create TTO's : 150; Technology and Business Incubators : 40
- DST : Promote start ups and high risk as well as industry relevant research
- CSIR : Align R&D with national missions, sanitation, cleaning of rivers, smart cities etc; 50 % of expenditure earn through external grants, licensing incomes and industry collaborations

*Increasing pressures on publicly funded science to deliver solutions that benefit society*

## **INDIA'S S&T IN THE NEXT DECADE**

- S&T operates within the framework of politics, economics and social fabric of a nation; India is changing rapidly in all these spheres
- Resources will always be lesser than the demands of a growing economy.
- Private sector will become increasingly more important; Government function will be limited to acting as regulators and facilitators, not gatekeepers
- Government focus will remain limited to public health, water, sanitation, education, infrastructure, energy and national security.
- In the economic sphere emphasis will be on manufacturing industries leading to creation of employment; However, much of “come, make in India - sell anywhere” policy will be initially based on capital and technologies sourced from outside India
- Funding for scientific research in public institutions will become more directed and even scarcer in the next few years. The dream run in increase in funding for S&T between 2000 and 2010 is unlikely to be repeated
- Greater pressure to focus more on science that contributes to “nation building” and improve the “quality of life” of its citizens.

*More questions are likely to be asked on how and where S&T is making an impact; merely stating that we are doing cutting edge, globally competitive science will not do !*

# ***Science in the 21<sup>st</sup> Century***

## ***SCIENCE IN THE 21<sup>st</sup> CENTURY***

- Scientific, technological and social trends are rapidly transforming the way we live and work
- Technology is ubiquitous in the world we inhabit today; yet an average citizen has far little understanding of science and technology today than in the past
- Public policy discourse has also tended to become biased, opinionated with selective dissemination of information
- We all realize that science and technology have to provide answers to many critical problems that we face today; yet we do not have a coherent and shared vision of how we will accomplish this goal
- A scientific order, philosophy and public policy that served us for over fifty years is now broken; there is a need to construct a new public policy framework that will defend future science

# ***THE RISE AND FALL OF CORPORATE R&D***

- Corporate R&D flourished for over two centuries, ushering in the explosive growth of industries in Europe, Japan and America
- DuPont, GE, GM, IBM, Exxon, Bell Labs, Kodak, Shell, BASF, ICI, Dow , Monsanto, Hoechst, Ciba, Bayer etc became great hub for science and technology.
- Corporate R&D were large and diverse with a balance of curiosity and market driven programs . Industry had great execution and process skills .It attracted the best of talent ; Flory, Rochow, Knowles, Pederson, Davisson, Bardeen, Shockley, Penzias, Carothers, Langmuir, Hay , some of whom went on to win Nobel Prize.
- Post nineties R&D restructured as part of SBU and funded by business; leadership transitioned from professional R&D managers who had cut their teeth in S&T to professional business managers
- Corporate leadership came under increasing pressure to perform; time needed to recover investments in R&D became short.
- Increasing input cost, globalization, faster technology diffusion, product commodatization, product liability, environment , health, safety and sustainability issues made investment in R&D more risky.

# ***WE ARE STILL GRAPPLING WITH SEMANTICS !***

- Basic research
- Fundamental research
- Curiosity driven research
- Directed basic research
- Use inspired basic research
- Translational research
- Socially relevant research
- Applied research

*The lack of precision in the language of the scientists  
is symptomatic of the lack of clarity on the nature of scientific enterprise*

# ***TRANSLATIONAL SCIENCE***

- Translational research is a way of thought about conducting scientific research to make the results of research applicable to population under study and is practiced in the natural, biological and social sciences ([en.wikipedia.org/wiki/translational-research](http://en.wikipedia.org/wiki/translational-research))
- A term increasingly used in biology and medical science
- Develop, design, engineer and produce/ commercialize: from bench to bedside
- Translation of discoveries to applications was once the exclusive domain of industry
- With industry stepping back, Government through public funding is increasingly stepping in to fill the vacuum, especially in high risk R&D
- Success of translational efforts using public funds still not proven

*The belief that public funds invested on needs identified by Government and focused on direct applications is the panacea for our ills goes against the lessons of history; Government picking technology winners is beset with great dangers and risks*

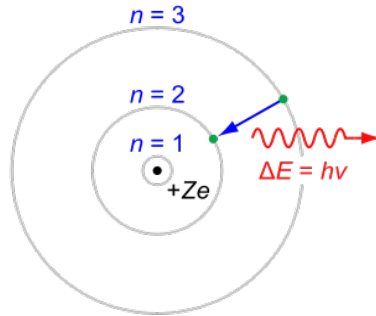
# Pasteur's Quadrant



Fundamental Research



Bohr



Pasteur



Edison

Use Inspired Research



1997



# ***BASIC AND APPLIED SCIENCE : ARE THEY DIFFERENT ?***

Metaphor: Buckets of paint vs painting



***There is science and the applications  
of science : Louis Pasteur***

*The emergence of concept of use inspired science  
It means using basic science for a purpose and practical problems as  
stimulus to curiosity driven research ( G.W.Whitesides and J, Deutch,  
Nature 460, 21 (2011)*

# ***SCIENCE IN THE 21<sup>st</sup> CENTURY***

- Blue skies vs Directed Science
- Small vs Big Science
- Individual vs Team Science
- Curiosity driven vs Grand Challenges or Utilitarian Science
- Open access vs Intellectual Property

# ***THE FUTURE OF SCIENCE***

- Science increasingly is interdisciplinary and cross functional
- New paradigms in research funding; public funding increasingly tied to demonstrating measurable benefits to society
- Turbulence on global economy and politics beset with income inequality, low growth, anti-intellectualism and oscillations between globalization and isolationism
- An impatient citizenry, looking for quick solutions and increasingly aspiring for an “ideal” world, which may be beyond our reach

Science, technology and public policy is yet to come to terms with this new reality; we seem to be seeking solutions to future problems using old processes and methods

# ***WHY SHOULD GOVERNMENT FUND SCIENCE ?***

- Economic growth and prosperity of a nation depends on investments in science ( Vannevar Bush's hypothesis)
- Science is too delicate or precious to leave it to non governmental sectors
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- Our country needs to produce more Noble Prize winners

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# SCIENCE IN UNDER-100 COUNTRIES IN TIMES

## NEWS AND ANALYSIS

## Portuguese chemistry faces disaster

### FUNDING

A third of academic chemistry labs could close

Scientific research centres across Portugal are facing drastic funding cuts following a large-scale review carried out by the country's Foundation for Science and Technology (FCT). The chemical sciences have fared particularly badly, with more than a third of chemistry departments evaluated set to receive no or minimal funding over the next five years, putting them at significant risk of closure.

The decision is part of the 2013 evaluation of R&D units carried out by the FCT, the main government organisation responsible for funding research in Portugal. During the first stage of the evaluation, research centres are reviewed and graded by panels of experts appointed by the European Science

Foundation, based on several criteria including scientific merit, productivity and strategic plans.

Only those deemed 'very good', 'excellent' or 'exceptional' will move on to the next stage of the review, while the FCT is the principal source of funding for chemical research, including PhD and postdoc scholarships. There is virtually no industrial funding. The Portuguese Chemical Society (SPQ) said it is 'deeply concerned' by the review's outcome, and urged the FCT to look again at its evaluation processes.

'Several chemistry research centres have not passed the second stage of the evaluation process, which essentially condemns them to extinction', they said in a statement. 'Some of these research centres have significant indicators of scientific productivity, based on the fact that they regularly received "excellent" or "very

good" ratings in previous reviews. SPQ secretary general Sérgio Seixas de Melo told *Chemistry World* that the society carried out its own bibliographic study based on data provided by Elsevier. 'We found that in many research fields across the most productive [centres] were excluded from the second stage', he says. 'Something definitely went wrong in this evaluation procedure.'

But the FCT strongly denied that its assessment methods were in any way flawed. It issued a statement saying it had 'full confidence in the robustness of the ongoing review' and that it was being carried out with 'total transparency, rigour, independence and in line with the highest international standards'.

Research centres can appeal the FCT's decision, and some have already begun the process, Emma Doyle

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## NEWS AND ANALYSIS

## Australian science base eroded by cuts

FUNDING  
Scientists fret decisions as 'politicised'

Australian research rearmament is coming from what has been described as short-sighted and politically motivated cuts, outlined in the new conservative government's first budget.

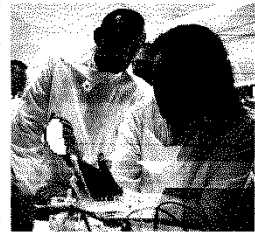
Only medical research emerges as a real victor, with the creation of a \$200 million (£1 billion) fund by 2017, but overall there will be less money for basic research in Australia in the years ahead, according to Ian Field, science policy secretary at the Australian Academy of Science. Field says the government 'failed to realise that medical research needs underlying physical sciences, and that support is being eroded'.

'To us, as a headline grabber, says Michael Rogers, secretary of the Commonwealth Scientific and Industrial Research Organisation (CSIRO), which is taking on the medical fund, but the science 'in policies' research as it will be built up through a new AI consultation for its funding review. The money will be ploughed into medical research on the hand rather than the brain, and that is not good for the country's long-term health.

'There is no thought as to how to use the money they don't have any understanding of the life of a government', says Rogers. CSIRO's long-term research organisation - faces cuts of \$251.4 million, it will lose 430 staff in the next year. Cuts in CSIRO's 200 previously announced research centres, this means the organisation will shrink by around 20% in just two years. There was further bad news for CSIRO's reports that eight research facilities will also be closed.

Light of hand

Field and Rogers welcome an additional \$1.5 billion for big Australian projects, such as the Australian Synchrotron



Timothy Abbott's government is heading a new \$500 million medical fund

and the Square Kilometre Array, the consequence of the government's decision to cut CSIRO's budget. The cuts are being made from the carbon capture and storage fund, and a commitment to a million under the infrastructure, there will be less money for its scientific work. Field believes the short-term approach the government is taking. 'One has to think what the government is doing to support it - and that is not the life of a government', says Rogers. CSIRO's long-term research organisation - faces cuts of \$251.4 million, it will lose 430 staff in the next year. Cuts in CSIRO's 200 previously announced research centres, this means the organisation will shrink by around 20% in just two years. There was further bad news for CSIRO's reports that eight research facilities will also be closed.

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# SCIENCE IN UNCERTAIN TIMES

NEWS

ANALYSIS

## Funding impasse hits Illinois chemists

Political divisions create huge budget shortfalls

Chemistry departments in Illinois, US, are entering perhaps their toughest semester ever, facing budget shortfalls arising from a second year of stopgap state-level educational funding. Universities are among those caught in the crossfire, with politicians' inability to agree on expenditure hitting those with few other funding avenues hardest.

Chicago State University (CSU) has seen 'massive layoffs of administration, support personnel and faculty', says Edmundo Garcia, chair of CSU's department of chemistry, physics and engineering. CSU sees around 40% of its budget

from the state, while income from tuition fees is also falling. This is partly because state subsidies for those in financial need went unfunded for several months, but also because students are worried and looking elsewhere. Undergraduate enrolment at CSU for 2016–2017 is currently down 50% compared with 2015–2016.

'We lived from 1 July 2015 until April 2016 without 40% of the money we need to run the school,' Garcia says. 'We let go almost all of our part-time faculty and full-time lecturers. We're in survival mode until this is resolved.'

The crisis began in June 2015 when Republican governor Bruce Rauner vetoed a state budget devised

by the Democrat-controlled Illinois government. Rauner said the budget would add \$4 billion (£3 billion) to Illinois' existing debt, estimated to be around \$100–\$300 billion. In April 2016 the opposing sides agreed a \$600 million stopgap package for higher education, whereas the Democrat budget originally earmarked \$1.7 billion. In June, the opposing sides agreed another \$1 billion for higher education through to June 2017.

Eastern Illinois University (EIU) in Charleston, is fractionally better off than CSU, relying on state funding for a third of its budget. It has laid off many support staff, and 25 EIU faculty on previously recurring annual contracts have been lost in the past two years. Meanwhile, the chemistry department is questioning the affordability of using silver nitrate in gravimetric analysis teaching experiments, says Jonathan Blitz, an analytical chemist and president of

the faculty union at EIU.

'The University of Illinois has suffered less thanks to a greater diversity of funding sources. Girolami, head of the Urbana-Champaign campus's chemistry department, says that research and teaching has been unaffected although faculty and non-union staff have had no salary increases over the last two years.

Hopes that the situation will be resolved in the November U elections are tenuous. Rauner is up for re-election, but the entire Illinois House of Representatives and most of the State Senate is. Together, the House and Senate can override Rauner's veto. 'The House is a couple of votes short,' Blitz highlights, and if Democrats gain seats, they could force their budgets through. Ill income taxes may be raised after the election, says Girolami, while 'we'd certainly help' Andy Exantze

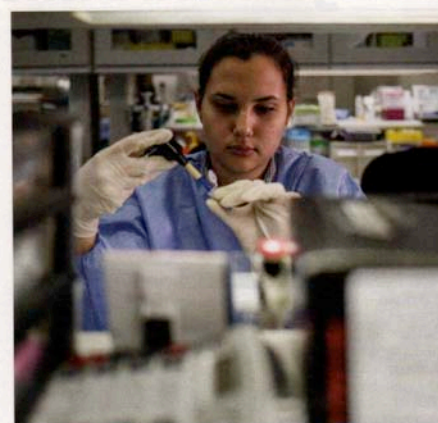
## Economic woes squeeze Brazil science

Money earmarked for research held up by cuts

As economic woes grip Brazil, the country's scientific enterprise has been hit hard. The Brazilian economy is expected to contract 3.5% this year following a 3.8% contraction in 2015, marking its worst economic downturn in a quarter of a century. Science funding has taken a knock, despite arguments that such investment is exactly what's needed to pull Brazil out of its slump.

The budget for Brazil's Ministry of Science, Technology and Innovation (MCTI) has been slashed by almost 20% and sits now at about BRL4.3 billion (£875 million). The ministry also faced a significant reduction in 2015, and overall about one-third of its budget was lost from 2014 to 2016.

'There is a huge crisis in Brazilian science,' warns Helena Nader, president of the Brazilian



Funding for Brazil's popular international exchange scheme has been slashed

and entrepreneurship. There was a call to create

them is available for release later this year. The rest of the

Without Borders, which was created by Brazilian President Dilma Rousseff, who is currently fighting impeachment, in 2011 to improve the nation's competitiveness in science and technology. The initiative is supported both by the Ministry and Education and the MCTI, through the respective funding agencies Coordinating Office for the Advancement of Higher Education (CAPES) and the National Council of Scientific and Technological Development (CNPq).

In its first four years of operation, Science Without Borders funded roughly 101,000 scholarships to enable the international exchange of Brazilian researchers, undergraduates and postgraduates. In 2015, about BRL3.7 billion was provided to the programme by CAPES and BRL1.1 billion by CNPq. This year, those amounts were slashed to BRL1.46 billion and BRL500 million, respectively. In Brazil, as in other countries,

## Brexit storm shakes European Research Council

Europe's premier science council's mission at risk

(£43 million) to €1.8 billion in 2017, its first increase. Switzerland has proposed

Pierre Bourguignon, president of the ERC.

But June's referendum result casts doubt on the UK's future eligibility. The loss of the UK and Switzerland would 'be a big blow to European science', warns Athene Donald,

the ERC itself of the ERC, it was following US model, for and imaginati general academe McConnell si

## Science chief sounds alarm on funding

Calls for US research spending to exceed 3% of GDP

White House science adviser John Holdren and the leaders of three key US science agencies have warned that the nation must up its commitment to science and innovation to ensure it isn't outstripped by its competitors. Holdren expressed disappointment that the Obama administration has fallen short of the president's goal to increase spending on R&D to more than 3% of GDP.

'We haven't quite got there, we are still just under 3%', Holdren

significant concern that the US's R&D intensity is decreasing relative to other nations.

It has always been a challenge to answer how much R&D investment is sufficient, but empirical evidence shows that the US is making an inadequate investment in science, technology and innovation, he said. The National Institutes of Health (NIH) is only able to fund about 16 or 17% of the grant proposals it receives, he added, when it is estimated that about 50% of the applications submitted have merit.

As another example, Franklin



White House science adviser John Holdren calls for the US to increase

## Worst may still be to come for Spanish science

Effects of budget cuts from the financial crisis are still in

Nazario Martin, president of the Confederation of Spanish Scientific

the financial he blame for countries, such as Italy and the UK, adding on R&D n. 'The problem ticians consider instead of an 1 says. countries invest

model based on knowledge, and unfortunately the economic recovery hasn't reached our R&D system,' says Jorge Barrero, chief executive of COTEC. The shortfall in public R&D investment in Spain hasn't been made up for by the private sector either. According to COTEC, 47% of R&D was privately funded in Spain, while the private sector in other countries such as Germany, France and the UK covers around

dominated by SMEs, which constitute over 99% of companies and contribute over 65% of GDP – behind only Greece and the Baltic countries. 'These [small] companies already have trouble surviving, and they don't usually conceive research as something useful,' Martin says.

The funding shortfall and other problems, such as a brain drain, haven't affected productivity yet, however. According to CRUE's yearly report, scientific output has remained static. However, Gómez said that the worst is still to come. 'I think we have a good system, which is weathering the crisis quite well, but we must not relax. We are going to see the real effects in a few years.'

## ***WHAT THE FUTURE HOLDS ?***

- New ways of practicing science; where science is done, how knowledge is shared and how credit is assigned
- Increased connectivity in the world of science driven by openness and real time collaboration
- Changes in global demography and its impact on mobility and talent; how will nation compete to attract talent?

*It is impossible to predict the future; we can either create it  
or prepare ourselves to face it*

## ***THE FUTURE OF SCIENCE FUNDING***

- Competing demands for public funding to meet the needs of a growing population and meet social objectives will limit spending on science
- Public funding will be heavily focused on outcomes that tackle the immediate problems of society
- Private funding of research will grow, not from industries, but from individuals, foundations, philanthropy, prizes and crowd sourcing; private institutes will be created for pursuing basic research
- Consumers of research will become its funders

*Will the original meaning of a research university supported by public funds become redundant? Will public funding be limited to only teaching and imparting skills?*



## **IS PHILANTHROPY AN ALTERNATIVE TO GOVERNMENT FUNDED SCIENCE ?**

- Science philanthropy is emerging as the biggest patron of big science, a third pillar along with the Government and the private sector
- The donors are attempting to do what public funding of science has been less efficient at accomplishing; massive and guaranteed funding, greater freedom to the investigators to pursue risky ideas and fabulous research infrastructure
- Pursuit of big science; high risk explorations with a long term payoff; escape from the vagaries of Government funding which is subject to political uncertainties and bureaucratic controls
- There is both criticism and support for philanthropic funding of basic science
- Will such funding skew research priorities, enrich elite universities, undermine political support for Government funded research ?
- As a third pillar of funding of research, philanthropic funding is yet to be objectively assessed.
- Entrepreneurship, new technologies and markets are throwing up increasing number of high net worth individuals, much quicker than ever before in the history of the world. Many of these individuals are driven by their desire for a lasting place in history.

*“For better or worse the practice of science in the 21st century is becoming shaped less by national priorities or by peer-review groups and more by the particular preferences of individuals with huge amounts of money.”*

*Steven A. Edwards, American Association for the Advancement of Science*

# ***IS PHILANTHROPY AN ALTERNATIVE TO GOVERNMENT FUNDED SCIENCE ?***

Emergence of philanthropic funding of science

## ***New Institutions***

- Janelia Farm
- Allen Institute of Brain Sciences
- Broad Institute
- Wellcome Trust
- Schmidt Ocean Institute
- Ellison Medical Foundation
- Bill and Melinda Gates Foundation
- Perimeter Institute of Theoretical Physics, Waterloo, etc

## ***High net worth individuals/ not for profit entities***

- Craig Venter( Celera)
- Elon Musk (Tesla)
- Gordon Moore
- Fred Kavli
- David Koch
- Kris Gopalakrishnan ( Brain Research Institute)
- Tata Trust ( IIT Mumbai), etc

*William J. Broad,  
[http://www.nytimes.com/2014/03/16/science/billionaires-with-big-ideas-are-privatizing-american-science.html?\\_r=0](http://www.nytimes.com/2014/03/16/science/billionaires-with-big-ideas-are-privatizing-american-science.html?_r=0)*

## ***DOES PUBLICLY FUNDED SCIENCE DRIVE INNOVATION ?***

- The linear model of pure science leading to applied science which in turn becomes useful technology is considered a myth by some
- Are scientific breakthroughs cause or effect of technological change ?
- Is there a relationship between public funding of science and economic development ?
- Does public funding crowd out private funding?
- Should the Government subsidize research for industry?
- Is innovation an autonomous, self perpetuating process? Does technology find inventors or vice versa?
- Is tinkering with existing technologies sufficient to produce “new” technologies?

*Matt Ridley, Wall Street Journal, October 23, 2015*

# ***DOES PUBLIC INVESTMENT IN SCIENCE DRIVE ECONOMIC GROWTH?***

- US became a rich nation around 1900 when there was no state funding of science; the industrial revolution occurred without state funding
- Much of twentieth century's economic growth was the consequence of two World Wars
- Economic activity is stimulated by privately funded research; Publicly funded research has no effect on economic growth (*The Source of Economic Growth, OECD Report, 2013*)
- Returns on publicly funded research is near zero
- Between 1998 and 2003, the budget of US NIH doubled. What were the economic or health outcomes of this increased investment ?
- GDP growth of a country has no correlation to its investment in S&T
- Investment in science and engineering research boosts economic growth (*CaSE, UK Report, Chemistry World, June 2014, p.9*)

*The integration of Vannevar Bush's tenet with the economic theories of Joseph Schumpeter and Robert Solow in the early fifties led to the creation of the thought (or myth) that Government investment in R&D is critical to a nation's growth*

## **INDIA'S S&T IN THE NEXT DECADE**

- S&T operates within the framework of politics, economics and social fabric of a nation; India is changing rapidly in all these spheres
- Resources will always be lesser than the demands of a growing economy.
- Private sector will become increasingly more important; Government function will be limited to acting as regulators and facilitators, not gatekeepers
- Government focus will remain limited to public health, water, sanitation, education, infrastructure, energy and national security.
- In the economic sphere emphasis will be on manufacturing industries leading to creation of employment; However, much of “come, make in India - sell anywhere” policy will be initially based on capital and technologies sourced from outside India
- Funding for scientific research in public institutions will become more directed and even scarcer in the next few years. The dream run in increase in funding for S&T between 2000 and 2010 is unlikely to be repeated
- Greater pressure to focus more on science that contributes to “nation building” and improve the “quality of life” of its citizens.

*More questions are likely to be asked on how and where S&T is making an impact; merely stating that we are doing cutting edge, globally competitive science will not do !*

## ***IN CONCLUSION.....***

- The human race in the early part of 21<sup>st</sup> century is living in an unprecedented period of peace and prosperity. More people in the world have been lifted out of penury in the last quarter century, people are healthier, living better and longer. Many basic human needs have been fulfilled; So it is no wonder an average citizen's interest in science and technology has also waned. He is no longer looking for “miracles of science”
- This does not mean the world has no problems; environment, energy, global warming, climate change are issues that are threatening the long term survival of this planet. However, an average human mind cannot grasp issues that do not impact him in his own life time. To make a case for science for solutions that are needed in a distant future is no easy task !

# Beyond the science bubble

Research leaders in the United States and elsewhere should address the needs and employment prospects of taxpayers who have seen little benefit from scientific advances.

One question dominated discussions at the annual meeting of the American Association for the Advancement of Science (AAAS) at the weekend. Researchers, journalists and science lobbyists squeezed into conference rooms, perched on recycling bins and sat on the floor between rows of filled chairs as they strained to listen to those who tried to offer a response. The question was phrased in various ways but the variations all boiled down to: how should science and scientists respond to the administration of President Donald Trump?

The answers were numerous too—from political activists to better communication—and were met with cheers, applause and the odd standing ovation. Many scientists will have left the Boston conference with renewed hope, or at least a sense of combined purpose. They had an answer of sorts to their question.

But it's the wrong question. It is not Trump that scientists must respond to. The real question is what science can do for the people who voted for him. Exactly who did support him, and why, is still being debated by political scientists but it's clear that many of those who voted Trump are those he canvassed in his campaign and credited in his inauguration speech. It is people who feel left behind by supposed progress and who have suffered a real or perceived collapse in their quality of life.

## PERSUADING THE UNCOMMITTED

One speaker at the AAAS meeting appropriately sharpened the challenge. There are two types of taxpayer: those who pay up voluntarily because they believe in the public good that the money generates, and those who pay only because they will be put in jail if they don't. How many scientists he suggested, could confidently say their project was so important to people that those people should be thrown into prison for not supporting it?

Just telling these sad stories won't cut it. The most seductive of these stories—and certainly the one that scientists like to tell themselves and each other—is the simple narrative that investment in research feeds innovation and promotes economic growth. 'If it's the economy, stupid,' so the saying goes, and as nations become a little less stupid by pushing against the frontiers of knowledge, so the benefits of all this new insight spread from the laboratory to the wider population, as improvements in the standard of living and quality of life.

This comfortable story has all the hallmarks of a bubble waiting to pop. For a start, it always has a happy ending. The hero of various quests, science as the dragon of childhood disease and the elixir of life, if not of everlasting life, then at least of increased lifespan. And, like all good stories, this one comes with a pleasing twist: for when it sets off on its quest, science does not know exactly which good deeds it is planning to perform. Pure of heart and research, it is merely enough to send our science hero out into the world, with its consumables, overheads and apost graduates squiring paid for by donations from a grateful and trusting public.

This narrative is truthful enough to have sustained itself for many

decades. From the famous discovery of the apparently useless laser that launched uncountable applications to how Einstein's theories of relativity underpin the Global Positioning System—these stories indeed make a case to Trump and his supporters that continued investment in science will help to create companies and jobs.

But as this journal and others have pointed out, it is so clear that the needs of millions of people in the United States (and billions of people around the world) are not well enough served by the agendas and interests that drive much of modern science. There are plenty of reports that show, for example, how public investment in the Human Genome Project has paid off many times over and created firms and jobs but rather than trickling down through society, these

*"The needs of millions of people in the United States are not well enough served by the agendas and interests that drive much of modern science."*

benefits of discovery science are quickly deepened the pods of wealth and privilege already in place—creating expensive new drugs that most people cannot afford.

It is right that more scientists should tell stories of the good their research can do. But it is more important and urgent than ever that researchers should really end—a of the people they daire get to live happily ex should focus more effort on and scientific research can help them, to be displaced by the very inventions that science

As they ponder their next move in response to Trump, science organizations—universities, for the most part—should look harder at social problems and seek ways for science to help.

For example, some universities are in a rare climate change adaptation. There will be employment opportunities in creating companies that help cities and other regional communities to protect themselves from climate change (whatever the optics may be saying), stimulated by the readily applicable and intellectually stimulating insights and improved decision-making that research will deliver.

More universities, for example, could follow the example of Michigan State University in East Lansing, in building stronger links with their local communities, and seeking to work with them to tackle research problems that affect their quality of life. These include monitoring soil and water quality, for example, and addressing the challenges of regional demographics, such as the large number of elderly people who live alone in some regions and how to deliver health care to them.

There is also a need to tell these stories compellingly—stories that are harder to tell and of less global impact than the hunt for fundamental particles or new materials. And the most important audiences may not be inclined to listen. But those audiences matter.

Do the needs of the people served by the agenda and interests of modern science?

Stories of impact of science on society is becoming harder to tell; and the important audience are increasingly less inclined to listen

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***THANK YOU***  
*for your patient listening*