

变革中作为

蔡典维◎著

KNOWLEDGE ECONOMY

面向知识经济
的政府作用论

国家行政学院出版社

变革中作为

——面向知识经济的政府作用论

蔡典维 著

国家行政学院出版社

图书在版编目 (CIP) 数据

变革中作为——面向知识经济的政府作用论/蔡典维著.
—北京:国家行政学院出版社, 2004
ISBN 7-80140-331-2

I. 变… II. 蔡… III. 国家干预—知识经济—经济发展
—研究—中国 IV. F123.16

中国版本图书馆 CIP 数据核字 (2004) 第 023015 号

书 名 变革中作为——面向知识经济的政府作用论
作 者 蔡典维 著

责任编辑 王 兵 刘 水
技术编辑 韩 枏

出版发行 国家行政学院出版社
(北京海淀区长春桥路 6 号 100089)

经 销 新华书店
印 刷 北京地矿印刷厂
版 次 2004 年 6 月北京第 1 版
印 次 2004 年 6 月北京第 1 次印刷
开 本 880 毫米×1230 毫米 32 开
印 张 10.25
字 数 180 千字
书 号 ISBN 7-80140-331-2/F·30
定 价 38.00 元

自序

笔者有幸于 2001 年受团中央派遣，在美国就商务管理与公共行政管理进行为期半年的学习与考察，美国知识经济（亦即“新经济”）的发展状况给我留下了深刻的印象。的确，随着 20 世纪 80 年代高科技革命的蓬勃兴起，人类知识总量迅速增加，经济知识化的步伐空前加快，进入 90 年代后，以知识为基础，以高科技特别是信息技术为支柱的知识经济迅速崛起且来势强劲，尽管在其发展过程中有些跌宕乃至争议，但在一些发达国家如美国，它已逐渐部分地取代工业经济，却是不争的事实。时代在进步，形势在变革，我们不能不正视社会生产力新一轮高度发展的这一体现。

怎样抓住新的发展机遇？怎样应对这种全新的挑战？学术界多年前便开始了多方位的探索。围绕知识经济这一主题探讨政府作用的发挥，既是一个前沿的理论课题，又是现实实践的迫切要求。现实中，政府在现代经济增长中发挥着不可替代的作用，近 30 年来，政府作用总体上是在不断加强，世界经济论坛和瑞士国际管理学院在每年进行的国家竞争力评估中，都将政府作为决定一国经济竞争力的 8 个基本因素之一。紧密结合国内外形势的变化，紧密结合社会生产力的最新发展，紧密结合世

界经济发展深刻变革的实际，紧密结合中国的具体国情与历史使命，来展开这一论题的研究，无论在理论上还是在实践中，对我们都具有非常积极而现实的意义。

本文力图在理论性和实际操作性的结合上做好文章，积极吸纳已有研究成果，并力求有所创新。一是尝试对知识经济创造了“新的政治学”的具体体现进行总结与分析，并从这一理论视角出发，结合知识经济的内生规律来探讨政府新型作用问题，进而对新型政府作用模式做出理论界定；二是根据历史与现实状况，分析自身缺陷与不足，对新形势下我国政府更有效作用于知识经济发展的职能转变和改革原则做出思考，提出若干见解，并对我国政府应予确立的知识经济发展战略与策略提出建设性意见；三是选择政策这一政府发挥作用主渠道的角度，对我国政府促进知识经济发展的政策取向作出阐述；四是从“技术决定论”与“制度决定论”的争鸣中推导出制度创新的重要性，对我国政府在制度创新中的宏观主导作用做出理论阐释，并对知识经济发展所需之制度基础做出概括与分析，以达到借鉴经验、分析问题、明确方向、把握趋势、为我所用、促进发展之目的。

拙作源于本人的博士学位论文，在山东大学政治学与公共管理学院就知识经济与政府职能研究方向攻读博士学位期间，承蒙奚广庆教授、刘玉安教授等恩师悉心指教，在此谨表衷心的感谢！

摘 要

知识经济的迅速崛起，不仅在社会经济生活领域掀起了重重波澜，给人们的生活、工作和思维方式带来了深刻革命，而且在政治领域引发了诸多嬗变。本文主要研究知识经济时代政治发展的走向及其崛起对政府作用提出的新要求，积极借鉴发达国家知识经济发展的既有经验，结合我国的具体国情，论述我国政府在知识经济发展中发挥作用的努力方向和应予确定的战略策略。

本文主要运用比较分析方法、实证分析方法和规范分析方法对知识经济时代政治发展走向及政府新作用进行全方位分析，为在实践中制定符合知识经济发展要求与中国国情的知识经济发展战略提供理论依据，为我国政府在促进知识经济发展中如何转变作用模式和发挥职能作用作出理论探讨。

本文由导论、正文与结语组成，正文分四章。

导论：主要针对知识经济怀疑论，着重论述知识经

济是一种崭新的经济形态，分析它作为一个与农业经济、工业经济相对应的概念所独有的基本特征，以及它在制度、模式层面上所固有的新特点，分析美国经济近年的跌宕并没有逆转知识经济活力与前景的原由，进而提出知识经济发展同样是中国繁荣富强的历史机遇与神圣使命，这不仅是贯彻落实“三个代表”重要思想的必然要求，而且是全面建设小康社会的应有之义，不仅是过去丧失发展机遇这一沉痛教训的现实呼唤，而且是我国政府面临的迫切课题。

第一章：知识经济时代政治发展走向与政府作用新要求。根据经济基础与上层建筑相互关系的基本原理，分析知识经济“创造了新的政治学”的依据与体现，同时根据知识经济的内生规律，提出知识经济的发展离不开政府的新型作用，进而阐述知识经济发展呼唤新型政府作用模式，即职能配置合理化的新型责任政府；能与各种社会力量良性互动的新型效能政府；严格依法行政的新型法治政府；杜绝“权力市场化”的新型硬性政府。并在此基础上提出我国政府应对知识经济挑战的历史使命。

第二章：我国政府适应知识经济发展的改革与战略策略。根据历史与现实状况，正视自身缺陷与不足，明确改革与发挥作用的原则，确定符合国情的战略策略，并找准发挥作用的着力点，政府才能有效服务于知识经济的发展。本章首先分析了我国政府围绕有效作用于知

识经济发展这一主题而进行改革的基本原则，提出须坚持政府干预与市场机制的良性互补；坚持“有限政府”与“强势政府”的内在统一；坚持职能转变与体制改革的协调并进；坚持“渐进式完善”与“弹性动态发挥作用”的相兼相融。然后依据国情提出并论证“梯度发展”的战略思路和策略选择。进而根据改革原则与“梯度发展”战略的要求，阐明政府在促进知识经济发展基础性工作上的作用范围与着力点，即培育与维护作为知识经济关键要素的智力资源；担负知识经济发展所需之公共成本；以政府管理现代化实现服务现代化。

第三章：我国政府适应知识经济发展的政策取向。政策与政策性法规是新形势下政府发挥作用的主渠道，我国政府采取什么样的政策取向，是知识经济发展速度与发展质量的关键所在，也是政府能否在其中有效发挥作用的决定性因素和评判尺度。本章首先阐述了全球化与区域创新紧密糅合的政策新理念，提出须确立“互利”与“共赢”的新型政策观，摒弃狭隘民族主义与社会制度之争的政策观以及地方保护主义与行业保护主义政策观，在全球化背景下创建区域创新政策支持系统。其次分析了吻合 WTO 基本原则的政策新思维，提出我国政府政策应加强宏观调控与维护国家经济安全；增强透明度并提高稳定性；加强国际趋同和多边协调；有助于经济结构性调整和制度化创新；坚持非歧视原则与促进公平竞争。其三分析了切实服务于知识创新与知识管理

的政策新范式，一国知识经济的生成与发展，决不是简单的知识积累即可告成功，应通过政府政策在激励与调剂间平衡，有利于知识应用，有助于科研政策与产业政策的协调并进，才能促成知识与经济的结合，加速知识向现实生产力的转换。其四是分析促成市场经济效能最大化的政策新趋势，借鉴主要发达国家的实践经验，就如何采取相应财经政策、开放政策和就业政策来推动知识经济繁荣作出论述。

第四章：我国政府适应知识经济发展的制度创新。知识经济既引发了全球生产力的质的飞跃，也成了一切教育的、科技的、经济的、社会的和政治体制变革的强大推动力，同时，知识经济的发展，也必须以改革旧体制、旧制度为前提，建立起符合其发展要求的新体制和新制度，我国政府要恒长有效地作用于知识经济发展，就不能依赖于一时一事式的低层次作用方式，而应以制度创新为己任，从制度构建中去寻求恒长久远的力量。本章从制度决定论与技术决定论之争中入手，根据马克思主义科学技术观，推导出一定条件下制度因素重于技术因素的结论，并阐明我国政府致力于制度创新的特殊意义。进而提出应予建立和完善的知识经济发展所需之制度基础，包括健全的产权制度与利益分配制度、严谨的知识产权制度、多元化的筹融资制度、适宜知识生产的经营活动制度，周密的信息安全制度、以创新为核心的教育制度以及高效促成进步与创新的科技制度等。在

此基础上阐述这一变迁中，政府不仅在宏观层面上居于重要地位，是第一推动力，而且亦是其最重要的职责之一，既是其自身改革的基本要求，也是尽快实现制度创新的重要途径，以政府管理和政府职能的制度化，实现制度变迁与经济良性发展的良性循环；以政府职能的社会化，引导中介组织的繁荣，拓展政府发挥作用的新形式；以构建社会信用体系为己任，达成制度变迁与经济发展互动中的高品位运作；以做强科技园区和发展科技型中小企业为实践方向，引领制度变迁与知识经济发展之先行。

结语：概述了新世纪新阶段的机遇与挑战以及政治体制改革的重要性、紧迫性和艰巨性，围绕政府作用于知识经济发展这一主题提出新时代的新使命，以“小政府，大社会，强职能，优服务”的组织与职能框架促进知识经济在中国的大发展。

ABSTRACT

The rapid development of knowledge economy has brought great changes not only in the field of social economy, the ways of people's living, working and thinking, but also in the field of politics. Combining the relative experience of some developed countries with our specific national conditions, this essay mainly makes a study of the tendency of Politics and the new requirements stimulated by the development of knowledge economy on the Chinese government, and its roles, its strategy and tactics in the development of knowledge economy.

This essay analyzes the tendency of Politics and the new roles of government in an all-round way in the development of knowledge economy by applying analytic methods of contrasting, demonstration and criterion. It also provides theoretical base for our making developing strategy which is

fit for Chinese characteristics and accords with the demands of development of knowledge economy. And it tries to theoretically discuss how the Chinese government changes its playing role model and then takes more effective effects in the development of knowledge economy in China.

This essay is composed of an introduction, a main body and a conclusion. The main body has four chapters. The main contents are as follows:

Introduction: It is mainly directed against the skepticism about knowledge economy, and expounds that knowledge economy has its own unique basic features as a new economic form in contrast with agriculture economy and industry economy, and it also has some certain new characteristics in the administration system and model. It analyzes the reasons that American economy fluctuation in recent years has not deteriorated the prospect and vigor of knowledge economy, and points out that the development of knowledge economy is a historic opportunity and mission to make China rich, strong and prosperous. It is also the necessary request to implement the Important Thought of Three Represents and build a well - off society in an all - round way, meanwhile it is the urgent problem which the Chinese government is facing.

The first chapter: Tendency of Politics and New

Requirements of Government Roles in the Era of Knowledge Economy.

According to the basic principle of the mutual relations between superstructure and economic base, it analyzes why "knowledge economy has created new Politics" and why it can't develop without the active roles of government, then expounds that the development of knowledge economy calls for a new playing role model of government, i. e. a new responsible government in which its components can work co-operatively, a new efficient government which positively cooperates with various social organizations, a new style of government ruled by law and a new style of clean and honest government. And then puts forwards the historic mission of the Chinese government for the new challenge of knowledge economy.

The second chapter: Reform Principles, Strategy and Tactics of the Chinese Government for Meeting the Development of Knowledge Economy.

According to the historic and present situation, the Chinese government must face its own weakness, be clear about the reform principles, define the strategy and tactics applied to China and confirm the essential factors which play important roles in concerned aspects before it can efficiently serve the development of knowledge economy. This chapter

firstly analyzes the basic reform principles of the Chinese government, including the mutual supplement between intervention of government and mechanism of market, the internal union of "Limited Government" and "Powerful Government", making progress both in function changes and system reforms, the corresponding process of gradual improvement and taking effects flexibly. And then it expounds the "Grads-developing" strategy and tactics which conform to Chinese characteristics. It further expounds some basic works of the Chinese government and makes certain its own range and roles in the development of knowledge economy, i. e. to cultivate and protect intelligence resources which act as the most essential capital in economic development, to bear the public cost of development, to accomplish government service modernization through government administration modernization.

The third chapter: Policy Orientation of the Chinese Government to Meet the Development of Knowledge Economy.

Policy and regulations are the main channels through which government takes effects in the new situation. What kind of policy orientation our government will adapt is the key to the speed and quality of economic development, and it's also the vital factor and criterion while judging whether

the government can play its role effectively. Firstly this chapter discusses the new policy notion in which Globalization and regional innovation are closely associated, we should establish the new notion based on "mutual benefit" and "common-win", and get rid of the old idea of narrow-nationalism, social system-disputes, region-protectionism and trade-protectionism, then build our policy-supporting system for regional innovation in the background of Globalization. Secondly it analyzes the new perspective according with the basic principles of WTO, and points out that the policies of our government must be open and stable, should place emphasis on the macro-control of economy and the safety of national economy, on the multilateral coordination and international cooperation, on the adjustment of the economic structure and system creation, and on the fair competition and non-discrimination principles. Thirdly, it analyzes the new policy model which services for knowledge innovation and knowledge management, it holds that the generation and development of knowledge economy do not base on the simple accumulation of knowledge, but on the stimulation and adjustment of policy, on the application of knowledge, and on the improvement both in the scientific research and industry policy which can help the combination between

knowledge and economy and speed up the transferring from knowledge to the practical productive forces. At last, it analyzes the new policy tendency which can maximize the efficiency of market economy. With the help of some practical experiences of developed countries, it demonstrates how to adapt the relative policies on finance, foreign trade and employment so as to promote the booming of knowledge economy.

The fourth chapter: System Innovation of the Chinese Government to Meet the Development of Knowledge Economy.

Knowledge economy is not only a leap in quality of global productive forces, but also a strong motive force of system innovation in education, technology, economy, society and politics. Former system is not suitable to the new economic activities, new system should be set up to meet the new demands. For achieving new development, the Chinese government shouldn't depend on those former systems, and should seek long-term efficacy from system innovation. According to the science and technology theory of Marxism, this chapter draws a conclusion that system factor is more important than technology under certain qualifications, and expounds the special significance of system innovation in China. System foundation in the development of knowledge

economy should be set up and be improved day by day, such as property distribution system, intellectual property system, financial system, information safety system, education system, technology system and so on. AT the meantime, the Chinese government should play leading roles in macro – fields, it is not only one of the most important functions of the government, but also the basic requirement of its own innovation. By the systemization of government functions, it will realize system reforms and economic development in well circle. By the socialization of government functions, it will develop intermediate organizations. By building up social credit system, it will realize honest credit in economy development. By developing Hi-tech industry development zones and middle-small technology enterprises, it will lead the direction of the knowledge economy development.

Conclusion: It summarizes the opportunities and challenges in new century, the importance, urgency and difficulties of political system reforms at present time. Around the topic of government roles and knowledge economy development, it raises the new mission in new period, i. e. “Small government, Large society, Powerful roles, High-quality service” will be the rational select to promote great developing of knowledge economy in China.