

马克思宏观 经济思想及其 当代价值研究



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本书为山东省“十二五”高校人文社会科学强化建设研究基地“马克思主义理论研究中心”资助项目，山东省“十二五”特色重点学科“马克思主义中国化研究”资助项目，山东师范大学博士后科研基金资助项目。

前 言

马克思宏观经济思想的产生、发展和成熟，深深根植于经济社会发展变化变化的沃土。18 世纪 60 年代英国首先爆发了产业革命，到 19 世纪 30—40 年代，西方各主要资本主义国家的产业革命基本完成。产业革命使机器化大生产代替了工场手工劳动，引起了社会生产方式和生产关系的深刻变革。生产的社会化和生产资料的资本主义私人占有制之间的矛盾逐渐成为社会的基本矛盾，并且这一矛盾随着生产力的发展日益尖锐起来。在生产关系特别是阶级关系领域，无产阶级已经作为一支独立的政治力量登上历史舞台，资产阶级和无产阶级的矛盾不可避免地上升为社会的主要矛盾。时代背景的急剧变化成为马克思创立科学世界观和全新政治经济学理论的经济社会根源。马克思的经济学说不是对资本主义某一个发展阶段和某一方面问题的解说，而是对整个资本主义历史时代发展的一般规律的揭示，是对资本主义这种经济制度的全面剖析，这必然使马克思的经济学说具有宏观经济学的特质。

马克思宏观经济思想不是远离人类文明发展大道的无源之水、无本之木，它是在继承了人类历史上一切优秀文明成果尤其是在批判继承了英国古典经济学的基础之上发展起来的。马克思在批判继承近代古典经济学的劳动价值论的基础上，创立了劳动二重性学说，建立了科学的劳动价值论。在此基础上，马克思透过掩盖着资本主义剥削的种种假象，揭示了整个资本主义经济制度赖以存在的经济根源和秘密，分析了剩余价值的起源和本质，阐明了剩余价值和其各具体转化形式的内在联系，确认了资本主义社会各剥削集团剥削收入的总源泉，创立了剩余价值学说，奠定了马克思宏观经济思想的基石。除古典经济学的价值理论外，法国重农学派和英国古典经济学家斯密、李嘉图等人对资本主义社会资

本再生产和流通过程的分析,也成为马克思建立社会资本再生产理论的重要理论来源。马克思的社会再生产理论成为马克思宏观经济思想中其他理论组成部分赖以展开的内在根据和对资本主义现代化生产方式进行分析和批判的有力工具。马克思还批判了资产阶级古典经济学家普遍否认资本主义经济危机的思想,从资本主义的基本矛盾出发,分析了资本主义经济危机产生的可能性和必然性,科学揭示了资本主义经济危机的根源、特征和实质,创立了在整个马克思宏观经济思想中占据核心地位的经济危机和经济发展周期理论,为分析资本主义制度的不合理性和非永恒性奠定了坚实的理论基础。

马克思宏观经济思想的发展先后经历了萌芽孕育、前期积累、初步形成和成熟完善四个阶段。19世纪40年代初期,马克思在研究和探讨社会现实问题时意识到,要想对社会人与人之间的利益关系给予深刻的剖析,仅仅从法和哲学的角度加以抨击还远远不够,必须深入到社会的物质和经济领域去寻找答案。现实和理论上的需要使马克思开始把研究的重点转到政治经济学领域。自1843年起,马克思开始了对经济学问题的研究,从这时起到1848年《共产党宣言》的发表,可以看作是马克思宏观经济思想的萌芽阶段,在这一时期,马克思还没有专门的经济著作,他的宏观经济思想主要体现在一些哲学论著之中。19世纪50年代上半期马克思在寓居伦敦期间,着手撰写政治经济学批判巨著,开始了《资本论》创作的前期准备工作。马克思阅读了大量的涉及政治、经济、经济史及工业、农业、土地、商业、外贸等方面的著作,做了大量的笔记,这些成果被统称为《伦敦笔记》。《伦敦笔记》中对李嘉图关于价值理论和级差地租理论的分析 and 论述、对古典经济学家关于货币和流通理论的摘录以及经济危机问题的进一步阐述,都为以后着手撰写《政治经济学批判》准备了坚实的理论基础。经过19世纪50年代前半期的艰苦积累,19世纪50年代后期马克思开始着手撰写《政治经济学批判》巨著。从1857年7月到1858年5月,马克思写下了一系列经济学手稿,这些《手稿》现在被称为《1857—1858年经济学手稿》。在《手稿》中,马克思通过对货币起源、本质和职能的揭示,实现了货币理论的根本变革,形成了科学的劳动价值论,为进一步解决货币向资本的转化问题扫清了理论障碍。马克思还通过创立劳动力商品学说和劳动

二重性理论,深刻说明了剩余价值的来源和实质,创立了剩余价值理论。这些理论成果的取得,标志着马克思宏观经济思想的初步形成。在科学的劳动二重性理论的基础上,马克思对劳动价值理论、剩余价值理论、社会资本再生产理论、资本主义生产劳动和非生产劳动理论、生产价格理论、地租理论等进行了深入的研究,这些研究成果被称为《1861—1863年经济学手稿》,马克思经济学著作的结构体系得到了进一步的发展。到1864—1865年,马克思形成了《资本论》四卷结构计划。1867年9月14日,鸿篇巨制《资本论》第一卷德文第一版在汉堡出版,其余各卷在马克思1883年逝世后,由恩格斯整理出版。凝聚了马克思毕生心血的《资本论》的问世,标志着马克思宏观经济思想的正式形成,也成为我们研究马克思宏观经济思想的最重要的科学文献。

马克思的宏观经济思想是一个系统的、有机的统一体。其中,劳动价值论和剩余价值理论是理解马克思宏观经济思想的基石,只有从劳动价值论和剩余价值论出发,我们才能深刻全面地理解马克思的社会再生产理论、经济危机理论和相对过剩人口理论。正是对剩余价值的无限追求,决定了资本家必然不断进行扩大规模的再生产,因此马克思开始了对资本主义再生产理论的研究。马克思以社会总产品的实现问题为核心,在对单个资本的循环与周转这一微观领域的经济现象进行详尽研究的基础上,运用结构分析法和均衡分析法,创立了经典的社会总资本再生产理论模型,对资本主义社会总资本的运动做了精辟深刻的宏观总量分析,揭示了社会经济增长所需要的内在条件和联系,从而建立了属于马克思经济学的国民收入与经济增长理论。在资本主义生产方式下,社会生产两大部类间的合理比例关系经常遭到破坏,经济危机的普遍爆发正是社会资本再生产比例失调问题的强制解决方式。经济危机产生的根源在于社会化大生产与资本主义生产资料私人占有制之间的矛盾,因此,在资本主义制度内部,经济危机问题无法得到彻底解决,每隔一定的时间,经济危机就会再次产生,与资本主义经济危机的周期性爆发相一致,资本主义的再生产也表现为周期性的过程。失业问题是马克思宏观经济思想关注的又一核心问题。在资本主义为扩大再生产而持续进行的资本积累过程中必然伴随着资本有机构成的不断提高,资本有机构成的提高导致相对过剩人口的产生,因此,相对过剩人口是马克思分析资

本主义宏观经济运行所得出的必然结论。这样,以劳动价值论和剩余价值论为基础,社会资本再生产理论、经济危机和周期理论以及相对过剩人口理论一起,构成了马克思系统的宏观经济思想。

凯恩斯以1936年发表的《就业、利息和货币通论》为标志,创立了被称为现代宏观经济学的凯恩斯主义。尽管《通论》的发表比《资本论》第一卷的出版晚了69年,但是马克思和凯恩斯却先后对他们生活于其中的同一经济制度以及在这一经济制度中所出现的一些相同的经济现象和经济问题给予了共同的分析和研究。在2008年全球金融危机治理背景下,回到马克思还是回到凯恩斯再一次引起了人们的深刻思考。马克思和凯恩斯的宏观经济理论究竟异同何在?通过比较研究可以发现,马克思的宏观经济思想与凯恩斯的宏观经济学是分属于两种不同性质的经济理论,他们的经济理论在研究出发点、理论基础、分析方法和内容体系等方面都存在着根本的差别,因此对治理资本主义经济危机必然给出性质迥异的答案,对于这一点我们必须有清醒的认识。

当代资本主义在生产力、生产关系、社会结构等方面都呈现出许多新的特点和发展趋势,面对这种新变化,很多人开始质疑马克思主义尤其是马克思经济理论的当代解析力。拨开笼罩在资本主义新变化之上的层层迷雾,我们发现当代资本主义生产力获得巨大发展的推动主体仍然是雇佣工人,当代资本主义生产关系的基本特征仍然是资本与雇佣劳动的对立,发达资本主义国家主导的经济全球化只不过是剩余价值规律支配下资本无限增殖与扩张本性的当代表现。2008年西方发达资本主义世界经历的这场深刻的金融危机,正是对马克思经济理论时代性与科学性的最有力注脚。马克思的宏观经济思想为我们正确认识、分析和应对此次资本主义金融危机,构建全球金融危机治理体系提供了有效的理论工具和方法论。

马克思宏观经济思想中蕴含的反映现代化大生产运行规律的一般原理对我国社会主义市场经济的健康发展具有重要的现实指导意义。马克思的再生产理论及危机理论中阐述了宏观经济运行保持均衡运转的实现条件、均衡模型和内在机理。按照这一理论的要求,要实现经济社会的协调发展,必须将社会总资本按照一定的比例分配到社会经济各部门,保持社会在总量和结构上的总供给和总需求的平衡,这对于我国现阶段

的产业结构转型具有重要的指导作用。另外,从马克思的社会化资本再生产模型中我们还能找到马克思的消费不足经济危机论的理论依据。这一理论启发我们要注意协调经济发展中生产和消费的比例,尤其要避免消费不足对经济发展的不利影响。据此,在我国经济发展过程中,必须构建以消费拉动为主,由消费、投资、出口协调拉动经济增长的动力系统。马克思的资本主义经济危机理论还表明,危机的周期性爆发必然使资本主义经济运行呈现出周期性的特点。马克思对资本主义的具体分析结论虽然不能直接移植到我国,但是马克思分析这一问题的世界观和方法论却是我们分析问题和解决问题的宝贵财富。由于我国实行的是社会主义市场经济体制,因而市场自发调节的过程也会伴随着社会资源配置失调的问题,进而使我国的经济也呈现出周期性特点,经济的周期性发展又会引起就业人口的变动。这就要求我们必须从实际出发,切实加强和改善宏观经济调控,从而最大限度地实现社会充分就业与国民经济的平稳可持续发展。

党的十八大明确提出实施创新驱动发展战略,十八届三中全会再次强调“建设创新型国家”的宏伟目标。当前我国正处在经济转型发展的关键时期,要实现提前全面建成小康社会的总体目标,必须坚定不移地落实创新驱动发展战略,努力建设创新型国家,增创科技支撑新优势。建设创新型国家必须肯定并充分发挥企业在自主创新中的主体地位和主体作用,但是当前企业的自主创新仍然面临着诸多的体制性障碍。破除这些体制性障碍,关键在政府。建设创新型国家是一项复杂的系统工程,参与其中的企业、政府及科研机构等要素相互联系,相互制约,共同推动创新驱动战略的实施。其中,政府作为制度安排的主要实施者,对于创新战略的制定实施以及技术创新的规划发展意义重大。在建设创新型国家进程中必须进一步明确政府的职能定位,积极实现政府职能转变,这既是实施创新驱动发展战略的题中之义,也是进一步提升我国社会治理水平,为建设创新型国家提供科学体制机制保障的必然要求。首先,建设中国特色创新型国家应以马克思宏观经济思想为指导,要充分挖掘马克思宏观经济思想对国家经济管理职能的科学阐释,以便为建设创新型国家奠定理论基础和提供理论支撑。其次,要阐明建设创新型国家进程中政府与市场的内在辩证统一关系,指出创新驱动发展中

企业主体与政府主导的功能定位。再次,要进一步阐明创新型国家建设中政府发挥主导作用的领域、界限,揭示政府在法律保障、政策支持、经费投入、人才支撑、平台整合及社会环境创设等方面发挥主导作用的原因根据及其主要表现。在此基础上还应该对创新型国家建设中政府发挥主导作用所存在的问题和面临的困境进行分析和总结,明确今后一段时间内我国在建立健全科技创新体系中政府的努力方向,从而使问题的解决有的放矢。通过以上分析,最后明确创新型国家建设中政府职能科学定位的策略选择,阐明实施创新驱动发展战略背景下政府转变职能、科学执政的基本理念、基本原则及其实现路径。

马克思的全部经济理论内容丰富、博大精深,作为其有机组成部分的宏观经济思想在马克思主义经济学发展史乃至人类经济思想史上占有非常重要的地位。马克思宏观经济思想的理论价值与方法论意义不仅在于超越了西方经济学对资本主义经济分析的狭隘界限,而且在于为马克思主义经济学在新的历史条件下进一步发展和创新拓展了思路、开辟了道路,也为具有中国特色宏观经济学理论的建立奠定了根本立场,提供了基本观点和科学方法。我们必须以坚持、反思、借鉴和发展的态度对待马克思宏观经济思想。首先,解决社会主义市场经济发展中产生的宏观经济运行问题,必须坚持以马克思经济学理论为指导。其次,在探索马克思宏观经济思想及其当代价值的同时,不能回避对马克思传统经济理论的反思。再次,坚持马克思宏观经济思想还要做到以辩证否定的态度对待西方经济学理论。最后,对马克思宏观经济思想的研究和运用,必须随着时代的发展而发展。这既是丰富和发展马克思宏观经济思想的需要,更是建设中国特色社会主义经济的实践呼唤。

Preface

Marx's macroeconomic thought is deeply rooted in the changes of practice. The industrial revolution first broke out in England in 1760s and the industrial revolution is mostly completed in 19 century 30, 40s in the main western capitalist country. The mechanized production replaced the manual labor and the mode and relations of production changed profoundly during the industrial revolution. The contradiction between the socialized production and the capitalist private ownership became the basic social contradiction gradually and it became increasingly sharp because of the development of productivity. In the production relation field, especially in the class relation field, the proletariat had boarded the stage of history as an independent political force, and the contradiction between the bourgeoisie and proletariat inevitably became the principal social contradiction. The sharp changes of epoch became the economy and social root of Marx's founding of the scientific world outlook and the new political economics. Marx's economic theory is not an interpretation of capitalism in one hand or one stage but an exhaustive revealing to the general development rule of the whole capitalist history and comprehensive analysis of capitalist economic system. All of this gives Marx's economics a character of macroeconomics.

Marx's macroeconomic thought is closely related to the development of human civilization, because it inherited all the outstanding civilization achievements and inherited the British classical economics critically. Marx founded the theory of dual labor and the scientific theory of labor value based on the criticism and inheritance of the modern classical economics of labor

value theory. On the basis above, seeing through all kinds of illusion that covering on the capitalism exploitation, Marx revealed the economic root and secret of the whole capitalist economic system, analyzed the origin and nature of the surplus value, illuminated the internal relations between the surplus value and its specific transformation form, confirmed the income source of the exploitation group in capitalist society, founded the great surplus value theory, and laid the cornerstone for the theory of Marxist economics. In addition to the classical economics theory of value, the French Physiocrats' and the England classical economists' theories about the process of the capitalism reproduction and circulation became the important theory source for Marx's theory of social reproduction. Marx's theory of social reproduction is the inherent basis for Marx to expand other component of his macroeconomic theory, and it is also the powerful tools to analyze and criticize the capitalist modern mode of production. Marx also criticized the bourgeois classical economists whose thought generally denied that the capitalism exists economic crisis. From the basic contradictions of capitalism, Marx analyzed the possibility and the necessity of capitalist economic crisis, revealed the cause, the characteristics and nature of capitalist economic crisis scientifically, founded the theory of economic crisis and business cycle which is the core in his macro economic thought. All of this has laid a solid theoretical foundation for Marx to analyze the provisionality and the irrationality of the capitalist system.

The development of Marx's macroeconomic thought includes four stages—they are embryonic stage, preparation stage, expansion stage and completion stage. In the early 1840s, when Marx studied and researched the social reality, he realized that it was not enough to attack the capitalism only from the angle of law and philosophy if he wanted to analyze the people's interest relationship. It should go deep into the fields of material and economics. The need of the reality and theory impelled him to begin to transformed his reaserch point to the fields of politics and economics. Since 1843, Marx began to study economics. It can be regarded as the embryonic stage of Marx's macroeconomic thought from that time to 1848 when Marx published Communist

Manifesto. During this period, Marx had no specialized economics book, his economic thought is mainly embodied in some philosophical works. In the first half of the 1850s, Marx read many books about the politics, economics and industry, agriculture, land, commerce, trade, etc, and gave a large amount of notes which were called "London Notes". Marx analyzed and discussed the theory of labor value and differential land theory of Ricardo and excerpted from the theory of monetary circulation and the economic crisis of the classical economists. All of these made adequate theoretical preparation for setting about writing the critique of political economy later. After the hard accumulation in this period, Marx began to write his own political economics theory called Economics Manuscripts (1857 -1858). From July 1857 to May 1858, Marx wrote a series of economics manuscripts which are now called Economics Manuscripts (1857 -1858). In the manuscripts, through revealing the origin, essence and function of money, Marx realized the fundamental transformation about the theory of money, formed the scientific theory of labor value, and cleared the theoretical obstacles to transformation from the money to the capital. Marx also created the doctrine of the labor commodity and the theory of labor duality, explaining deeply the source and essence of surplus value. The foundation of the theory of surplus value laid a foundation for the essential formation of Marxist economics system. On the basis of scientific theory of labor duality, Marx made a thorough research on the theory of labor value, the theory of surplus value, the theory of social reproduction, the theory of capitalist productive labor and unproductive labor, the theory of production price and the rent theory etc., all of the results of the study were called the Economics Manuscripts (1861-1863), marking a further development of the system of Marx's economics. Marx formed four-book plan of *Das Capital* during 1864 and 1865. The first edition of *Das Capital* (Volume One) written in German was published in Hamburg on September 14, 1867, the other volumes were sorted out and published by Engels after the death of Marx. The *Das Capital*, full of Marx's energy of his life, marked the formation of Marxist economics system, and also is the most important scientific literature for us to study

Marx's macroeconomic theory.

Marx's macroeconomic thought is a systematic and organic unity. The theories of labor value and surplus value are the basis to understand Marx's macroeconomic thought. Only from these theories can we understand Marx's theory of social reproduction, economic crisis and relative surplus population. So we regard the theories of labor value and surplus as the basis of Marx's macroeconomic thought. How to realize the value of social products is the core of Marx's theory of social reproduction. On the basis of research of the single capital cycle in the microcosmic fields using the method of structure analysis and equilibrium analysis, Marx created the classic theory pattern of the social capital reproduction and made incisive macroscopical gross analysis on the movement of social capital. Marx revealed the internal conditions and contact about the social economic growth. Thereby Marx established the theory of national income and economic growth which belongs to himself. In the capitalist mode of production, the proportionate relationship of the two social production parts is often destroyed. the widespread outbreak of the economic crisis is the forced solutions of social capital reproduction imbalance. The source of capitalist economic crisis's broken lies in the contradiction between the socialized production and the capitalist private ownership. The economic crisis can not be removed inside the capitalist system completely and it will break out periodically. Consistent with the periodical outbreak of the economic crisis, the capitalist social reproduction also shows periodical features. The problem of unemployment is another essential point of Marx's macroeconomic thought. In the process of capital accumulation, the expanded reproduction must be accompanied by the continual increase of organic composition of capital which will lead to production of the relative surplus population. Therefore, it is the inevitable conclusion that capitalism will produce relative surplus population basing on Marx's analysis of capitalist macroeconomic. So Marx's microeconomic consists of the theory of labor value and surplus value, the theory of social capital reproduction, the theory of economic crisis and cycle and the theory of relative surplus population.

Marked by the publication of the book *The General Theory of Employment, Interest and Money* in 1936, Keynes founded the modern macroeconomics. In spite of the publication of *The General Theory* was 69-year later than *Das Capital*, they did the same research of the economic phenomenon and problem in capitalist system in succession. In the context of governing the current global financial crisis, returning to Marx or Keynes once again caused people's deep thinking. What are the similarities and differences between Marx's and Keynes's macroeconomic theory? We can find that Marx's macroeconomic thought and Keynes' belong to different properties, and they are different in the research starting point, the theoretical foundation, the mode of analysis and the content. So they gave the different answers necessarily to govern the capitalist economic crisis. We must have a clear understanding of this point.

Marx's macroeconomic thought not only has important theoretical meaning but also can give scientific guidance to operate our socialist market economy in the process of economic development and analyze the new changes of capitalism from the perspective of Marx's thought deeply. Many people began to query Marx's economic theory in the face of new changes of capitalist productivity, production relations and the social structure. If we remove the illusion covering on the capitalism we can find that the main driving force to develop the productivity of the contemporary capital productivity is still the salary earner and the essential feature is still the contrasting relation between the capital and the labor. The globalization led by developed countries is nothing but the contemporary expression of proliferation and expansion of capitalist under the control of surplus value. The serious financial crisis that the western developed countries are facing is the best explanation of the scientificity and the times. Only insisting on the Marxist position, opinion method and the basic principles of Marxism, we can analyze the financial crisis and economic crisis correctly and then resolve all kinds of problems in the economic society.

The general principle about the law of modern production included in Marx's macroeconomic thought has important instructional meaning to the

healthy development of socialist economy. Marx expounded the implementation condition, equilibrium model and the inherent mechanism about how to keep a balanced development of the macroeconomic in his theory of reproduction and the crisis. According to the theory, we should distribute the social capital to different economic departments with a certain proportion. What's more, we can find the foundation of the under-consumption in Marx's reproduction pattern which tells us that we should keep reasonable proportion between production and consumption especially avoid the adverse effect of under-consumption. So we must structure the dynamical system in which the consumption is the main driving force. The consumption, investment and export are in the harmonious state in the system. In addition Marx's theory of capitalist economic crisis also indicates that the capitalist macroeconomic operation will show periodic feature. The world outlook and methodology can help us solve the economic problems effectively in China. Because we are implementing the socialist market economic system, it will also arise the problems of maladjusted Social resource allocation. Moreover there it will show the periodic feature in the development of the economy. The periodical development can cause the changes of employed population. It requires us that we must proceed from reality, strengthen and improve macroeconomic control in order to realize the maximum development and the steadily sustainable development of the national economy.

The Eighteenth National Congress of the Communist Party of China put forward clearly to implement Innovation driven development strategy, the Third Plenary Session of the eighteen emphasized the grand goal of building an innovative country again. At present our country is in the key period of transformation of economic development, in order to achieve the overall goal of completing the well-off society in advance, we must implement innovation driven development strategy admantly, hardly build an innovative country and create the new advantages in support of science and technology. Building an innovation oriented country. We must affirm and make full use of the principal position and the subjective function of the enterprises in the process

of independent innovation. But the enterprises are still facing many institutional barriers about independent innovation. The government is the key to break the system barriers. Building an innovation oriented country is a complicated system engineering, the enterprise, government and research institutions and other factors are powerfully interconnected and restricted each other. Among them, the government is the main implementation of institutional arrangement. It has great significance to the formulation and implementation of the innovation strategy and the development plan of technical innovation. In the process of building the innovative country, we must further clarify the positioning of government functions and actively implement the transformation of government functions. It is necessary to implement innovation-driven development strategy and is also the inevitable requirement to further enhance the level of social governance and provide a scientific guarantee system. First, constructing an innovation-oriented country with Chinese characteristics should be based on Marx's macroeconomic thought, and we must fully excavate the scientific explanation of the national economic management functions in order to provide the theory basis and the theory support. Secondly, we clarify the internal dialectical unity relationship between the government and the market in the process of building an innovation oriented country, and point out the function and the positioning of the enterprises and government. Once more, we must further clarify the boundary and the field of the government to play the leading role, and reveals the reasons and basis of the government to play the leading role in the areas of the legal guarantee, policy support, investment, personnel support, platform integration and creating the social environment. On this basis, we also need analyze and summarize the problems and difficulties for the government to play leading role in the process of building the innovation oriented country, clearly the direction for the government to establish and perfect the system of innovation of science and technology. So then we can have a definite object to solve these problems. Through the above analysis, we must clear the strategic selections of the government to determine its function scientifically, clarify the basic concepts,