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THE INSTITUTIONAL PROBLEMS OF INNOVATION ENTREPRENEURSHIP IN UKRAINE

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Лимар В.В. Інституціональні проблеми інноваційного підприємництва в Україні.

Дана стаття присвячена визначенню інституціональних проблем інноваційного підприємництва в Україні, а також запропоновано шляхи їх вирішення. В статті проаналізовано існуючі інноваційні моделі в Європі, порівняно ефективність інноваційної діяльності в країнах Європи та Україні, визначено роль малих та середніх фірм в сучасній економіці, визначено важливість інновацій для конкурентоспроможності малих та середніх фірм та запропоновано шляхи залучення інновацій в бізнес.

Ключові слова: інноваційне підприємництво, технологічний розвиток, інноваційні моделі, малі та середні підприємства (МСП), інноваційні індикатори.

Льмарь В.В. Институциональные проблемы инновационного предпринимательства в Украине.

Данная статья посвящена определению институциональных проблем инновационного предпринимательства в Украине, а также предложены пути их решения. В статье проанализированы существующие инновационные модели в Европе, сравнены эффективность инновационной деятельности в странах Европы и в Украине, определена роль малых и средних фирм в современной экономике, определена важность инноваций для конкурентоспособности малых и средних фирм и предложены пути привлечения инноваций в бизнес.

Ключевые слова: инновационное предпринимательство, технологическое развитие, инновационные модели, малые и средние предприятия (МСП), инновационные индикаторы.

Lyamar V. The Institutional Problems of the Innovation Entrepreneurship in Ukraine.

The article is devoted to the definition of the institutional problems of innovation entrepreneurship in Ukraine and the acts of their solving are given. Existing innovation modes in Europe and innovation performance between the European Union and Ukraine are analyzed. The importance of innovations for SMEs competitiveness and the role of SMEs in modern economy are defined. And the acts for implementation of innovations into business are given.

Key words: innovation entrepreneurship, technological development, innovation modes, small and medium entrepreneurship (SMEs), innovation indicators.

The problem of the investigation. Despite the heterogeneity between countries, the variants of the European social models, and the overwhelming number of policy initiatives to support technology development and innovation, the European experience emphasizes the role of innovation for growth and development. Innovation in this context is not seen as an end in itself but as an instrument to stimulate growth and development.

“Sustainable growth” adds yet another twist to this topic: if growth is to be sustained over long periods of time growth policies must pay sufficient attention to the limits of growth: the environment, the depletion of raw materials, energy, people, etc. Europe has striven to couple the existing growth orientation with the “new” challenges emanating from climate change and the depletion of natural resources in Europe in order to create and develop truly ‘innovation-driven sustainable growth models’. The challenges ahead are substantial but they lack alternatives.

Ukrainian enterprises sector is developing in the complicated conditions of a transition economy, facing the inevitable constraints imposed by deficiencies in legislation and market failures. The following problem areas in Ukrainian business environment are identified by the International Finance Corporation as those impeding SME development: financing; taxation; inspections; permits; registration; licensing; certification and standards.

The analysis of last investigations and publications. The problems of sustainable growth and importance of innovations in modern life and economy are analyzed by Ukrainian and foreign scientists such as S. Katsura, Yu. Makogon, V. Lyashenko, T. Medvedkin, I. Hadzhynov, T. Korneeva, L. Ladonko, W. Keller, E. Mensfield, M. Hirooka.

Economic and innovation policies take place in a complex and dynamic environment. Consequently, analyzing the sources of growth is a demanding exercise, which nevertheless identifies some generic growth drivers but emphasizes at the same time the context specificity of growth policy measures. A concept to bring this into perspective is the “technological frontier” which draws a line between countries that work on or close to the technology frontier and those who are in a catching-up mode. In the first place, the policy mix needs to aim at an outward shift of the technology frontier through radical innovations while for the second group of countries it has to support a catching-up process where imitation is a major component.

The policy mix (i.e. the measures) but not the policy headlines have to be different in each of the two cases. Radical innovations are the major instrument to shift the technological frontier outwards and – if you are already working on the frontier – the only option to differentiate yourself from your competitors and to create potential for future growth. Of course, radical innovation also happens in catching-up mode but it is most likely not the most prominent form of innovation. Even in front-running mode most innovation activities need to be incremental.

Emphasizing of the unsettled problem. There is no single policy measure to support either front-running or catching-up activities but a bundle of measures across horizontal policy fields. Catching-up mode countries (i.e. the companies and individuals) strive to build up capabilities and competencies in order to reduce the gap with the leading countries. This process is often supported by limited competition in the product markets; large firms take the lead in modernizing process and may have close ties to banks that finance their operations, government subsidies to gain momentum, educational systems emphasizing primary, secondary, and specialized undergraduate education; and rigid labor markets that favor the accumulation of experience within firms. The front-running mode is just the opposite and stresses radical innovation, strong competition on markets for products and services and an educational system that requires the acquisition of a broad skill basis and tertiary education.

The aim of the investigation is to define institutional problems of innovation entrepreneurship in Ukraine and propose acts to solve them.

The tasks of the investigation are: to analyze existing innovation modes in Europe; to compare innovation performance between the European Union and Ukraine; to analyze the role of SMEs in modern economy; to define the importance of innovation for SMEs competitiveness; to propose actions for implementation of innovations into business.

In both modes of operation formulation, triangle policies, i.e. research, education and innovation, are crucial for the realization of the growth potential of an economy as these policy areas are mutually reinforcing or – if not developed in a coordinated way – creating bottlenecks which limit

growth opportunities.

The results of the investigation. The European Commission defines competitiveness "...as a sustained rise in the standards of living of a nation or region and as low a level of involuntary unemployment as possible" [1, p. 4]. While the definitions vary it is generally acknowledged that competitiveness can be – at least in the long run – equated by the productivity level and productivity development of a nation, sector or firm.

It is reasonable to say that almost all components of a society do have an impact on the growth and productivity potential – and thus on the competitiveness - of a country. While this is obvious, it is far less obvious how big the influence of the various components has been at present and will be in the future. Some advantages, like access to raw materials, may be advantageous only at a certain point in the development process but may create reliance on these resources and may reduce the willingness to invest in other industries or education and thus may curtail future growth potential. For example, early adoption of regulation to safeguard the environment may stimulate innovation in products and processes that create first-mover advantage once other countries follow suit rather than just adding costs for the companies, which are affected by the regulation that would deteriorate competitiveness [2].

The indicators of the European Innovation Scoreboard provide a first comparison in terms of innovation performance between the European Union and Ukraine (Fig. 1).

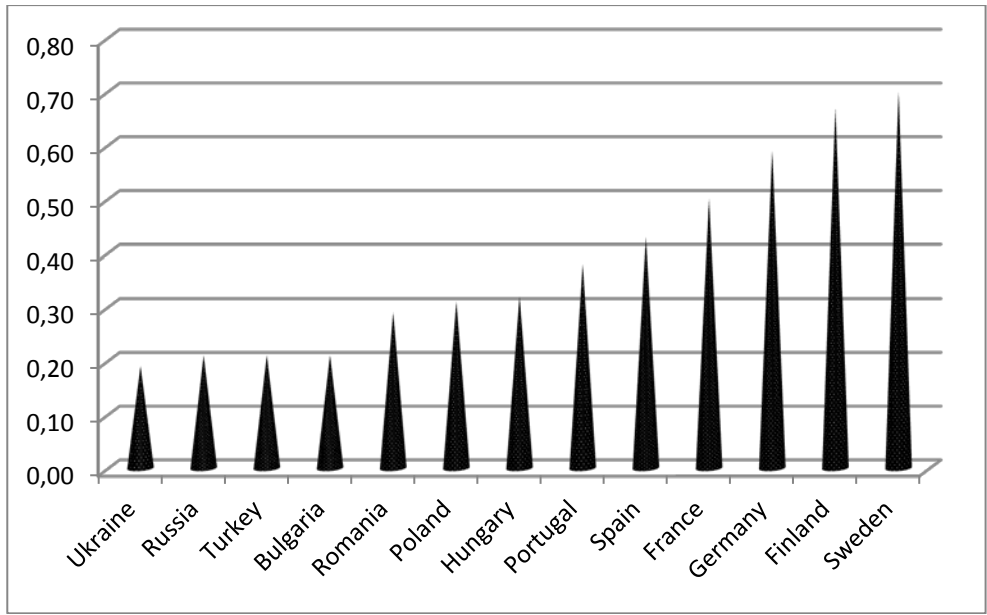


Fig. 1. Ukraine according to the value of science innovation indicators (SII) in comparison with selected EU countries, 2012, % [3]

Vis a vis the European Union, Ukraine does particularly well in the level of information and communications technologies (ICT) expenditures and youth education where it surpasses the European average. The share of S&T graduates and of new-to-market innovations is close to the European average. Ukraine is at about half or two thirds of the European Union in terms of public R&D expenditures, innovation expenditures, employment in medium to high-tech manufacturing and high-tech services. The positive or at least moderate performance in these indicators is in stark contrast to the level of broadband penetration, business R&D expenditures, public funding of innovations and high-tech exports (Fig.2).

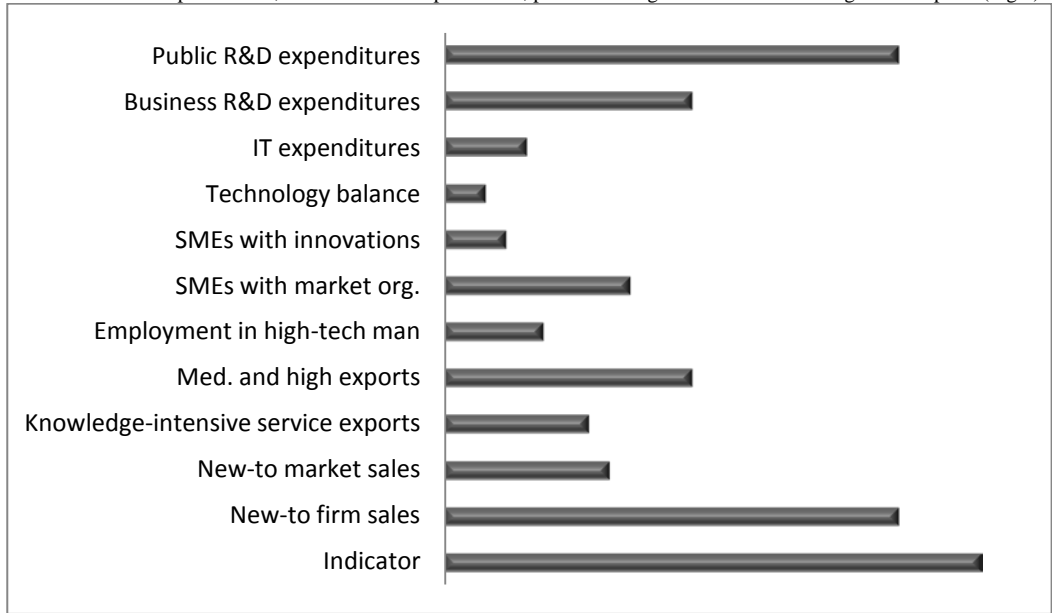


Fig.2. European innovation scoreboard: data for Ukraine, 2012, % [3]

Existing instruments of R&D support (private foundations, technoparks, business-incubators, and leasing centres) are not equipped properly, personnel are not trained adequately and, most importantly, financial resources are scarce. The state plays an important role in financing of R&D but the bulk of state funds are used for the support of the state-sponsored academies of sciences, including National Academy of Sciences of Ukraine. The

role of the business sector tends to decrease regarding both financing and implementation of R&D, especially in the period of economic crisis. Higher education and private non-profit sector do not play a significant role in the R&D financing (their shares varied insignificantly with tendency to reduction). On the other hand, more than two thirds of specialists with scientific degrees are working in the higher education sector. According to the national statistics, they produce almost 77% of research papers. Similar is the situation with different national documents on IPR protection, including patents. The share of HES is almost 67%, while the share in foreign patents is more modest – only 15.2%. Traditionally, universities play a subordinate role in the national research system in Ukraine.

In the modern market economy it is the role of companies to find solutions to the basic economic problems, i.e. how can products and services needed by society be produced in a way that is economically sustainable? An important task of governments is to ensure that markets and the national innovation system function as efficiently as possible. Governments help to create favorable conditions for innovation by managing the economy responsibly, regulating effectively and facilitating free flow of investment, people and ideas. Financial support mechanisms such as direct funding, tax incentives, subsidies and loans are the main instruments that have been used to stimulate industrial R&D. Economic research indicates that while some of the public funds used to stimulate business R&D simply replace private expenditures, there are significant net benefits as well.

Small enterprises are considered to be potentially more innovative because of the lack of entrenched bureaucracy, more competitive markets, and stronger incentives (such as personal rewards). At the same time, both small and large firms make significant innovations and are critical to the success of today's economy. Innovative entrepreneurs come in all shapes and forms. However, according to statistics larger companies demonstrate on average higher level of innovation; indeed, the percentage of companies with innovation among large enterprises in Europe amounts to 70.1%, while the same indicator for medium-sized enterprises is 52.3% and innovative companies among small enterprises comprise 33.4%. The same tendency is observed in individual European countries.

One feature of well functioning markets is that both small and large firms operate on it, and that there is a lot of collaboration and interaction between large, medium sized and small companies in different forms. In addition, firms collaborate among themselves but more and more also with universities, research institutes and other external producers of knowledge in a variety of formal and informal organisational forms (R&D consortia, research and technology programs, technology platforms, innovation forums, living labs etc.). On all levels of European governance, collaboration arrangements between private and public sectors (public-private-partnerships) have been established to foster technological development. The partnerships bring together scientific and technological resources of public and private sectors in long-term arrangements. Especially at national level, R&D-related public-private partnerships have been established in various forms in all EU countries in recent years.

In the EU countries there is a shift in rationale and in broad orientations for innovation policy, addressing SMEs in their regional context. The main role for innovation policy, which aims to increase the capacity of a region and the capabilities of its SMEs to innovate, is to foster interactive learning within the firms and within the regions. This calls for an interactive mode of policy intervention. Regional differences in innovation capabilities call for a tailored mix of policy instruments [4].

Ukrainian enterprises sector is developing in the complicated conditions of a transition economy, facing the inevitable constraints imposed by deficiencies in legislation and market failures. The following problem areas in Ukrainian business environment are identified by the International Finance Corporation as those impeding SME development: financing; taxation; inspections; permits; registration; licensing; certification and standards.

Recent decades have shown that in a dynamic innovative development large enterprises cannot operate successfully without a complementary system of SMEs. A system with insufficient diversity loses flexibility, the ability to quickly adapt to changes, and thus, reducing its effectiveness. Modern structures of the economies assume a rational correlation between the number of large, medium and small enterprises, which perform certain functions in the development of national and regional economies. SMEs and large enterprises are both critical to the success of Ukrainian economy and contribute to the employment and the volume of products and services sold.

The weak role of the business sector in the financing and carrying out R&D distinguishes countries such as Ukraine, Poland and Russia from more advanced economies. In economies where business R&D is at a low level, a vast majority of firms have both low propensities to innovate and insufficient levels of innovativeness. The absorption of foreign technology and the integration of foreign investments within limits of the existing infrastructure also seem very low not only by global standards, but also in comparison with similar countries. The low technology update is interconnected to Ukraine's unfavorable investment climate, which lowers the potential return and raises the costs of fascinating new technology. Only a small portion of firms has put the development of new products and processes at the centre of their competitive strategies. Most firms focus instead on adopting imported technologies and know-how.

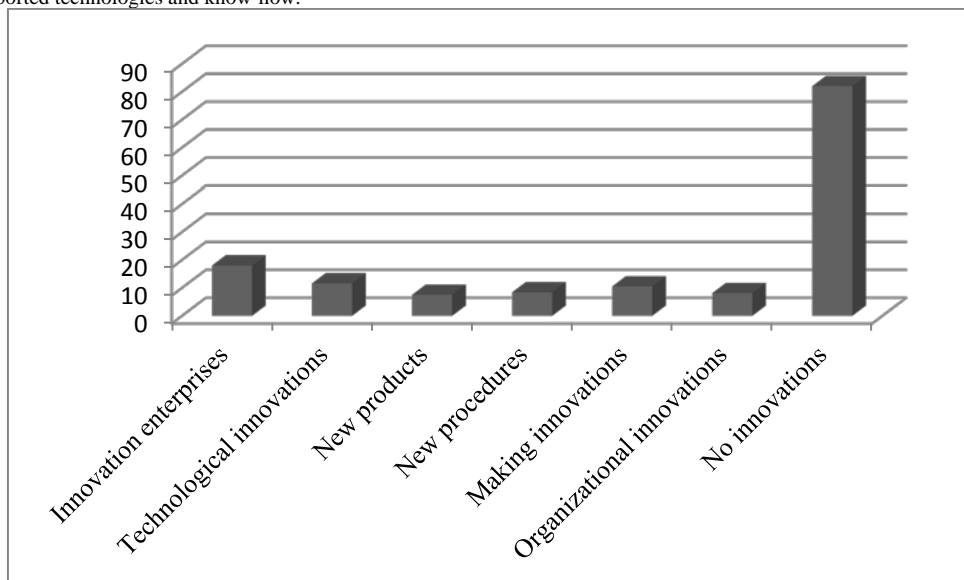


Fig. Types of innovation in Ukrainian enterprises, 2012, % [3]

According to IFC report, economic recovery after the steep decline of the 1990s was limited by minimal improvements of the regulatory environment, low productivity increases, and incomplete structural economic reforms. The Ukrainian economy was growing mostly due to favorable external factors, such as a boom in global demand and prices, in particular for steel, a world credit bubble and a strong inflow of foreign capital combined with energy prices that remained below world levels. This last point was significant, since Ukraine's export revenues were highly concentrated in energy-intensive heavy industries (in particular in ferrous metallurgy and chemical industry) with very limited innovation

performance.

Developing innovation is still one of the challenges for Ukrainian enterprises in both the high-tech and low-tech sectors. Recently SMEs are looked upon as a means to enlarge the assortment of domestic products and services, to create an effective competitive environment, to stimulate innovation, to revive the entrepreneurial initiative of the population, to create new jobs, to increase flexibility in the employment system, and to strengthen regional economies. The qualitative characteristics of Ukrainian small enterprises – and hence their contribution to economic growth, regional development, employment and innovation – are still far behind those of the world's best examples.

Ukraine is lagging behind other transition countries in the number of small enterprises and individual entrepreneurs per 1000 people.

In 2012 the total expenditures on innovation by industrial enterprises amounted to 7.9 billion UAH with the share of industrial enterprises with innovations being 12.8% and the share of innovation products in total volume of industrial products – 4.8%. In 2012, the most frequently mentioned type of innovation was purchase of equipment and software, comprising 75% of all types of innovation and 68.9% of innovation costs in industrial enterprises. The share of innovative enterprises is higher among large enterprises compared to SMEs. According to the Survey of innovation activity of enterprises in 2010-2012 based on CIS methodology, only 18% of all Ukrainian enterprises were innovative (Fig. 3), including marketing and organisational innovations (38.9% in EU 27).

The perceived obstacles for innovation faced by industrial enterprises in Ukraine include finance, high risk, information on markets and technologies, qualified labor and low demand for innovation. This evidence calls for the need to improve business environment for enterprises aiming to pursue innovation and a positive change in government innovation policy.

A lack of effective economic incentives for enterprises to carry out technological modernization based on new knowledge is cited in the “The Programme of Economic Reforms in 2010-2014” as one of the reasons of drawbacks in innovation.

With regard to fostering innovation in SMEs and large enterprises, the Programme foresees:

Targeting Ukrainian science and technology capabilities to meet the needs of innovation development of economy and organisation of manufacturing of high-tech products, by means of introduction of public-private partnerships in science and technology and development of instruments and principles of public support for innovation;

Strengthening the national innovation system and innovation infrastructure on the account of development of infrastructure to support small enterprises in innovation (business incubators, technology transfer centres and so on); harmonization of the Ukrainian legislation in the field of intellectual property in accordance with that of EU; and improvement of government regulation and economic incentives for enterprises in the area of technology transfer [4].

Conclusions. The idea of knowledge-based economy, driven by innovation, has been discredited in the Ukrainian society, due to many ineffective and inconsistent actions by the public authorities and announced measures that were never been put in practice. Responsibilities of key actors were not well defined. There were several state ministries and agencies in Ukraine responsible for support of innovation activities, but their competences were and still are overlapping and not clearly defined. Most of them had historically no sufficient resources to conduct innovation policy effectively. In addition, mechanisms for implementing innovation policy tended to suffer due to the fact that innovation policy has not been given a high priority by the state authorities. Legal acts on innovation support have, in many cases, a lower priority when compared to other state regulations (e.g. Law on the State Budget). This results in innovation initiatives being blocked. Such unfavorable developments have created a gap between science, education and the economy (businesses). Clear definitions of responsibilities and budget are needed. Clear linkages between expected results of activities and their impact and performance need also to be established. To focus on the still strong scientific and technological structures is an economic challenge for the country. However, the Ukrainian innovation system still functions according to a vicious circle: the country's economic output does not correspond to the big size of the R&D sector. Therefore, R&D activities, supported predominantly by direct grants until now are actually financed much below the necessary level. This results in an inefficient R&D system that contributes very little to the national economic output. New innovative enterprises could be developed and used as a model for the rest of the economy. More efficient public coordination and infrastructures is needed in order to succeed in this. Reforms should not be related towards single changes in the system but should represent a coordinated effort. Also, changes and activities on many “fronts” require a well-developed communication and coordination mechanism supported by policy makers, the administration, the science and innovation community and the wider public. This approach cannot be supported with the creation of ad-hoc Committees, without putting adequate political weight on both decision-making and budgets.

Building an innovation driven development strategy constitutes a radical shift in the development paradigm of the country and conforms to a swing into the European development path. A necessary precondition for this is the elaboration of a strategy that is supported by the major stakeholders in the society. Such a strategy would allow the creation of efficient decision-making and coordination structures. Coming up with a shared and operational vision for Ukraine may be the biggest challenge of all.

Proposed actions.

The idea of knowledge-based economy, driven by innovation, has been discredited in the Ukrainian society, due to many ineffective and inconsistent actions by the public authorities and announced measures that were never been put in practice. Responsibilities of key actors were not well defined. There were several state ministries and agencies in Ukraine responsible for support of innovation activities, but their competences were and still are overlapping and not clearly defined. Most of them had historically no sufficient resources to conduct innovation policy effectively. In addition, mechanisms for implementing innovation policy tended to suffer due to the fact that innovation policy has not been given a high priority by the state authorities. Legal acts on innovation support have, in many cases, a lower priority when compared to other state regulations (e.g. Law on the State Budget). This results in innovation initiatives being blocked. Such unfavorable developments have created a gap between science, education and the economy (businesses). Clear definitions of responsibilities and budget are needed. Clear linkages between expected results of activities and their impact and performance need also to be established.

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1. Introduce European governance standards to public institutions by applying to criteria for an effective legislative framework: identification and punishment of violations; definition of norms and procedures for the decision-making process and prevention of discretionary decision-making; safeguard the independence of controlling or supervisory bodies from those under supervision; mandatory regular controlling and monitoring of organizations, procedures and standards; provision of constant oversight over the effectiveness of legislated norms and rules; and 6. Universal application of deontological rules, that is, a code of conduct for public servants.

2. Guarantee property right protection according to international standards. This embraces the evolvement of the legal system to cover

transaction and disputes that arise over the possession, use, transfer, and disposal of property, most particularly involving contracts. Accompany the law defining such rights with judiciary adjudicating and enforcing property rights. This legal certainly will positively contribute to the investment climate that determines also the degree to which transnational corporations are encouraged to raise local capabilities. More Foreign Direct Investments (FDIs) will result and will be important channels for technology and knowledge transfer to Ukraine.

3. Specify in detail the responsibilities of the bodies that should design and/or implement innovation policy in the country, in addition to the recent approval of the MEDT, MESYS and SASII regulations by the President. The distinct role of SASII (the innovation agency) with fixed political value, scope, functions, long-term existence and budget is very important in order to perform the policy directions and to implement the measures decided. Additionally, the policy shaping mechanism should also be elaborated further. It is proposed to create an effective advisory body by the President solely for policy development, like the case of Finland.

4. Develop a national strategy and 3-5 years plans on R&D and innovation in Ukraine by inter alia defining specific research and innovation priorities (not only general ones, as it does at present time), sets of coordinated and harmonised programmes, system of coordination by the government agencies and ministries activity, state support mechanisms, funding volumes and system of monitoring. The potential needs of the State S&T, innovation and technology transfer programmes need to be determined by the State planning taking into consideration their interaction and the desired final results. Involve stakeholders in the decision-making process concerning state programmes formulation (consultation mechanisms). The key for success of the measure has to be obligatory provision of declared financial support. Otherwise, the programme has to be cancelled automatically with corresponding punishment of persons or organisations, which violated the already accepted decision, especially, if it was formulated as a state law.

5. A structured process for setting priorities for R&D and innovation policies in Ukraine should be set up. A key factor of success is the coordination of the involved actors. Research and innovation priorities should be shaped taking into consideration forecast-analytical studies and global technological trends based on the results of the National Foresight-type program with broad involvement of the representatives of national business circles and foreign experts. The Ukrainian authorities should mandate the relevant bodies (Academies, agencies, funds etc.) to prepare the methodology for this priority setting process. The process should involve identification of themes, experts/stakeholders/users consultation, budget estimates, etc. It is important to increase the share of competitive financing of R&D and implementation of co-financing principles for industry-oriented research.

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УДК 331.108

СУТІСНО-МОРФОЛОГІЧНІ ТРАНСФОРМАЦІЇ ЗМІСТУ КАДРОВОЇ ПОЛІТИКИ В УМОВАХ ЕКОНОМІКИ ЗНАНЬ

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Лук'янченко Н.Д., Дороніна О.А. Сутнісно-морфологічні трансформації змісту кадрової політики в умовах економіки знань.

Статтю присвячено обґрунтуванню сутності кадрової політики в умовах економіки знань та визначенню векторів трансформації її основних рис і пріоритетів. За результатами морфологічного аналізу сучасних визначень поняття «кадрова політика» з використанням синтетичного підходу надано його авторське трактування як системи цілей, принципів і взаємопов'язаних елементів стосовно управління людськими ресурсами, що є складовою загальної стратегії та спрямована на забезпечення інноваційного та людського розвитку. Представлено узагальнення якостей працівників, що формуються в умовах економіки знань та обумовлюють специфіку трудових відносин і відповідної кадрової політики. Управління знаннями, як невід'ємну складову сучасної економічної парадигми, визначено важливим компонентом кадрової політики. Обґрунтовано трансформацію основних характеристик кадрової політики в умовах економіки знань, що обумовлюють її перетворення з інструмента кадрового забезпечення суспільного виробництва на стратегічний засіб інноваційного розвитку.

Ключові слова: економіка знань, кадрова політика, кадри, управління знаннями, людські ресурси

Лук'янченко Н.Д., Дороніна О.А. Содержательно-морфологические трансформации содержания кадровой политики в условиях экономики знаний

Статья посвящена обоснованию сущности кадровой политики в условиях экономики знаний и определению векторов трансформации ее основных черт и приоритетов. По результатам морфологического анализа современных определений понятия «кадровая политика» с использованием синтетического подхода представлена авторская трактовка как системы целей, принципов и взаимосвязанных элементов управления человеческими ресурсами, которые являются составляющей общей стратегии и направлены на обеспечение инновационного и человеческого развития. Представлено обобщение качеств работников, которые формируются в условиях экономики знаний и обуславливают специфику трудовых отношений и соответствующей кадровой политики. Управление знаниями, как неотъемлемая составляющая современной экономической парадигмы, определено важным компонентом кадровой политики. Обоснована трансформация основных характеристик кадровой политики в условиях экономики знаний, которые обуславливают ее превращение из инструмента кадрового обеспечения общественного производства в стратегическое средство инновационного развития.

Ключевые слова: экономика знаний, кадровая политика, кадры, управление знаниями, человеческие ресурсы

Lukianchenko N., Doronina O. Substantial and morphological transformations of the personnel policy content in the conditions of knowledge economy

The article is devoted to justification of personnel policy essence in the conditions of knowledge economy and to definition of transformation vectors of its main lines and priorities. By results of the morphological analysis of modern definitions of the concept "personnel policy" with use of synthetic approach the author's treatment it as systems of the purposes, the principles and the interconnected elements of management of human resources which are a component of the general strategy is presented and are aimed at providing innovative and human development. Generalization of qualities of workers which are formed in the conditions of knowledge economy is presented and cause specifics of the labor relations and the corresponding personnel policy. Management of knowledge as the integral component of a modern economic paradigm, is determined by an important component of personnel policy. Transformation of the main characteristics of personnel policy in the conditions of knowledge economy which cause its transformation from the instrument of social production staffing into strategic means of innovative development is proved.

Key words: knowledge economy, personnel policy, personal, management of knowledge, human resources

Постановка проблеми. Розвиток сучасного суспільства та системи соціально-трудових відносин відбувається під впливом нового типу