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MODERNIZATION
INNOVATION
RESEARCH

МОДЕРНИЗАЦИЯ

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МОДЕРНИЗАЦИЯ

ИННОВАЦИИ

РАЗВИТИЕ

CONTENTS

MODERNIZATION

INNOVATION

RESEARCH

К СВЕДЕНИЮ ЧИТАТЕЛЕЙ И АВТОРОВ ЖУРНАЛА

Правила проведения рецензирования

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• статья нуждается в дополнительном рецензировании другим специалистом;

• статья не может быть опубликована в журнале.

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THE MULTI-LEVEL GOVERNANCE OF INTERNATIONAL MIGRATION

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Abstract

The article provides the history of legal framework of regulating migration processes on the global level. The author analyzes the dual nature of migration policy on the regional, national and global levels, which occurs when interests of different parties involved in international relations do not coincide. Recommendations are given on ways to improve the regulation of migration processes.

Keywords: *globalization, governance, international migration of population, forecast, migration policy, duality of the migration policy.*

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Globalization processes in a combination with sweeping changes in global political and economic systems have contributed to a drastic intensification of interstate territorial movements of population in the second half of the XX century, and have led to formation of an essentially new migration situation in the world. For example, for the last half century, the total number of "classical" international migrants in the world increased more than three times (from 75.46 million people in 1960 to 232 million in 2013). If we add other categories of migrants (migrant workers together with members of their families, illegal migrants, pendulum migrants, seasonal and border workers, forced migrants and "economic tourists"- migrants who are involved in the business connected with crossing of a border using a tourist visa), then the total number of inhabitants of the globe participating in international migration presently exceeds 1.2 billion people. Thus, international migration became one of the global phenomena having an impact on all aspects of the world community life.

Accordingly, the logical question has occurred whether this phenomenon can be managed? To answer this question, it is necessary to identify what management of this or that social phenomenon is. From our point of view, this term can be expressed by an easy formula: "forecast plus policy". And in reality to manage effectively this or that social phenomenon or process, it is necessary to understand clearly not only present development trends of this process, but also to conceive its outlook. The last also allows to forecast migratory processes which are often linked with a demographic forecasting, especially when we talk about the analysis of the world population, its certain regions and countries.

In this context, speaking about forward-looking of international migration, it is possible to note that, according to estimates of the UN experts, by the year 2050 the world population will amount to, according to the median forecast, 9.6 billion people in comparison with 7.2 billion in 2014 (33% growth). During the same period of time, the number of classical migrants in the world will doubled exceeded 450 million people. If we speak about all categories of migrants, then their number, by our estimates, will, approximately, treble, having exceeded 3 billion.

Transformation of migratory streams into a global phenomenon contributed a significant interest of scientists, officials, politicians, international public organizations and public to the questions of international migration. In its turn, a need emerged for improvement of migratory processes management tools at national and regional levels, formation of migration policy at the global level which represents a system of international treaties, agreements and other bilateral and multilateral normative legal acts on regulation of interstate territorial movements of population, and which pursues social, economic, demographic, geopolitical purposes, etc.

The results of our analysis showed that one of the established measures system characteristics in the field of interstate territorial movements of population management became its dual character.

At the present phase, the dual character of migration policy is distinctly noticeable at three levels:

- the global (international) level as a result of contradictions between interests of various actors of international relations system (developed and developing countries, international organizations and certain states);
- the regional level (level of integration associations) as an existence of counteracting trends for liberalization of migration regime inside integration associations and simultaneous toughening of migration policy in relation to citizens of third countries;
- the national level (level of certain states) as a contradiction between social and demographic and economic interests, on the one hand, and reasons of national security, on the other hand.

At the same time, contradiction between migrants and adopting state, businessmen and society in general gets a special meaning. It is especially important to keep this fact in mind because, in recent years, a policy of migrants integration in developed countries can be implemented both at the regional and national levels.

Global (international) level of migration policy

The foundation of a regulatory base concerning management of migratory processes at interstate level is comprised by international treaties, agreements, recommendations and other regulating legal acts which are being adopted at various meetings and conferences held under the auspices of leading international organizations. First of all, the United Nations and its divisions (the United Nations Population Fund (UNFPA), the United Nations Conference on Trade and Development (UNCTAD), the United Nations High Commissioner for Refugees (UNHCR), the United Nations Development Program (UNDP), the International Organization for Migration (IOM) and International Labor Organization (ILO)). At the same time, it should be noted that now days there is no universal migration regime at the global level.

Among global conferences, a special place belongs to the UN World Conferences having an intergovernmental status. Concerning questions of population, three such Conferences were held (in Bucharest in 1974, in Mexico City in 1984, and in Cairo in 1994) at which two fundamental documents were adopted concerning conceptual approaches to the international migration processes management: the World Population Plan of Action (1974) and the Population and Development Program of Action (1994).

The World Population Plan of Action specifies, in particular, that "for some countries international migration may be, in certain circumstances, an instrument of population policy ... at least two types of international migration are of considerable concern to many countries in the world: the movement of migrant workers with limited skills, and the movement of skilled workers and professionals" (UN, 1975).

In the World Population Plan of Action, among significant recommendations in the field of international migration management, it is possible to single out the following (UN, 1975):

- governments and international organizations generally facilitate voluntary international movement;
- governments are urged to conduct bilateral or multilateral consultations, with the aim to harmonize their policies in the field of international migration management;
- countries accepting migrants have to provide appropriate medical care and social security services for migrants and members of their families, have to guarantee their physical safety;
- in the treatment of migrant workers, governments should work to prevent discrimination in the labor market and in society, to protect their human rights, to combat prejudice against them and to eliminate obstacles to the reunion of their families;
- governments should bear in mind humanitarian considerations in the treatment of aliens who remain in a country illegally;
- it is necessary to take measures to formulate national and international policy to avoid the "brain drain" process.

At the International Conference on Population in 1984, intermediate ten-year results were analyzed, and new recommendations about further implementation of the World Population Plan of Action in the field of international migration were offered.

Among others, the following recommendations were offered (UN, 1984):

- accepting migrants countries should realize measures for protection of fundamental human rights of all migrants in their territory, ensure respect for their cultural identity;
- measures have to be taken for the purpose of assistance of a mutual integration of immigrants and population of accepting countries;
- governments of accepting migrants countries should take into account not only economic and social interests of their own countries, but also questions of wellbeing of migrants and their families, and also demographic consequences of migration;
- governments of accepting migrants countries are offered to consider a question of taking measures to assist normalization of family life of registered migrant workers in receiving countries through reunion of their families;
- while developing laws and regulations directed at restriction of illegal migration, measures containing in them should extend not only over illegal migrants, but also over those persons who stimulate and promote illegal migration;
- governments and international organizations have to strive to find long-term problem resolutions, connected with refugees and movement of refugees, and to work in the direction of elimination of reasons for these problems.

In the Population and Development Program of Action adopted in 1994 and intended for the next twenty years, a separate chapter is devoted to international migration - Chapter X. In particular it specifies that an effective policy in the field of international migration should be built taking into account limited economic opportunities of a receiving country, influence of migration on a receiving society, and its influence on countries of departure.

Among recommendations in the field of migration policy, the following were offered, in particular, in the Population and Development Program of Action of 1994:

- governments of receiving countries are advised to consider possible use of certain forms of temporary migration... for professional development of citizens of countries of departure, especially of those from developing countries and countries with transitional economies;
- governments are recommended to share the information about their policy in the field of international migration and rules regulating entrance and stay of migrants in their territory;
- governments are advised to consider possibility of ratification of the International Convention on the Protection of the Rights of All Migrant Workers and Members of Their Families [1];
- governments of receiving countries are recommended to consider a possibility for registered migrants and members of their families to be given an identical treatment, in comparison with their own citizens, with respect of implementation of fundamental human rights, to take appropriate measures to avoid any forms of discrimination against migrants;
- governments of accepting migrants countries should provide protection of migrants and their families members;
- governments of both receiving countries and countries of origin should apply effective sanctions against persons organizing unregistered migration, exploiting unregistered migrants or who are engaged in trafficking in unregistered migrants;
- governments of countries of origins and accepting migrants countries should strive to find satisfactory and long-term resolution of problems generated by unregistered migration, by conducting bilateral or multilateral negotiations, including concerning a conclusion of agreements on a readmission;
- governments are urged to respect rules of the international law in relation to refugees.

Thus, recommendations offered at the World Conferences on Population reflect the fact that international migration can promote a new international economic order, and it is being recognized that an effective migration policy is a prerequisite for realization of a positive migration contribution into development.

Recommendations for improvement of international migration management are also contained in the resolutions of other World Conferences and Summits, including the UN World Conferences on Environment and Development (Rio de Janeiro, 1992; Johannesburg, 2002); the International Conference on human rights (Vienna, 1993); the World Summit on Social Development (Copenhagen, 1995); the IV International Conference on Women (Beijing, 1995); the World Conference against Racism, Racial

[1] The Convention adopted by the United Nations General Assembly in 1990 established, for the first time, an international definition of various categories of migrant workers and represented an important step towards fixing of responsibility of receiving countries in recognition of the rights of migrants and ensuring their protection. It came into force starting from 2003.

Discrimination, Xenophobia and Related Intolerance (Durban, 2001); the World Summit (New York, 2005).

The Berne Initiative became another important intergovernmental event which was presented by Switzerland in 2001 and which was directed towards consolidation of cooperation between states for the purpose of the migration management improvement at the national, regional and global levels. Development of the International Agenda for Migration Governance which contains a number of general recommendations for creation balanced and comprehensive approach to migratory processes management became the most important result of the Berne Initiative.

The "Compendium of Recommendations on International Migration and Development" published by the Department of Economic and Social Affairs of United Nations Secretariat in 2006 describes the capability of the documents adopted at the International Conferences and Summit to serve as a reference point for governments from the point of view of assistance to development of joint initiatives in the field of international migration management (UN, 2006).

In September, 2006, in New York, the first High-level Dialogue on international migration and development took place during which multidimensional aspects of international migration and development were considered, including exchange of experience and information about advanced practice concerning possible ways of a maximum increase of benefits connected with international migration and reduction of its negative consequences. Following the results of the Dialogue, a resolution was adopted to continue international migration problems global discussions and to create the Global Forum on Migration and Development as a place of problems systematic and comprehensive discussion connected with international migration and development. In the period of 2007–2013 seven meetings took place in the Global Forum frame in which representatives more than 160 UN member states and more than 45 international organizations took part.

Events of the Global Forum allow to provide an informal discussion by experts and those who responsible for decision making of topical migration policy improvement issues in the interests of development; exchange of the best practices in this area; to reveal existing problems in regulation of migratory processes at the national, regional and international levels; to discuss opportunities for establishment of partnership and cooperation between countries, international organizations and diasporas on migration and development.

In October 2013 the second High-level Dialogue on Migration and Development took place in New York. In particular, in the Declaration adopted following the results of the second Dialogue, it was pointed out that representatives of states (UN, 2013):

- make a decision to act in the direction of development of an effective and all-embracing agenda concerning international migration by improving activity of existing institutions and structures, and also by increasing efficiency of partner ties on the regional and global levels;
- recognize a necessity of such international cooperation which would allow to completely and in a comprehensive way solve problems of unorganized migration for ensuring a safe, orderly and organized migration in full compliance with the human rights;
- recognize the efforts made by the international community on settlement of corresponding international migration aspects and development on the basis of various initiatives both within the United Nations system and within the framework of other processes;
- confirm the need of an effective encouragement of observance and human rights protection and fundamental freedoms for all migrants, especially women and children irrespective of their migratory status, and of problem resolution of international migration on the basis of international, regional and bilateral cooperation and dialogue;
- note in this regard the need of taking appropriate measures of female migrant workers protection in all sectors, including female migrants working as house maids;
- emphasize the need of observance and encouragement of relevant international labor standards and observance of the rights of migrants at work;
- recommend to member states to cooperate in the development of mobility programs promoting a safe, orderly and organized migration, including the labor force mobility.

Thus, the conducted analysis showed that resulting documents of conferences and summits contain various recommendations for improvement of migration policy. At the same time, a duality of approaches at the global level to migratory processes governance can already be seen there. The duality at the global level, first of all, is based on various actors' interests of the international relations system which are often in conflict with each other. For example, there are contradictions between the main countries of emigration and countries of immigration. As a result, many documents and agreements signed at international conferences, owing to the fact that they were ratified by an insignificant number of countries, remain for many years non-consummated or are applied in a limited number of countries.

A typical example of that is the situation with ratification of international conventions dealing with migrant workers and affecting economic interests of receiving states. For example, the 1949 Convention №97 "Convention concerning Migration for Employment" of the ILO has been ratified up to present time by only 26% of the countries, and the 1975 Convention № 143 "Convention concerning Migrations in Abusive Conditions and the Promotion of Equality of Opportunity and Treatment of Migrant Workers" of the ILO has been ratified by 12% of the countries. In its turn, the International Convention on the Protection of the Rights of All Migrant Workers and Members of Their Families was adopted in 1990, came into force only in 2003, and has been ratified so far by only 24% of the countries (see Table 1).

Table 1

Situation with ratification of international legal documents dealing with international migration

Agreement	Year of coming into force	Participants of agreements as of 19.04.2006		Participants of agreements as of 01.12.2013	
		Number of countries	Percentage of countries	Number of countries	Percentage of countries
The 1949 Convention No. 97 of the ILO on migrant workers	1952	45	23	49	26
The 1975 Convention No. 143 of the ILO concerning Migrations in Abusive Conditions and the Promotion of Equality of Opportunity and Treatment of Migrant Workers	1978	19	10	23	12
The 1990 International Convention on the Protection of the Rights of All Migrant Workers and Members of Their Families	2003	34	17	47	24
The 2000 Protocol to Prevent, Suppress and Punish Trafficking in Persons Especially Women and Children	2003	117	50	157	81
The 2000 Protocol against the smuggling of migrants by land, sea and air	2004	89	46	137	71
The 1951 Convention on the status of refugees	1954	143	73	144	75

Source: data of the UN (UN, 2006, 2013).

Concluding our examination of migration policy at the global level, we will emphasize an important feature of relation of the world community towards this problem: international migration is considered as a function of changing political, economic and social conditions and an integral element of development.

At the same time, three key problems are visible in all the discussions concerning migration: 1) lack of reliable and complete statistical data on migration; 2) complex nature of international migration and absence of a comprehensive theory of migration; 3) difficult interrelation between migration and development, incomplete understanding of totality of interrelations between migration and various factors (demographic, economic, political, ecological, etc.).

Search of an answer to these problems is necessary for development of a well-grounded migration policy, decision making on all actual aspects of interrelation of migration and development, realization of potential of international migration as a factor of development of countries of departure, transit and destination.

Regional level of migration policy

Regional cooperation in the sphere of international migration management is conducted via official mechanisms operating within regional integration associations (in particular, by liberalization of mobility of population as a component part of integration processes), and regional interstate agreements (by realization of a uniform migration policy), and also via less formal mechanisms (for example, regional advisory councils)[1].

The most striking example of international migration management within a regional integration association is the procedure of a free movement of citizens and labor force within the European Union. Presently, citizens of the EU member states can freely move through internal interstate borders of the EU for various purposes (including for employment, or organization of a business activity) without a limitation of duration of stay in the territory of another EU member state. The European Union also pursues uniform policy in relation to immigration and granting asylum to

[1] As a rule, interstate agreements in the field of migratory processes management are concluded between countries of one region. However, there are also interregional interstate agreements. For example, there is an agreement between the EU and the USA according to which citizens of the EU and the USA can move across the territory, respectively, of the USA and of the EU without a visa for no more than three months within half a year.

citizens of third countries, strengthens partnership with the main countries of departure of migrants, develops and takes measures for ensuring an equal treatment of citizens of third countries living in the EU member states. It should be noted that the all-European normative legal acts adopted so far generally deal with rules of granting asylum and prevention of illegal immigration, and only some of them deal with questions of legal immigration, including questions of reunion of families, attracting students, researchers and highly skilled migrant workers.

Various mechanisms of international migration regulation are also in operation within other regional integration associations, including the North American Free Trade Agreement (NAFTA), Association of Southeast Asian Nations (ASEAN), the Common Market of the South (MERCOSUR), the Commonwealth of Independent States (CIS), the Economic Community of West African States (ECOWAS), the Central African Economic and Monetary Community (CEMAC), the Eurasian economic union, etc.

Regional interstate agreements represent official interstate cooperation agreements in the field of migratory processes management. According to an examination conducted in 2005 by the ILO, interstate agreements generally deal with programs of invitation of labor migrants; admission of trainees or young specialists; seasonal migration; questions of coordination of substantive laws and payments in the field of social security; re-admissions of illegal immigrants; questions of ensuring safe and timely money transfers by migrant workers. For example, in the Agreement of the CIS member countries on cooperation in labor migration and social protection of migrant workers (1994), it is pointed out that "the parties shall take necessary measures for the purpose of prevention of employment of migrant workers by intermediaries who do not have corresponding permissions of competent authorities of the Party of departure for implementation of such an activity. Any person promoting a secret or unlawful immigration bears a responsibility according to the current legislation of the Party of employment". In the Cooperation agreement of the CIS states on fight against unlawful migration (1998), it is pointed out that "governments of party states of the agreement consider cooperation in fight against unlawful migration as one of important directions of migratory processes regulation". Within the framework of formation of the Customs union and the Eurasian Economic Union on the post-Soviet space, two important documents regulating labor migration were adopted in 2010: the Agreement on legal status of migrant workers and members of their families and the Cooperation agreement on counteraction against illegal labor migration from third states.

It should be noted that the bilateral approach allows governments to work more flexibly, as compared with general agreements within integration associations because conditions of each agreement can be formulated taking into account a situation in respective countries. However, from the point of view of migratory streams regulation, tracking of a course of implementation of numerous agreements containing various provisions increases an administrative burden.

Regional advisory councils (RAC), the number of which repeatedly increased since the beginning of the 1990s, became a new form of regional cooperation. Intergovernmental consultations on policy issues in the field of asylum, refugees and migration policy in Europe, North America and Australia, which began to be held since 1985 for discussion of questions of granting asylum, became one of the first RAC's. According to the UN, several of such advisory councils, including the Budapest Process, the Söderköping Process, the Pan-European Dialogue on Migration Management, etc. work presently in Europe. As a rule, regional advisory councils have an informal character and their decisions, despite of the fact that they get an approval of participating parties, are not obligatory. At the same time, they promote dialogue and exchange of information, allow to gather official representatives of countries of departure, transit and destination of migrants, promote coordination and concurrence of actions not only at the international, but also at the national level.

The analysis conducted by us revealed that the dual character of migration policy at the regional level is expressed in two aspects. The first is comprised of the fact that in the modern world, under the conditions of actively developing integration processes, on the one hand, a liberalization of migration policy is taking place, there are "transparent borders" within regional associations, freedom of movement of population and labor force of citizens of member countries through internal frontiers of these unions. On the other hand, there is a unification of legislation in the field of international migration regulation within integration associations, and also more and more drastic measures are adopted concerning immigrants from "third countries" which is conditioned by various aspects of the national security (including fight against threats of international terrorism, protection of the national labor market). The second aspect is comprised of the fact that the interests and problems of integration association in general cannot coincide or can even contradict the interests of its separate member states. For example, the position of Great Britain from the very beginning of its accession into the EU (1973) had a somewhat special limiting character which, afterwards, found its reflection in that it refused to sign the Schengen agreement.

Now, the government of Great Britain considers a possibility of introduction of limiting measures in relation to migrants from other countries of the European Union, and also restrictions on their use of social services and system of social protection of Great Britain. In the North American free trade zone (NAFTA) between the USA, Canada and Mexico, the freedom of travel of citizens, including migrant workers, is ensured between the USA and Canada while possibilities of labor migration of the Mexican citizens to these countries are significantly limited.

National level of migration policy

During different historical stages in migration policy of a state, this or that its component (emigratory or immigration) prevails which defines in general its essence during this period.

The special periodical of the UN on population policy, the World Population Policies Database, contains a separate information section on views of national governments on migration and state policy in the field of international migration.

As it can be seen from Table 2 and Table 3, only 13% of sovereign states (most part of which is located in Africa) do not presently regulate an immigration level.

Whereas policy for emigration is not pursued by 45% of the states (generally, countries of Africa, Europe and North America). At the same time, all developed countries realize measures in the field of immigration regulation whereas emigrations are regulated by only 20% of them.

Thus, under the modern conditions in the majority of countries of the world, an immigration policy becomes prevailing within which governments show a great interest to what immigrants are, and impose on those entering a country various requirements concerning an education level, profession, qualification, financial position, age, marital status, etc. Special attention is paid to the last characteristics both taking into account a situation in the national labor market and goals of a population policy and taking into account aspects of the national security.

It should be noted that the greatest changes which happened in national migration policy since the end of the 1950s. are connected with exactly its immigration component. For states which traditionally pursue immigration policy, the essence of changes consists in that the adopted laws were directed, first, on encouragement of immigration of highly qualified specialists, secondly, at the fight against illegal migration.

Table 2

Views of national governments in relation to immigration policy, 2011

Region	Policy in the field of immigration level			
	To reduce	To maintain	To raise	Without intervention
World in general	16%	60%	11%	13%
Europe	11%	64%	25%	–
Africa	19%	38%	2%	41%
Asia	30%	55%	12%	2%
Latin America and Caribbean Region	12%	79%	3%	6%
North America	–	100%	–	–
Australia and Oceania	–	94%	6%	

Table 3

Views of national governments in relation to emigratory policy, 2011

Region	Policy in the field of immigration level			
	To reduce	To maintain	To raise	Without intervention
World in general	24%	22%	9%	45%
Europe	18%	14%	–	68%
Africa	25%	15%	2%	58%
Asia	21%	29%	29%	21%
Latin America and Caribbean Region	33%	36%	–	30%
North America	–	–	–	100%
Australia and Oceania	31%	19%	31%	19%

Source: International Migration Policies 2013. New York: United Nations, 2013.

An analysis of laws adopted in the last years and directed at counteraction against illegal migration demonstrates a duality of policy of receiving states: on the one hand, policy for newly arriving migrants becomes more and more restrictive, on the other hand, policy of legalization is pursued in relation to those who entered a country earlier and found a job illegally. In developed countries from 1980 to 2014, over 30 migration amnesties were held and over 10 million illegal immigrants were amnestied. Thus, it is not actually about eradication of illegal immigration, but about legalization of those who entered a country earlier and found a job illegally. For example, in 2014, the US President B. Obama signed an executive order reforming the immigration system of the USA which provided for legalization over 5 million illegal migrants. It should be noted that a number of experts speak against implementation of such campaigns as the last, in their opinion, only increase potential scales of illegal immigration.

The duality of migration policy at the national level also reveals itself in contradictions of economic, demographic and geopolitical character. For example, in the interests of a demographic and economic development, it often seems necessary to hold a liberalization of migration policy while interests of the national security quite often insist on its toughening. The last contradiction especially clearly revealed itself after the events of September 11, 2001.

As for migration policy of Russia, then, on the one hand, certain legislative base in the field of regulation of migratory processes has been created during the modern period of its development (1991–2014), and, on the other hand, there is still no strategic vision of migration as a positive phenomenon in Russia. The duality of migration policy of Russia reveals itself in that at the highest national level (in particular, in the Concept of the state migration policy of the Russian Federation, President of Russia's Addresses to the Federal Assembly of the Russian Federation) the thesis about a need of conducting an intelligent immigration policy, involvement of our compatriots from abroad and qualified legal manpower is being proclaimed, whereas at the "executive" level, the relation of the state to migratory processes management remains, in many respects, of a police-officer type, and migration itself is considered, first of all, as a process threatening the national security of Russia. Preservation of such a situation contradicts the interests of the economic and demographic development of Russia. The last conditions the need of a further improvement of the migration policy of Russia.

In summary, we will note that, in our opinion, overcoming of the dual character of migration policy and the use of the potential of international migration as a resource of development can be reached only by means of realization of a reasonable and strategically adjusted approach to international migration management.

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МОДЕРНИЗАЦИЯ

ФОРМИРОВАНИЕ СИСТЕМЫ МНОГОУРОВНЕВОГО УПРАВЛЕНИЯ МЕЖДУНАРОДНОЙ МИГРАЦИЕЙ

Иван Андреевич Алешковский

Аннотация

В статье рассматривается история становления и развития управления международной миграции на глобальном уровне. Проанализирован феномен двойственного характера миграционной политики на глобальном, региональном и национальном уровнях, обусловленный несовпадением интересов различных акторов системы международных отношений. Приводятся рекомендации по совершенствованию управления миграционными процессами.

Ключевые слова: *глобализация, управление, международная миграция населения, прогнозирование, миграционная политика, двойственный характер миграционной политики.*

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MODEL OF DISTRIBUTION OF THE BUDGET OF THE PORTFOLIO OF IT PROJECTS TAKING IN-TO ACCOUNT THEIR PRIORITY

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Abstract

Article is devoted to a problem of effective distribution of the general budget of a portfolio between the IT projects which are its part taking into ac-count their priority. The designated problem is actual in view of low results of activity of the consulting companies in the sphere of information technologies. For determination of priority of IT projects the method of analytical networks developed by T. Saati is used. For the purpose of application of this method the system of criteria (indicators) reflecting influence of IT projects of a portfolio on the most significant purposes of implementation of IT projects of a portfolio is developed. As system of criteria the key indicators of efficiency defined when developing the Balanced system of indicators which meet above-mentioned requirements are used. The essence of a method of analytical net-works consists in paired comparison of key indicators of efficiency concerning the purpose of realization of a portfolio and IT projects which are a part of a portfolio. Result of use of a method of analytical networks are coefficients of priority of each IT project of a portfolio. The received coefficients of priority of IT projects are used in the offered model of distribution of the budget of a portfolio between IT projects. Thus, the budget of a portfolio of IT projects is distributed between them taking into account not only the income from implementation of each IT project, but also other criteria, important for the IT company, for example: the degree of com-pliance of the IT project to strategic objectives of the IT company defining ex-pediency of implementation of the IT project; the term of implementation of the IT project determined by the customer. The developed model of distribu-tion of the budget of a portfolio between IT projects is approved on the exam-ple of distribution of the budget between IT projects of the portfolio consisting of three IT projects. Taking into account the received coefficients of priority of IT projects of a portfolio and the offered model of distribution of the budget of a portfolio the admissible volume of costs of each IT project was redistributed. It allowed to distribute more correctly the budget allocated for realization of a portfolio, therefore, allowed to avoid unreasonable expenses at implementation of the IT project of a portfolio.

Keywords: *portfolio of IT projects, method of analytical networks, priority coefficient.*

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The analysis of activity of the consulting companies in the sphere of in-formation technologies (IT companies) shows that the share of successfully executed IT projects makes small part among all set of the realized IT projects. This is confirmed by a number of the researches conducted by the international companies Standish Group Inc serves., Info-Tech Research Group [14, 15]. Ac-cording to the received results from 15% to 30% of IT projects are admitted as "successful" (i.e. terms, the budget and a framework of the IT project are observed). One of the reasons of unsuccessful implementation of IT projects is irrational financing. In this regard in process of management of realization of a portfolio of IT projects it is necessary to use a technique of determination of priority of IT projects and the scheme of distribution of total amount of financ-ing between IT projects of a portfolio according to the chosen technique.

Today there is a large number of techniques of determination of priority of IT projects of a portfolio. The analysis of domestic and foreign literature on this subject showed [7] that a distinctive feature of techniques is use of esti-mated values of criteria, various on character (for example, quantitative, mark, qualitative, paired comparison, indistinct estimates) and methods of formation of complex criterion (for example, weighing, hierarchical structure of criteria, a rating method) [3]. We will submit the formalized description of a problem of determination of coefficient of priority of implementation of IT projects of a portfolio (complex criterion). There is a set of IT projects of a portfolio:

$$P = \{P_1, P_2, ..., P_n\} \quad (1)$$

and set of criteria of an assessment of IT projects:

$$G = \{G_1, G_2, ..., P_k\} \quad (2)$$

The problem of determination of priority of implementation of IT projects of a portfolio consists in streamlining of elements of a set of P by criteria of G.

It is noted that there are some various methods of creation of complex criterion of G. In work Van der Merv as André [4] gave an example of use of a rating method at an assessment of priority of substations of the power system ESKOM. A lack of a method is subjectivity of expert judgments. The method of creation of complex criterion of G on the basis of a method of weighing is universal [3]. The complex criterion of G can be calculated as G_i – criteria ($i = \overline{1,k}$) with some scales of k_i [3]:

$$G = \sum_{i=1}^{k} k_i G_i \quad (3)$$

The weight of criterion is defined according to a criterion significance value at an assessment of IT projects of a portfolio. For calculation of a significance value of criteria most effectively to use a method of formation of a com-plex assessment on the basis of a method of the analysis of hierarchies (in case of hierarchical structure of criteria) or a method of the analytical networks (in case of the mutually influencing criteria) developed by Saati T. [9]. We will note that a lack of this method is the high labor input when developing pair estimates increasing with amount of the criteria used at an assessment [1]. However amount of the used criteria at an assessment of IT projects it is necessary to limit to amount of 8–12 criteria, irrespective of the chosen method of formation of complex criterion since at bigger amount of criteria the attention of the expert dissipates that as a result can lead to inexact results [9]. Thus, when determining complex criterion (priority of the IT project of a portfolio) most effectively is to use a method of analytical networks of T. Saati. The system of criteria [11] serves as the indicator of influence of the IT project of a portfolio on the most significant purposes of implementation of IT projects of a portfolio. In this case it is expedient to use the key indicators of efficiency (KPE, English Key Performance Indicator, KPI) defined when developing the Balanced system of indicators (the PROGRAM STATUS WORD, English Balanced ScoreCard, BSC), meeting abovementioned requirements [6].

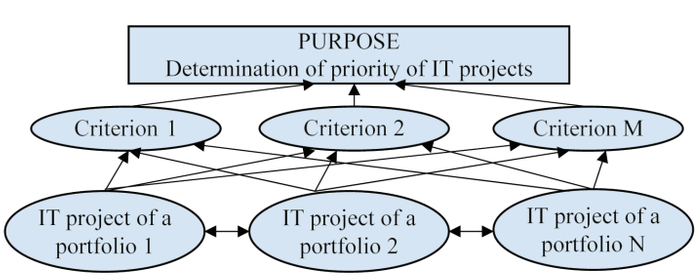

Figure 1. Structure of a problem of determination of priority of IT projects

At calculation of coefficients of priority of IT projects of a portfolio taking into account all indicators, in this article the method of the T.L analytical networks is used. Saati. The method of analytical networks defines extent of influence of several alternatives (IT projects) on the purpose of realization of a portfolio of IT projects, considering mutual influence between indicators, and also between IT projects.

We will describe structure of a problem of determination of priority of IT projects of a portfolio on the basis of the method of analytical networks (MAN) (Figure 1).

With use of a scale of the relations priorities of criteria concerning the purpose are established (c_m), $m = \overline{1,M}$, $\sum_{m=1}^{M} c_m = 1$ (Table 1).

With use of a scale of the relations priorities of alternatives in a section of criteria (IT projects of a portfolio) are established. Establishment of priorities consists in paired comparison of alternatives in a section of each criterion (Table 2).

It is necessary to establish mutual influence of criteria (Table 3).

The results received according to Table 1–3 register in a supermatrix (Table 4).

The received supermatrix (Table 4) needs to be given to a stochastic look. Resultant priorities of elements supermatrix turn out by construction of a stochastic matrix in limit degrees. The supermatrix, with the filled values in the following cells is as a result formed (crossing of the lines "IT Project 1", "IT Project 2", ..., "the IT project N with a column "Purpose"). The received values are coefficients of priority of IT projects ($koeff\_prior_i, i = \overline{1,N}$).

Model of distribution of the budget of a portfolio of IT projects

The analysis of results of the solution of a problem of effective distribu-tion of the budget of a portfolio of the IT projects received by the Russian and foreign scientists [1, 2, 7, 8, 12] is carried out. The solution of the designated task is under construction on the basis of optimization of the set criterion (for example, maximizing profit, minimization of the missed benefit) [2, 8, 12]. It is important to emphasize that application of the considered models in activity of the consulting IT companies, the characterized various works of each IT project of a portfolio on the specialization which is rigidly set by sequence of realization, is analytically difficult solved task [1, 2]. Therefore approximate or

Table 1

Priority of criteria concerning the purpose

PURPOSE	Criterion 1	Criterion 2	Criterion M	Eigenvector
Criterion 1	C_{11}	C_{12}	C_{1M}	C_1
Criterion 2	C_{21}	C_{22}	C_{2M}	C_2
Criterion M	C_{M1}	C_{M2}	C_{MM}	C_M

Table 2

Priority of Alternatives concerning criteria

PURPOSE	Criterion 1	Criterion 2	Criterion M	Eigenvector
Criterion 1	α^1_{11}	α^1_{12}	α^1_{1N}	$\frac{\sum_{i=1}^{N} a^1_{1i}}{\sum_{i=1}^{N}\sum_{j=1}^{N} a^1_{ij}}$
Criterion 2	α^1_{21}	α^1_{22}	α^1_{2N}	$\frac{\sum_{i=1}^{N} a^1_{2i}}{\sum_{i=1}^{N}\sum_{j=1}^{N} a^1_{ij}}$
Criterion M	α^1_{N1}	α^1_{N2}	α^1_{NN}	$\frac{\sum_{i=1}^{N} a^1_{Ni}}{\sum_{i=1}^{N}\sum_{j=1}^{N} a^1_{ij}}$

Table 3

Mutual influence of criteria

PURPOSE	Criterion 1	Criterion 2	Criterion M
Criterion 1	kr_{11}	kr_{12}	kr_{1M}
Criterion 2	kr_{21}	kr_{22}	kr_{2M}
Criterion M	kr_{M1}	kr_{M2}	kr_{MM}

heuristic algorithms which allow to receive near – optimum (admissible) decisions are applied to its decision. Besides, the designated models don't allow (shortcomings of models): to consider in a complex specified task, namely: to define a point of balance of each IT project of a portfolio on the basis of criteria of their profitability, compliance to strategic objectives, riskinesses, etc. which can be contradictory; to limit the admissible level of costs of implementation of each IT project of a portfolio. It can lead to a situation when the unjustified sum of financial means is spent for the low-profitable IT project. According to the shortcoming connected with complex consideration of a task, IT projects need to be considered not only in a cut of financial aspect. For example, the considered IT project can not have high value of an indicator of profitability, but have a great influence on increase of competitiveness of the IT company. Therefore at distribution of the general budget between IT projects

Table 4

Supermatrix for determination of priority of IT projects

	Purpose	Criterion 1	Criterion 2	Criterion M	IT pr. 1	IT pr.2	IT pr. N
Purpose	0	0	0	0	0	0	0
Criterion 1	C_1	kr_{11}	kr_{12}	kr_{1M}	0	0	0
Criterion 2	C	kr_{21}	kr_{22}	kr_{2M}	0	0	0
Criterion M	C_M	kr_{M1}	kr_{M2}	kr_{MM}	0	0	0
IT project 1	0	$\frac{\sum_{i=1}^{N} a^1_{1i}}{\sum_{i=1}^{N}\sum_{j=1}^{N} a^1_{ij}}$	$\frac{\sum_{i=1}^{N} a^2_{1i}}{\sum_{i=1}^{N}\sum_{j=1}^{N} a^2_{ij}}$	$\frac{\sum_{i=1}^{N} a^N_{1i}}{\sum_{i=1}^{N}\sum_{j=1}^{N} a^N_{ij}}$	1	0	0
IT project 2	0	$\frac{\sum_{i=1}^{N} a^1_{2i}}{\sum_{i=1}^{N}\sum_{j=1}^{N} a^1_{ij}}$	$\frac{\sum_{i=1}^{N} a^2_{2i}}{\sum_{i=1}^{N}\sum_{j=1}^{N} a^2_{ij}}$	$\frac{\sum_{i=1}^{N} a^N_{2i}}{\sum_{i=1}^{N}\sum_{j=1}^{N} a^N_{ij}}$	0	1	0
IT project N	0	$\frac{\sum_{i=1}^{N} a^1_{Ni}}{\sum_{i=1}^{N}\sum_{j=1}^{N} a^1_{ij}}$	$\frac{\sum_{i=1}^{N} a^2_{Ni}}{\sum_{i=1}^{N}\sum_{j=1}^{N} a^2_{ij}}$	$\frac{\sum_{i=1}^{N} a^N_{Ni}}{\sum_{i=1}^{N}\sum_{j=1}^{N} a^N_{ij}}$	0	0	1

of a portfolio it is necessary to consider priority of IT projects of a portfolio, the implementation of IT projects reflecting the comprehensive detailed analysis of conditions. For the purpose of an exception of the above shortcomings the following model to distribution of financial means to i-y the IT project of a portfolio is offered (F_i):

$$F_i \le \frac{(1 + koeff\_prior_i) * D_i}{\sum_{i=1}^{n}(1 + koeff\_prior_i)D_i} * Z_{\text{общ}} \quad (4)$$

where D_i – income from realization of i-y of the IT project of a portfolio; i – number of the IT project, $i = 1,n$; n – number of IT projects of a portfolio;

$koeff\_prior_i$ – coefficient of priority of i-y of the IT project of a portfolio; $Z_{общ}$ – the general expenses allocated for realization of a portfolio of IT projects.

Example of application of a technique of priority of IT projects

As an example the portfolio of IT projects consisting of three IT projects is considered. For convenience of data presentation criteria are numbered the order defined in Table 5:

Table 5

Numbering of criteria

Name of criterion	Number of criterion
Income from implementation of the IT project	1
Size of costs of implementation of the IT project	2
Risk of refusal of implementation of the IT project from the customer	3
Extent of influence of the IT project on increase of competitiveness of the IT company	4
Term of implementation of the IT project	5
Time of implementation of the IT project = IT project Amount of works / Maximum quantity of a manpower	6
Experience of introduction typical in relation to the considered IT project	7
Risk of failure to complete of the IT project in view of competence of experts from the performer	8
Degree of compliance of the IT project to strategic objectives of the IT company	9
Satisfaction of a manpower	10

Priorities of criteria concerning the purpose of realization of a portfolio of IT projects, priority of IT projects in a section of each criterion, mutual influence of criteria and IT projects are established (according to Table 3). The received results are reflected in a supermatrix which is given to a stochastic look and is built in limit degree (Table 6).

As a result of construction of a supermatrix in limit extents (Table 6) coefficients of priority of IT projects (crossing of the lines "IT Project ...", and a column "Purpose" are calculated) ($koeff\_prior_i\ i = \overline{1,n}$).

Taking into account the found coefficients of priority of IT projects of a portfolio the budget of a portfolio between IT projects is distributed ($Z_{общ}$ =520 000 rubles), considering the income (D_i), received from their realization (Table 7).

Table 7

Income from implementation of IT projects of a portfolio

	IT project 1	IT project 2	IT project 3
Income (rub.)	370 000	720 000	190 000

At distribution of the budget the distribution formula is used (4). The fol-lowing results (Table 8).

Table 8

Income from implementation of IT projects of a portfolio

	IT project 1	IT project 2	IT project 3
Expenses (rub) without priority coefficients	150 312,50	292 500,00	77 187,50
Expenses (rub) taking into account priority coefficients	133 684,50	320 351,40	65964,19

Thus, the budget of a portfolio of IT projects is distributed between them taking into account not only the income from implementation of the IT project, but also other criteria, important for the IT company.

Conclusion

The analysis of results of the solution of a problem of effective distribu-tion of the budget of a portfolio of the IT projects received by the Russian and foreign scientists showed that, as a rule, at distribution of financial resources in a portfolio the model of optimization of the set criterion is used (for example, profit maximization, minimization of duration of realization of a portfolio). The specified models are analytically difficult solved. Besides, they don't allow: to consider in a complex specified task, namely: to define a point of balance of each IT project of a portfolio on the basis of criteria of their profitability, com-pliance to strategic objectives, riskinesses, etc. which can be contradictory; to limit the admissible level of costs of implementation of each IT project of a portfolio. It can lead to a situation when the unjustified sum of financial means is spent for the low-income IT project. In this regard, in this article it is offered at the solution of a problem of effective distribution of financial means to use the developed model of distribution of the budget of a portfolio of IT projects taking into account their priority. Application of the developed mathematical model of distribution of the cumulative financial means allocated for realization of a portfolio of IT projects between IT projects taking into account their prof-itability and priority, allows to carry out IT projects within admissible expens-es adjusted for their priority, therefore, not to allow unjustified costs of im-plementation of separate IT projects of a portfolio.

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Table 6

The Resultant supermatrix for determination of priority of IT projects

	Purpose	Cr 1	Cr 2	Cr 3	Cr 4	Cr 5	Cr 6	Cr 7	Cr 8	Cr 9	Cr 10	IT pr. 1	IT pr.2	IT pr.3
Purpose	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Criterion 1	0	0,01	0,01	0	0	0	0	0	0	0	0	0	0	0
Criterion 2	0	0,01	0,01	0	0	0	0	0	0	0	0	0	0	0
Criterion 3	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Criterion 4	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Criterion 5	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Criterion 6	0	0	0	0	0	0	0,01	0	0	0	0,01	0	0	0
Criterion 7	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Criterion 8	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Criterion 9	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Criterion 10	0	0	0	0	0	0	0,01	0	0	0	0,01	0	0	0
IT project 1	0,253	0,18	0,17	0,19	0,25	0,36	0,26	0,14	0,17	0,37	0,26	1	0	0
IT project 2	0,543	0,69	0,67	0,48	0,50	0,50	0,46	0,57	0,50	0,47	0,48	0	1	0
IT project 3	0,204	0,12	0,14	0,32	0,25	0,14	0,26	0,29	0,33	0,16	0,26	0	0	1

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МОДЕРНИЗАЦИЯ

МОДЕЛЬ РАСПРЕДЕЛЕНИЯ БЮДЖЕТА ПОРТФЕЛЯ ИТ-ПРОЕКТОВ С УЧЕТОМ ИХ ПРИОРИТЕТНОСТИ

Анита Витаутасовна Сотникова

Аннотация

Статья посвящена проблеме эффективного распределения общего бюджета портфеля между ИТ-проектами, входящими в его состав, с учетом их приоритетности. Обозначенная проблема является актуальной ввиду невысоких результатов деятельности консалтинговых компаний в сфере информационных технологий.

Для определения приоритетности ИТ-проектов используется метод аналитических сетей, разработанный Т. Саати. С целью применения данного метода разработана система критериев (показателей), отражающих влияние ИТ-проектов портфеля на наиболее значимые цели реализации ИТ-проектов портфеля. В качестве системы критериев использованы ключевые показатели эффективности, определяемые при разработке Сбалансированной системы показателей, которые удовлетворяют вышеперечисленным требованиям. Суть метода аналитических сетей заключается в попарном сравнении ключевых показателей эффективности относительно цели реализации портфеля и ИТ-проектов, входящих в состав портфеля. Результатом использования метода аналитических сетей являются коэффициенты приоритетности каждого ИТ-проекта портфеля, которые используются в предложенной модели распределения бюджета портфеля между ИТ-проектами. Таким образом, бюджет портфеля ИТ-проектов распределен между ними с учетом не только дохода от реализации каждого ИТ-проекта, но и других важных для ИТ-компании критериев, например: степень соответствия ИТ-проекта стратегическим целям ИТ-компании, определяющая целесообразность реализации ИТ-проекта; срок выполнения ИТ-проекта, определяемый заказчиком. Разработанная модель распределения бюджета портфеля между ИТ-проектами апробирована на примере распределения бюджета между ИТ-проектами портфеля, состоящего из трех ИТ-проектов. С учетом полученных коэффициентов приоритетности ИТ-проектов портфеля и предложенной модели распределения бюджета портфеля был перераспределен допустимый объем затрат на каждый ИТ-проект. Это позволило более корректно распределять выделенный для реализации портфеля бюджет, следовательно, позволило избежать необоснованных затрат при реализации ИТ-проекта портфеля.

Ключевые слова*: портфель ИТ-проектов, метод аналитических сетей, коэффициент приоритетности.*

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COUNTERMEASURE FOR MINIMIZE UNWANTED ALARM OF AUTOMATIC FIRE NOTIFICATION SYSTEM IN THE REPUBLIC OF KOREA

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Abstract

In this article investigated the cause of error through survey to building officials for minimizing the unwanted alarm of automatic fire notification and suggested countermeasure for minimizing the unwanted alarm. The main cause of the unwanted alarm is defective fire detector, interlocking with automatic fire detection system, lack in fire safety warden's ability, worn-out fire detect receiving system. The countermeasure for minimizing unwanted alarm is firstly, tightening up the standard of model approval, Secondly, interlocking with cross-section circuit method fire extinguishing system or realizing automatic fire notification system interlocking with home network, thirdly, tightening up licensing examination of fire safety warden, lastly, it suggested term of use rule of fire detect receiving system.

Keywords: *automatic fire notification system, automatic fire detection system, cross-section circuit method, home network, fire safety warden.*

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In this article investigated not only cause of the errors via an analysis of frequency from Dec. 1st,. 2014 to Dec. 30th., 2014 against total 400 firefighters such as 200 firefighters in the Seoul metropolitan city and the local metropolitan city, and also 200 firefighters in each province by carrying out the questionnaires for the person concerned with building that the automatic fire notification system has been installed in order to minimize some malfunctions of the automatic fire notification system, but also this study has suggested it's countermeasures for the sake of some malfunctions of the automatic fire notification system.

1. The analysis of the questionnaires against the person concerned with the automatic fire notification system.

Table 1

The results of the questionnaires

Questionnaires	Headcount	Percentage (%)
1. Have malfunction instances of automatic fire notification system in building existed or not?	400	100
Malfunction instances have existed.	232	58
② Malfunction instances one have never existed.	168	42
2. If malfunction instances have existed, have how many times of malfunction occurred yearly?	400	100
Once-twice	192	48
② Thrice-4th.	88	22
③ 5th – n 6th.	52	13
④ 7th. Over	68	17

Table continuation 1

3. When you activate the automatic fire notification system, What should we do?	400	100
□ First of all, keep an eye on whether fire breaks.	348	87
□ First of all, we should report to a fire station.	28	7
□ We should interrupt a power source of the automatic fire detect receiving system.	16	4
□ We should receive help from neighborhood residents.	8	2
4. In case that malfunction of the automatic fire detect receiving system was confirmed, what is the measures that we should take?	400	100
We should interrupt to supply power source of the automatic fire detect receiving system.	24	6
② We should restore to the original state by a self-inspection.	256	64
③ We should receive help from firefighters by reporting some fire occurrence to a regional fire station.	24	6
□ We should take a proper measures by keep in touch with The fire fighting facilities management enterprise.	96	24
5. In case that the automatic fire detect receiving system is operated, what idea comes to mind first?	400	100
□ And also malfunction of the automatic fire detect receiving system was generated, because someone touched with hands.	88	22
□ The unbelievable automatic fire detects receiving system.	20	5
□ How do we tranquillize some astounded persons?	204	51
□ We should do alternate it with a new product.	88	22
6. What do you think of main causes of malfunction of the automatic fire detect receiving system?	400	100
On account of the aged deterioration of the automatic fire detect receiving system, malfunction is occurred.	180	45
② A fire safety warden is likely not to manage the fire protection system well.	56	14
③ Malfunction of the automatic fire detect receiving system is also attributable to a low-priced product.	56	14
□ The reason is attributable to a shoddy and fault construction of a certain fire protection facilities construction company.	60	15
□ Etcetera.	48	12
7. What are indispensable particulars for the purpose of malfunctioning prevention of the fire detect receiving system?	400	100
Performance improvement of the fire protection system.	128	32

End table 1

□ Professional education that is aimed at the parties concerned.	96	24
□A shoddy and fault prevention of the fire protect on system.	48	12
□ Thorough management of a certain fire protection facilities management company.	84	21
□ Introduction of the aged deterioration system for the product.	44	11
8. What is your frank opinion about the automatic fire notification system?	400	100
We think that the automatic fire notification system is not necessary.	12	3
□ The automatic fire notification system is indispensable.	304	76
□ We think that the automatic fire notification system should be managed and controlled, should be included in home network.	72	18
□ We think that the automatic fire notification system is wasteful.	12	3

Data report: Extracted from Cheon Il Ryeon etc. (2014)

2. Countermeasures to minimize malfunction of automatic fire detect receiving system.

Malfunction cause and countermeasures to minimize malfunction that is based on questionnaires aimed at the persons concerned in building that the fire detect receiving system was installed is as follows:

Table 2

Malfunction cause and the countermeasures to minimize malfunction of the automatic fire notification system

Malfunction cause	Countermeasures to minimize malfunction
Defects of fire sensors.	Criteria reinforcement for type approval Of the fire sensors.
Interlocking with the automatic fire detection system.	Interlocking with the fire extinguishing system of cross-section circuit method.
	Embodiment of the automatic fire detects receiving system that was interlocked with home network.
Ability shortage of fire safety warden.	Strengthening of a qualifying examination for a fire safety warden.
Deterioration of the automatic fire detects receiving system.	Regulation of Service life for the fire detects receiving system.

Data report: to be arranged on the basis of a questionnaire survey that is aimed at the persons concerned in building

2.1. Criteria reinforcement for type approval of the fire detector.

In case that the fire detect receiving system functions, notwithstanding that a fire safety warden should take a measure for the sake of the fire extinguishing, notification, evacuation, the persons who keep an eye out immediately whether fire actually occurred first of all occupied not only 78%, but also occurrence of malfunction occupied 22% because someone handled the fire detect receiving system, and the persons who should take the tranquilizing measures occupied 51%. These facts are grasped as phenomena that are appeared by increasing of malfunction rates of the automatic fire detect receiving system owing to the faulty sensor that receives the signal fire. It is necessary to prepare how to decrease malfunction rates by improving the high quality of the fire sensor, strengthening the type approval standard of the fire sensor as a complementary countermeasure.

2.2. Interlocking with gas type fire extinguishing system of cross-section circuit method.

The automatic fire notification system can decrease malfunction due to the fire sensors via system improvement to be interlocked with the existing automatic fire detection system. Whenever only a fire sensor is functioned, in case that only one sensor function, after the sensor circuit method is interlocked with the fire protection system such as the automatic fire detection system and preaction sprinkler system, gas type fire extinguishing system, when more than 2 sensor circuit was functioned, it is necessary to decrease malfunction that is occurred because of the fire sensor by telecommunicating fire signal to the automatic fire detect receiving system after altering to the method that telecommunicate fire signal[4].

2.3. Embodiment of the automatic fire notification system that was interlocked with home network.

Opinions that performance of the fire protection system should be improved in order to prevent malfunction of the automatic fire notification system was the most as 32%. Because the existing automatic fire notification system is functioned by receiving fire signals from the automatic fire detection system, it is difficult to secure reliability for fire[5]. In a questionnaire survey, just like 18% of respondents respond that should be included to home network. The existing automatic fire detection system is necessary to judge accurately whether actual fire was occurred or not, interlocking with the video camera images as a security system in order to receive the fire warning signal via heat sensors and smoke sensors of the existing automatic fire detection system [6].

2.4. The qualifying examination strengthening of the fire safety warden.

In case to be confirmed that the automatic fire notification system was malfunctioned, ratio to be restored according to self investigation and the way how the concerned persons handled the situation is the most as 64%, and ratio that measures are taken contacting to fire-fighting facilities management company was investigated as 24%, but the meaning of self-investigation mean level degree that block out power source of the automatic fire notification system, and capability that can grasp it's cause and cope with itself seems to be insufficient[7]. Fire safety

warden operate the automatic fire notification system and should carry out jobs such as composition of the initial response system, operation and management, education, evacuation shelter's facilities, fire compartment and maintenance management of fire-prevention system, but job performance of fire safety warden is grasped to be low[8]. And also opinions that professional education for the concerned persons in order to prevent malfunction of the automatic fire notification system is necessary occupy a large numbers as 24%. Therefore it is necessary to strengthen theory-centered education, decision of the success or failure from a written examination, fire notification, problems for shortage of evacuation course, practical service centered education, alteration from assessing methods to theory and practical training, fire notification and evacuation course as educational course[9].

2.5. Regulations on a service life of the automatic fire notification system.

Opinions that main cause of malfunction of the automatic fire notification system is occurred on account of deterioration of facilities are the most as 45%. In case of the current automatic fire notification system, once the current automatic fire notification system is installed, unless someone build a new building, and also before the building demolition, because the cases that the automatic fire notification system continue to be maintained are plenty of, the cases that be reluctant to alternate on account of cognition as so-called unnecessary facilities and consumption of high cost, although alternation is necessary is occurred [10]. Therefore regulating a service life enough to be criteria of the automatic fire notification system, the deteriorated automatic fire notification system is necessary to enforce by defining by law so that the regular alternations for the automatic fire notification system may are achieved. In conclusion, as a countermeasure for minimization of malfunction, firstly, reinforcement of the type approval standard for the sake of quality improvement of fire sensors, secondly, instead of interlocking method with the automatic fire detection system, interlocking with gas type fire extinguishing system of the cross-section circuit method or embodiment of the automatic fire notification system to be interlocked with home network, thirdly improvement reinforcement of a qualifying examination for fire safety warden, fourth, regulation on service life of the automatic fire notification system for the sake of alternation of the old facilities and so on are necessary.

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МОДЕРНИЗАЦИЯ

СОВРЕМЕННЫЕ МЕРЫ ПО МИНИМИЗАЦИИ ЛОЖНЫХ СРАБАТЫВАНИЙ ОБОРУДОВАНИЯ АВТОМАТИЧЕСКОЙ ПОЖАРНОЙ СИГНАЛИЗАЦИИ В КОРЕЕ

Гон Хасон

Аннотация

В настоящем исследовании в целях минимизации ложных срабатываний оборудования автоматической пожарной сигнализации в результате проведения опроса среди управляющих зданиями и частотного анализа определяются причины ошибок и предлагаются меры по минимизации ложных срабатываний. Основными причинами ложных срабатываний являются брак в пожарных датчиках, синхронизация с автоматическими системами обнаружения пожара, недостаточность навыков ответственных за пожарную безопасность, старение автоматических пожарных извещателей и т.п. В качестве мер по минимизации ложных срабатываний предлагаются, во-первых, ужесточение нормативов утверждения моделей пожарных датчиков, во-вторых, синхронизация с системами пожаротушения по методу перекрестного замыкания или реализация оборудования автоматической пожарной сигнализации, синхронизированного с домашней сетью, в-третьих, ужесточение квалификационных экзаменов для ответственных за пожарную безопасность, в-четвертых, определение сроков использования автоматических пожарных извещателей

Ключевые слова: *автоматическое устройство по оповещению при пожаре; устройство автоматического определения; метод перекрестного замыкания ; домашняя сеть; ответственный за пожарную безопасность.*

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ОРГАНИЗАЦИОННО-ЭКОНОМИЧЕСКИЕ ПРОБЛЕМЫ СОЗДАНИЯ НОРМАТИВНОЙ БАЗЫ СТРАТЕГИЧЕСКОГО ПЛАНИРОВАНИЯ В РОССИИ

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Аннотация

В статье рассматриваются направления совершенствования государственного стратегического планирования в Российской Федерации. Показано, что основной задачей его дальнейшего развития является создание нормативной базы планирования, сформулированы основные принципы ее организации. Сделан вывод о зависимости уровня достоверности показателей федеральных целевых программ от качества (точности) используемой в расчетах исходной информации. Предложен комплекс первоочередных организационно-экономических мероприятий по дальнейшему развитию в России нормативной базы стратегического планирования.

Ключевые слова: *долгосрочные прогнозы и концепции, среднесрочные и годовые планы, уровни планирования развития народного хозяйства, межотраслевой баланс производства и распределения продукции, методы расчета индивидуальных норм расхода ресурсов (расчетно-аналитический, опытный и отчетно-статистический), нормы и нормативы расхода ресурсов, основные принципы создания нормативной базы стратегического планирования.*

Для ссылки: *Мишин Ю. В. Организационно-экономические проблемы создания нормативной базы стратегического планирования в России // МИР (Модернизация. Инновации. Развитие). 2015.Т. 6. № 2. Часть 2. С. 27–31.*

В настоящее время в России существуют доставшиеся от СССР большие диспропорции между группами отраслей тяжелой (группа А) и легкой (группа Б) промышленности. Поэтому ряд важнейших товаров Россия вынуждена закупать по импорту. В условиях общего мирового кризиса и введенных ЕС, США и другими странами против Российской Федерации санкций нашей стране необходима мобилизация внутренних ресурсов для осуществления своего дальнейшего развития. Одним из возможных направлений решения данной проблемы является переход к государственному стратегическому планированию.

Планирование, как известно, является естественной и необходимой функцией любого государства, поскольку без него невозможна реализация ни одной крупной научно-технической и социально-экономической проблемы (проекта).

При этом процесс стратегического планирования заключается в разработке и организации выполнения федеральных целевых программ развития отраслей, автономных республик, краев, областей и т.п., принятых на три и более лет. Оно является важным инструментом обеспечения планомерности развития экономики, ее сбалансированности и пропорциональности, а также повышения эффективности общественного производства за счет эффективного выбора наиболее рациональных путей и способов решения поставленных задач.

Сегодня стратегическое планирование в Российской Федерации обладает рядом существенных недостатков, главными из которых, являются: изолированность процессов разработки различными ведомствами отдельных стратегических и программных документов, несогласованность важнейших параметров программ (показателей) как между собой, так и с их финансовым обеспечением. Принятые в последнее время на законодательном уровне решения предусматривают создание лишь некоторых элементов системы стратегического планирования. При этом в них основной акцент делается на процедуры разработки органами исполнительной власти соответствующих методических документов [1, 5].

В качестве направлений дальнейшего развития в России системы стратегического планирования Глазьев С.Ю. предлагает установление интерактивных процедур разработки долгосрочных прогнозов и концепций, среднесрочных программ и индикативных планов достижения согласованных и утвержденных целей развития. Для их эффективной реализации им предлагается также законодательно устанавливать методы и механизмы контроля и ответственности всех участников стратегического планирования за выполнение согласованных планов и мероприятий [4].

В определенной степени «революционным» представляется его предложение об установлении вы-

шестоящей организацией для создающих конкурентоспособные на мировом рынке производства корпораций и агентств целевых показателей работы.

По мнению ряда авторов, для того, чтобы стратегическое планирование в Российской Федерации перенести из «протокола о намерениях» в практическую плоскость, необходимо дополнить действующие методические документы (в первую очередь федеральный закон № 172-ФЗ «О стратегическом планировании в Российской Федерации»). Смирнова О.О. выделяет в качестве первоочередных направлений работ по развитию государственного планирования в Российской Федерации подготовку необходимой методологической базы – концепции и методологии стратегического планирования, поскольку, по ее мнению, опыт и публикации по подобным масштабным разработкам в отечественных научных изданиях отсутствуют.

Для этого она предлагают следующий минимальный перечень необходимых методологических и концептуальных разработок:

- обоснование системы целеполагания и принципов формирования стратегических целей;
- распределение функций и порядка взаимодействия органов государственной власти;
- реализация принципов организации и функционирования системы стратегического планирования;
- определение порядка осуществления стратегического планирования;
- обоснование основных подходов к системе балансовых расчетов стратегического планирования.

Представляется наиболее научно-обоснованным и системным предложение С.Ю. Глазьева по стратегическому планированию, учитывающим как все виды планов (долгосрочные прогнозы и концепции, среднесрочные программы и индикативные планы достижения согласованных и утвержденных целей развития), так и процедуры контроля и ответственности всех его участников за выполнение.

Предложения О.О. Смирновой во многом носят организационно-распорядительный характер, акцентируют внимание на целях, принципах организации, функциях, порядке взаимодействия органов государственной власти в процессе стратегического планирования. При этом рассматриваются вопросы только долгосрочного прогнозирования, а проблемы среднесрочного и годового планирования игнорируются. Поэтому за скобкой оставлены организационно-методические вопросы увязки и детализации долгосрочных планов с показателями среднесрочных программ и годовых планов экономического и социального развития. В них также отсутствуют предложения по контролю и ответственности участников процесса стратегического планирования за результаты своей деятельности. Во многом предложения автора отражают ведомственную позицию Совета по изучению производительных сил (СОПС) Минэкономразвития России и РАН.

Можно выделить, как минимум, три функциональных уровня планирования развития народного хозяйства. Первый – народное хозяйство в целом, межотраслевой и межрегиональный, второй – отраслевой обобщенный и третий – конкретный отраслевой.

На первом уровне формируется динамика развития народного хозяйства в целом на базе определения обобщенных, агрегированных показателей и общих критериев социально-экономического развития страны. Отрасль на данном уровне представляется как часть единого народнохозяйственного комплекса. На этом уровне осуществляется в соответствии с выбранной политикой сбалансированного развития экономики России распределение по отраслям материально-технических ресурсов и капитальных вложений.

На втором уровне производится обобщенное отраслевое планирование по более детализированной системе технико-экономических показателей. Например, в отраслевых планах (программах) капитальных вложений система показателей должна отражать все этапы воспроизводства основных фондов и производственных мощностей: общую потребность в капитальных вложениях с учетом их технологической и воспроизводственной структуры, продолжительности воспроизводственных процессов, пропорции развертывания строительной программы во времени и концентрацию ресурсов в строительстве; экономическую эффективность капитальных вложений.

В целях составления конкретных планов производства продукции, по труду, материально-техническому обеспечению и капитального строительства, необходимо перейти на третий уровень планирования, на котором осуществляется их более детальное планирование. На этом уровне производится определение объемов производства в натуральном и стоимостном выражении на базе детализированной номенклатуры выпускаемой продукции, численности ППП в разрезе специальностей и материально-технических ресурсов. В плане капитального строительства в свою очередь содержится перечень конкретных объектов на строительных площадках с указанием календарных сроков, а также источниках поставки строительных материалов.

Нормативная база является механизмом оценки сбалансированности производства и потребления продукции, позволяющим обеспечить экономию материальных ресурсов и организацию их рационального использования на базе внедрения достижений научно-технического прогресса. Нор-

мативная база должна содержать нормы и нормативы, относящиеся ко всем трем уровням. Особое при этом внимание следует уделять сопряжению различных уровней планирования между собой.

Основным инструментом обеспечения согласования главных народнохозяйственных пропорций, а также намечаемых темпов роста и пропорций развития важнейших отраслей (народного хозяйства в целом) с объемами требуемых ресурсов, является межотраслевой баланс.

Построение межотраслевого баланса производства и распределения продукции должно осуществляться на базе системы прогрессивных нормативов расхода ресурсов. В состав данной системы входят как коэффициенты прямых затрат материальных ресурсов (среднеотраслевые нормативы расхода материальных ресурсов на производство того или иного вида продукции), так и коэффициенты фондоемкости (для определения необходимого объема капитальных вложений) и трудоемкости (для определения объема требуемых трудовых ресурсов) продукции.

Норма, как экономическая категория, представляет собой предельно допустимую, среднюю или оптимальную абсолютную величину затрат живого и овеществленного труда на единицу физической меры производственной работы или выпускаемой продукции, установленную на основе учета передовых достижений науки, техники и передового опыта в области организации производства и труда.

В свою очередь норматив представляет собой предельно допустимую, среднюю или оптимальную пропорцию, относительную величину использования живого и овеществленного труда, сформированную на основе учета передовых достижений науки, техники или передового опыта в области организации производства и труда. Они могут также быть заданы в виде параметров, устанавливающих ориентиры деятельности отраслей, подотраслей, регионов и хозяйствующих субъектов (предприятий и организаций).

Нормы, фактические значения которых формируются в материальном производстве, более оперативно реагируют на изменения в уровне производительных сил, и по мере развития технологии и организации производства они вступают в конфликт с утвержденными нормативами, требуя их адекватного пересмотра. В свою очередь нормативы влияют на уровень прогрессивности норм, что создает необходимые предпосылки для повышения эффективности производственно-хозяйственной деятельности предприятий, отраслей и народного хозяйства в целом.

Таким образом, можно сделать обоснованный вывод о том, что нормы и нормативы, являясь важными элементами механизма сознательного использования экономических законов, действуют одновременно и в диалектической взаимосвязи. Как экономические категории они не должны отождествляться, и, тем более, противопоставляться друг другу.

Нормирование родилось не на пустом месте. Оно было характерно и для более ранних стадий развития общества. К. Маркс отмечал значение нормы при анализе мануфактурного производства: «Мануфактурное разделение труда не только упрощает и разнообразит качественно различные органы общественного совокупного рабочего, но и создает прочные математические пропорции для количественных размеров этих органов... Вместе с качественным расчленением оно развивает количественные нормы и пропорции общественного процесса труда» [1]).

Особое развитие нормирование получило в условиях социалистического хозяйствования, при котором разработка норм и нормативов проводилась централизованно и последовательно на всех уровнях управления народным хозяйством. Нормы и нормативы использовались в качестве эффективного инструмента управления экономикой, основанном на разработке материальных балансов производства и потребления продукции, централизованном ценообразовании и распределении национального дохода страны.

Осуществляемый в настоящее время переход на инновационное развитие экономики России требуют разработки научных подходов к нормированию расхода ресурсов. Научно- обоснованные нормативы и рассчитанные на их базе нормы затрат всех ресурсов являются информационной основой для планирования его расхода. Разработка нормативной базы стратегического планирования должна базироваться на следующих основных принципах [2]:

- единых методов ее формирования для всех уровней и горизонтов планирования;
- прогрессивности – отражения устойчивой тенденции снижения удельных затрат материальных ресурсов на производство единицы продукции;
- научно-технической обоснованности за счет учета в нормах достижений научно-технического прогресса, передового опыта в области организации производства, а также ряда других факторов;
- систематической корректировке в соответствии с изменениями в процессе производства, обусловленными влиянием научно-технического прогресса;

[1] Маркс К. Капитал. М.: Госполитиздат, 1963. С. 35.

• обеспечения сопоставимости формируемых на различных уровнях управления норм и нормативов.

При этом для их определения использовались следующие методы: расчетно-аналитический, опытный и отчетно-статистический (табл. 1).

Таблица 1

Сравнительная оценка методов расчета норм расхода материальных ресурсов в промышленности

Метод	Методический подход	Исходная информация	Область применения
Расчетно-аналитический	Технико-экономические по-элементные расчеты	Рабочие чертежи, конструкторские спецификации, рецептуры, технологические регламенты и т.д.	Нормирование расхода основных материалов
Опытный	Замеры фактического расхода ресурсов в опытно-производственных (опытно- лабораторных) условиях), обработка полученных результатов	Данные замеров расхода материальных ресурсов и объемов произведенной продукции	Нормирование расхода вспомогательных материалов
Отчетно-статистический	1.Устойчиво достигнутая величина удельного расхода материальных ресурсов за отчетный год корректируется на основании данных лучших предприятий и показателей эффективности организационно-технических мероприятий. 2. На основе данных устойчиво достигнутых значений удельных расходов материальных ресурсов за ряд прошлых лет формируется интервальный ряд динамики, на основе которого методами экстраполяции определяется уровень ряда. Полученные данные также подлежат обязательной корректировке	Статистическая и бухгалтерская отчетность о фактическом расходе материальных ресурсов на единицу продукции (удельный расход)	Нормирование расхода недорогих и редко потребляемых материалов

Как следует из содержащейся в таблице информации, для получения индивидуальных норм расхода материальных ресурсов в промышленности требуется достаточно обширная исходная информация, включающаяся в себя: конструкторско-технологическую документацию (рабочие чертежи, конструкторские спецификации, рецептуры, технологические регламенты), результаты замеров расхода материальных ресурсов и объемов выпущенной продукции, а также статистическую и бухгалтерскую отчетность.

Относительно простым и «быстрым» методом определения индивидуальных норм расхода, является отчетно-статистический метод, использующий в качестве источника исходной информации статистическую и бухгалтерскую отчетность. В настоящее время отчетность о фактическом расходе материальных ресурсов на единицу продукции в России отсутствует. Ежеквартально предприятия представляют в налоговую инспекцию и вышестоящую организацию только 2 формы: «Бухгалтерский баланс» (форма № 1) и «Отчет о финансовых результатах» (форма № 2). Состав форм годовой бухгалтерской отчетности несколько больше и помимо данных форм, включает также отчеты об изменении капитала, движении денежных средств и целевом их использовании.

Исходя из этого, представляется, что основной проблемой дальнейшего развития стратегического планирования в РФ является создание его нормативной базы. Поэтому, мягко говоря, удивляет мнение рада авторов, утверждающих, что главной причиной низкого уровня стратегического планирования, является отсутствие принятой его методологии. Не отрицая значения и важности этих вопросов, позволим лишь только заметить, что наличие совершенной «продвинутой» методологии, не позволяет проводить плановые расчеты, поскольку для этого нужна объективная исходная информация (интегрированная информационная база). Главной причиной недостаточного уровня стратегического планирования в России, по нашему мнению, является его низкое информационное обеспечение. В результате этого уровень достоверности (точности) показателей федеральных целевых программ достаточно невысок, что приводит к существенному занижению сроков и объемов требуемых для их реализации средств федерального бюджета.

Однако сегодня восстановление «старой советской» системы государственного нормирования в силу ряда причин нецелесообразно и невозможно. Во-первых, нормативы являлись инструментом регламентации использования всех видов трудовых, производственных, материальных и финансовых ресурсов во всех звеньях производственного процесса за счет их нормирования. В «Основных положениях по нормированию расхода и запасов сырья и материалов в производстве» (утвержденных Постановлением Госплана СССР от 12 декабря 1978 г. № 177) в качестве принципа создания нормативной базы даже устанавливался принцип всеобщности, предполагающий нормирование всех видов сырья, материалов и их запасов [2].

Во-вторых, изменившаяся экономическая ситуация требует совершенно иных подходов к организации этой деятельности, поскольку государство не может прямым образом регулировать и влиять на деятельность коммерческих предприятий.

В-третьих, в эпоху СССР работами по нормированию расхода ресурсов (сбором и обработкой исходной информации) на отраслевом уровне занимались многочисленные научно-исследовательские институты, проектно-сметные бюро и нормативные станции. А на межотраслевом - анализом и обобщением полученной информации - НИИ при Госплане СССР, Госстрое СССР, Госснабе СССР. В настоящее время в Российской Федерации отсутствуют специальные структуры, которые ранее разрабатывали все виды норм и нормативов на базе единых методических указаний государственных органов управления экономикой СССР, тем более что таких указаний не существует.

Организация нормативной базы стратегического планирования представляет собой сложный, длительный и дорогостоящий процесс. Для ее создания только в первичном звене хозяйственной системы – для предприятий и организаций необходимо разработать методические указания, методики, инструкции и регламенты, справочники и классификаторы, прейскуранты цен и номенклатур – ценников, технические условия и стандарты, а также создать необходимое информационное и программно- математическое обеспечение.

Несмотря на существенные затраты на создание нормативной базы планирования, они обладают значительной экономической эффективностью. Так, например, в 1975 году в результате проведения организационно-технических мероприятий только в машиностроении и металлообработке экономия проката черных металлов составила более 15% , или около 6 млн. тонн. Реализация резервов экономии материалов в строительстве позволила достичь экономии металлопроката в размере 9,7%, цемента – 8,2 % и лесоматериалов – 28%. [6].

В целях дальнейшего развития стратегического планирования в России, по – нашему мнению, представляется необходимым осуществить комплекс следующих первоочередных организационно-экономических мер.

1. Минэкономразвития РФ разработать и утвердить в Правительстве РФ федеральную целевую программу разработки нормативно-методической обеспечения стратегического планирования и его нормативной базы. Финансировать работы необходимо из защищенных статей федерального бюджета России.
2. Создать на базе одного из существующих НИИ (ОАО «Институт микроэкономики», НИИ макроэкономических исследований либо СОПС) центр по организации и разработке нормативной базы стратегического планирования. В государственных корпорациях определить ответственных исполнителей по первичной обработке и обобщению информации – НИИ, КБ, а в подведомственных им предприятиях организовать для сбора информации специальные подразделения.
3. Министерству экономического развития РФ установить используемую для целей стратегического планирования номенклатуру важнейшую видов продукции (с учетом импортозамещения) и материальных ресурсов.

Госкомстату России ввести специальную отчетность для предприятий и организаций с государственной формой собственности или с его участием, а также хозяйствующих субъектов, участвующих в выполнении федеральных целевых программ, производстве продукции для государственных нужд о фактическом расходе важнейших видов материальных ресурсов на единицу важнейших видов продукции.

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UNIVERSITY INNOVATION INFRASTRUCTURE MODEL AS A KEY PART OF A TERRITORAL CLUSTER

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Abstract

Over the recent decades there have been increasing efforts by developing countries to reduce the economic gap between developed and developing countries. Asian and Northern European countries demonstrate good progress in these areas. Sweden, Denmark, China show stable high economic indicators that have been achieved by targeted government programs. These programs were aimed at creating a new type of economy based on knowledge and new technologies. Given the success of these countries, a number of developing countries, whose economies are dependent on resources, today, are looking to repeat their way; those countries are Russia, Indonesia, Brazil and Chile. The modernization of the economy and the formation of innovative economy are key objectives of the state policies of these countries. The research by leading economists and scientists led to the conclusion that the regional level of national economy plays a key role in formation of knowledgebase economy, which indicates the need to differentiate the innovation policy of the state depending on the economy parameters of each region.

This paper presents a model of the first stage of the formation of the entrepreneurial university - University innovation infrastructure model, which is a key part of a territoral cluster. The article consists of five parts. The first part covers the analysis of the two main models of regional development: clustering theory and Triple Helix. This section describes a positive result, which is achieved by using these models simultaneously. The second part of the article shows the importance and the role of the entrepreneurial university in the formation of innovative clusters. It will be explained how and under what conditions this formation is achieved.

The third part of this paper will present University innovation infrastructure model. The fourth part will examine the practical first steps to create a cluster "Vorob'evi Gori" on the basis of the Moscow State University. The fifth, final part contains the main conclusions of the article and the next steps in the investigation of this subject.

Keywords: *clusters, infrastructure, integration, entrepreneurial university, university-industry links (UIL).*

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Regional development concept

Currently, there can be distinguished two dominant concepts of regional development:

- The cluster concept, based on the relationship of a number of organizations;
- Triple Helix Model.

1. The cluster concept

Clusters are becoming one of the key tools of innovative ecosystems. They are aimed at strengthening the links between the main participants: business, science, education, business associations, etc., which in turn leads to the strengthening of the position of participants in the market. As a result, the finished product is competitive and leads to the development of the region and the country as a whole.

Cluster policy is gaining popularity both abroad and in Russian regions. The most striking examples in Europe are: Austria (Styria), Germany (North Rhine-Westphalia (BioRegio InnoRegio), Italy (Veneto), France (Competitiveness Clusters), in Asia: Singapore, Indonesia.

A. Marshall and M.Porter are considered to be the ancestors of the cluster theory. At the end of XIX century, Alfred Marshall described in his work "Principles of economic science" relationship between efficiency and geographical localization of production, having urban agglomerations and industrial districts as an object of his study. Michael Porter introduced the theory of competitiveness and a romb model of its assesment ("diamond model"), in his book "Competitive advantages of nations» (Porter, 1990.)

Over time, the interest in the study of clusters increased. There are several classifications of the clusters. This article will provide an analysis of formation of innovative and territorial clusters only. They are mainly defined as follows: "Innovation clusters means groupings of independent undertakings – innovative start-ups, small, medium and large undertakings as well as research organisations – operating in a particular sector and region and designed to stimulate innovative activity by promoting intensive interactions, sharing of facilities and exchange of knowledge and expertise and by contributing effectively to technology transfer, networking and information dissemination among the undertakings in the cluster. Preferably, the Member State should intend to create a proper balance of SMEs and large undertakings in the cluster, to achieve a certain critical mass, notably through specialisation in a certain area of R&D&I and taking into account existing clusters in the Member State and at Community-level [1]."

2. Triple Helix Model

In recent years, the unique Triple Helix theory uniting the state with universities and business communities is winning more and more supporters. The main idea of TH theory is the presentation of the university which in future becomes the main institution of a knowledgebase society. Industrial corporations as the basis of society, capitalistic or socialistic, are looked upon as the dominant force of community organizations during production of goods and services. As a result, each stage of innovative product development features cooperations between certain institutions. At the initial level of generation of knowledge it is the government and the university which cooperate, then, during technology transfer, the university cooperates with business, and finally, it is the business together with the government who bring the product to the market. Thus, the product is developed and promoted spirally. Integration among institutional spheres of universities, companies and government while fulfilling each other's functions along with their own, suggests a creative approach to organizational process development, which in turn becomes the reason of the appearance of various organizational innovations.

In the scientific world, there is criticism of Triple Helix (TH) theory, aimed at the lack of theoretical background of the modal, such as:

1. Inability to do quality measurement of results when applying TH (Drobot 2009).
2. Failure to account for the specifics of the countries where TH is to be used.
3. Vague mechanisms of achieving cooperation among science, business and government.

Some of the answers to these questions can be found in the combination of two models of regional innovation development: clusters and TH; they do not contradict, but rather complement each other. Clusters can be created and used as a hybrid organizational format of interaction of universities, business and government, and the TH model can be a tool of regulation among cluster members.

Role of an entrepreneurial university in the formation of innovative clusters

The cluster includes research organizations, universities and colleges, which supply specialists, as well as new knowledge, ideas and technologies that underpin the competitiveness of cluster members. Universities are key players in TH theory according to which it is important to maintain communication with students after graduation, as they are intermediaries between university science and business.

Building of high-tech clusters and creation of business environment can best be achieved by the development and support of strong universities, which attract talented students, and higher educational programs, as well as the presence of highly qualified faculty.[Botot S., Satincky D. 2011]

Market conditions lead to the fact that in recent years the university begins to act as an entrepreneurial organization. Universities cooperate with industry organizations, do joint research [Bokov L.A., 2011]. Researchers receive budgetary funds on the condition of having an agreement with industry partners, interested in the research results. In this chain there is a positive factor that the studies are more likely to be in demand as they interest business.

[1] [http://www.innoviscop.com/en/definitions/innovation-clusters]

This trend is becoming increasingly popular; the confirmation is the creation of knowledge-based companies at universities within clusters. These include the spin -in, spin-out, spin- offs.

Table 1

Classification of high-technology (innovative) enterprises based on Triple Helix of Innovations Model

Organizational forms of high-tech enterprises	Name of a hi-tech enterprise in hi-tech business	Sphere of business (startups) of high-tech enterprises
Small innovation business	Spin-in, spin-out, spin-off	University (scientific) field
Medium and big innovation business	Hi-tech, making foreign direct investments (active and passive) of high-tech level	Government
	High-tech enterprises of military- industrial, defence complex of the country	Business

Source: composed by the author T. Pospelova

Thus, universities are involved in the process of cluster formation, so theoretical study and practical implementation of present day forms of knowledge-based companies formed in university environment becomes possible [Shaimieva E.SH, 2011]. As a result, there is a change inside universities: traditional universities are transformed into entrepreneurial [Pospelova 2012].

The entrepreneurial university is the next step after the implementation of a model of a research university, which will create a new balance between science, education and innovation in business. This in turn requires the creation of a strategic plan for the development of the necessary mechanisms and processes of modernization of university management. When forming an entrepreneurial university, the strongest field or program of the university needs to be chosen.

H. Etzkowitz identified the following features of the entrepreneurial university:

- Increase the volume and provide a world-class basic and applied research
- Ensure integration of entrepreneurial activity in the daily academic work of the university and participate in the development of the region
- Demonstrate commitment to the formation of hybrid organizational formats in interaction with business and government.

Formation of an entrepreneurial university is a unique process; there is no single universal phased model that guarantees results. The experience of existing entrepreneurial universities shows that the first major step in forming innovative universities is building infrastructure.

Further, the analysis of university innovation infrastructure as a fundamental element in the formation and development of the entrepreneurial university cluster will be presented.

University innovation infrastructure model

The key purpose of university innovation infrastructure model formation and development is to modernize the university in the direction of effective use of the results of intellectual activity (RIA) established in the university, in accordance with the model of entrepreneurial university. It seems that a harmonious university innovation infrastructure model incorporates all five elements required for the transformation towards an entrepreneurial university proposed by B.Clark, namely: strengthened steering core, enhanced development periphery, discretionary funding base, stimulated academic heartland, integrated entrepreneurial culture [1].

The general university infrastructure model of the entrepreneurial university, which is part of the innovation cluster, consists of following elements (Fig. 1).

A. Foresight center in priority spheres of science-technical and socio-economic development

Research, scientific and technological development of the University is the basis for further innovation and entrepreneurship, the development of new technological solutions, products and services - assumes the constant foresight as a part of university everyday functioning. Under foresight we shall identify the technic of critical thinking in the direction of long-run development, which enables to develop the long-run trends in the priority fields of science and technology, that can be formed into tasks for researchers and developers.

Obviously, the implementation of foresight, forecasting activity in the University can not be performed at the same high quality level in all universities interested in the development of innovation and entrepreneurship. Thus, there are three basic approaches to implement this task in the University:

1. University as an industry forecasting center for the scientific, technological and socio-economic development.

[1] Clark, B.R., 1998; Clark, B.R., 2004.

Table 2

Main features of entrepreneurial universities

Capitalization	Knowledge is created and spread to be implemented into practice and disciplinary development. Capitalization of knowledge becomes the base of economic and social development, and as a result, increases the role of a university in society.
Interdependence	An entrepreneurial university actively cooperates with business and government.
Independence	An entrepreneurial university is a relatively independent enterprise; it is not a structure established by other instituions, neither it is dependent on them.
Intermixture of forms	Conflict resolution between independence and interdependence principles led to the occurance of hybrid organizational forms, which are able to reach both goals at the same time.
Reflexivity	Due to continuous renovation of internal structures of the university and its relationship with business and government, there is a constant redevelopment of their relationship with the university.
Commercial interest	Universities should aim at commercial interests and use market experience.

Source: composed by the author T. Pospelova

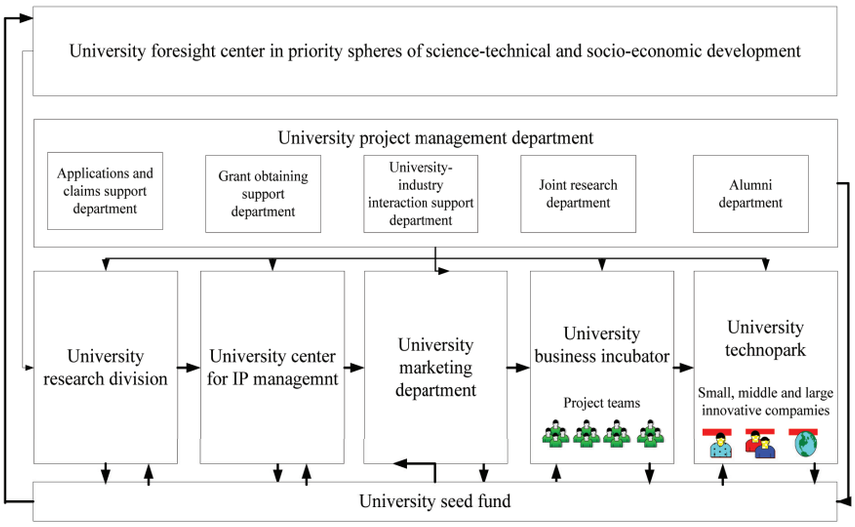

Fig. 1. University infrastructure model of the entrepreneurial university

Source: "Russian universities innovation infrastructure model organization", PhD, A. Engovatova, 2013

2. University as a performer within the trend set by the industry forecasting center.
3. University as a developer of products and services within selected areas of science-technical and socio-economic development.

B. University project management departments

The modern post-classic university, which is characterized by the parallel development of education, research and entrepreneurial functions, is a successful participant of regional and national economic development. The efficiency of the post-classic university largely depends on project activity management, fulfilled by different university departments.

The strengthened steering core must include both representatives of University administration (rectors, vice-rectors, deans, heads of central units) and the major scientific, educational and research departments: departments, faculties, laboratories and research institutes. Proposed is the allocation of three levels of responsibility for the harmonious and efficient development of project activities within the University. A central coordination of project activities, as in the interests of the University as a whole and for individual structural units initiating different projects, is allocated at the first and highest level. Leadership at this level is exercised directly by the rector, as well as by vice-vector and deans. In the second, average level of responsibility the key approaches and projects regulations are developed, the general conditions for their successful implementation are being carried out, the monitoring and reporting on all areas of project activities is being fulfilled. This is carried our by the heads of the departments directly involved in the project. Finally, on the third level of responsibility the working group of the project is located, which includes representatives of the scientific and educational departments of the University, project managers, possibly representatives of other organizations cooperating within the current project.

University project management assumes development of the following departments within the university:

1. application and claims support department (technical and information aid for the university employees);
2. grant obtaining support department. In addition, the department provides information and methodological support the University staff,

asa well as students and postpraguates on opportunities to participate in domestic and international projects and grant programs;

3. university-industry interaction support department. The department also initiates various forms of joint activities with the domestic business sector, major customers within the business community;
4. joint research department;
5. alumni department.

C. University center for IP management

The University center for IP management supports innovators within the University in terms of licensing their inventions and selling the licenses to companies. The Centre also generates the knowledge base of support re: patents, technical knowledge, exclusive/ non-exclusive license, etc.

Key goals for the University center for IP management are:

1. development of the university policy in the field of IP managament, with special inner standarts and regulations;
2. detection of the eligible and potentially appropriable university R&D results at the earliest stages;
3. development of the IP management strategies for the RIA, created within the University;
4. procedures of the legal protection of the RIA;
5. help with the formation of University spin-offs, with intangible assets based on University patents;
6. license development, to be granted to external companies, based on University patents;
7. organization of mentor programs, roundtables, workshops devoted to the problems of IP protection, special training programs.

D. University marketing department

Change of the University role in the society, research and innovation activity development within the University, high level of 'university – business community' interaction, increasing competition among universities – all of these changes lead to the development of a comprehensive system of marketing activities in the Universities.

This activity aims to embellish the image of the University, both locally and internationally (like PR activity); inform the general public about the achievements of the University, its scientists, students, alumni; if possible, position the University as an innovation hub. All these would improve the University's position in different university rankings (THE, QS, ARWU), attract more attention from high school graduates, companies, and potential clients for the research projects, and joint ventures.

Key goals for the University marketing department are:

1. awareness formation among the faculty staff, postgraduates, students, business partners of the University about the most promising areas of research through direct interaction with the Foresight center in priority spheres of science-technical and socio-economic development;
2. marketing support of the University R&D (with formed IP management strategy only). Marketing support includes following strategies:

- to identify a potential market; market research (volume, growth potential, key competitors and their shares); pricing analysis; sales forecasting, identification of market share; product/service promotion; assistance in making a presentation for investors.

3. informing the business community about the new University R&D developments, University new research fields, to ensure university-industry cooperation based on grant finance or other forms of contracts, e.g. Industry Sponsored Research. This task is carried out by organizing regular events in the form of roundtables, workshops and so on., to which representatives of industry companies, seed and venture capital funds, companies are invited (e.g. cooperation based on kaggle.com ideology);
4. the organization of the university Innovation Cup, where University start-ups compete. The jury is formed of experts from the business community, marketers, VCs. The Cup winning team is given the opportunity to become a student business incubator resident; other teams may receive funding from seed fund (University or external), and attract the attention of the venture community.
5. development of various training programs for students, university staff, in order to increase their knowledge and skills in the field of market analysis, product positioning and promotion and so on. The task is carried out by organizing lectures, workshops, seminars and roundtables with presentations of success stories, masterclasses from the business community experts etc.

E. University business incubator

The Incubator serves to facilitate entrepreneurial activities within the University. It connects young entrepreneurs, experts and potential investors in efforts to fulfill innovative ideas by providing resources and support at the initial stage of business (seed and start-up).

The essence of the Universtiy business incubator development is in formation of a specific area where talented students, entrepreneurs, experts and potential investors can interact most efficiently.

Business Incubator provides various services to the future companies, existing now in a form of University team with a viable idea on seed or start-up development stage, for them to be able to overcome the so-called "death valley" before receiving their first income. The time period for the companies to be incubator residents must not exceed 1,5 years.

Key goals for the University business incubator are:

1. 'resupply' of the project teams with all the necessary specialists (e.g., from the number of students / postgraduates / University staff / database of professionals interested in cooperation with the University);
2. formation of favorable conditions for the development of innovative ideas that involves donation of a certain package of services (legal, accounting, financial, marketing, accounting); accommodation for the teams, and provision of all the necessary equipment (from tables to printers to landlines to wireless access to the meeting room); implementation of the direct interaction with an engineering center in which, if necessary, the prototype of the future product innovation will be developed.
3. complex projects administration, project approach trainings, the development of business models and business plans for University start-ups;
4. the organization of the contest for the graduates (former residents) of the business incubator. The jury is formed of experts from the business community, marketers, VCs. The contest winning teams are given the opportunity to become residents of the Universtity technopark;
5. establishment of communication with potential investors (representatives of venture capital funds, business angels), potential partners for the development of projects and future customers of the innovation products;
6. providing project financing (by obtaining investment from University seed fund, grants and subsidies under various programs, federal-regional-local programs, private funds, venture and equity finance etc.);
7. involvement of students, postgraduates of the university and its partners in the design and creation of high-tech products as part of a business incubator project, which requires the maintenance of a database.

F. University research division

The university research division serves to provide collective use of equipment and prototyping in research activities, and thus to intensify and advance experiments using a modern technological basis. Another advantage of this structure is that it allows a concentration of high professionals and scholars in one unit.

Key goals for the University research division are:

1. the collective use of research multifunctional complexes, which leads to a cumulative increase in the efficiency of its use;
2. growth in the efficiency of the implementation of research project by University teams (consisting of students, postgraduates and University professors), small innovative companies;
3. liaise with different laboratories, research and educational centers, business incubator, technopark and other objects of the innovation infrastructure of the University;
4. creating conditions to keep talented young people (postgraduates/students) in research and science spheres, creating conditions for the development of their skills.

G. University technopark

The technopark serves to form the territorial innovative environment. It creates the image growth point due to diversification and deindustrialization of the local economy, facilitation of high-tech business and the development of small and medium business, all of which contribute to the profit growth in local and regional budgets. Regional and federal governments support the development of technoparks. The University can be a sole founder or it can develop a technopark in conjunction with the local administration and/or big business, venture capital fund, or a bank/financial institution.

Technopark provides the residents with certain infrastructure:

1. office space with all the necessary equipment for work, internet, telecommunications, meeting and conference rooms;
2. overall capacity in form of laboratories equipped with the necessary equipment for research and computing;
3. significant total area space (like Idea Lab), where residents can communicate in free form with each other, learn about each other developments, offer some solutions over a cup of tea (not the format of the dining room). The presence of such areas is to maximize synergies from joint ventures of innovative companies that, in fact, is one of the main tasks of the Technopark. To confirm the need

for such Idea Lab serves the study "Managing the flow of technology" by Tom Allen, in which the probability of interaction between two people is a function of the distance separating them: at a distance greater than 50 feet (15.2 m), the probability does not exceed 7% [1];

4. exhibition areas;
5. printing center;
6. social infrastructure: parking, dining areas, cafe, fitness center, ATM.

Key goals for the University technopark are:

1. the development of high-tech business, creating conditions for the development of interaction with the medium and large businesses on the industrial profile of the University, the involvement of faculty staff into innovative entrepreneurship;
2. providing resident companies with the entire spectrum of services needed (legal, marketing, accounting, finance, engineering) - both on its own and through established contacts with various innovation infrastructure objects of the University and the region (University research division, marketing department, University IP management center, venture funds and other institutionl investors);
3. the establishment and development of cooperation with local, state and federal authorities, joint implementation of investment, innovation programs, creating an image of region growth point;
4. the establishment and maintenance of information resources to hepl inform the Technopark residents;
5. assistance in the development of international cooperation of the University with foreign partners (together with other objects of University innovation infrastructure), assistance in the organization of conferences, roundtables, public seminars, trade shows and so on.;
6. development of effective social infrastructure, including parking, dining, cafe, fitness center, ATM's – as well as the convenient geographical location of the Technopark.

H. University Seed Fund

The fund serves to provide initial investments for promising University projects and small companies at initial (seeding) stages. In order to receive funds, a project or a company should pass the selection process and be legally registered. The companies also should have teams of qualified employees, business plans and prototypes.

University seed fund is filled, first and foremost, with the help of additional revenue generated from innovation, entrepreneurship activity of the University, secondly, from funds transferred by alumni (on a charitable basis), and thirdly, by the University-business collaboration. In particular, the funding sources are generated from the University project activities (grants, externally financed research, alumni donations), earnings from the University center for IP management operations (royalties, sale of patents, paid research for the external users), earnings from the University research division operations (paid research for the external users), earnings from the University marketing department (paid market research for the external users), earnings from the University business-incubator (paid services for the external project teams), earnings from the University technopark (paid services for the external project teams).

Key goals for the University seed fund are:

1. the organization of innovation competitions of the University with relevant expertise within which projects and teams will be selected for further cofinancing;
2. implementation of co-financing of selected University start-ups;
3. evaluation of financial resourses spent by the University project teams and start-ups.

The innovation policy of Lomonosov Moscow State University and the increase of innovative activity. The practical part

In the articles The process of formation of entrepreneurial university in Russia [Ivashchenko N.P., Pospelova T.], Building the Entrepreneurial University Lomonosov Moscow State University was used as an example to present a detailed analysis of innovative initiatives at MSU since 1990. Currently, MSU operates the following infrastructural facilities that contribute to innovative activity and involvement of the university in cooperation with the business community:

- Department of Economics of Innovation (2007);
- Business Club of the Department of Economics of Innovation of Moscow State University (2009);
- MSU Business Incubator with the support of the Department of Economics of Innovation (2010);
- Laboratory of business innovation and entrepreneurship InnovationStudio (2010);
- PRE.incubator for school children, with the support of the Department of Economics of Innovation (2011);
- Creation of Center for Innovation consulting of MSU (2011);

[1] Morris L., 2009

- Establishment of the Centre of National Intellectual Reserve and Fund "National Intellectual Development" (CNIR / FNIR) (2012);
- Establishment of the center of the bioeconomy and eco-innovation (2013).

Being in close proximity, the centers form a system. The results of the work and cooperation of these centers have proven their effectiveness, which led to the launch of the ambitious and expensive project of the establishment of scientific technological cluster "Vorob'evi Gori" on MSU territories [1]. In December 2013 at a meeting of the Board of Trustees of MSU the Dean of MSU Viktor Sadovnichii revealed the content of their plans for this project:"In the territory of about 100 hectares, we plan to combine various facilities into a single multidisciplinary cluster; this will include the laboratories conducting fundamental research and experiments and implementing innovative products and experimental production in priority areas of scientific and technological development of our country. All this is placed in a specially constructed and equipped buildings, pavilions and laboratories. This is the first project of such kind in the history of Russian university education."

Among the planned objects of scientific innovation infrastructure are:

- A biomedical cluster with a certified vivarium;
- A laboratory of prototyping and tests for medicine and pharmacy;
- A cluster of nanotechnology and new materials with a separate clean room unit;
- A laboratory for creation of nanomachines;
- A cluster of information technology, mathematical modeling of high-performance computing;
- A cluster of robotics technology and special purpose machine engineering;
- A cluster of space research with a center of operative space monitoring, monitoring the asteroid hazard;
- A cluster of Earth Sciences, study of the use of land reseources and environmental projects.

Thus, in the near future an unprecedented for Russia project on the development of university innovation environment will be fulfilled; it will promote the involvement of university science in particular, into the work of the scientific and technological clusters. This project will be partially based on theoretical models of clusters, entrepreneurial universities and innovation infrastructure. The experience of leading countries will be implemented. The scientific and technological cluster "Vorob'evi Gori" will present a systematic approach to the construction of clusters and will promote an acquisition of a new role by the university in this case.

The main conclusions of this study are that the use of such models of regional development as the cluster theory and triple helix model in combination with each other gives an additional effect. Clusters can be created and used as a hybrid organizational format of cooperation between universities, business and government, and the TH model can be a tool of regulation among cluster members.

The study identified new functions of the universities, if they are involved in the formation of the cluster. In this context, universities are transformed into entrepreneurial ones.

Following conclusions were made in the article regarding the implementation of the first stage of entrepreneurial universities creation - the formation of innovation infrastructure. Formation and development of the University innovation infrastructure model is a basic assumption for effective integration of universities within the framework of the cluster and its sustainable functioning as a full and largely key member of the cluster. In our opinion the general University innovation infrastructure model, acting in accordance with the principles of the entrepreneurial university, formed by B.Clark, and developed within the framework of the cluster and Triple Helix concepts will include the following divisions:

1. University foresight center in priority spheres of science-technical and socio-economic development
2. University project management departments
3. University center for IP management
4. University marketing department
5. University business incubator
6. University research division
7. University technopark
8. University seed fund

For all the divisions the key goals were provided.

The further research assumes the application of the University innovation infrastructure model, proposed in this article, in the process of Science and Technology Cluster "Vorob'evi Gori" development.

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МОДЕЛЬ ОРГАНИЗАЦИИ ИННОВАЦИОННОЙ ИНФРАСТРУКТУРЫ ВУЗОВ КАК КЛЮЧЕВОЙ ЭЛЕМЕНТ РАЗВИТИЯ НАУЧНО-ТЕХНОЛОГИЧЕСКИХ КЛАСТЕРОВ В РОССИИ

Н. П. Иващенко, Т. В. Поспелова, А. А. Энговатова

Аннотация

В статье проанализирована роль инновационной инфраструктуры отечественных вузов в развитии научно-технологических кластеров. На основе анализа двух моделей регионального развития: теории кластеров и теории "Тройной спирали" – доказана необходимость развития предпринимательской функции в университетах. Представлены первые инфраструктурные практические шаги по развитию научно-технологической долины на базе МГУ имени М.В. Ломоносова.

Ключевые слова*: кластер, инфраструктура, предпринимательский университет, научно-производственная интеграция.*

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TO A QUESTION OF THE PURPOSES, TASKS OF IMPLEMENTATION OF INTERNAL CONTROL IN THE CREDIT ORGANIZATIONS AND IN THE BANK OF RUSSIA

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Abstract

Article is devoted to comprehensive consideration and the characteristic of the purposes and tasks of the multi-level internal control exercised in Bank of Russia, to a procedure and creations of internal control, in article the interrelation of the purposes and components of internal control is traced, the control environment as one of the main a component of internal control is analyzed, powers of subjects of internal control are in detail stated. The attention is paid to control consideration as management functions, the developed list of the principles of creation of internal control and its types – preliminary, current and subsequent is provided.

Keywords: *an internal control system, an effective management system, management decisions, check, the controling mechanism, the purposes, the principles and tasks of internal control, functioning of mechanisms of economic and management processes, factors of the control environment, components of an internal control system, risk management, monitoring, powers in the sphere of internal control.*

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Formation of the market relations and development of infrastructure in Russia promotes forming of an internal control system on the basis of the conventional principles to which much attention is paid. Nevertheless, foreign methodologies contain the general principles and approaches in which, certainly, features of national economy, creations of business relations and the domestic legislation aren't considered. Besides, their interpretation and the characteristic, implementation problems in the domestic legal doctrine, and also use strongly depend on the translation level, and also a scope. So, for example, difficulties appear in case of aspiration of rapprochement of a conceptual framework in the sphere of control and auditing activities in the domestic legal doctrine with the international terminology. Therefore creation of internal control systems taking into account risk - the oriented approaches adapted for conditions of the national organizations using the corresponding methods and control procedures, taking into account implementation of the foreign advanced approaches and rules of law is actual.

Today the Bank of Russia carries out a complex of works on development of an internal control system, in 2008 the Provision No. 333-P "About internal control in Central Bank of the Russian Federation" was developed (1), the applied determinations, characteristics in the specified provision in many respects are conformable to the processes happening in the state financial bodies and institutes managing financial and tangible assets.

Now questions of the effective organization of work in system of Bank of Russia purchase even more significant relevance. It is connected with development of interrelations between divisions, investment of Bank of Russia with the status of the megaregulator, emergence of new divisions in system of Bank of Russia, growth of amounts of the processed information, expansion of a circle of the carried-out transactions and enhancement of a regulatory framework on the main activities, and also with need of development and use of modern information technologies, specialized program complexes and means of communication.

At the same time, idea of creation of an internal control system as some western specialists try to present it, for Central Bank of the Russian Federation and the banking sector of the Russian Federation it is impossible to call new, borrowed only from the international recommendations and foreign practice. Internal control in Bank of Russia, being an integral part of an operating and management activity, it was performed always. For example, accomplishment of

orders of the head, an expenditure of money, cash transactions constantly are under close attention. The question of adequacy of internal control to the risks inherent in activities of Central Bank, and its efficiency from the point of view of goal achievement and accomplishment of a role of body of the cash power in the conditions of the so-called developing market environment is actual.

Now there is a large number of the different publications devoted to the characteristic of internal control systems in commercial banks in which the risks peculiar to the Central Banks combining in the activities of function of body of monetary control and traditional bank, and also economic transactions aren't reflected.

As on the first place in activities of Central Bank functions on protection and ensuring stability of ruble, development and strengthening of a national bank system, ensuring effective and smooth functioning of a payment system are pushed, and profit earning isn't its purpose, both tasks, and the risks accepted by its structural divisions differ substantially from the risks inherent in commercial banks. For maintenance of the status and authority Central Banks aim to avoid mistakes and the related losses.

Critical consequences for Central Banks are both excessive costs and possible losses, and risk of loss of business reputation as these institutes are an example for all financial system.

The mentioned Provision No. 333-P which determined Basic Elements of an internal control system plays a significant role in forming of the modern control environment in Bank of Russia. However not unimportant documents in its determination is also the Federal law of 10.07.2002 No. 86-FZ "About Central Bank of the Russian Federation (Bank of Russia)", the Provision of Bank of Russia of 29.07.1998 No. 46-P "About territorial offices of Bank of Russia" (2) as determine functions and tasks of structural divisions of Bank of Russia, namely efficiency and quality of functioning of an internal control system depend on that how correctly and qualitatively they are carried out in each division, and that how is provided a procedure of procedures of internal control of Bank of Russia by each separate division.

Correct determination of necessary stages and procedures of internal control in each link of structure of Bank of Russia will give an effective internal control system in general. Therefore consideration of an order of determination and the organization of an internal control system for separate division becomes an important and actual task.

The internal control system in Bank of Russia is understood "as organized set which joins subjects of internal control, the directions of internal control covering questions of the organization of activities of divisions of Bank of Russia, distribution of powers and observance of restrictions, monitoring of internal control, and also the procedures of internal control performed by subjects of internal control according to their competence" (3).

The first and important point in the organization of an internal control system for division is determination of the control environment, statement and filling of concepts and categories the characteristic depending on the assigned functions and the carried-out tasks (4). And the most important is consideration of the term of internal control from a line item of activities of this division, filling and a role of subjects of control, and also determination of such concept as "approach risk events".

Statement of main objectives, tasks and the principles is necessary for determination of the organization of internal control.

For example, internal control in division can be exercised for achievement of the following purposes:

- accomplishment of the functions and other powers determined by standard and other acts of Bank of Russia;
- compliance with the law of the Russian Federation, standard and other acts of Bank of Russia, including organizational and administrative documents;
- accomplishment of conditions of agreements, quarter plans, and also other programs, road maps and other (regarding belonging to activities of a certain division);
- increase of efficiency of activities, including ensuring economic use of resources;
- safety of property and other values;
- timely creation of accounting (financial) records, taking into account inclusion in it of reliable data;
- prevention or timely identification and risks assessment, inherent in activities, ensuring acceptance of adequate measures for their decrease to admissible level;
- providing external and internal users with reliable (objective), adequate and timely information taking into account requirements of information security.
- others.

Goal achievement of internal control requires creation of the following tasks:

- control of accomplishment of orders and solutions of a management (including decisions of the commissions, working groups), accomplishment of work plans, identification of the changes requiring introduction of adjustments in activities (transactions);
- control of goal achievement and accomplishment of the tasks determined by internal documents (orders, provisions, regulations, etc.);

- control of distribution of responsibility, powers and accountability;
- control of observance of procedures of safety of property and other values, a target and economic expenditure of resources in case of activities implementation;
- control of compliance of activities (including actions of workers) to requirements of standard and other acts of Bank of Russia, organizational and administrative documents, (including to the arisen contractual relations with partners);
- control of compliance of all types of information to the established requirements, including requirements of information security;
- monitoring of compliance of the internal documents regulating activities of division, to requirements of standard and other acts of Bank of Russia, organizational and administrative documents;
- monitoring of the organization of internal control, implementation of actions for remedial action in internal control of division;
- other tasks accompanying the purposes.

Accomplishment of tasks is performed by the subjects of internal control determined within the organization of an internal control system at the level of division, within the competence in relation to the chosen objects of internal control.

Creation of the organization of internal control in division shall be performed according to the following basic principles:

- responsibility of heads;
- continuity of internal control;
- an orientation of internal control on risks;
- adequacy of information, information systems and technical means of telecommunication;
- harmony of internal control;
- timeliness and synchronism of internal control;
- dokumentirovannost of internal control.

The list of the principles of the organization of internal control and their content are provided in Table 1.

Table 1

Basic principles and their content

№	Name of principles	Contain of principles
1	Responsibility heads	Consists in responsibility of heads of Department of all levels (the head of department managing sector) for the organization of activities and its results, the organization of internal control and ensuring its functioning, including implementation of monitoring of internal control
2	Continuity the internal control	Ensuring implementation of internal control on a fixed basis, including implementation of regular monitoring of risks by subjects of internal control and quality of the organization of internal control in Department. Acceptance of control measures for elimination of the revealed shortcomings and to improvement of implementation of internal control
3	Orientation of internal control on risks	Consists in ensuring risk management in activities of Department, and also control of observance of a risk management policy
4	Adequacy of information, information systems and technical means of telecommunication	Assumes availability necessary for acceptance of management decisions and implementation of internal control of reliable information in case of implementation of activities, transactions in Department
5	Harmony of the internal control	Use of procedures of internal control in enough in case of which costs for their implementation don't exceed benefit from their accomplishment, that is have no excessive character. Thus interests of maintenance of reputation of Bank of Russia and ensuring proper accomplishment of functions (those transactions which directly have impact on reputation of Bank of Russia) are priority in relation to costs for control
6	Timeliness and synchronism of internal control	- Establishment or change of requirements to the organization of internal control of the corresponding process (procedure) in case of change of process (procedures) of activities of Department based on regulations of Bank of Russia, other documents of the Siberian HD of Bank of Russia and/or Department. - Change of requirements to the organization of internal control can be performed in the following parameters: • refining of features of process of the organization of internal control; • refining of structure of subjects of internal control and the objects controlled by them (changes are made quickly in case of approval of other structure of Department); • refining of procedures of internal control and description of their content
7	records about internal control	Consists in fixing of the realized risks, development of organizational documents (rules) determining an activities order, the analysis of carrying out actions within internal control and risk management for the purpose of elimination of the revealed deviations and the prevention of their emergence in future, documentary confirmation of control procedures

The list of the principles of the organization of internal control can be other, added or disaggregated depending on the functions assigned to division and the carried-out tasks.

The most important stage in the organization of an internal control system at the level of division is distribution of responsibility and powers between subjects of internal control for the purpose of avoidance of a conflict of interest between subjects. Subjects of internal control perform the powers in accordance with the legislation of the Russian Federation, standard and other acts of Bank of Russia, organizational and administrative documents of territorial office of Bank of Russia, and also regulations on managements/departments/sectors, are guided in the activities by job descriptions and bear responsibility for implementation of the control functions assigned to them. As subjects of internal control all staff of division equally shall act, depending on the control functions assigned to them they can be named, for example:

- heads (head of department; head of department; managers of sectors);
- workers.

Thus for differentiation of powers it is important to assign responsibility to the head for:

- functioning, the organization and enhancement of internal control in management;
- sufficiency of the established procedures of control on elimination and prevention of the risks inherent in activities (the carried-out transactions);
- reliability of data on the realized risks, including informing on the revealed risks;
- implementation of monitoring and an assessment of internal control in management.

It is reasonable to assign responsibility to workers for:

- proper accomplishment of the functional job responsibilities fixed in job descriptions, in accordance with the legislation of the Russian Federation, by standard and other acts of Bank of Russia, organizational and administrative documents;
- implementation of procedures of internal control in the course of implementation of internal control within the obligations and powers.

The following stage of the organization of internal control at the level of division is distribution of powers between subjects of internal control. The specified powers can be determined by Regulations on management/department/sector, the job descriptions, internal documents regulating activities for the main areas of work of division, and also other internal documents.

Heads within the powers in the field of internal control can, for example:

- to perform planning of activities within the competence, including carrying out internal control on activities (the performed transactions), including to develop the internal documents regulating activities for the respective directions;
- to distribute obligations between workers, providing their interchangeability, and to provide their participation in internal control;
- to provide access for workers to the information and other resources necessary for accomplishment of job responsibilities by them (for example, access to resources is provided based on the statement on provision/change of access rights);
- to organize and control identification, an assessment and monitoring it is risk in the directions to the performed activities (the performed operations);
- to control completeness and timeliness of documentation and fixing of results of internal control in the directions to the performed activities (the performed operations);
- to observe system of coordination of documents and provide an adherence to deadlines of their coordination;
- to provide control of observance established by standard requirements of Bank of Russia, organizational and administrative documents;
- to assign if necessary control functions on implementation of procedures of internal control to the workers possessing the corresponding qualification, providing them with necessary resources and opportunities (including technical supply);
- to take measures for an exception of a conflict of interest in case of accomplishment of functional obligations by workers;
- to perform monitoring of changes of requirements of the legislation of the Russian Federation, regulations of Bank of Russia and organizational and administrative documents within the competence and to provide timely modification of organizational and administrative documents on activities in fixed terms (terms of modification of necessary documents are established by work plans taking into account regulations and requirements of the legislation);
- to provide taking measures to elimination of the violations and notes revealed during implementation of procedures of internal control to exercise control of accomplishment of the taken measures;
- to submit for consideration to higher heads of a suggestion for improvement of internal control and a risk management policy.

Workers according to the powers in the field of internal control:

- perform requirements of an internal control system, work according to job descriptions, the legislation of the Russian Federation, standard and other acts of Bank of Russia, other internal documents of division;
- observe system of coordination of documents and carry out an adherence to deadlines of their coordination;
- take part in identification of risks and carrying out the corresponding control procedures for their elimination (non-admission) in activities;
- timely inform the direct head on the elicited facts of violations of the law of the Russian Federation, standard and other acts of Bank of Russia, the caused damage to Bank of Russia, other risks, on abuse cases, violations of regulations of professional ethics and so on;
- perform registration of results of internal control on activities (the performed operations) in accordance with the established procedure;
- make suggestions for improvement of internal control and a risk management policy within the obligations assigned to them.

In case of implementation of internal control, and also for ensuring prevention or untimely identification of risks and remedial action in activities, the following main control methods can be used:

- supervision and inspection;
- inventory count;
- reconciliation (comparison);
- control recalculation;
- measurement and testing;
- other control methods.

In Bank of Russia the multi-level internal control system is organized. "Internal (control of the first (or operational) level is performed directly in divisions by heads and all workers. The second level provides additional control from divisions of internal control, other divisions and the supervising persons (for example, on the organization of internal control, record keeping, observance of rules of information security, regulations of labor protection and fire safety). The third level assumes checks (audit) and an independent quality evaluation of an internal control system by service of the chief auditor of Bank of Russia" (5).

Implementation of internal control within one division is determined by Bank of Russia as control of the first operational level which includes all temporary stages of its carrying out:

- a constant control (preliminary and current) behind the made transactions which is carried out throughout process of transactions (procedures) by subjects of internal control according to regulating documents of Bank of Russia, organizational and administrative documents;
- periodically the checks (the subsequent control) planned in advance in work plans or which are carried out in need of compliance with requirements of heads;
- provision of information on results of implementation of internal control to the corresponding head.

Each of the performed control types – the corresponding procedures contain preliminary, current and subsequent internal control.

1. Preliminary control – the procedures of internal control preceding making of transactions (including actions, to decision making) workers directed on prevention of the risks inherent in the made transactions.

Procedures of preliminary control include:

- availability and maintenance in an actual condition of the internal documents (provisions, orders, regulations, etc.) containing the carried-out transactions on activities according to standard and other acts of Bank of Russia, other documents;
- timely acquaintance of the workers managing sectors and the chief with the acts of Bank of Russia and other organizational and administrative documents relating to their job responsibilities, including questions of information security, and also regulating accomplishment of procedures of internal control;
- carrying out an assessment of legal legitimacy and economic feasibility of the made transactions for the purpose of prevention of actions,
- contradicting the legislation of the Russian Federation, standard and other acts of Bank of Russia, (including carrying out the tactical analysis at the choice of the partner, coordination of agreements, draft documents with legal department);
- coordination, vising of documents by managers of sectors, the head of department prepared by workers (including drafts of administrative documents, agreements and other documents);
- consideration and vising of the administrative documents prepared by structural divisions, and relating to activities;
- applications of procedure of authorization of transactions by imposing of the allowing visa of the responsible person;
- decision making on committees, the commissions if necessary.

2. The current control – the procedures of internal control which are carried out by employees of

division in case of implementation of transactions and directed on operational identification, elimination and reduction of the risks inherent in the made transactions.

Procedures of the current control include:

- control of observance of performing discipline and employment policies and procedures, including accomplishment by workers of the obligations established by job descriptions, orders of the direct head;
- control of reliability, correctness, completeness, objectivity and timeliness of creation and submission of the reporting and other information prepared within activities (including execution of terms of documents);
- Application of procedures of authorization of transactions by means of vising, coordination and signings of documents taking into account requirements for documentary providing and information security;
- carrying out checks of arithmetic accuracy of records, observance of limits and restrictions (including execution of an expense budget on content, estimates of capital costs), and also logical control, and implementation of a reconciliation of the data arriving from various sources of information (including from partners, mass media, information databases and other);
- control of justification of a target and economic expenditure of means;
- technological and metrological control;
- ensuring registration, proper accounting and registration of the property accepted on balance, including maintaining necessary technical documentation, comparison of the actual availability of property to accounting data and the reporting.

3. The subsequent control – the procedures of internal control which are carried out by employees of division after making of transactions and directed on identification, elimination and reduction of negative consequences of the realized risks inherent in perfect transactions.

Procedures of the subsequent control include:

- carrying out self-examinatione on activities according to job responsibilities, internal documents (the orders, provisions, regulations and other documents relating to activities) and work plans;
- carrying out the subsequent checks (including inventory counts) according to work plans, and also unscheduled inspections (if necessary) with registration of results of checks (by means of the reference, the act, the report or other document);
- carrying out assessment of performing discipline, quality and completeness of accomplishment of job responsibilities.

The procedures of internal control performed by workers can be determined by Regulations on divisions and job descriptions, and also other documents of Bank of Russia regulating activities of division.

In need of procedure of internal control are adjusted taking into account changes of the legislation of the Russian Federation, the standard and other acts regulating activities of Bank of Russia, the revealed (realized) risks.

In the organization of an internal control system the moment of documentation or fixing of procedures of internal control of the first level which provides confirmation of their implementation, and, if necessary, – receipts of proofs of proper implementation of procedures when carrying out monitoring of internal control is important.

Documentation and (or) other fixing of procedures of internal control (the realized risks and risk events) is performed in the way:

- putting down of marks about check, vising and (or) signings of documents in case of accomplishment of preliminary and current control;
- creation of references (acts, reports, reports) following the results of the carried-out subsequent inspections (in the day following behind day of making of the checked transaction or in day of completion of check);
- creation of the service record with appendix in need of other documents (an explanatory note, the reference, the act, etc.) in case of violation identification, detection risk event.

The most important point in forming of an internal control system is development of the Risk management policy of structural division.

Risk management policy (further – policy) is the package of measures and the procedures established by standard and other acts of Bank of Russia, organizational and administrative documents which characterize process of identification and a risks assessment in the activities allow to choose and apply methods of a risk response to ensuring goal achievement and tasks of division, and also accomplishment of functions.

The policy consists in consecutive accomplishment of the following actions:

- identification of risks, their factors;
- classification and description of risks;
- identification and risks assessment, inherent in activities (transactions);

- a risk response by means of determination of mechanisms (procedures) of control directed on prevention and minimization of their consequences in activities;
- monitoring is risk taking into account change of technology of implementation of activities (transactions), entering of new requirements standard and other acts of Bank of Russia, other documents;
- fixation and documentation of the realized risks;
- development of the additional mechanisms of control directed on the prevention of the possible and realized risks, review of procedures of internal control.

The purpose of policy is timely elimination and prevention in case of implementation of activities of negative events (situations) which arose for the intra organizational reasons and/or because of external factors capable to prevent accomplishment of functions.

Politicians treat the basic principles:

- carrying out on a fixed basis of procedures of identification of the risks inherent in activities (the performed operations), and development of measures for their control;
- participation of all workers in case of accomplishment of the job responsibilities in the course of identification and the risk identification inherent in activities (the performed operations);
- fixing and documentation of the realized risks and risk events;
- the developed mechanisms of risk control promote elimination and the prevention of their emergence (risk events, other deviations in activities);
- risk management is made on a fixed basis in case of implementation of their monitoring and an assessment by subjects of internal control;
- enhancement of policy is performed according to changes of the legislation of the Russian Federation, standard and other acts of Bank of Russia.

The following main types of risks are inherent in activities of each structural division of Bank of Russia:

a) Operational risk – the risk of emergence of damage caused by the following internal or external factors inherent in activities:

- the accidental or deliberate actions of workers, other physical persons and/or legal entities interfering accomplishment of the established functions;
- non-compliance with the legislation of the Russian Federation by workers, standard and other acts of Bank of Russia, established procedures and procedures owing to incompetence, wrong actions or failure to act of workers;
- failures in functioning of the automated information and other systems and the equipment;
- the adverse external circumstances which are out of control.

b) Legal risk – the risk of emergence of damage caused by the following internal or external factors inherent in activities of division:

- non-compliance with the legislation of the Russian Federation by workers, standard and other acts of Bank of Russia,
- discrepancy of the prepared documents of division to standard and other acts of Bank of Russia, and also untimely modification of the documents regulating activities according to the accepted changes in the legislation;
- non-execution or improper execution by workers of the liabilities arising from agreements;

c) Reputation risk (risk of loss of business reputation) – the risk of emergence of damage caused by the following internal or external factors inherent in activities of division:

- non-compliance with the legislation of the Russian Federation by workers, standard and other acts of Bank of Russia, in particular rules of a business conduct, the principles of professional ethics, non-execution of contractual commitments before clients and partners; absence in internal documents of the mechanisms allowing to regulate effectively a conflict of interest and to minimize its consequences;
- shortcomings of management of separate types of risks (operational, legal, managerial) which can cause damage to business reputation;
- inefficient distribution of personnel resources, including during the matching and arrangement of the personnel;
- the publication in means the mass of information workers of the negative information about activities of Bank of Russia.

d) Management risk - the risk of emergence of damage caused by acceptance of incorrect management decisions by heads (including sectors), and also with shortcomings of the organization of work. Treat such internal factors:

- lack of control of accomplishment of plans, orders, administrative documents, conditions of agreements and so on;
- excess of office powers;
- imperfection of organizational structure regarding distribution of powers between workers, orders and procedures of making of transactions and transactions;
- incorrect acceptance of management decisions owing to a lack (unauthenticity) of information;

- assignment on workers of the additional loading connected with handling of the documents not peculiar to specifics of activities;
- lack of an accountability;
- bias and bias in acceptance of management decisions;
- conflict of interest;
- inability of an internal control system to prevent risks.

Damage types in activities in case of implementation of the above risks are determined in Table 2.

Table 2

Damage types in activities in case of implementation of risks

№	Type of risk	payment order Type	Cause of damage (basis)
1	Operational risk	Money payments	the Resolution (decision) of courts because of wrong actions of workers
		Increase in labor costs other types of risks	Elimination of consequences of wrong actions of workers, Consequence of implementation of other types of risks
		Property damage (plunder, breakdown, other loss of material values)	Non-execution of an obligation on providing proper storage conditions of property
2	Legal risk	Money payments (additional expenses)	The Resolution (decision) of courts, decisions of bodies, authorized in accordance with the legislation of the Russian Federation compensations to clients, partners or workers extrajudicially the suffered losses. Discrepancy of the agreements signed by Department, to the current legislation of the Russian Federation. Change or acceptance of the legal. the act leading to impossibility of performance of contractual commitments
3	Reputation risk	Violation of system of the established relations with third parties, mass media, power structures; Refusal of mutually beneficial cooperation; Forming in the society of negative idea of nature* activities of Head department and Bank of Russia in general	Incorrect actions (including violation of terms and other contractual commitments), the Low-quality tactical analysis or its absence Violation of regulations of business communication (etiquette and regulations of business relations)
4	Management risk	Excessively spent resources (time, a manpower, a material value, assets)	Wrong organization of work
		Decrease in working ability of the worker	Additional amount of work (including unusual for job responsibilities)
		Emergence of other damage including having value term	the Consequence of implementation of other types of risk

For the purpose of implementation of a risks assessment carrying out their classification at least in 2 parameters – on high-quality and quantitative signs is necessary:

- on the level of implementation of losses (damage);
- by quantity come risk events.

Table 3

The table of a risks assessment on two classification signs

Amount damage / Quantity of cases Implementations it is risk	Without damage	Amount of damage to 50000 rubles	Amount of damage from 50000 to 100000 rubles	Amount of damage from 100000 to 150000 rubles	Amount of damage from 150000 rubles
1–3 cases	Very low	low	medium	high	very high
4–6 cases	low	medium	medium	high	very high
7–9 cases	medium	medium	high	high	very high
More 10 cases	high	high	high	very high	very high (extreme)

It is reasonable to assess damages on set of the suffered losses on the same type of activity (to transaction, the agreement and so on).

The risks assessment is performed in the certain terms established by internal documents of structural division of Bank of Russia and consists in:

- determination of internal and external factors which can have negative impact on activities;
- the analysis of probability of emergence of risks on activities of Department and their consequences;
- determination of mechanisms (methods) of risk management on activities.

Each division needs to develop a certain operations procedure in case of identification of the fact of emergence of risk, violation:

For example, it may contain such stages:

1. In case of violation identification, the risk event is performed operational informing in an oral form of the direct head.
2. No later than the first working day following behind day of identification of violations (risk events), the event is subject to fixing and documentation.
3. The code of data on the revealed violations arriving from workers of sector preparation of the service record (references, the act or other necessary document) in which risks are reflected, of the reason of their origin (threat of emergence of risks), is given an assessment of consequences of occurrence of risks. Information is carried to the relevant division, the head and so on.
4. The actions plan, directed on prevention and risk minimization, with indication of executives in charge and completion dates is in case of need constituted. Further the report on accomplishment of the planned actions prepares.
5. Information on the taken measures for accomplishment of actions is provided in accordance with the established procedure to the corresponding head.

The creation of an internal control system on this algorithm with use of the above approaches and techniques considering the stated risk - the oriented approach can form methodological base for maintenance of an effective internal control system in the credit organization.

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ИННОВАЦИИ

К ВОПРОСУ О ЦЕЛЯХ, ЗАДАЧАХ И РЕАЛИЗАЦИИ ВНУТРЕННЕГО КОНТРОЛЯ В КРЕДИТНЫХ ОРГАНИЗАЦИЯХ И БАНКЕ РОССИИ

Юлия Игоревна Панова

Аннотация

Статья посвящена всестороннему рассмотрению и характеристике целей и задач внутреннего контроля многоуровневой, осуществляемой в Банке России, в порядке и творений внутреннего контроля, в статье взаимосвязь целей и компонентов внутреннего контроля прослеживается, управления окружающей средой в качестве одного из главных компонентов внутреннего контроля анализируются полномочия субъектов внутреннего контроля подробно изложил. Внимание уделяется контролировать рассмотрение как функции управления, разработанной список принципов создания системы внутреннего контроля и его виды – предварительные, текущие и последующие предусмотрено.

Ключевые слова*: система внутреннего контроля, эффективная система управления, управленческих решений, проверка, механизм контролирования, цели, принципы и задачи внутреннего контроля, функционирование механизмов экономического и управленческих процессов, факторов окружающей среды, управления компонентами система внутреннего контроля, управления рисками, мониторинг, полномочия в сфере внутреннего контроля.*

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APPROACHES TO INNOVATION PROCESS MANAGEMENT AT MACRO- AND MICROECONOMIC LEVELS

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Abstract

Though the words 'innovation', 'business', 'management decisions' and phrases formed from these terms have been used for many years already, this does not mean that Russia is following the innovation-oriented development line. The main reason for this is that the current approaches to the innovation process management at the macro- and microeconomic levels have not been properly developed by experts in the theoretical aspect. The innovation process as a background for sustainable development of the social and economic system should be fundamentally manageable. There is a necessity to encourage development of innovative activities, to transform the activity into the innovativeness at the national level (into the ability of the society and the economy to produce and consume innovations without the active participation of the state), as well as the ability to transform innovative ideas into commercially successful products or processes. The articles conveys the author's view to some methodic principles and approaches to the innovation process management at macro- and microeconomic levels.

Keywords: *innovations, innovation process, development sustainability, social and economic systems, management, research intensity, research efficiency, world experience in innovative transformations.*

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The innovative component of operation and development of social and economic systems is a major condition for their transformation and transition to a new type of social and economic relations, currently identified as a knowledge (cognitive) economy and information society.

Innovative transformation of the present-day environment cannot occur by itself because innovation is both a knowable and management category.

The modern economic science faces the necessity to form new coherent methodological principles and approaches to the innovation process management at the macro- and microeconomic levels. The developed countries of Europe, North America and the Asia-Pacific region, featuring the knowledge economy and public relations of the information society, as well as countries with transformation economies like the Russian Federation seek new opportunities for further sustainable development through synergies and integration effects derived from innovations.

Thus, the innovative process at the level of the national social and economic system, as well as at the global level (the World-System level) must be principally manageable in terms of the best satisfaction of the current social needs and the needs of future generations. The innovation process as a management category should be based on the key principle of sustainable development according to which satisfaction of the current public needs does not harm the development of future generations and their ability to meet their own needs that they will surely have and that may be radically different from the present social needs.

We believe that the innovation process is a systematically implemented process that aims at transforming innovative ideas into a product (a product is understood as the desired result or the result intended to be received at the end of the process) through the stages of production, development, testing and implementation of innovations in a certain field or line of a social and economic system.

A new social and economic system that is formed first of all due to the innovation processes and that the mankind aims to achieve will feature the relative abundance of non-material resources (in particular, the relative abundance of information, intellectual assets, etc.) and the lack (in some cases by significant limitation) of physical natural resources. There is every reason to believe that some traits of specific features of a new economy (knowledge economy) can already be traced now. The relative limitation of natural and physical resources alongside the

relative abundance of knowledge, information and intellectual assets should be transformed into a certain society's ability to use the knowledge assets and information for creation purposes. So, we can distinguish two methodological principles managing the innovation process:

1) the principle of developing the national innovativeness;
2) the principle of transforming knowledge into a commercially or socially successful product.

The principle of developing the national innovativeness was once formulated in the US innovation development strategy.

This principle is based on the assumption that all incentives (economic, non-economic, fiscal, legal, etc.) that the state can use when executing its powers to develop innovative activities may be ineffective or have short-term effect, if social and economic relations lack developed effective demand for innovations and innovative solutions.

The second of the above-mentioned principles, the principle of transforming knowledge into a commercially or socially successful product, is a logical extension of the principle of developing innovativeness. It should be borne in mind that the existence or development of a new innovative idea aimed at solving any problems in the society does not necessary mean complete commercial or public success. New knowledge developed must be successfully transformed into a product that will be offered to the market or the society and that will be in sufficient demand. Thus, not only aspects of the development of innovative solutions but also their successful implementation in the society or economy should be encouraged.

However, the analysis of the experience of innovative transformation of social and economic systems shows that not all national governments are aware of the fact that to develop social and economic relations of a new type it is more important to transform knowledge into a successful product (promotional and operational aspects of the innovation process) than just to possess the knowledge. For instance, despite a rather sufficient innovative potential in Canada, researchers mention the gap between the country and other developed countries with postindustrial economies precisely because the state support of innovative activities encourages not creation of the needs, but constant production of new knowledge that often is not converted into a final product required the society [1].

Returning to the accumulated experience in innovative transformations of the national social and economic systems and features of innovative process management at the national level, it should be mentioned that there are two basic approaches to encourage the intensity and dynamics of these processes that can be formulated as follows:

1) encouragement of innovation activities in commercial and non-commercial (including research) fields by the direct involvement of the state in the intensification of innovative processes through preferences (tax and non-tax ones), subsidies, budget financing, etc.;
2) encouragement of social and economic innovativeness through the combination of indirect methods of the state support (development of the innovative infrastructure, support of the demand for the R&D results, complete protection of intellectual property, etc.).

The first approach is implemented in some EU countries (e.g. France, Italy), as well as in Canada, Japan and China, while the second approach is implemented in the US. Based on the data available, we can conclude that transformation of a national social and economic system based on the processes of innovativeness intensification develops sustainable or strategic motivation in the economy and society to produce, implement and consume innovations. In contrast, transformation of a national social economic system based on processes of innovation activity intensification develops an unstable or tactical motivation for innovations. This can cause a sharp decrease in innovative activities if the character of the stimuli used is reduced or changed. The concept of the relationship between methodological principles and approaches to innovation process management can be represented as follows (see Figure 1).

Thus, we consider the sustainability of social and economic systems to be a fundamental principle that in its turn is formed by the principles of developing national innovativeness and transforming knowledge into a successful (commercial or social) product. Sustainability of social and economic systems is based on the integration of the two approaches: the research intensity-to-research efficiency balance under stimuli used to develop strategic motivation of economic agents and society to innovations.

The research intensity-to-research efficiency balance is achieved through regular transformation of fundamental and practical knowledge (researches and developments) into objects or processes that are

[1] See, for instance: Canada's Economy 2010 – 2011 and the State Policy // Publications of the Institute of World Economics and International Relationships [Electronic Resource] Mode of access http://www.i-g-t.org/2011/06/17/ free access

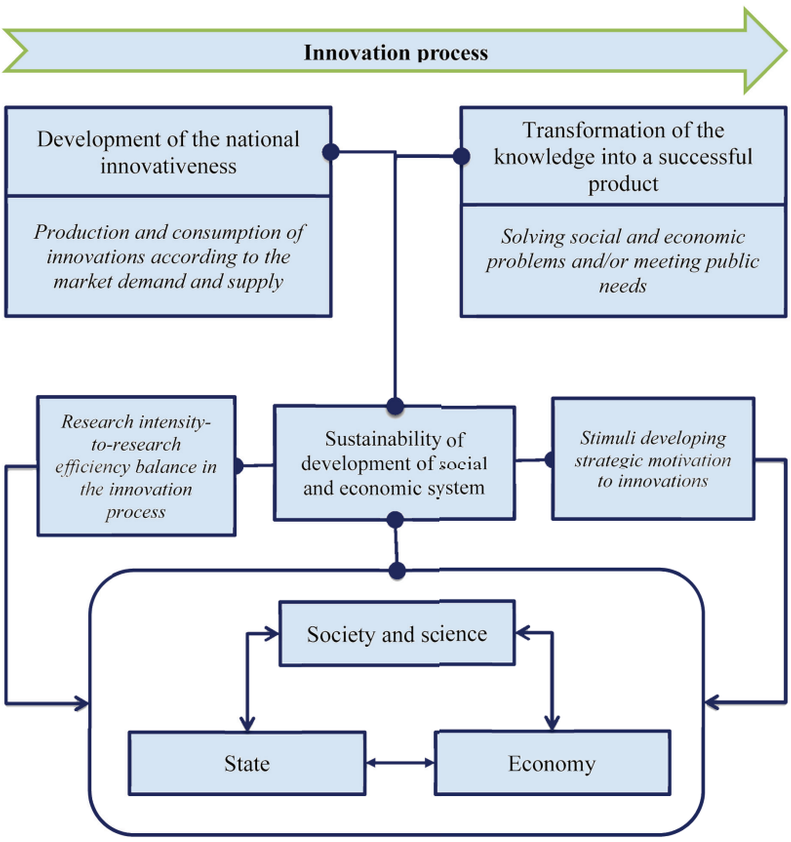

Figure 1. The concept of the relationship between methodological principles and approaches to innovation process management [1]

goals of national development strategies. Indicators of research intensity and research efficiency can be calculated differently. For example, the international practice uses the following indicators (see Table 1) to determine research intensity and research efficiency.

Table 1

Indicators of research intensity and research efficiency in development of social and economic systems [2]

Indicator	Indicator elements
Research intensity	The share of R&D expenditures in GDP (GRP). For business entities: the share of R&D expenditures in the costs and revenues
	The number of employees engaged in R&D activities per 1 thousand employed in the economy. For business entities: the share of engineers and scientific and technical personnel in a total staff number
Research efficiency	The share of high-tech products and information technologies in GDP (GRP) and / or merchandise export. For business entities: the share of high-tech products in total production output

Summing up, it is worth noting that the innovation process management at any level should be based on the triad of principles, with that ensuring the sustainability of a social and economic system being the main one. The implementation of these principles is possible within the framework of complementarity of the two approaches: ensuring the research intensity-to-research efficiency balance provided that the stimuli to innovations generate strategic motivation to innovations in the society, scientific sphere, public administration and economy.

Thus, the development of a new theoretical and methodological basis for the innovation process management on the one hand is based on the basic social and economic patterns of operation and development of the systems, but on the other hand it takes into account the experience gained previously. Integrating the experience and laws at the initial stage of the innovation process provides a synergy of positive effects at the final stage of the process.

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ИННОВАЦИИ

СОВРЕМЕННЫЕ ПОДХОДЫ К УПРАВЛЕНИЮ ИННОВАЦИОННЫМ ПРОЦЕССОМ НА МАКРО- И МИКРОЭКОНОМИЧЕСКОМ УРОВНЕ

Павел Леонидович Вангеласт

Аннотация

Многолетние употребления слов «инновация», «предпринимательство», «управленческие решения» и словосочетаний, образованных от данных терминов, так и не привели к тому, что наша страна идёт по инновационно-ориентированному пути развития. Основная причина кроется в том, что современные подходы к управлению инновационным процессом на макро- и микроэкономическом уровне не проработаны в должной мере специалистами теоретически.

Инновационный процесс, как условие, обеспечивающее устойчивость развития социально-экономической системы, должен быть принципиально управляем. Необходимы стимулы для развертывания инновационной активности, преобразования этой активности в инновационную способность национального уровня (в способность общества и экономики без активного государственного вмешательства продуцировать и потреблять инновации), умения трансформировать инновационные идеи в коммерчески успешный продукт или процесс. В статье изложен авторский подход на некоторые методические принципы и подходы управления инновационным процессом на макро- и микроэкономическом уровне.

Ключевые слова: *инновации, инновационный процесс, устойчивость развития, социально-экономические системы, управление, наукоёмкость, наукоотдача, мировой опыт инновационной трансформации.*

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RESEARCH

УДК 338.1
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FEATURES OF PROVIDING STEADY INFRASTRUCTURE OF ENTREPRENEURSHIP ACTIVITY

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Abstract

The subject / topic. *This article discusses the features of sustainable infrastructure of business activity.*

The theme of the article is very relevant at the time of transformation and the onset of a new transitional phase in the global economy.

Conclusions / significance. *The overall crisis in almost every sector of Russia, demanded the application of the new ideology of the organization and business management. In Russia, a new stage in the development of business management - establishment of a domestic methodology, comprehensive resources and training for the professional management on the basis of domestic achievements, global experience and creativity of its processing with the actual conditions of our country. The need to use an effective methodology for enterprise management in Russia is determined by two factors: the increasing complexity of the organization, and the fact that modern management methods widely used in countries with market economies.*

Imperative of our time – to find a scientific management methods in order to create effective management systems. In this paper, a study of modern methods of development and management of business structures.

An important condition for achieving these objectives is to ensure the sustainability of development and functioning of the business, as well as strengthening its position and role in the development of socio-economic processes, both at the national and regional levels.

Methodology. *Theoretical base articles were works of domestic and foreign scholars on various aspects of the theory of the world economy.*

As a methodological basis used methods: analysis, synthesis, analogy, comparison, induction and deduction, mathematical and statistical (cluster, factor and the method of statistical surface).

Keywords: *Entrepreneurship, small business, infrastructure, market infrastructure, infrastructure, infrastructure elements, institutions, infrastructure, business support, institutional, small business, business risk.*

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Reference: *Vernikov V. A. Features of providing steady infrastructure of entrepreneurship activity. M.I.R. (Modernization. Innovation. Research), 2015, vol. 6, no. 2, part 2, pp. 54–60.*

Market economy, which is a favorable environment for the operation of various types of objects that differ in scope and function, requires their consistent and dynamic developing. Nowadays, entrepreneurship and business entities that carry it – entrepreneurs – are playing an important role among numerous factors of social and economic progress in most countries of the world.

The transition to market economic conditions, privatization of state enterprises in our country has led to the formation of independent economic entities. The basic principles of their functioning is not only legal independence and self-organization in all areas of financial and economic activities, implying self-financing, material and financial responsibility for the results of their activity, i.e. taking on all the business risks, the choice of funding sources, their distribution and use, prioritizing of their activities and solving other important problems of entity functioning.

Business development, creation of enterprises of different ownership and organizational forms led to the necessity of building an infrastructure system for effective functioning of business units, fully and adequately reflecting the numerous and diverse needs of business and adaptive to market conditions of their work.

The term "infrastructure" has been applied in studies of western economists and has several possible explanations of its origin. One binds to the emergence of the infrastructure construction industry, identifying it with the foundation of a building, its "skeleton" (from the Latin. «Infra» – under, below, and «structure» – structure, location). Another option links the origin of the term with a military action profile as a set of successful military operations providing facilities and communications. However, all researchers agree that infrastructure is a necessary component of any integrated economic system.

Some authors understand the market infrastructure as a combination of activities to ensure the efficient functioning of the objects of market economy and their unity in a real marketplace [2].

A well-known researcher of the problem – R. Iohimsen gives the following definition: "The infrastructure is a collection of material, institutional and individual conditions at the disposal of business units and the corresponding alignment of income associated with the same productivity factors, allowing for expedient distribution of resources to ensure the full integration and perhaps the highest level of economic activity. "J.F. Ray writes that "the word" infrastructure "has no precise definition: as a rule, it means all services required for a modern economy." Russian economist V.N. Stakhanov defines the essence of the infrastructure as a set of specific work processes for the production of services, providing the exchange of activity in social production and human life" [3].

Thus, in this interpretation the market infrastructure is understood as a set of activities to ensure the efficient functioning of the market economy and the objects of their unity in a real marketplace.

Being a specific product of a certain socio-economic system, the infrastructure in general and business infrastructure, in particular, came into existence at a certain level of economic development, as an objectively necessary consequence of the structural changes occurring in the economy of states (regions). Therefore, the business infrastructure in the aggregate of its components is a mechanism to compensate the increasing disorder and heterogeneity effects of the environment and it affects the activity of the entity in order to increase their stability in the market and the impact of the reproduction process.

Defining the boundaries of infrastructure and isolating it from the system of social reproduction, it should be kept in mind that it can not be regarded as the arithmetic sum of the economy serving the industries identified in accordance with the existing methods of classification of industries. In my view, the infrastructure separation becomes significant only in case that these industries in aggregate perform a united function in the process of social reproduction. Only complexes of industries and activities implemented through them, which have a functional purpose and with certain common characteristics can be considered to be infrastructure. Activities of business, with the trends in the international market, allowed in a relatively short period of time to identify and to get down to the construction of the missing components of infrastructure business provision of the domestic market.

All this fully refers to the infrastructure of small business. The term "infrastructure" means a set of industries, enterprises and organizations within these industries engaged in certain activities designed to promote and create conditions for the normal functioning of small business.

A comprehensive and well-functioning infrastructure environment is one of the major factors in the development of small business and the implementation of effective measures to ensure its activities due to the forms of direct and indirect support from the government and various market structures.

The infrastructure of a small business started to develop almost from the first steps of a small business creating as an economically significant component of a new market economy in Russia. On the one hand, this process was spontaneous, the momentum for its development came from the emerging needs of a small business; and on the other hand, it started thanks to the purposeful actions of state and public organizations as well as the assistance programs for small businesses.

Small business infrastructure was originally designed to solve a two-fold task: firstly, to encourage the growth and self-development of small businesses, and secondly, to direct their activity mainly in the niches and areas of economic and business activities that are mostly promising for small businesses, as more agile and easier adaptable to the rapidly changing market conditions and flexible economic structure compared with big business.

The aim of forming the infrastructure of a small business as an independent subject of economic relations is to create favorable conditions for its development and to ensure a comprehensive and targeted support for small businesses in various fields: legal, financial, property, personnel, and providing businesses a wide range of business services.

Infrastructure of a small business is a kind of "environment" for business, able to cover all aspects of the activity and all the needs of small enterprises in different industries, different degree of "economic maturity".

The construction of infrastructural support of a small business should be based on the following principles:

- complexity;
- continuity and sustainability;
- focus and perspective;
- flexibility of institutional and financial arrangements.

The environment, providing small businesses activities, that characterize their infrastructure is a set of elements which have both internal (among the elements of the complex) and external (among small organizations) communication.

Infrastructure business activities support of small forms is achieved through teamwork of various infrastructure elements, such as: business-legal, fiscal, administrative, scientific, technical, financial, foreign, information (Figure 1).

Figure 1. Element of infrastructure of small business

Each element of the infrastructural support of small business must ensure the implementation of the positive processes in the development and management of small business. Taken together, all these elements form an infrastructure environment that provides efficient operation of small businesses.

In the federal law "On the Development of Small and Medium Enterprises in the Russian Federation" the economic category "infrastructure support of small businesses" is used, which, according to the authors of the law, includes the system of commercial and non-commercial organizations established or carrying out their activities in order to implement development programs, to support or to provide conditions for the functioning of small businesses. Also, the infrastructure of small business support includes centers and agencies, state and local funds to support small business, Credit Assistance Fund (guarantee funds, guarantees), innovation and technology centers, business incubators, consulting centers and other organizations that in one way or another are connected with the support of small businesses [1].

Thus, the elements of the small business infrastructure include state, public and commercial institutions through which the organization and provision of various forms and types of support for a small business are carried out, i.e. availability of institutional support of a small business is the most important condition contributing to its formation, management, operation and development.

One of the key elements of the infrastructure of small business support ensuring the creation of conditions for their development and functioning is the presence of an appropriate legal environment favorable to small businesses and totally transparent, unrepugnant to each other legislative and regulatory acts of direct action aimed at effective and system support and development of this sector of economic activity - small business.

Virtually in every state with a socially oriented economy there is a law, which is a kind of a code of a small business that provides it a real support through the creation of conditions for the development of the financial infrastructure and aims to encourage their full development (for example, the law of the PRC's "On the support and promotion of small and medium enterprises", acts of other states in the area of small business: Poland, the Czech Republic, Hungary, Japan, etc.).

In Russia the Federal Law "On state support of small business in the Russian Federation" was adopted in 1995. In July 2007, the above mentioned new law "On the Development of Small and Medium Enterprises in the Russian Federation" was adopted and it greatly enriched the existing legislative practice of the support of small business and clearly defined the position of the state and regional authorities for the development of infrastructure of small business institutions.

Normative legal acts regulate the forms and methods of government incentives and the activity of small businesses, the procedure for conducting inspections, administrative restrictions of their activities, provide tax benefits for small business, great opportunities for business associations in civil societies and organizations and accumulating of funds in the credit cooperatives.

But, despite the active legislative activity in the area of small business, one of the current problem is the large number of existing legislation and therefore they need to be systematized. The purpose of this systematization should be the elimination of gaps and weaknesses in the regulation of small businesses and the infrastructure of its support. The improvement of legislation in terms of legislative and legal infrastructure support of small business should be directed to:

1. Ensuring vertical consistency of normative legal documents with federal ones and horizontal consistency with all other legislative acts being in force at the moment.
2. Review of the provisions of the federal legislation regarding taxation in general and in small businesses in particular, in terms of its reduction and simplification.
3. Adoption of new federal and republican laws that promote a more dynamic development of small business.
4. Legislative initiative to the state authorities to limit interference by the public authorities at all levels and local authorities in certain areas of small businesses by providing administrative and criminal liability for such intervention, to provide legal guarantees of stability and long-term policy for small and medium businesses; to divide its powers to regulate and support among regional and municipal authorities regarding the development and adoption of regulations as well as the privilege for the lease payments and credit, to develop the financial and credit support of small businesses, namely to establish an effective mechanism for their concessional lending and insurance conditions for the establishment and developing of guarantee funds.
5. Revision and amending of certain provisions of the legislation directly governing the development and operation of small businesses and defining the state policy in the sphere of small business in the Russian Federation.
6. The adoption of the Law "On Basic Principles of interaction of producers associations with the state authorities, which would define the legal framework for cooperation of producers associations and public authorities, rights and duties assigned to these associations, aims and principles of their cooperation with the authorities, the peculiarities of the creation, activity, reorganization and liquidation of commodity associations, the ability to perform a number of management functions, as well as other regulations related to the protection of the economic interests of producers and the regulation of product markets.
7. The introduction of changes and amendments to the legal framework of leasing activity in the regions in order to provide tax incentives to investors who invest in these activities, the opportunities to use the assets of insolvent companies as a source of resource support for small businesses through their transfer to long-term leases or lease.
8. The adoption of national target programs at national level, the new president decrees, resolutions and ordinances governing public support and involvement in the business activities of certain categories of people (young people, pensioners, large families, agricultural workers, orphans, etc.).

In forming an integrated system of infrastructure development and support of small businesses it is important to rely on systematic and widespread monitoring of the diverse and dynamic needs of small businesses in the services of various institutions of the market infrastructure. In addition, it is important to take quick adequate measures for establishing the missing institutions of infrastructural support of small business for its successful development.

Moreover, legal and economic conditions for interaction of infrastructure institutions to small business are likely to be different from the conditions of their work with other business structures.

To ensure the functioning and development of the small business infrastructure, constant monitoring of its constituents and institutions is required. For this purpose it is necessary to develop a system of indicators to monitor feedback loops to maximize the orientation of all the institutions of infrastructure to the real needs and real interests of small businesses. These indicators can be: the planned and actual volume of appropriations, grants and subsidies from the budgets of all levels of the budget system, allocated to support small businesses and the volumes of loans of banks allocated for this purpose, financial assistance from other sources, the total amount in terms of money provided to small business services and other indicators, in some way characterizing the scope of small business support through the involvement of various public and private sources. Probably it is advisable to decide on a more complete reflection and inclusion of these indicators in the statistical reporting.

As a rule, in foreign practice the promotion of small enterprises is rendered on terms different to that of the market (preferential loans and insurance, reasonable rent, business services at reduced rates, etc.). It is advisable that the established practice should be used more widely in Russian practice and that it should allocate infrastructure to support small businesses from a much broader set of organizations that specialize in providing various services and provide conditions for the activities of business structures.

An integrated approach to the certain elements of the infrastructure of small business objectively makes it necessary to form a unified concept of the business environment at both the federal and regional level.

The formation of development strategy of elemental components of the business environment at the federal and regional levels should be aimed at increasing the

provision of various services in the field of business, including small business, taking into account the high degree of innovation changes and volatility impact of external and internal environment factors.

Both increasing economic independence and responsibility of small businesses and responsibility of regional and federal authorities for the formation, implementation of programs of economic development of the territories, the efficient use all types of resources in order to increase the economic potential of small businesses act as economic and organizational measures in the creating of rational mechanism and regulatory processes of formation and development of the business infrastructure.

It should be noted that the most important institutions, in addition to the above mentioned, exerting an active impact on small businesses include: the system of educational and vocational guidance institutions, organizations that provide financial and brokerage services, media. These institutions determine the value systems and competitive market behavior of small business and create growth points and niches, providing acceptable stability and tolerance for risk, form expectations about the 'normal' level of profitability and income of small businesses [4].

All these organizations are the basis of infrastructure business support designed to solve all the pressing problems of small business both organizational and financial, to represent and lobby for the interests of businesses in the government.

Currently, the institutional structure developed, as it will be shown below, does not fully contribute to the formation and further development of the economically active and financially sustainable small businesses. It is seen primarily in the following positions:

- in spite of the adoption of programs and regulations, there is no working system of coordination among key institutions, infrastructures, which are aimed at providing support and assistance to small businesses;
- insufficient availability of infrastructure institutions for small businesses;
- there is still a weak link of the education market and the labor market which exacerbates low educational level of the population and entrepreneurs engaged in small business.

All this increases the "risk" of doing business in a small business and, on the one hand, creates high expectation of entrepreneurs profits as payment for risk, and on the other hand, provokes to find assurance, reliability, and profitability of business "alternative" to official [5]. This interferes with the positive development of small business, reducing its chances of success in their work, increasing the size of lost revenue.

Referring to the experience of the developed countries, it may be noted that a great variety of elements that form the infrastructure of small businesses as well as a great number of schemes and their interaction are characteristic of them. The systems of homogeneous infrastructure (agencies, centers, industrial parks) successfully operate within an integrated national or international network. For example, within the European Union (hereinafter - EU) a unified network of innovative entrepreneurial centers is created, which allows to apply the same information banks, techniques and similar requirements for projects selected by the business, to effectively use the financial resources allocated in the framework of EU programs.

Many countries have recently stepped up the process of centralization and concentration of facilities to support small businesses by concentrating in one place (under one roof) of different organizations where you can get the whole set of services provided to entrepreneurs.

Continuing the examples, the EU set up a network of research institutions on small businesses, combining institutions from twelve countries. The main goals of these organizations include an objective assessment of the phenomena occurring in the small business, and develop recommendations for government agencies, financial and economic institutions to create conditions that are mostly conducive to the development of small business.

Thus, lots of the market participants, including government and public organizations, are aimed at improving the environment of the business by improving its infrastructure provision in different areas and fields, creating a qualitatively new conditions for its operation.

At the same time, it should be noted that today's domestic and economic relations in the developed countries are characterized by a combination of private economic initiative with active economic activities of the state. But the regulating function of the state plays an important role and this is due to many reasons. First of all, this is due to the need to solve such economic problems that require collective efforts and can not be realized by the market mechanism: among them the creation and maintenance of an appropriate level of business infrastructure has an important place.

It is also explained by the important fact that, up to 90's the main method of solving problems of national importance was state business. However, in the late 80's the conditions of capital accumulation and reproduction in general altered dramatically. The shift to market-based methods of state influence on the economy demanded recovery of finance. This

has become all the more urgent that the necessity for the restructuring of the economic mechanism coincided with a terrible financial crisis. The first radical changes were made in public enterprise – a large-scale privatization was unfolded. This measure solved a number of important tasks. On the one hand, it became possible to use the catalytic role of market competition and to eliminate artificial barriers to private business. On the other hand, mechanisms of coordination of common structural strategy of development of the national economy were remained. This is particularly necessary in a situation when the trend towards the internationalization of production is increasing, while the previously existing methods of state regulation were reckoned on independent national economy.

At present the focused regulation inevitably intruded into macro-and micro-economic processes, interacting with the traditional market system. But it would be wrong to imagine that the dynamics of the modern Russian market economy should be associated only with the strengthening of regulatory elements in the economy and to derogate market economic mechanism. The market should remain the basic element of the Russian economic system, its relevance in the present conditions is increasing. However, Russian economy needs the market without its negative traits – the elements and the devastating effects of competition. P. Samuelson said: "Our task is to use useful features of the market so that the market mechanism does not lead too far away from the desired goals." In this task a state plays the major part. "The activities of the state, - emphasized Galbraith - should be aimed at improving the market and not to override or bypass it."

Thus, at present in all developed countries, including Russia, the state has an important function - it is one of the channels connecting the corporate and market systems, and establishing the rules of such interaction. As a result, today the Russian economy is based on a mixed economy, which is characterized by the synthesis of the mechanisms of market self-regulation and regulatory function of the state.

However, there are downsides to this process. The present day extension of direct government intervention in the economy leads to bureaucracy and a negative impact on the effectiveness of regulatory measures. As a famous French researcher Michel Crozier correctly noted "in the debate on the state as an economic entity two concepts of "regulation" and "regulation" are mixed". There are both natural regulation, to which economical regulation is referred, and a social one. In order to free the economy from the excess of "bureaucratization" it is necessary to understand the two types of regulations and to determine their impact on the economy".

The reduced efficiency of state enterprises is also found. There are many reasons for this. Among the main should be noted that the state is involved mainly in the low-profit sectors, unprofitable for a private entrepreneur, but necessary for the normal functioning of the economy as a whole. An insufficient degree of autonomy is also called as one of the causes of the low profitability of state-owned enterprises. Thus, the economic mechanism of modern Russian market economy should try to ensure that the state delegates to market certain sectors of the economy and patronizes the most vulnerable and "weak" economic entities, which include small businesses.

The characteristic of modern economic practice demonstrates a high degree of control of the Russian market at present. The question is not whether or not should a state participate in the economic processes but what are the measures and forms of its participation.

The issue of state regulation of infrastructural support of small businesses is constantly raised in scientific publications, and these problems are of great importance not only from the public positions, but also in terms of the inclusion of small businesses in the economic processes as competent businesses. At the same time, the vast majority of small businesses (according to various polls – 90%) did not use the opportunities of such a support or did not get it. In scientific studies, the possibilities for support of small enterprises on the part of other subjects of the economic system – such as market institutions – are not observed. Therefore, it is important to link these capabilities with the real needs of small businesses, identifying the necessary and sufficient level of government regulation, allowing to develop a small businesses system to ensure the development of the economic potential of the state.

In our country small businesses themselves and regulatory mechanisms of their support are still developing. The ever-changing "rules" do not allow small businesses to develop dynamically. And that is why we can say that scientific thought must seek ways to optimize the infrastructure support for small businesses in a variety of relationships.

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ОСОБЕННОСТИ ОБЕСПЕЧЕНИЯ УСТОЙЧИВОЙ ИНФРАСТРУКТУРЫ ПРЕДПРИНИМАТЕЛЬСКОЙ ДЕЯТЕЛЬНОСТИ

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Аннотация

Предмет/тема. *В данной статье рассматриваются особенности обеспечения устойчивой инфраструктуры предпринимательской деятельности. Тема статьи весьма актуальна в момент трансформации и наступления нового переходного этапа в мировой экономике.*

Выводы/значимость. *Общий кризис, охвативший практически все отрасли России, потребовал применения новой идеологии организации и управления предпринимательской деятельностью. В России начался новый этап в развитии управления предприятиями – создание отечественной методологии, комплексных средств и подготовка кадров для профессионального управления на основе отечественных достижений, мирового опыта и творческой его переработки с учетом реальных условий нашей страны. Необходимость использования эффективной методологии управления предприятиями в России определяется двумя факторами: возрастающей сложностью управления организаций, и тем, что современные эффективные методы управления широко применяется в странах с рыночной экономикой. Веление времени – найти научные способы управления с целью создания эффективных систем управления. В данной статье проведено исследование современных методов разработки и управления предпринимательскими структурами. Важным условием достижения этих целей является обеспечение устойчивости развития и функционирования предпринимательства, а также укрепления его позиции и роли в развитии социально-экономических процессов, как на национальном, так и региональном уровнях.*

Методология. *Теоретической базой статьи стали труды отечественных и зарубежных ученых, посвященные различным аспектам теории мировой экономики.*

В качестве методологической основы применены методы: анализ, синтез, аналогия, сравнение, индукции и дедукции, математико-статистические (кластерный, факторный и метод статистической поверхности).

Ключевые слова: *предпринимательство, малый бизнес, инфраструктура, рыночная инфраструктура, элементы инфраструктуры, поддержка бизнеса, бизнес-риски.*

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GOODWILL IN SYSTEM OF EFFICIENT COMPANY'S DEVELOPMENT

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Abstract

With the development and stabilization of the business climate and market relations in Russia, more companies move to a new, qualitatively higher level of their development, with the goodwill being one of the company's main assets. The article specifies the definition of the goodwill as an intangible asset inseparable from the company's potential that can provide additional profits. The author reveals the dual nature of the goodwill as an internal controlled resource, on the one hand, and as a result, on the other hand; to control it, a unified policy is necessary. The articles lists the key factors for its development and shows that the goodwill is an important internal controlled resource that determines the company's development.

The objective of the research *is to consider theoretical and practical aspects of the goodwill as an economic category and important internal controlled resource that determines the company's development. The object of the research is the goodwill in the company's management system.*

While working on the article, the following **methods of economic research** *were used: abstract and logical method, empirical method, method of expert evaluations, as well as methods of structural and functional and statistical analysis.*

Keywords: *Knowledge-driven economy, intangible assets, goodwill, goodwill capitalization, strategic asset, business entity.*

Reference: *Makashova N. A. Goodwill in System of Efficient Company's Development. M.I.R. (Modernization. Innovation. Research), 2015, vol. 6, no. 2, part 2, pp. 61–64.*

The transition from the industrial economy to the knowledge-driven one expectedly changes the economic and social relations in the society. This trend is evident in the following: the company's position in the market depends on not only efficient use of business assets and financial resources, but also on the intangible assets, the quality of non-financial risks, i.e. the role of intellectual capital increases. As a result, there is a tendency to widening the gap between the market and book values of the company's assets, and this leads to increased importance and relevance of studies of such special economic and financial category as the goodwill.

The concept of 'goodwill' is derived from the English word 'goodwill' or 'good will', i.e. traditionally the purchase (acquisition) of a company was carried out with the appropriate monetary overpayment of the buyer's own good will (without compulsion). In the Western practice, the goodwill is widely used as an object of accounting and taxation. It is expressed in monetary terms as the difference between the selling price of the company and its book value. Thus, the goodwill is often considered as a value measure of the company's business reputation. The main components of the goodwill include technologies, know-hows, brand names, the employees' competence and expertise, databases, good location, business communications, etc. In other words, the goodwill is based on the intellectual capital of the company and its employees. Goodwill management is not a single event but a continuous process with logical steps that should be kept (from the formation of the image and goodwill and search for the key reputational audience to the behavior evaluation and correction).

The category considered was included into the accounting systems in 1891, when an English accountant F. Moore first proposed to evaluate the goodwill using the amount of the additional income generated by it, but the study of this category has acquired the real relevance at the turn of XX–XXI centuries only.

Closer consideration of the goodwill as an economic category reveals the lack of consensus on the interpretation of the term now.

For example, some Russian scientists believe that the economic nature of the goodwill is valuation, accumulated by the company before its intangible value is analysed (trademarks, the company's patents that have been developed and are not reflected in the balance sheet, well-coordinated team, etc.), i.e. they think that the goodwill is "the difference between

the market valuation of liabilities and the market valuation of assets."

Blank I.A., however, defines the goodwill as a type of intangible assets, the value of which is determined by the difference between the market (selling) value of the company as integral property complex and its book value (net assets). He believes that the increase of the company's value is related to the possibility to obtain more profits (compared with the average level of investment efficiency) due to implementation of a more efficient management system, a dominant position in the commodity market, application of new technologies, etc. [1].

Barkauskas V., Jasinskas E. and Barkauskene K. mention that the goodwill as an asset is often included into the 'patchwork' of all possible options and, unlike other lines of the company's balance sheet, which are clearly expressed with specific numbers, this concept defines a kind of an abstract value [6].

The review of scientific literature on the issues related to the concept of 'goodwill' shows that no clear understanding of this category has been developed yet. However, it is possible to identify some key approaches to definition of the goodwill using numerous sources (see. Table 1).

Table 1

Critical evaluation of approaches to the definition of goodwill [3]

Approach	Critical evaluation
Goodwill is the value of intangible as-sets calculated as the difference of the value of a ongoing company and the sum of the net tangible assets plus identifiable intangible assets.	Taking into account the multicomponent nature of the goodwill recognized by most authors, this definition is not complete as it reflects only one of the concept's characteristics
Goodwill is all intangible assets or a part of intangible assets that can pro-vide additional income for the compa-ny.	This definition is not applicable in Russia, as it con-tradicts the official definition of intangible assets and their attributes provided by Russian Accounting Standards 'Accounting of intangible assets' (RAS 14/2007)
Goodwill is inseparable intangible as-sets used in the company's business activities that can provide additional profit for the company.	This definition does not take into account the fea-tures of intangible assets specified in the RAS 14/2007, as well as some more features of the com-ponents included to the goodwill by other researchers
Goodwill is inseparable intangible as-sets used in the company's business activities that can provide additional profit for the company.	This definition does not take into account the fea-tures of intangible assets specified in the RAS 14/2007, as well as some more features of the com-ponents included to the goodwill by other researchers

Having analysed definitions available, the goodwill can be interpreted as follows: it is off-balance sheet intangible assets that are inseparable from the company's potential, reflects its distinctive features (the level and condition of the business reputation, corporate culture, management techniques, etc.) and is able to provide it with additional profit.

This more sophisticated approach takes into account the key role of the relationship between the company and parties concerned. This approach emphasizes the importance of expectations of the parties concerned and enables relating the company's business reputation to its economic profits. Some studies explain the correlation between the corporate reputation and managers' payment, while K. Ballen states that the management quality is a key criterion of the business reputation, or 'goodwill' [5].

Robert F. Reilly and Robert P. Schweihs name three components of the goodwill that can be considered as factors responsible for the goodwill [2]:

The first component is the company's operating assets available at the local level and ready for use. These company's elements include the capital (for example, equipment), labor (for example, employees) and coordination (for example, management). The company's added value is formed dependent on the way these components are arranged in one place and function as a whole;

The second component of the goodwill is the excess economic profit. The excess economic profit is the company's profit excessing the average profit in the industry. This component of the goodwill can not be specifically attributed to any tangible or identified intangible assets of the company under consideration;

The third component of the goodwill is expectation of future events that have no direct connection with the current business operations of the company considered (future capital investments, future mergers and acquisitions, future products or services and future customers, or clients).

The goodwill develops in business activities due to the influence of internal and external factors. Internal factors are formed within the company itself and do not depend on external circumstances, for example,

licenses and patents, a fixed number of customers, and trademarks. External factors are formed with the company's participation but under the influence of external circumstances, such as making excessive profits, expecting investments, etc.

Considering the abovementioned, we can say that the goodwill is an indicator that describes the company's activity at any time, regardless of whether it is positive or negative.

For this reason, it is extremely important for the company to manage the cost of the goodwill as it is the company's asset and it enables obtaining additional competitive advantages and occupy a better position in the market.

It can be concluded that goodwill like business reputation is an intangible asset of a business entity (company, enterprise), which has a strategic importance for it, and, therefore, refers to the strategic assets. The concept of strategic assets was borrowed by the modern economics from the resource theory that has become widely spread in the strategic management thanks to the work of B. Wernerfelt, R. Rumelt, J. Barney, etc.

It is advisable to determine whether the company's assets belong to strategic ones, i.e. assets that provide a sustainable competitive advantage, using the following four criteria proposed by J. Barney [7]:

- Value for the company;
- Lack of substitutes;
- The difficulty or impossibility to copy or reproduce;
- The uniqueness among the assets-competitors.

Does the goodwill correspond to these criteria? As it was shown above, this asset is valuable for the company. Today, it is common knowledge that the reputation is more important that the company's market value. In some companies, for example, Microsoft and Yahoo, the share exceeds 80% of the value.

The goodwill cannot be copied or replaced; it is a unique characteristic of each company, which is the result of its sophisticated recurring activities of producing goods and values under certain operating conditions.

The goodwill is the company's rare and unique asset that cannot be bought or obtained without applying certain efforts. It is obtained in the development process and cannot be separated from the company.

Thus, the goodwill is a strategic asset and the company should develop this asset in accordance with both external and internal economic conditions.

The importance of intangible assets in ensuring the company's strategic success determined the relevance to study methodological base of the strategic management of the goodwill.

The organizational and economic mechanism of developing and enhancing the goodwill capitalization, of developing the so-called 'reputational capital' can be determined by considering possible ways to solve the issue. There are two ways to solve the problem of increasing the share of intangible assets, particularly of the goodwill in the company's capitalization:

1) the traditional method of using intangible assets based on the increase of their value in management and accounting;

2) the innovative method based on the strategic management of such assets.

Particular attention should be paid to the innovative approach that implies the following steps:

a) developing the system of strategic goals and objectives in the field of formation, use and development of the business reputation and goodwill (e.g., in the form of strategy maps using analytical methods and strategy sessions);

b) studying the markets in which the company operates in the light of identifying strategically important lines;

c) specifying the list of intangible assets and requirements for these assets that identifies key market advantages, and the company's sustainable development;

d) inventorying non-standard intangible assets, including knowledge accumulated by the company, etc.

If the goodwill is considered from the strong business viewpoint, the amount of investments in this asset can provide ten or even twenty times higher return. Having a high goodwill, one can obtain more favorable loan at lower interest rates. Besides, the credibility of the company allows it to charge a higher price for their products. On the other hand, the goodwill requires constant investments to the product or service quality, image and brand advertising.

Thus, the goodwill is not only the external characteristics of the company developed as the result of its financial and economic activities, but the important internal controlled resource that determines the company's development.

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ГУДВИЛЛ В СИСТЕМЕ ЭФФЕКТИВНОГО РАЗВИТИЯ ПРЕДПРИНИМАТЕЛЬСКОЙ СТРУКТУРЫ

Н. А. Макашова

Аннотация

С развитием и стабилизацией делового климата и рыночных отношений в России все большее количество предприятий переходят на новый, качественно высокий уровень своего развития, когда деловая репутация является если не самым, то, конечно, одним из основных активов компании. В статье дано уточненное определение понятия «гудвилл» как неотделимого от потенциала предпринимательской структуры нематериального актива, способного приносить дополнительные выгоды. Раскрыта двойственная природа гудвилла как внутреннего контролируемого ресурса, с одной стороны, и как результата – с другой, для управления которым необходимо формирование единой политики. Определены ключевые факторы его возникновения и показано, что гудвилл представляет собой важный внутренний контролируемый ресурс, определяющий развитие предпринимательской структуры.

Цель данного исследования *состоит в исследовании теоретических и практических аспектов экономической категории "goodwill", как важного внутреннего контролируемого ресурса, определяющего развитие предпринимательской структуры.*

Объектом *исследования являются гудвилл в системе управления предпринимательскими структурами.*

В процессе работы над статьей применялись следующие **методы экономических исследований***: абстрактно-логический, эмпирический, метод экспертных оценок, использовались приемы структурно-функционального и статистического анализа).*

Ключевые слова*: экономика знаний, нематериальные активы, гудвилл, капитализация гудвилла, стратегический актив, предпринимательская структура.*

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A NEW TOOL FOR CROWDSOURCING

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Abstract

Many companies see innovation as key to their success and are using idea crowdsourcing to help their companies innovate. However, it is often difficult to motivate individuals to think practically and from management's perspective, and to measure employees' contributions to such systems. A new crowd-sourcing tool that delegates and combines idea generation and the distribution of tasks is described, which largely solves these problems and makes the process of idea generation more measurable.

Keywords: *Crowdsourcing, Software as a Service, principle and agent, motivation, idea generation, task management, risk aversion, delegation, Open Innovation, incentives, performance pay, management.*

Reference: *Powell D. A new tool for crowdsourcing. M.I.R. (Modernization. Innovation. Research), 2015, vol. 6, no. 2, part 2, pp. 65–68.*

Many companies see innovation as key to their success and are using idea crowdsourcing to help their companies innovate. However, it is often difficult to motivate individuals to think practically and from management's perspective, and to measure employees' contributions to such systems. A new crowd-sourcing tool that delegates and combines idea generation and the distribution of tasks is described, which largely solves these problems and makes the process of idea generation more measurable.

Companies have become increasingly aware of the importance of innovation to their success. Constantly generating new ideas is seen as key to maintaining a competitive advantage and sales. Companies no longer rely on simple 'closed' innovation models with the process of innovation limited to internal R&D departments, but often use crowd-sourcing methods to gather the ideas of employees or even ideas of individuals outside the company.

Common Problems with crowdsourcing tools

If employees are asked to participate in crowdsourcing efforts, the particular nature of ideas present problems for measurement and motivation. Some of these problems are listed below:

(a) The value of an idea is difficult to measure. Only after an idea has been implemented is it possible to assess the value of the idea.

(b) Lower level employees involved in crowdsourcing efforts often propose ideas that are impractical that no one wishes to do or that require too much effort.

(c) Lower level employees often propose ideas that will not become implemented as management would veto them. One reason may be that lower level employees do not consider factors such as cost.

(d) The number of ideas submitted is often a poor measure to assess the participation and effort invested by employees in crowdsourcing. Setting such a metric may encourage employees to submit bad or impractical ideas as described in (b) and (c).

Efforts invested in innovation are often at the expense of a firm's other activities and priorities. It is important to note that setting high incentives for innovation can divert employees away from other important tasks in a company. Milgrom and Roberts argue that the incentives for exerting effort between two activities (in this case idea generation and performing tasks), the intensity of incentives, need to be equal, otherwise employees will spend all their effort on the activity with the higher incentives and no effort on the other activity [1]. Their analysis is summarized in the next two paragraphs.

[1] See Milgrom and Roberts' "Equal Compensation Principle" in Economics, Organization and Management

The effect of incentives on other activities can be explored by assuming an employee is involved in two activities with respective effort levels e1 and e_2. The performance measure the employer measures for activity 1 is z_1, where $z_1 = e_1 + x_1$, and the performance measure for activity 2 is z_2, where $z_2 = e_2 + x_2$, where x_1 and x_2 have expected values $\bar{x}_1$ and $\bar{x}_2$ (x is a random variable representing the fact that no performance measure can ever perfectly measure an employee's level of effort.) α is a constant, the base salary, which an employee must receive in so far as they are assumed to be risk averse. C is the cost the employee bears for exerting effort. (r is another constant not relevant to this analysis.) β_1 is the intensity of incentives for activity 1 and β_2 is the intensity of incentives for activity 2. Milgrom and Roberts go on to analyse the maximization of the employee's "Certain Equivalent" with two activities in order to derive the "equal compensation principle".

$$\text{Employee's Certain Equivalent} = \alpha + \beta_1 (e_1 + \bar{x}_1) + \\ + \beta_2 (e_2 + \bar{x}_2) - C (e_2 + e_2) - \tfrac{1}{2} r \, \text{Var}(\beta_1 x_1 + \beta_2 x_2)$$

"We suppose that the level of effort is restricted to a nonnegative number: e1, $e2 \geq 0$. If e1 is strictly positive, then at the maximizing choice for the employee, the derivative of [the Employee's Certain Equivalent] with respect to e1 must be zero, so $\beta_1 = C'(e_1 + e_1)$. Similarly, if e_2 is strictly positive, then $\beta_2 = C'(e_1 + e_1)$. The analysis of the employee's incentives alone establishes that β_1 must equal β_2 if each task is to receive some attention."

A new tool for idea crowdsourcing

Below is described a new crowdsourcing model built and tested by Indigobo Russia LLC, a subsidiary of Indigobo Ltd. David Powell is the CEO of Indigobo Ltd and designed the system described in this article. The company built a Software as a Service online tool, whereby employees created accounts and made submissions on an online discussion forum. Aside from the forum and the actions of other employees, employees were able to see what management approved and the number of points (see below) they had each earned individually.

Employees are asked to submit ideas about how to improve a company or management can set more specific topics. Employees submit ideas by submitting specific 'problems' that need to be solved and 'solutions', proposed actions that solve those problems. They are also able to volunteer for the tasks ('solutions') proposed and have to do the tasks they volunteer for.

Employees only earn points when there is a compete chain: there is a problem, a solution to that problem, a volunteer to complete that solution and a manager approves the solution and the volunteer for this solution. Hence, employees can earn points by idea generation (submitting problems and solutions) or work (volunteering for the tasks and submitting ideas).

The system allows management to motivate employees to generate ideas in an efficient way. The system incentivises individuals only to submit problems which are solvable and only solutions, which individuals are willing to volunteer for. The system motivates employees to be practical.

The system can be adopted, not only for one-off idea crowdsourcing initiatives, but as a system for deciding what to work to do and for dividing up work on a more regular basis. Employees can be rewarded based on the number of points they earn and / or management can set a quota for the number of points that each individual has to earn a day. It can therefore be used as a system to motivate individuals to take their own initiative to decide for themselves what work needs to be done. Management can adapt the incentives to motivate employees to spend more effort on idea generation versus volunteering for tasks and vice versa.

For example, if XP is the number of successful problems submitted, XS is the number of successful solutions submitted and XV is the number of volunteers, which management has approved, the total number of points earned could be a linear function, P(XP) = kP*XP, P(XS) = kS*XS, P(XV) = kV*XV. By increasing kP and kS relative to kV, management can incentivize employees to spend more effort on idea generation.

The system solves two common problems associated with incentive systems, intending to motivate innovation.

First, the relationship between a management and an employee can be described as a principle and agent problem, where management sets up a system to motivate employees to invest effort, but effort is normally more difficult to measure for innovation and idea generation. One method is to compensate individuals by the number of ideas submitted, but this does not encourage employees to submit ideas, which individuals are willing to volunteer for and management approves of. Another method is to compensate individuals for the number of good ideas submitted but this requires much effort on the part of management [1] to assess the value of ideas. The

[1] See Milgrom and Roberts, Economics, Organization and Management, in particular the "Monitoring Intensity Principle", for a more full discussion of the economics behind the optimal level of investment for monitoring effort.

Table 1

Simplified scenarios for idea generation system of Indigobo [1]

Scenario	Employee contributions			Manager approval	Points earned
I	Problem	*No solution given*			0
II	Problem →	Solution	*No volunteers*		0
III	Problem →	Solution →	Volunteer	*No approval*	0
IV	Problem →	Solution →	Volunteer →	*Approved* →	P(1) + S(1) + V(1)

system developed by Indigobo ensures employees are only compensated for ideas, which individuals are willing to volunteer for and management is willing to approve in a highly efficient manner.

Second, it is difficult to set an incentive system to motivate employees to spend the right proportion of time between idea generation and actual tasks. According to Milgrom and Roberts' analysis, if the marginal benefit of spending time on activity A is always higher than activity B, employees will spend all their time on activity A and no time on activity B. However, Indigobo's system is self adjusting. If employees switch all their efforts towards idea generation, but no one volunteers for tasks, no points can be earned as there will be no complete chains. If employees spend all their time volunteering for tasks, there will be no more ideas left for them to volunteer for. The system therefore solves the problem described by Milgrom and Roberts and allows management to fine tune the relative amount of effort spent between idea generation and tasks by adjusting, for example, k_P, k_S and k_V, without the common problem of relative differences in incentives leading employees to spend all their time on one activity. If an employee can earn one point for an idea and one point for volunteering for a task, there is a very good incentive to think up ideas in so far as idea generation may require less effort than performing tasks. The incentive to generate ideas can be increased further by increasing the number of point for volunteering for tasks. But however, incentives are set, this will not lead to the diversion of all effort towards ideas or all effort towards volunteering for tasks as points can only be earned if there is a complete chain, that is, that there are both ideas and people willing to volunteer for them.

Application of the system

To give one example of how such a system was successfully applied, it was used to help the team of an internet company gather ideas about how to improve the company website. In an internet company, working 'lean', i.e., efficiently is key. Employees' time is expensive and spending time on discussions or meetings that bring no tangible value can be costly. Such a system replaces the need for long meetings and encourages employees to focus on easy changes that deliver value, as management will approve those ideas that bring most value. Nevertheless, it can be argued that online systems can never replace face to face meetings as face to face meetings allow important information to be communicated that cannot be communicated online.

One problem with the system is the stress it can bring, particularly if employees are unable to earn points because they cannot think up or find problems and ideas they can perform. Furthermore, middle management can be made to feel insecure that their role of task delegation has been replaced by an online system, particularly if it shows that employees in the hierarchy below them are shown by the system to be better at thinking up ideas about what to do than they are. The first problem can be mitigated by providing template incomplete chains with ready-made problems or problems with solutions that can always be implemented. As such, employees have the choice as to whether to volunteer for these template ideas or think up their own problems and ideas. The second problem about middle management insecurity can be solved by not sharing scores among employees or by hiding who is the author of each idea. Nevertheless, employees are likely to discuss such systems off-line, so political considerations need to be taken into account before implementing such systems.

It is important to consider the dangers of forcing individuals to think up ideas. If employees submit ideas in such a system, this action may not be voluntary. An employee may have a good idea, but may wish to use the action of giving an idea to a company to achieve something, which they believe in or is very

[1] The actual system built by Indigobo has an additional feature creating longer chains. Participants can submit problems with ideas and individuals can submit solutions to these problems: problem->solution->problem->solution (initial problem->solution to initial problem->problem with solution to initial problem->solution to problem with solution to initial problem). Hence, a solution to a problem may have further problems, but this does not mean that this solution is forgotten; if a solution can be found to the problem with the initial solution, the initial solution can be used.

important to them. Requiring employees to earn points on such a system can potentially diminish the power of the employee to be able to lobby for what is important to them. Individuals, who need to earn a salary, do not necessarily have control over the tasks they are required to do; in contrast, their ideas may be precious to them and management does not ordinarily require individuals to submit these ideas. Applying Indigobo's systems, forcing employees to submit ideas, could diminish the power of employees to resist efforts of management to put pressure on them and campaign for issues which are important to individual employees.

Conclusion

In conclusion, company management is increasingly looking to crowdsourcing to drive innovation in order to maintain a competitive advantage and sales. However, it is difficult to encourage employees to focus on generating ideas that are most practical and that management approves of; it is also difficult to measure employee efforts. The Software as a Service crowdsourcing system of Indigobo provides a solution to many of these problems, by combining idea generation with task delegation. Problems arising among employees about insecurity and stress brought by such systems and the internal company political implications, among other issues, need to be considered before implementing such a system.

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НОВЫЙ ИНСТРУМЕНТ ДЛЯ КРАУДСОРСИНГА

Дэвид Пауэлл

Аннотация

Многие компании рассматривают инновации как ключ к успеху и используют идею краудсорсинга для помощи своим компаниям внедрять инновации. Необходим новый инструмент для краудсорсинга, который сочетает в себе идею генерации и распределения задач, будет во многом решать проблемы и сделает процесс генерации идей больше измеримых.

Ключевые слова: *Краудсорсинг, программное обеспечение как сервис, принцип и агент, мотивация, генерация идей, управление задачами, неприятие риска, делегирование, открытые инновации, стимулы, вознаграждения, управления.*

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INNOVATION DEVELOPMENT MANAGEMENT IN VERTICALLY INTEGRATED HOLDING COMPANY

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Abstract

The trend towards production consolidation and integration processes taking place both in the Russian and global economies leads to development of business associations, with a holding company being the most common form in Russia and around the globe.

The evidence in favor of the formation of holding companies is that they can benefit from the scale (bulk purchasing, centralized stuff training); in the global capital and exports markets they can be more effective than smaller businesses and, if non-profitable, a loss-making structure is easier to liquidate than the entire company; holding companies and associations can be an effective defender from political interference.

As the importance of the well-functioning and harmonized procedure for the companies' integration will increase (especially in the context of Russian business, where specific features of many areas of the production system imply the use of holding oligopolies as the most effective form of market structures), there is a need in their more profound study and, in particular, in the analysis of the most important technologies of the general integration procedure.

The article outlines the relevance of innovative development management of vertically integrated holding systems, lists principles of innovative activity management and considers the features of innovation management of a vertically integrated holding company.

The objective of the research *is to study theoretical and practical aspects of innovative development management in vertically integrated holding systems.* **The object of research** *is management structures in innovative holding companies.*

While working on the article, the following methods of economic research were used: abstract and logical method, empirical method, method of expert evaluations, as well as methods of structural and functional and statistical analysis.

Keywords: *Innovation development, innovation company management, innovation holding, vertically-integrated systems.*

Reference: *Uspenskaja N. T. Innovation development management in vertically integrated holding company. M.I.R. (Modernization. Innovation. Research), 2015, vol. 6, no. 2, part 2, pp. 69–72.*

Introduction

Any Russian company faces the necessity to introduce innovations as a basic condition for maintaining and developing its activities. The classics of innovation management, Gary Hamel, wisely wrote addressing enterprise heads: "Out there in some garage is an entrepreneur who's forging a bullet with your company's name on it. You've got one option: you have to shoot first. You have to out-innovate the innovators." Possibilities to develop innovations within companies, contacts with outside companies, joint development and cooperation in the field of innovation and the availability of state support ensure their access to innovations. The main obstacle to the effective company's innovation management was the lack of strategies, standards and tools for innovation implementation.

At present, the largest number of innovations is implemented mainly in the highly profitable fuel, energy and other key industries. According to the international practice, these are the industries where vertically integrated companies dominated [5].

Research results and discussion

Innovation development management of vertically integrated holding companies is a relevant and important issue due to the necessity to employ the entire scope of innovative capabilities in a vertically integrated company. Thus the effect from increased production scale is common for such companies. For example, A.Yu. Knobel states that "vertically integrated companies are better in simulating technologies, and disintegrated companies implement innovations better; vertical integration has a positive effect on growth in the early stages of development, and a negative impact at a later stage."

Firstly, a core possibility of innovative development of vertically integrated companies operating in processing

industries is connected with manufacturing of innovative products. At the same time, developing a highly efficient radical product innovation requires a long time at a relatively low probability of a positive outcome.

Secondly, intensification of industrial innovative development of vertically integrated industrial companies is influenced by the use of new types of raw materials; application of the new higher quality or cheaper raw materials for highly sophisticated industrial products has, as a rule, a local effect.

Thirdly, the use of new production technologies in multistage production chains often has a local effect, too.

Fourthly, increased competition between vertically integrated companies in the single market causes limitation of possibilities for implementing innovative changes.

Fifthly, there is the necessity to search for new possibilities for innovative changes in organizational structure of vertically integrated companies.

Though innovative organizational changes are evident, the potential of their internal nature in relation to the company that provides full manageability and unified character of the use has not been exhausted completely. This also refers to the innovative development management in vertically integrated companies.

In their work, Acemoglu, Aghionand Zilibotti (2002) developed a model in which the equilibrium organizational structure of the company changes as the economy approaches the world's technological frontier. Owners (managers) in vertically integrated companies have to spend time (effort) on production and innovation; this causes management overload and obstacles to innovations. Outsourcing of certain parts of the production process reduces management overload, but creates an opportunity for opportunistic behavior, resulting in some of the profit of owners being shared with suppliers.

The farther away from the technological frontier, the more acceptable imitation is, while when closer to the border, the more the innovation cost increases causing outsourcing.

In a similar research, Grossman and Hart (1986) formulated a theory according to which vertical integration reduces the potential for opportunistic behavior between companies and suppliers. Changing the ownership structure, and as a result, outside options of the participants involved, vertical integration changes the profit distribution among the participants and thus stimulates investments. In such models, the benefits from vertical integration are due to the fact that the parent company does not have to share profits with its suppliers, and the costs of vertical integration are due to management overload, and this prevents managers from being involved in certain activities, especially innovative ones. These two differently directed effects make vertical integration more attractive when far away from the technological frontier, but when approaching it, costs of the limited innovation activities of managers begin to overlap the costs caused by profit sharing and it is profitable to exercise outsourcing in some production activity.

Acemoglu, Aghion and Zilibotti (2002) summarize the earlier studies and reveal the relationship between the distance from the economy to the world's technological frontier and the organizational structure of the company. The authors show that companies enjoy substantial incentives to have a vertically integrated structure, if the economy is far from that frontier. Moreover, they studied how the removal of the country from the technological frontier influences the types of contracts companies sign with their managers, external funding sources, suppliers and vice versa, how these contracts can influence the economic growth [6]. When the economy approaches the technological frontier, innovation value increases and companies find it more profitable to implement outsourcing. However, they run the risk to be trapped by backwardness, when the economy does not achieve the technological frontier and remains within the vertical integration. The lower development of competition in the economy, the higher options for getting into this trap [6].

It is impossible to implement the strategy of innovative development without improving the processes of interaction between companies. The task to improve information exchanges is solved by implementation of e-commerce systems. Such systems are outside the business boundaries and change the nature of the world economy, providing competitive opportunities for companies of all sizes trying to expand the sphere of their influence. The development of Russian vertically integrated companies is determined by the necessity to improve the competitiveness, provide conditions for permanent updating and introduce new methods of management, innovations and information technologies.

Expansion of vertical integration should be seen as a strategic breakthrough. The main condition of success is the ability to integrate experience, to enter into new partnerships, to arrange joint ventures and establish relationships in order to improve the possibilities of different companies. Like integration of companies, integration of experience should not be held on the terms of establishing ownership and control; more importance should be given to common interests and mutual benefit [1].

Let's consider the peculiarities of management of innovation activities in a vertically integrated holding. The main elements of a vertically integrated holding company include production, transportation, storage, processing, sale, financial activities, R&D and the capital output to other sectors of the economy.

The common feature is the activity along the entire production process chain, enabling to maximize shareholder value of the vertically integrated company when implementing investment and innovation projects. Solving this problem requires the use of an integrated model of innovation management in all key chains of the holding taking into account changes in external factors. These factors include competition, supply and demand, exchange rates, the volume of exports, etc.:

- production management model implementing a differentiated principle for the project portfolio development;
- transportation management model which provides the possibility to improve the distribution of raw materials throughout delivery destinations under dynamically changing volumes at the initial stage (in dispatching points) and at the final stage (in destination points) of internal and external routes;
- innovation management model which implies the possibility to change the scheme of the holding's development depending on investments and get integrated with the production and transport models. One should take into account the current restrictions that have a significant impact on the final transportation costs (e.g., restricted traffic capacity, cost of transportation through the route sectors, end-user demand dynamics, seasonal variations, etc.);
- product sales model which considers the demand and supply dynamics in the domestic and foreign markets, short- and long-term forecasts for the capacity of internal and external markets, taking into account shares of competing holdings. It can be integrated with the production model.

If there is an innovation management system, the leading role belongs rather to the company's ownership, than to its activity or industry.

Holding companies have the following peculiarities of the innovation potential:

- integrated financial resources and the possibility to use them for development and implementation of technological innovations;
- a flexible multi-level organizational and management structure, prescriptive management style and the possibility to use them for development and implementation of non-technological innovations [3].

Conclusions

Thus, the innovation policy in a vertically integrated company is considered in the light of the complex interaction among all units under corporate limitations and preferences and the necessity for simultaneous consideration of innovative projects in all key chains of the holding taking into account the infrastructure (transport and distribution systems), and other features at all stages of the life cycle of long-term projects. It is necessary to take into account the complex mechanism of mutual influence of key performance indicators of the holding company.

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УПРАВЛЕНИЕ ИННОВАЦИОННЫМ РАЗВИТИЕМ ВЕРТИКАЛЬНО-ИНТЕГРИРОВАННОЙ ХОЛДИНГОВОЙ КОМПАНИЕЙ

Наталья Тагировна Успенская

Аннотация

Тенденция к укрупнению производств, а также интеграционные процессы, происходящие не только в отечественной, но и в глобальной экономике, приводят к образованию предпринимательских объединений, самой распространенной формой которых в России и в мире являются холдинги.

В пользу образования холдинговых компаний говорит то, что они могут сыграть на эффекте от масштаба (массовые закупки, централизованное обучение персонала), на мировых рынках капитала и экспорта могут действовать эффективнее меньших фирм, в случае нерентабельности легче ликвидировать убыточную структуру, чем все предприятие; холдинговые компании и объединения могут играть роль эффективного защитника от политического вмешательства.

В связи с тем, что важность проведения отлаженной, согласованной процедуры интеграции компаний будет возрастать (особенно в условиях российского бизнеса, поскольку специфика многих сфер производственного комплекса предполагает использование холдинговых олигополий в качестве наиболее эффективной формы рыночных структур), возникает необходимость в их более глубоком изучении и, в частности, в анализе наиболее значимых технологий общей процедуры интеграции.

В статье определена актуальность управления инновационным развитием холдинговых вертикально интегрированных структур, представлен перечень принципов управления инновационной деятельностью, рассмотрены особенности управления инновационной деятельности вертикально-интегрированного холдинга

Цель данного исследования состоит в исследовании теоретических и практических аспектов управления инновационным развитием холдинговых вертикально-интегрированных структур.

Объектом исследования являются структуры управления инновационных холдинговых компаний.

В процессе работы над статьей применялись следующие методы экономических исследований: абстрактно-логический, эмпирический, метод экспертных оценок, использовались приемы структурно-функционального и статистического анализа.

Ключевые слова: *инновационное развитие, управление инновационной компанией, инновационный холдинг, вертикально-интегрированные структуры.*

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ORDER OF CONFIRMATION OF THE COUNTRY OF GOODS' ORIGIN IN CONTRACTUAL SYSTEM

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Abstract

The current legislation about public procurements provides cases of obligatory confirmation of the country of goods' origin, however the order and methods of its confirmation in practice remain debatable.

Keywords: *contractual system, public procurements, country of goods' origin.*

Reference*: Shikalova E. V. Order of confirmation of the country of goods' origin in contractual system. M.I.R. (Modernization. Innovation. Research), 2015, vol. 6, no. 2, part 2, pp. 73–76.*

Since January 1, 2014 the Federal law of 05.04.2013 No. 44-FZ "About contractual system in the sphere of purchases of goods, works, services for ensuring the state and municipal needs" (further 44-FZ) entered into force to which acceptance there were considerable changes in the sphere of public procurements. Including the requirement about confirmation of the country of goods' origin became one of short stories.

By the current legislation it is established that for the purpose of protection of bases of the constitutional system, ensuring defense of the country and safety of the state, protection of the domestic market of the Russian Federation, development of national economy and support of the Russian producers by the Government of the Russian Federation the prohibition on the admission of the goods coming from foreign states, works, services according to carried out, rendered by foreign persons, and restrictions of the admission of the specified goods, works, services for the purposes of implementation of public procurements within contractual system (item 3 of Art. 14 44-FZ) is established. In the light of stated actual there is a question of an order of determination and confirmation of a country of source of the specified goods within carrying out procurement procedures.

The law on contractual system of an accurate order of its determination doesn't establish, and contains the general formulation "is performed in accordance with the legislation of the Russian Federation" (item 3 of Art. 14 of Art. 44-FZ). Proceeding from the analysis of the current legislation, regulation concerning an order of determination and confirmation of the country of goods' origin contain in the Customs code of the Customs union (appendix to the Agreement on the Customs code of the Customs union adopted by the Decision of Interstate Council of EurAsEC at the level of heads of states of 27.11.2009 N 17, further CC).

CC contains separate chapter 7 which and is called "Country of goods' origin". In particular Art. 58 gives us general provisions about the country of goods' origin, including specifies that determination of the country of goods' origin is performed according to the international treaties of state members of customs union regulating rules of determination of the country of goods' origin (item 3 of the Art. of 58 CC). The country of goods' origin is understood as the country in which the goods were completely made or will subject to sufficient handling / conversion (to paragraph 2 of section 1 of the Agreement of the Governments of the State Parties of the CIS countries of 20.11.2009 "About Rules of determination of the country of goods' origin in the Commonwealth of Independent States", further – Rules of determination). As the goods which are completely made are considered:

a) the natural resources (minerals and mineral products, water, land resources, resources of atmospheric air) got from a subsoil of this country in its territory or in its territorial sea (other reservoir of the country) or from its bottom, or from atmospheric air in the territory of this country;

b) the production of a phytogenesis which is grown up and/or collected in this country;

c) the live animals who were born and grown up in this country;

d) production received in this country from the animals who are grown up in it;

e) production received as a result of hunting and fishing trade in this country;

e) production of sea fishing trade and other production of sea trade received by the vessel of this country or leased (affreighted) by it;

g) production received onboard the overworking vessel of this country only from production specified in the subparagraph "e";

h) production received from a seabed or from a sea subsoil outside the territorial sea of this country provided that this country has exclusive rights on development of this seabed or this sea subsoil;

i) the waste and scrap (secondary raw materials) received as a result of production or other operations on conversion, and also which were in the use of a product, collected in this country and suitable only for conversion in raw materials;

j) production of high technologies received in an outer space in the space courts belonging to this country or leased (affreighted) by it;

k) the goods made in this country of production specified in subparagraphs "and" – "to" this point (item 2.2 of Section 2 of Rules of determination).

The criterion of sufficiency of conversion can be determined on the basis of the cumulative principle (it is applied in case of consecutive handling / conversion) or quality characteristics. In particular, treat the last:

a) the change of a goods item according to the nomenclature of goods subject to foreign trade at the level of at least one of the first four signs which resulted from handling/conversion;

b) accomplishment of necessary conditions, production and technological operations in case of which accomplishment the goods are considered the events from that country in the territory of which these transactions took place;

c) the rule of an ad valorem share when the cost of the used materials of a foreign origin reaches the fixed percentage share in the price of end products (item 2.4 of Section 2 of Rules of determination).

However the main condition of criterion of sufficient handling / conversion there is a change of a goods item according to the nomenclature of goods subject to foreign trade at the level of at least one of the first four signs (paragraph 6 of Section 2.4 of Rules of determination).

If production declared to delivery conforms to the specified requirements, it is possible to speak with complete confidence about its origin from the Russian Federation.

Thus the documents confirming the country of goods' origin the declaration on goods origin or the certificate of origin (item 2 of the Art. of 59 CC) are named. The declaration on goods origin is understood as the statement for the country of goods' origin made by the manufacturer, the seller or the sender in connection with commodity exportation provided that in it the data allowing to determine the country of goods' origin are specified. As such declaration the business or any other documents concerning goods (item 1 of the Art. of 60 CC) are used. This definition is applicable only for the external economic relations. So in case of strict interpretation of the specified regulation there is a question of legal value of the specified statement of the manufacturer or the seller out of communication with commodity exportation, and in connection with their domestic sale. Practice interprets this regulation broadly and recognizes as the declaration on goods origin any statement for the country of goods' origin made by the manufacturer, the seller or the sender provided that in it the data allowing to determine the country of goods' origin are specified. Even more questions arise because as such declaration the business or any other documents concerning goods can be used. For law enforcement officials there is open a question of a specific form of the declaration on goods origin. May it have an appearance of the guaranty letter, quality certificate or compliance? The current legislation doesn't give the answer to it.

The certificate of origin is the document unambiguously testimonial of the country of goods' origin and the issued authorized bodies or the organizations of this country or country of export if in the country of export the certificate is issued on the basis of the data received from the country of goods' origin (item 1 of the Art. of 61 CC). As the authorized organization in the Russian Federation the Chamber of Commerce and Industry (Art. 231 of the Federal law of 27.11.2010 No. 311-FZ "About customs regulation in the Russian Federation" acts; item 18 of Art. 12 of the Charter of Chamber of Commerce and Industry of the Russian Federation (Constituent Congress of Chamber of Commerce and Industry of RSFSR 19.10.1991)). Thus issue of certificates is performed on a paid basis (item 1.14 of the Regulations on an order of registration, the certificate and issue of certificates of origin of goods, and also other documents connected with implementation of foreign economic activity (The resolution of Board of Chamber of Commerce and Industry of the Russian Federation of 23.12.2010)), also for registration it is necessary to provide acts of the independent examination executed by the expert organization (division) of Chamber of Commerce and Industry according to the rules of determination of the

country of goods' origin stated in the Customs code of the Customs Union (item 2.2 of the Regulations on an order of registration, the certificate and issue of certificates of origin of goods, and also other documents connected with implementation of foreign economic activity). These actions attract assignment on participants of procurement procedures of additional financial burden and are reflected in a final price of goods in the form of its increase.

Terms of issue of certificates are established by the territorial Chambers of Commerce and Industry which are directly performing issue and in some cases reach till 60 days from the date of the address. And the maximum term on submission of requests provided for an open tender constitutes 20 days. Thus, there is difficult a possibility of participation in procurement procedures.

Remains open and the question in which what case the document shall be provided? According to item 6.2 of Rules of determination of the country of goods' origin for the purpose of provision of a free trade regime as the document confirming a country of source of an imported goods the declaration on goods origin if the total cost of such goods coming from the State Party of the Agreement and declared in one batch doesn't exceed the amount equivalent 5 000 (to five thousand) US dollars can be provided. However this provision generates some more questions. First, whether public procurements within contractual system of one of forms of provision of a free trade regime are? For the answer to this question it is necessary to understand that represents a free trade regime. In understanding of GATT 1994 (The General agreement on rates and trade of 1994 (GATT) (Together with "The Marrakesh protocol...") (It is concluded in Marrakech 15.04.1994)) the free trade regime represents one of the closest forms of the international economic integration. Provides a free trade regime:

- provision of a national treatment concerning the internal taxation and regulation;
- provision of a national treatment concerning public procurements;
- ensuring freedom of transit;
- application of technical measures, and also sanitary and phytosanitary measures based on the relevant standards of the World Trade Organization;
- regulation of provision of subsidies;
- an application regulation in mutual trade of anti-dumping, countervailing and protective measures.

Thus, the purchases for the state needs performed within contractual system are directly referred to one of forms of provision of a free trade regime owing to specifying of the international agreement.

Secondly, what in this case it is necessary to understand as a batch? We find legal determination in section 1 of Rules of determination: the batch is goods which go at the same time according to one or several commodity transport documents to one consignee from one consignor, and also goods which are sent on one post delivery note or move as baggage one person crossing border.

Thus, calculation of a specific batch will be always made proceeding from conditions of the specific public contract, and in particular, availability of conditions in it about the periods of delivery of job lots of goods and determination of their amount. In the absence of the delivery schedule and a clause about the maximum amount of one selection, we in the right to consider that all amount of goods concerning which the public contract is signed, can be delivered by one batch.

Thirdly, for what date it is necessary to make calculation of an amount of transaction? The matter becomes especially actual in the light of the last considerable rate fluctuations of currencies. Whether it is necessary to make calculation for date of the conclusion of the public contract or on a delivery date of a job lot. The Accounting regulation "Accounting of Assets and Liabilities Which Cost Is Expressed in Foreign Currency" (PBU 3/2006) is devoted to the answer to this question. According to it date for work of recalculation transaction date is. As in compliance of item 2 of Art. 34 44-FZ the price of the contract is firm and is determined on all contract date, and documents confirming the country of goods' origin shall be provided at the time of its conclusion, it is represented to more true to make recalculation on date of procedure of determination of the winner.

Proceeding from everything is higher stated, we draw a conclusion that according to the current legislation the document provided for the purpose of confirmation of the country of goods' origin in case of the conclusion of the public contract is determined proceeding from provisions of the specific contract, namely availability of conditions in it about the periods and delivery lots, taking into account the cost of job lots which in terms of date of procedure of determination of the winner shan't exceed the amount equivalent 5 000 (to five thousand) US dollars. In case of observance of the specified conditions the declaration of goods origin, in other cases - the certificate of origin can be provided.

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РАЗВИТИЕ

ПОРЯДОК ПОДТВЕРЖДЕНИЯ СТРАНЫ ПРОИСХОЖДЕНИЯ ТОВАРА В КОНТРАКТНОЙ СИСТЕМЕ

Екатерина Владимировна Шикалова

Аннотация

Действующее законодательство о государственных закупках предусматривает случаи обязательного подтверждения страны происхождения товара, однако порядок и способы ее подтверждения на практике остаются дискуссионными.

Ключевые слова: *контрактная система, государственные закупки, страна происхождения товара.*

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СТРАТЕГИИ РАЗВИТИЯ ГОСКОРПОРАЦИЙ – ЛОКОМОТИВЫ ПЛАНОВОГО РОСТА РАЗВИТИЯ РЕГИОНОВ И ОБЕСПЕЧЕНИЯ ЭКОНОМИЧЕСКОЙ БЕЗОПАСНОСТИ РОССИИ

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Аннотация

30 июня 2015 года вступает в силу Федеральный закон Российской Федерации от 31 декабря 2014 года № 488-ФЗ «О промышленной политике в Российской Федерации». Закон требует инновационного производства. Вместе с тем, из всего спектра стратегических документов только к компаниям с государственным участием предъявляются требования инновационного развития и внедрения инноваций. В этой связи встроенность стратегий госкомпаний в систему стратегического планирования в России является, во-первых, важным фактором стимулирования инновационного вектора развития экономики страны, а, во-вторых, взаимосогласованность стратегий госкомпаний, отраслей и регионов на инновационном направлении развития будет является основой для сбалансированности всей экономики России.

Ключевые слова: *о стратегическом планировании в Российской Федерации, государственные корпорации, государственные компании и акционерные общества с государственным участием, реализация Федерального закона 172-ФЗ, показатели инновационного развития, стратегическое управление, национальная безопасность.*

Для ссылки: *Симонова Ю. В., Смирнова О. О. Стратегии развития госкорпораций – локомотивы планового роста развития регионов и обеспечения экономической безопасности России // МИР (Модернизация. Инновации. Развитие). 2015. Т. 6. № 2. Часть 2. С. 77–82.*

Государством поставлена цель – формирование высокотехнологичной, конкурентоспособной промышленности, обеспечивающей переход экономики государства от экспортно-сырьевого типа развития к инновационному типу развития. Об этом говорит Федеральный закон Российской Федерации от 31 декабря 2014 г. № 488-ФЗ «О промышленной политике в Российской Федерации» (ст. 4. п 1, 1): «целями промышленной политики являются формирование высокотехнологичной, конкурентоспособной промышленности, обеспечивающей переход экономики государства от экспортно-сырьевого типа развития к инновационному типу развития».

С выходом данного закона дискуссии в государственных органах о сырьевом развитии экономики в Российской Федерации не имеют право на существование. А также ни о дин документ стратегического планирования не имеет право на существование, если в нем рассматривается вариант сырьевого развития экономики Российской Федерации. Переход от сырьевого типа развития экономики к инновационному типу связан, в первую очередь, с обеспечением национальной безопасности, требующей своего машиностроения и электронной промышленности, проч.

Задача, действительно весьма серьезная. С одной стороны, за 25 лет «интеграции» Российской Федерации в мировую экономику она смогла интегрироваться только в сырьевые отрасли. Так, например, на парламентских слушаниях в Российском экономическом университете имени Г.В. Плеханова первый заместитель министра промышленности и торговли Российской Федерации Глеб Никитин заявил, что импортная доля в машиностроении занимает от 60 до 92% [1]. Данный уровень машиностроения никак не может обеспечить национальную безопасность Российской Федерации.

С другой стороны, важно обратить внимание на то, что в существующей практике государственного стратегического планирования и прогнозирования целевые показатели, предполагают формирование показателей от достигнутого. Так,

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http://importozamechenie.ru/rf-nuzhno-importozamestit-800-vidov-produkcit-i-texnologij/

в рамках формирования прогнозов стратегий предполагается рост экономических показателей в пределах 2–4 процентов в зависимости от конъюнктуры мировых рынков на сырьевые ресурсы. Однако, 2014 год, экономические санкции против Российской Федерации, и прочие вызовы на внутренних и внешних рынках заставили определить иные требования к формированию целевых показателей и инструментов их достижения.

Рассмотрим на примере задач по импортозамещению в российской промышленности.

По результатам анализа, проведенного Минпромторгом России [1], наиболее перспективными с точки зрения импортозамещения являются станкостроение (доля импорта в потреблении по разным оценкам более 90%), тяжелое машиностроение (60–80%), легкая промышленность (70–90%), электронная промышленность (80–90%), фармацевтическая, медицинская промышленность (70–80%), машиностроение для пищевой промышленности (60–80%). Импортозамещение в этих и других отраслях возможно только в случае наличия соответствующих свободных производственных мощностей и конкурентоспособных предприятий, которые могут предложить качественную продукцию по рыночным ценам. В долгосрочной перспективе снижение импортной зависимости возможно за счет инноваций и стимулирования инвестиций в технические отрасли и создания новых производств. По оценке Минпромторга России, «в случае реализации продуманной политики импортозамещения к 2020 году можно рассчитывать на снижение импортозависимости по разным отраслям промышленности с уровня 70–90% до уровня 50–60%». При этом надо сказать про качество импортозамещения. Что касается доли инновационной продукции от общего объема рынка, она увеличивается достаточно неторопливо. На данный момент она составляет лишь 7%. Возможно, этим и обуславливается незначительный потенциал российских предприятий в поставках высокотехнологичной отечественной продукции, на мировой рынок, что составляет сегодня 0,3% мирового рынка высокотехнологичной продукции.

В таких условиях, когда уровень национальной безопасности обеспечивается при уровне собственных производств на уровне 80–90%, а современная доля отечественного производства по разным направлениям составляет от 7 до 30%, говорить о приросте в 2–5% – бессмысленно и некорректно, так как при таком росте, показатели национальной безопасности не будут достигнуты и в ближайшие 10–15 лет.

Таким образом, показатели экономического развития должны устанавливаться в соответствии с требованиями национальной безопасности, и быть ориентированы на достижение целевых показателей.

В соответствии с 172 ФЗ базовым документов в рамках целеполагания для развития Российской Федерации является ежегодное послание Президента Российской Федерации Федеральному Собранию Российской Федерации. К формату базового целеполагания можно также отнести указы Президента Российской Федерации от 2012 года. Все Указы содержат конкретные поручения Правительству Российской Федерации, органами исполнительной власти субъектов Российской Федерации и органам местного самоуправления о достижении конкретных показателей в сере здравоохранения, образования, социальной, демографической политики, др.

Июнь и начало июля 2015 года собрали богатый урожай поручений Президента Российской Федерации в части вопросов государственного стратегического планирования. В рамках Петербургского международного экономического форума, 18 июня, обсуждая с главами предприятий эффективность мер поддержки бизнеса, В.В. Путин подчеркнул «необходимость наличия элементов планирования», «в частности в вопросах развития инфраструктуры», «с соблюдением макроэкономических параметров и бюджетной политики».

На расширенном заседании Совета Безопасности 3 июля 2015 года в части стратегического планирования Владимир Путин отметил: «Прежде всего необходимо в короткие сроки провести анализ всего спектра потенциальных вызовов и рисков: и политических, и экономических, и информационных, и других – и на этой основе скорректировать Стратегию национальной безопасности России. С учётом обновлённой Стратегии национальной безопасности должны быть актуализированы действующие и разрабатываемые документы стратегического планирования. Кроме того, в случае необходимости надо будет внести уточнения и в Концепцию внешней политики и в Основы комплексной политики России на пространстве СНГ. Важнейшая тема – это вопросы экономической безопасности. В документах стратегического планирования нужно более чётко и подробно обозначить основные угрозы в этой сфере, определить критерии и пороговые показатели состояния экономики, при которых возникают риски для национальной безопасности, а также конкретизировать меры и механизмы, которые позволят снизить за-

[1] «Насколько сегодня отечественная промышленность зависима от поставок иностранного оборудования?» Российская газета http://www.rg.ru/2014/08/05/zameshenie.html

висимость экономики от внешних неблагоприятных факторов. Должны быть разработаны и представлены новые предложения по концептуальным основам стратегического планирования и прогнозирования устойчивого социально-экономического развития России, управления рисками» [1].

Таким образом, системе государственного стратегического планирования придан высокий импульс целеполагания, впервые прозвучали требования к наличию критериев и пороговых показателей состояния экономики.

С этих двух позиций – требований инновационного развития Российской Федерации и интегрированности стратегий государственных компании и акционерных общества с государственным участием в единую систему государственного стратегического планирования – мы и рассмотрим стратегические документы госкомпаний.

Не будет тайной, что деятельность государственных корпораций, государственных компаний и акционерных обществ с государственным участием подчиняется задачами управления, формализованными в плане реализации Государственной программы «Управление федеральным имуществом». Данный факт вносит существенные корректировки при подготовке методических рекомендации по разработке долгосрочных программ и стратегий государственных корпораций, государственных компаний и акционерных обществ с государственным участием, а также в части внедрению системы ключевых показателей эффективности в государственных корпорациях. Задача основного акционера госкомпаний – Российской Федерации в лице Росимущества, а также требования реализации Государственной программы «Управление федеральным имуществом» приводят к тому, что базовой целью многих компаний в стратегических документах представлена бизнес – модель компании, а не отраслевые приоритеты и не цели, определенные в нормативно-правовых документах, на основании которых и создавались компании.

Методические указания по применению ключевых показателей эффективности государственными корпорациями, государственными компаниями, государственными унитарными предприятиями, а также хозяйственными обществами, в уставном капитале которых доля участия Российской Федерации, субъекта Российской Федерации в совокупности превышает пятьдесят процентов, которые разработаны во исполнение пункта 4 перечня поручений Президента Российской Федерации по итогам Петербургского международного экономического форума от 5 июля 2013 г. № Пр-1474, устанавливают основы системы ключевых показателей эффективности, определяют ее цели, задачи и предъявляемые к ней требования и определяют перечень основных КПЭ (ключевой показатель эффективности) для различных госкомпаний, с учетом сегментации, а также особенности применения КПЭ. Для госкомпаний применяются финансово-экономические показатели и отраслевые показатели. Это такие обязательные финансовые показатели как:

- рентабельность инвестиций акционеров (TSR – Total shareholders return) за прошедший год;
- размер дивидендов (динамика в сравнении со средним размером за 3 последних года);
- рентабельность инвестированного капитала (ROIC – return on invested capital);
- рентабельность акционерного капитала (ROE – Return on equity);
- динамика размера EBITDA к предыдущему году (Рост показателя);
- рентабельность по EBITDA (Рост показателя в сравнении со средним показателем за 3 последних года);
- динамика удельной выручки (за вычетом нерегулярных составляющих) за год из расчета на одного сотрудника (рост к предыдущему году);
- снижение затрат на приобретение товаров (работ, услуг) на единицу продукции.

К показателям на усмотрение совета директоров госкомпании при необходимости можно отнести в том числе экономические показатели – создания и модернизации высокопроизводительных рабочих мест, повышение производительности труда и пр. В части отраслевых КПЭ для госкомпаний предусмотрено не более 4 показателей, учитывающих специфику деятельности компании, политику государства в отношении развития конкретной компании и отрасли в целом, положения существующих госпрограмм, а также решений Президента Российской Федерации, Правительства Российской Федерации и курирующих федеральных органов исполнительной власти в части развития Общества. Наименование и порядок расчета отраслевых показателей подлежат обязательному согласованию с федеральным органом исполнительной власти, осуществляющим нормативно-правовое регулирование в соответствующей сфере (госкорпорациями), до утверждения целевых значений КПЭ советом директоров компании.

Очевидно, что «социальные» показатели для деятельности компаний с государственным участием

[1] Материалы расширенного заседания Совета Безопасности 3 июля 2015 года kremlin.ru/events/president/news/49862

не только не являются основными, но и их количество лимитируется. Исключения составляет небольшой список госкорпораций.

С учетом специфики деятельности госкорпораций, являющихся некоммерческими организациями, учрежденными Российской Федерацией на основе имущественного взноса, используется индивидуальный подхода к определению перечня КПЭ, достижение целевых (плановых) значений которых продиктованы долгосрочной программой развития госкорпорации (стратегией развития госкорпорации), программой деятельности госкорпорации на среднесрочный период.

Перечень таких госкорпораций следующий [1]:

- Государственная корпорация «Ростехнологии»;
- Государственная корпорация «Росатом»;
- Государственная корпорация «Олимпстрой» (ликвидирована);
- Внешэкономбанк;
- Фонд содействия реформированию жилищно-коммунального хозяйства;
- Агентство по страхованию вкладов;
- Государственная компания «Автодор».

По решению данных госкорпораций могут устанавливаться альтернативные КПЭ, достижение целевых (плановых) значений которых продиктовано стратегией развития госкорпораций и нормативными правовыми актами, регулирующими их деятельность. Вид, наименование, вес, целевые показатели и значения КПЭ утверждаются соответствующими госкорпорациями. Следовательно, в перечень КПЭ указанного закрытого списка госкорпораций могут входить и социальные показатели, а также показатели развития территорий, которые могли бы коррелироваться с показателями, отраженными в стратегических и прогнозных документах субъектов Российской Федерации.

В части современной практики стратегического планирования в Российской Федерации и роли госкомпаний надо отметить следующее. Правительство России рассматривает стратегические документы и утверждает инвестиционные программы крупнейших корпораций, естественных монополий, которые являются государственными или имеют в своем капитале значительную долю государственного участия. Они по своему масштабу вовлечены в системы государственного прогнозирования и планирования на федеральном уровне и уровне субъектов и, следовательно, также должны иметь региональный разрез. Тем более что планы регионального развития инфраструктурных монополий – это едва ли не самый важный фактор для развития многих субъектов. В этой связи, определенность с направлением и темпом развития деятельности государственных корпораций, государственных компании и акционерных обществ с государственным участием (далее – госкомпании) в регионе позволит существенно повысить качество планирования на региональном уровне. Исключительно важно согласование планов крупных компаний и корпораций и иных стратегических документов федерального и регионального уровня в связи с тем, что инвестиции должны направляться на реализацию приоритетных проектов в регионах, выбираемых с учетом целей федеральной стратегии в развитии страны. Таким образом, вопрос о роли стратегических планов госкомпании в деятельности субъектов Российской Федерации является исключительно важным, а совместные согласованные усилия по достижению целевых показателей социально – экономического развития Российской Федерации и ее регионов являются одним из базовых требований реализации федерального закона от 28.06.2014 № 172-ФЗ «О стратегическом планировании в Российской Федерации».

В этой связи является исключительно важным то, из всего спектра требований к стратегическим документам, только к стратегическим документам компаний предъявляются требования инновационности развития.

Рекомендациями по разработке программ инновационного развития акционерных обществ с государственным участием, государственных корпораций и федеральных государственных унитарных предприятий» (утв. решением Правительственной комиссии по высоким технологиям и инновациям от 03.08.2010, протокол № 4) регламентированы основные показатели (индикаторы) программ инновационного развития [2]. В рекомендациях указано, что целесообразно ориентироваться на использу-

[1] Методические указания по применению ключевых показателей эффективности государственными корпорациями, государственными компаниями, государственными унитарными предприятиями, а также хозяйственными обществами, в уставном капитале которых доля участия Российской Федерации, субъекта Российской Федерации в совокупности превышает пятьдесят процентов, письмо Росимущества ОД-11/18576, Правительство Российской Федерации одобрило предложения по применению ключевых показателей эффективности, разработанных во исполнение пункта 4 Перечня поручений Президента Российской Федерации от 05.07.2013 № Пр-1474 Рабочей группой в составе представителей Росимущества и Минэкономразвития России, а также утвержденных Экспертно-консультационным советом при Росимуществе. http://www.rosim.ru/documents/143749

[2] Рекомендации по разработке программ инновационного развития акционерных обществ с государственным участием, государственных корпораций и федеральных государственных унитарных предприятий (утверждены решением Правительственной комиссии по высоким технологиям и инновациям от 3 августа 2010 г., протокол № 4.) http://innoedu.ru/projects/pir/information/files/rekomendacii_pir.doc

емые в мировой практике показатели, характеризующие инновационную направленность. В этой связи целесообразно использовать показатели отраслевого блока документов стратегического планирования (плановые и программно-целевые документы государственных корпораций, государственных компаний и акционерных обществ с государственным участием) в стратегических документах регионального блока (прогнозы и стратегии социально-экономического развития субъекта Российской Федерации):

1) показатели финансирования и результативности НИОКР:

- объем финансирования НИОКР;
- количество патентов и иных нематериальных активов, поставленных на баланс по результатам проведенных НИОКР;
- количество разработанных и внедренных в производство технологий и продуктов по результатам выполненных НИОКР;

2) показатели технологического лидерства:

- количество патентов, полученных за последние 3 года;
- количество продуктов, защищенных патентами, полученными за последние три года;
- качество инновационного портфеля – баланс между прорывными (технологии, продукты и услуги, создающие новые рынки и новые категории продукции) и улучшающими проектами (направленными на развитие имеющихся на рынке продуктов);

3) показатели эффективности инновационной деятельности:

- процент от продаж новых продуктов (не старше трех лет) в общем объеме продаж;
- показатель эффективности внедрения – отношение объема продаж продукции, произведенной с использованием результатов НИОКР, к величине расходов на их проведение;

4) показатели результативности системы управления инновациями:

- количество проектов, переходящих с одного этапа процесса разработки и выведения на рынок инновационной продукции и услуг на следующий;
- продолжительность цикла инновационного процесса или его отдельных стадий (например, время, требуемое на создание прототипа продукции или выпуска опытной партии);

5) показатели эффективности взаимодействия с внешними источниками разработок и инноваций:

- количество инновационных предложений от сторонних организаций;
- процент продаж от реализации разработок, полученных извне.

Надо отметить, что Федеральный закон от 28.06.2014 № 172-ФЗ «О стратегическом планировании в Российской Федерации» определил взаимосвязь документов стратегического планирования Российской Федерации со стратегическими документами государственных корпораций, государственных компаний и акционерных обществ с государственным участием [1]. Также, говоря об отраслевых стратегических документах в системе стратегического планирования, нельзя отставить без внимания положения статьи 43 «Реализация документов стратегического планирования на федеральном уровне», закона № 172-ФЗ: «Положения стратегии социально-экономического развития Российской Федерации в части целей, задач и приоритетов развития отраслей экономики и сфер государственного управления детализируются в отраслевых документах стратегического планирования Российской Федерации, на основе которых формируются мероприятия государственных программ Российской Федерации с необходимым ресурсным обеспечением, в том числе определенным в соответствии с бюджетным прогнозом Российской Федерации на долгосрочный период».

Таким образом, требования реализации закона 172-ФЗ в части координации документов стратегического планирования способствуют интеграции требований к инновационности стратегических до-

[1] Федеральный закон от 28.06.2014 № 172-ФЗ «О стратегическом планировании в Российской Федерации»:

• статья 19. Отраслевые документы стратегического планирования Российской Федерации, п. 2. «Отраслевые документы стратегического планирования Российской Федерации являются документами, определяющими развитие определенной сферы или отрасли экономики, а также могут быть основой для разработки государственных программ Российской Федерации, государственных программ субъектов Российской Федерации, схем территориального планирования Российской Федерации, а также плановых и программно-целевых документов государственных корпораций, государственных компаний и акционерных обществ с государственным участием»;

• статья 21. Стратегии социально-экономического развития макрорегионов, п. 2. «Стратегии социально-экономического развития макрорегионов разрабатываются и корректируются в целях обеспечения согласованности проведения в территориальном и временном отношении мероприятий, предусмотренных стратегией пространственного развития Российской Федерации, отраслевыми документами стратегического планирования Российской Федерации, стратегиями социально-экономического развития субъектов Российской Федерации, генеральными схемами, плановыми и программно-целевыми документами государственных корпораций, государственных компаний и акционерных обществ с государственным участием, в соответствии с положениями, определенными стратегией национальной безопасности Российской Федерации, стратегией социально-экономического развития Российской Федерации, а также на основе данных прогноза социально-экономического развития Российской Федерации на долгосрочный период».

кументов в отраслевые и региональные документы стратегического планирования. В этой связи программы инновационного развития акционерных обществ с государственным участием, которые должны быть интегрированы в бизнес-стратегию развития компаний, содействовать модернизации и технологическому развитию компаний путем значительного улучшения основных показателей эффективности производственных процессов, призваны сыграть значительную роль не только в стратегиях госкомпаний, но и с отраслевых и региональных стратегиях, стратегиях развития федеральных округов и др. Но, прежде всего, отражение показателей инновационного развития отраслей и территорий призвано на современном этапе решать задачи национальной безопасности страны и обеспечения конкурентоспособности ее экономики.

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THE STRATEGY OF THE STATE CORPORATION DEVELOPMENT – ECONOMIC GROWTH IN REGIONS AND ECONOMY SECURITY IN RUSSIA

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Abstract

On June 30, 2015 has come into force the Federal Law of the Russian Federation (№ 488-FL): "On the industrial Policy in the Russian Federation". The law requires the innovation Production.

At the same time, from the whole spectrum of the strategic documents only for the companies with the State participation the innovation development is required.

In this sense, the strategies of the State companies embedded into the Strategical Planning System in Russia is important factor of stimulation of innovative development of Russian Economy. The integration of the State companies strategies and regions in innovation development will be the basis for stability in Russian Economy.

Keywords*: On the strategic planning in the Russian Federation, the State corporations, the State enterprises and the joint stock companies with the State participation, implementation of the Federal law 172-FL, Innovation indicators, Strategic management, National Security, Economy criteria and indicators, the basic concepts of Planning and Prediction.*

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