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**PROPOSALS FOR IMPROVING THE PROCESS OF FORMING PROGRAMS OF REFORMING THE RAILWAY TRANSPORT INDUSTRY**

**Purpose.** The purpose of the work is to develop proposals for improving the process of forming measures and programs for reforming the railway transport industry of Ukraine in the process of European integration based on research, comparison and generalization of information. **Methodology.** A study of the content and the main provisions of legal acts declaring the conditions for the reform of the railway transport was carried out using analysis and synthesis methods. Methods of the system approach, comparison and generalization of the obtained data allowed developing proposals for improving the process of the formation of activities and programs. **Findings.** The need for reforming Ukraine's railway transport has been under consideration since 2006, but for a long time reform was limited only to the development of reforming plans and programs. Not being implemented within the framework of one program, the measures were reflected in the next or parallel one, with the corresponding change in the terms. The carried out analysis of their implementation does not allow talking about inactivity or denying the existence of positive changes, however, given the duration of the period 2006-2017, they occur very slowly. This situation requires new approaches to the development of programs and activities, as well as assessing their implementation, one of which is proposed in the work. **Originality.** The work justifies the need to evaluate the implementation of measures and programs for reforming the railway transport industry by two criteria: legal and practical. The developed basic principles for the formation of programs for reforming and developing the railway transport industry provide an opportunity to receive timely and reliable information on the status of their implementation. **Practical value.** We obtained the possibilities of constant monitoring of the state of financial support for reforms and directions of use of funds, which will prevent their misuse and significantly accelerate the implementation of certain activities, and then increase their effectiveness.

*Keywords:* railway transport; reforming; state of measures implementation; program formation principles; evaluation criteria

**Introduction**

Since becoming independent, Ukraine had inherited from the Soviet Union a well-developed railway infrastructure and relatively good material and technical equipment of the railways. However, transition to the market economy and the specific internal peculiarities of the country's development required rapid adaptation and changes in the organizational and managerial structure, and hence reforming of the industry. Due to the lack of these changes for 15 years (1991-2006), the industry continued to work according to old principles that did not meet the current world trends in the organization of railway transport operation, which made its operation ineffective and complicated further development.

Additional factors contributing to the decline of the industry were the rapid aging of fixed assets, unfavorable investment climate and the use of cross subsidies.

Against this background, in 2006, the first attempts to reform railway transport were made. They also continue today.

**Purpose**

The work is aimed to develop proposals for improving the process of forming measures and programs for reforming the railway transport sector of Ukraine in the process of European integration based on the research, comparison and generalization of information.

**Methodology**

The study of the content and the main provisions of legal acts declaring the conditions for the railway transport industry reforming were carried out using the methods of analysis and synthesis. The methods of systematic approach, comparison and generalization of the received data allowed developing proposals for improving the process of forming measures and programs.

**Findings**

Normatively, the first steps of reform were reflected in the Concept of the State Program for Railway Transport Reform, approved by the Decree No. 651-r of December 27, 2006 of the Cabinet of Ministers of Ukraine [7]. The main stages and objectives of the Concept are given in the Fig. 1.

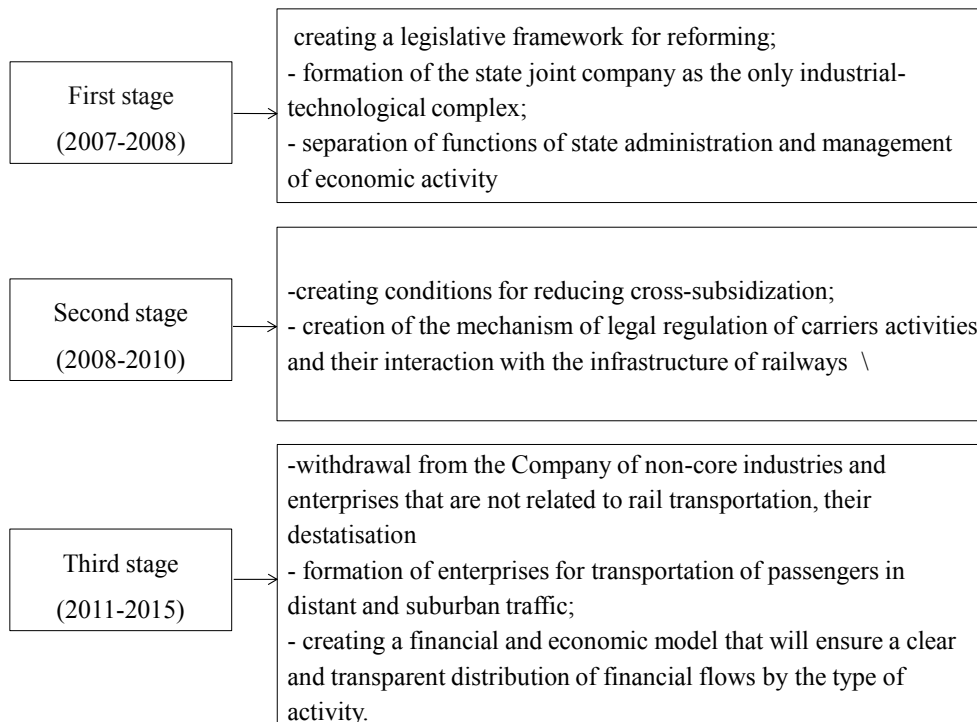


Fig. 1. Stages and tasks of the Concept of the State Program for Railway Transport Reform for 2007-2015.

The reforming stages declared in the Concept were not actually implemented: the required regulatory and legal framework was never created, which made impossible implementation and following measures. Thus, the existing structure of railway management, the state of the railway infrastructure and the technological level of organization of transportations for many parameters have not been brought into line with the growing needs of the society, European quality standards for the provision of transport services. To a large extent they interfered with improving the industry efficiency.

The normative and theoretical basis for further actions concerning the railway industry reform

were the Directives of European Parliament and Council of the EU (which were approved by the Cabinet of Ministers of Ukraine dated June 11, 2008, No. 821-r, and dated April 15, 2009, No. 408-r), as well as recommendations of the World Bank, the European Bank for Reconstruction and Development, other donors and private investors.

At the end of 2009, the Cabinet of Ministers of Ukraine developed and approved the State Target Program for Railway Transport Reform for 10 years (2010-2019 years) [6, 11]. The stages of implementation and the main objectives of the Reform are shown in the Fig. 2.

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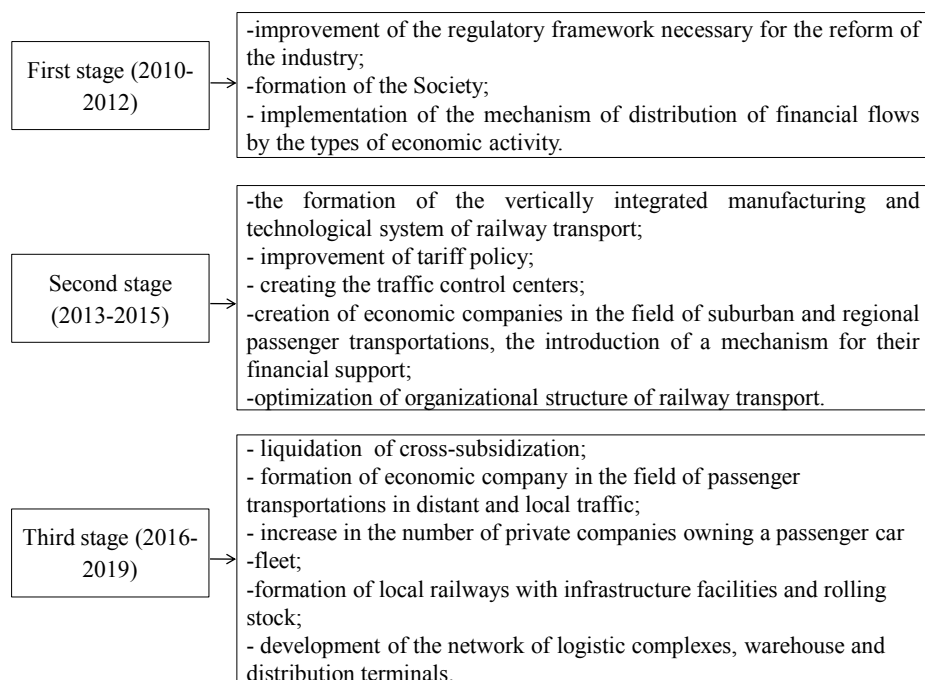


Fig. 2. Stages and main tasks of the State Target Program of Railway Transport Reform for 2010-2019.

Some measures of this Program, in a somewhat generalized form, were duplicated in the Program of Economic Reforms for 2010-2014 «Affluent society, competitive economics, effective state» of 02.06.2010 with differences in terms of their implementation.

Thus, in the section «Development of transport infrastructure» the following problems of railway transport development are defined:

- significant wear of fixed assets - 85%;
- inadequate use of transit potential of the country, as a result of which Ukraine ranks 102-nd among 155 countries according to the logistic efficiency index (Russia – 94-th, Romania – 59-th, Poland – 30-th).

In order to solve these problems, the program provides for a list of measures to be implemented

in three phases.

The main indicators of success were two points:

- reduction of wear of fixed assets of railway transport to 65%;
- rating increase of logistics efficiency of Ukraine from the 102-nd to the 60-th place by 2014 [1].

The presence in the content of the program of the concrete results to be achieved, in digital expressions, makes it possible to check the state of their execution.

The dynamics analysis of the value of fixed assets of PJSC «Ukrzaliznytsia» presented in the Table 1, allows us to conclude that the achievement of the first indicator in the prescribed time did not take place [5, 9, 13].

Table 1

**Dynamics analysis of the value of fixed assets of PJSC «Ukrzaliznytsia» for 2010-2015, UAH bln.**

Year	2010	2011		2012	2013	2014	2015
Initial cost	3 769.0	4 345.3		5 333.2	6 008.9	10 028.9	633 107.7
Wear	3 693.7	4 266.6		5 247.5	5 924.3	9 940.6	424 536.7
% of wear	98.0	98.2		98.4	98.6	99.1	67.1

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It should be noted that in 2015 there is a significant increase in the value of fixed assets and a sharp wear decrease (32%). But the main reason for these changes is to carry out an overvaluation of fixed assets at their fair value, on the basis of the results of the audit, and not in the rolling stock renewal [11].

Achievement of the next indicator of success provided by the Program of Economic Reforms for 2010-2014 can be checked by the World Bank's logistics efficiency rating [10], the sample of which is shown in the Fig. 3.

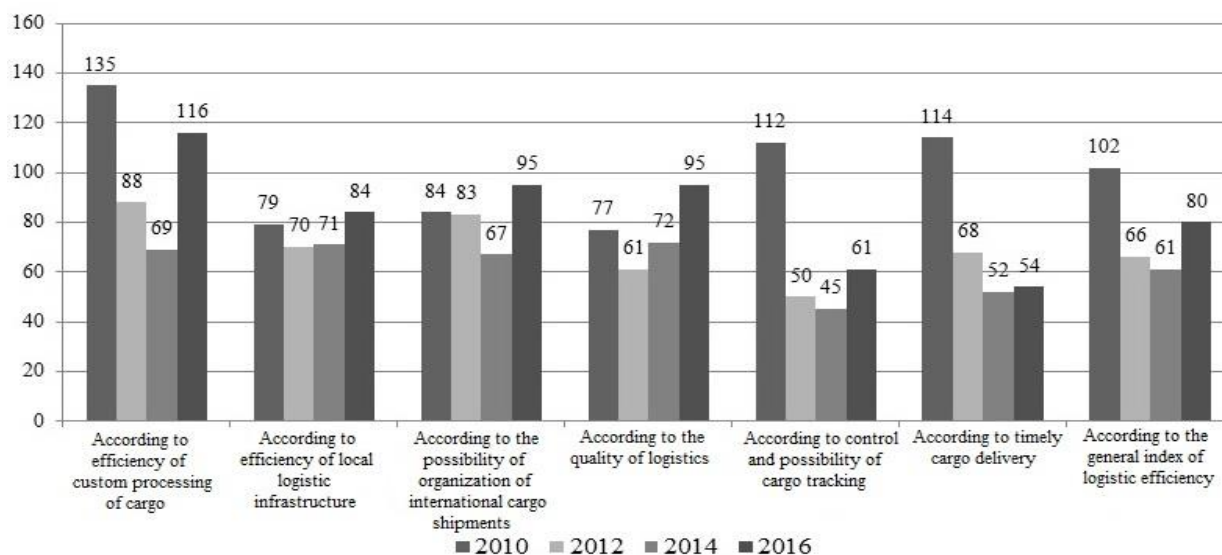


Fig. 3. Ukraine position in the World Bank logistics efficiency rating for 2010-2016

Using the data shown in the Fig. 3, one can see that in 2014 Ukraine occupies the 61-st place in the rating, which makes it possible to assert that the goal has been achieved. However, already in 2016, Ukraine was again at the 80-th place in the general index of logistic efficiency, which indicates the short-term success of the program's measures.

The modern strategy for railway transport development is based on the reform of the management system of the industry, its further demonopolization, which in general will be an important step towards solving the problem of the much-needed rolling stock renovation, infrastructure modernization for capacity increase, development of high-speed traffic and, as a consequence, increase in competitiveness on both the national and international markets of transport services. The principles of strategic development of railway transport are set out in the relevant documents.

At the state level, the «Transport Strategy of Ukraine for the Period up to 2020» was approved of October 20, 2010, No. 2174-r, which defined the main directions, purposes, principles and priorities

of the development of Ukrainian transport industry, including the railway transport, to ensure improving the efficiency of management, improving the quality of transport services and energy conservation [8].

It should be noted that in spite of certain disadvantages of the current «Transport Strategy of Ukraine for the Period up to 2020», this strategic document is actively supported by the European Union through the conclusion of bilateral programs and participation in bilateral projects aimed at strengthening the potential of the Ministry of Infrastructure of Ukraine in solving the wide range of issues of the transport sector [12].

Since almost all measures, in part or in full, are reflected in each of the above-mentioned documents, they can be grouped together in key directions of industry development and one can evaluate implementation at the current stage.

Taking into account the differences between the legal and actual implementation, it is expedient to evaluate these two criteria separately, as shown in the Table 2.

Table 2

**The state of implementation of measures on the railway industry reform**

Direction of development	Content of measures	Evaluation criterion	
		legal	actual
Harmonization of national transport legislation	Bringing in line with the provisions of EU legislation in the field of railway transport by adopting a new version of the Law of Ukraine «On Railway Transport»	Not fulfilled	Not fulfilled
	Creation of the legal and regulatory framework necessary for reforming the industry	Partially fulfilled	Partially fulfilled
Separation of economic functions and functions of public administration	Formation of the State Joint-Stock Company as the only production-technological complex and the State Service of Railway Transport of Ukraine	Partially fulfilled	Partially fulfilled
	Creation of financial and economic model that will ensure a clear and transparent distribution of financial flows by the type of activity	Not fulfilled	Not fulfilled
Technical re-equipment of infrastructure and rolling stock renovation	Increase the capacity of the main lines	Partially fulfilled	Partially fulfilled
	Increasing the capacity of approach lines to sea-ports	Not fulfilled	Not fulfilled
	Rolling stock renovation	Fulfilled	Partially fulfilled
Integration of railway transport into the European and world transport systems	Development and implementation of technical regulations, standards and unification of requirements for carriers	Fulfilled	Not fulfilled
	Implementation of the automated system of transition of railway rolling stock from the wide to narrow track	Not fulfilled	Not fulfilled

An indicator of the implementation of the first measure should be the adoption/amendment of a number of regulatory acts, which will allow the industry to be reformed, the key one among which is a new version of the Law of Ukraine «On Railway Transport». The law is not currently adopted; however, the Verkhovna Rada of Ukraine continues to work on its project.

Along with the incomplete work on the new version of the Law «On Railway Transport», it is necessary to note the adoption of the Law «On the Peculiarities of the Formation of a Public Joint-Stock Company for Railway Transport of General Purpose» of 23.02.2012. No. 4442-VI. It allowed the corporatization of Ukrzaliznytsia and the introduction of changes arising from the enactment of

the above-mentioned law to a number of legislative acts, namely: the Land Code of Ukraine; The Law of Ukraine «On Privatization of State Property»; The Law of Ukraine «On the Permit System in the Field of Economic Activity»; The Law of Ukraine «On Environmental Audit» and others. Owing to these actions, the overall implementation of this direction can be estimated as a partial.

The state of realization of the next direction is also partial. Creation of the State Joint-Stock Company as a single production-technological complex and the State Railway Transport Service of Ukraine, as well as the distribution of accounting of financial results by the type of activity were determined as implementation indicators. The first of these was implemented by adopting the Resolution of the Cab-

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inet of Ministers of Ukraine No. 200 «On the Formation of the Public Joint Stock Company «Ukrainian Railways», which regulates the procedure for the establishment of the Company. Thus, execution of economic functions was entrusted to PJSC «Ukrainian Railways», which was actually registered on October 21, 2015.

As for public administration, the preliminary list of functions, the organizational scheme of the central executive authority, which implements the state policy in the field of railway transport, is defined, and a draft resolution of the Cabinet of Ministers of Ukraine «On the Establishment of the State Railway Transport Service of Ukraine» has been developed, which includes the draft Provision on the Service.

In addition, in the course of implementation of this measure, a financial and economic model should be created that will ensure a clear and transparent distribution of financial flows by the type of activity. However, today the finances of all the enterprises that are part of PJSC «Ukrainian Railways» are consolidated, but the distribution of accounting of financial results by the type of activity (freight transportations, infrastructure, traction, passenger transportations, etc.) is not ensured.

Evaluation of the implementation of the following direction is complicated by formalizing the presentation of the task content. In particular, formulation of the first component of «increasing the carrying capacity of the main lines» does not contain a clear list of objects to be reconstructed. «This situation makes it possible to ascertain only positive changes. Thus, during 2016 a project was implemented to increase the capacity of the section Komysh-Zoria-Volnovakha. 36 speed restrictions of trains were cancelled for the section 52.5 km, the speed for passenger trains was increased to 100 km/h, and to 80 km/h for freight trains. The carrying capacity at the Komysh-Zoria-Volnovakha section has been increased to 27 pairs of trains.

During 2017, the project «Construction of the second track on the Zachativska-Rozivka running line in order to increase the carrying capacity of the Komysh-Zoria-Volnovakha section» was implemented. The carrying capacity has been increased to 42 pairs of trains.

There are also difficulties in the evaluation of the next component (rolling stock renovation), since throughout the analyzed period, the period of implementation of this measure is constantly changing. Thus, according to the latest document

the deadline for implementation of the rolling stock renovation of the PJSC «Ukrzaliznytsia» is 2021 [13].

The next component of the direction is increasing the carrying capacity of the access lines to the seaports. The state of implementation can be considered unsatisfactory, as there is an imbalance in the carrying capacity of ports (310 million tons/year) and port railway infrastructure (125 million tons/year) [2].

The railway transport integration into the European and world transport system involves the development and implementation of technical regulations, standards, unification of requirements for carriers and the introduction of automated system for the transition of railway rolling stock from a wide to a narrow track.

Concerning the first measure: its legal execution is indicated by the adoption of the Law «On Technical Regulations and Conformity Evaluation» and approval of the Technical Regulations on the Safety of Rolling Stock of Railway Transport and the Technical Regulation for the Safety of Railway Transport Infrastructure.

At the same time, it should be noted that the actual implementation will become possible after the adoption of the new wording of the Law «On Railway Transport», since operators of locomotive thrust, cargo and passenger transportations, as well as infrastructure operators can provide services in case of availability of the traffic safety management system and security certificate, the procedure for issuance of which is currently not regulated.

As for the introduction of the automated system of the railway rolling stock transition from a wide to a narrow track, there are certain problems. There is a large number of different systems, the most developed of them are the Polish extendable wheel sets SUW 2000, which for some time were also used on Ukrainian railways [3]. However, the practice of application points to the need for in-depth study and analysis of the extendable wheel set systems, their further development and the development of new, more reliable structures [4, 12].

The analysis of the provisions of the State Programs of Reforming and Strategic Plans for of Railway Transport Development based on the two proposed criteria provides an opportunity to give an adequate assessment of their implementation and identify the main obstacles to their full implementation, namely:

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– formalization of the described measures and the absence of clearly defined final result, which greatly complicates the process of assessing the state of their implementation;

– lack of consistency - despite the presence of the staged planning of the implementation of measures, in most cases it is chaotic in nature;

– lack of criteria for evaluation of the program implementation, which leads to uncertainty in the result. For example, the introduction of technical regulations: the regulatory framework is formed, but in fact it does not work;

– lack of clearly identified responsible persons;

– lack of transparency. Despite the fact that the intentions and plans for reforming were declared in the documents of several levels: the government (programs and strategies approved by the Cabinet of Ministers of Ukraine) and the executive (programs approved by PJSC «Ukrzaliznytsia») there is no report published on official sites.

In order to solve the above-mentioned problems, the authors consider it expedient to use the following principles when developing the measures for reforming and development of railway transport, which are given in the Table 3.

Table 3

**Basic principles of formation of programs for reforming and developing the railway transport industry**

Principle	Content
Conformity to plan	A clearly defined sequence of actions to implement measures, the inability to proceed to the next stage without completion of the first one
Efficiency	Determining the end result with a list of predicted success indicators
Responsibility	Determination of exhaustive list of persons responsible for the implementation of the measure
Transparency (publicity)	Publication of materials on official internet resources (program, plan of implementation, periodic report with substantiated explanations for deviations)
Clarity	The program should contain a clear wording of the list of works that will be executed during its implementation
Systematic nature	The list of measures is presented in such a sequence that the first attempt would make it possible to perform the next one, and the implementation of the entire system of measures automatically would allow to achieve the goal

Application of the proposed basic principles will improve the process of creation of measures and programs for reforming the railway transport industry in Ukraine, which will lead not only to shortening the deadlines, but also to increasing their efficiency.

### Originality and Practical Value

The work substantiates the necessity of evaluating the implementation of measures and programs for the railway industry reforming by two criteria: legal and actual ones. The developed basic principles of the formation of programs for reforming and developing the railway industry provide an opportunity to receive timely and reliable information on the state of their implementation.

The possibilities of continuous monitoring of the financial support state for reforms and directions of the funds use have been obtained. They will prevent their non-targeted use and significantly accelerate the implementation of identified measures with the subsequent increase in their efficiency.

### Conclusions

The need for reforming the railway industry of Ukraine has been considered since 2006, but for a long time the reform was limited only to the development of plans and programs of reforming. Being not implemented within the framework of one program, the measures were reflected in the next or parallel document with the corresponding delay in

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terms. The analysis of their implementation does not allow talking about inactivity or denying the existence of positive changes, however, given the duration of the period 2006–2017, they occur very slowly. Such a situation requires new approaches to the development of programs and measures and evaluation of their implementation, one of which is proposed in the work.

The use of the two proposed criteria will allow an adequate assessment of the state of programs and measures and identify the main obstacles to their full implementation. The application of the basic principles of their formation makes it possible to ensure the timely implementation of certain measures.

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## ПРОПОЗИЦІЇ ЩОДО УДОСКОНАЛЕННЯ ПРОЦЕСУ ФОРМУВАННЯ ПРОГРАМ ІЗ РЕФОРМУВАННЯ ГАЛУЗІ ЗАЛІЗНИЧНОГО ТРАНСПОРТУ

**Мета.** Робота ставить за мету розробку пропозицій щодо удосконалення процесу формування заходів та програм із реформування галузі залізничного транспорту України в процесі євроінтеграції на основі дослідження, порівняння та узагальнення інформації. **Методика.** Дослідження змісту й основних положень правових актів, що декларують умови проведення реформування галузі залізничного транспорту, здійснювалося з використанням методів аналізу і синтезу. Методи системного підходу, порівняння та узагальнення отриманих даних дозволили розробити пропозиції щодо удосконалення процесу формування заходів і програм. **Результати.** Необхідність реформування галузі залізничного транспорту України розглядається з 2006 року, проте протягом тривалого часу реформа обмежувалася лише розробкою планів та програм реформування. Будучи нереалізованими в межах однієї програми, заходи знаходили своє відображення в наступній або паралельній програмах, із відповідною зміною термінів. Проведений аналіз їх виконання не дозволяє говорити про бездіяльність або заперечувати наявність позитивних змін, проте, зважаючи тривалість періоду 2006–2017 рр., вони відбуваються дуже повільно. Така ситуація вимагає нових підходів до розробки програм та заходів, а також оцінки їх виконання, один із яких і запропоновано в роботі. **Наукова новизна.** У роботі обґрунтовані необхідності оцінки виконання заходів та програм із реформування галузі залізничного транспорту за двома критеріями: юридичним і фактичним. Розроблені базові принципи формування програм реформування та розвитку галузі залізничного транспорту відкривають можливість отримувати своєчасну та достовірну інформацію про стан їх виконання. **Практична значимість.** Отримані можливості постійного моніторингу стану фінансового забезпечення реформ та напрямів використання коштів, що дозволить попередити їх нецільове використання та значно прискорити реалізацію визначених заходів із наступним підвищенням їх ефективності.

*Ключові слова:* залізничний транспорт; реформування; стан виконання заходів; принципи формування програм; критерії оцінки

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## ПРЕДЛОЖЕНИЯ ПО СОВЕРШЕНСТВОВАНИЮ ПРОЦЕССА ФОРМИРОВАНИЯ ПРОГРАММ РЕФОРМИРОВАНИЯ ОТРАСЛИ ЖЕЛЕЗНОДОРОЖНОГО ТРАНСПОРТА

**Цель.** Работа ставит своей целью обоснование предложений по совершенствованию процесса разработки мероприятий и программ реформирования отрасли железнодорожного транспорта Украины в процессе евроинтеграции на основе исследования, сравнения и обобщения информации. **Методика.** Исследование содержания и основных положений правовых актов, декларирующих условия проведения реформирования железнодорожного транспорта, осуществлялось с использованием методов анализа и синтеза. Методы системного подхода, сравнения и обобщения полученных данных позволили разработать предложения по совершенствованию процесса формирования мероприятий и программ. **Результаты.** Необходимость реформирования железнодорожного транспорта Украины рассматривается с 2006 года, однако в течение длительного времени реформа ограничивалась только разработкой планов и программ реформирования. Будучи не реализованными в рамках одной программы, мероприятия находили свое отражение в следующей или параллельной программах с соответствующим изменением сроков. Проведенный анализ их выполнения не позволяет говорить о бездеятельности или отрицать наличие положительных изменений, однако, учитывая продолжительность периода 2006–2017 гг., они происходят очень медленно. Такая ситуация требует новых

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підходів к разработке программ и мероприятий, а также оценки их выполнения, один из которых и предлагается в работе. **Научная новизна.** В работе обоснована необходимость оценки выполнения мероприятий и программ реформирования отрасли железнодорожного транспорта по двум критериям: юридическому и фактическому. Разработанные базовые принципы формирования программ реформирования и развития отрасли железнодорожного транспорта предоставляют возможность получать своевременную и достоверную информацию о состоянии их выполнения. **Практическая значимость.** Получена возможность постоянного мониторинга состояния финансового обеспечения реформ и направлений использования средств, что позволит предупредить их нецелевое использование и значительно ускорить реализацию определенных мероприятий с последующим повышением их эффективности.

*Ключевые слова:* железнодорожный транспорт; реформирование; состояние выполнения мероприятий; принципы формирования программ; критерии оценки

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