



University Administration Support Program
Fellowship in Research Management

Implementation Plan

Research Management at the National
University of Kyiv Mohyla Academy

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Introduction. Background and Problem Statement

Ukraine is the country of almost 46 million people and 2 million students. Nearly 7% of GDP is spent on education, 0.77% for science and research. Ukraine – is an important producer of scientific data. The general amount of employed in science is over 179 thousand of people, including 84,4 Doctors of Science. The literacy rate is estimated 99.4% in Ukraine. Ukraine produces the fourth largest number of post-secondary graduates in Europe (350+ Universities) while being ranked seventh in population.

But comparing with global trends Ukrainian Universities and their Research are insufficient and does not correspond to the potential and opportunities. Many Ukrainian Universities are complacent in their outlook, lack an ambitious vision of a better future, and continue to operate as they have in the past, ending up with a growing performance gap compared with that of their national or international competitors. Among 4 main sources of financing University (government budget funding for operational expenditures and research, contract research from foundations or state or public organizations and private firms, the financial returns generated by endowments and gifts, and tuition fees), Ukrainian Universities still looking for the first and the last one.

Ukrainian universities need to redesign themselves using innovation. Knowledge and intangible assets have become an essential element of the production of products and services and are nowadays the key engine of productivity and long-term economic growth. For centuries, the ‘ivory tower’ syndrome, a reminiscence of their monastic lineage, has affected Universities not only in Ukraine but all around the world but now we should create a new model for University according to the global challenge. So, Ukraine now has a strong task of integration of Ukrainian higher education and Science into global competition and collaboration, cross-disciplinary characters, influencing the academic involvement into in knowledge transfer activities, increase of professionals’ standards and policies of it. Ukraine needs to have a strong knowledge-based economy to become competitive on the global market and to create high technology jobs. It’s not only critical to the future the country but also crucial to its security and independence. And, of course, all Universities in Ukraine need a new strategy for research evaluation and research management nowadays. Moreover, universities are being asked to do more than ever before with their research: they are expected to demonstrate impact to their local communities and economies, build the new ecosystem with business and industry for transfer technology. It’s really new challenge for Ukrainian Universities.

National University of Kyiv Mohyla Academy

My University – National University of Kyiv Mohyla Academy during all its history since 1615 was much more than just a university. It always was a focal point for Ukraine development, it became the place where an innovative educational model was created, and today this model is

being disseminated nationwide. Our University is one of the intellectually strongest and most prestigious universities of Ukraine. The contents of education provided in NaUKMA has changed with time but the main goal has always remained: to nurture a critically thinking, professional and patriotic person and an active citizen. Through the vehicle of Kyiv Mohyla Academy, Ukraine is returning to its European intellectual and academic roots.

Our successes in undergraduate retention and degree completion are rightly considered standard-setting among Ukrainian universities. But NaUKMA’s reputation for excellence is also rooted in the quality of our academic programs and research, and raising our profile in this regard takes concerted, significant investment on many fronts at once: attracting and retaining top faculty talent; becoming a destination for the brightest graduate students; encouraging high-impact interdisciplinary inquiry; and developing innovative teaching strategies. We approaching to create a high-quality Research University, able to compete at the global level also.

NaUKMA’ SWOT Analysis

Strengths	Weaknesses
<ul style="list-style-type: none"> ✓ Positive reputation in the external community, society, globally ✓ History from 1615 ✓ Expertise in HE innovations (BA and MA degree since 1991, Ph.D. since 2008, 100-ranking system, English as second language, faculty’ evaluation etc.) ✓ comprehensiveness, high quality of education ✓ honesty, distinctive corporate culture, and professionalism ✓ location in Ukraine capital ✓ small size ✓ full-time faculty (1:10) teach most classes, and there are a strong bond and a high level of interaction between faculty and students ✓ interdisciplinary and experiential 	<ul style="list-style-type: none"> ✓ underfunding in many departments and programs ✓ lack of financial support for faculty Research & Scholarship ✓ understaffing at many levels ✓ lack of infrastructure – including physical, financial, and human resources ✓ inadequate capital funds to support all that we want to do ✓ lack of research management policies, procedures etc. ✓ new challenges for publishing in high-ranked international journals for Humanities and SS

<p>education at both the undergraduate and graduate levels</p> <ul style="list-style-type: none"> ✓ Faculty and staff support the University mission, vision, values, and goals ✓ Proactive students, student leadership programs 	
Opportunities	Threats
<ul style="list-style-type: none"> ✓ continuing education for intellectual enrichment and for people of all ages ✓ Online opportunities worldwide ✓ opportunity to build a graduate level (MA and Ph.D.) using the best practices from throughout the world ✓ opportunity for research grants from H2020 ✓ tap into the health care industry with School of Public Health and with Medical School establish ✓ more conversations and partnerships with employers – those in the private, nonprofit, and public sectors ✓ international and off-campus study and exchange programs ✓ becoming a leader in interdisciplinary and integrated learning 	<ul style="list-style-type: none"> ✓ reduced state funding of higher education and science in Ukraine ✓ the risk of losing prominent faculty, staff, and students for genuinely better opportunities at other universities (in Ukraine or abroad) ✓ growing competition from Ukrainian universities as globally

Vision, Goals and Objectives

NaUKMA as a research University with strong research and scholarship, preserves expands and disseminates knowledge in the sciences, humanities, and professions while embracing a philosophy of learning strongly rooted in the traditions of the liberal arts. The university is dedicated to excellence in teaching, research, creative endeavors, and service. And we realize to become a research and world-class university is not something achieved by self-declaration. This status is conferred by the outside world on the basis of international recognition.

As VP Research at NaUKMA I’m responsible for strategic development and managing Research at NaUKMA according the University mission, visions and goals as well as due huge challenges

and external factors toward Universities all around a world with new ecosystems of connections between Industry and Academia, with e-Science, with digital scholarship, with distance learning etc.

I hope that participation in this program and FSU - one of the best public universities in the US' experience will help me in understanding these challenges for the modern university in a global world. International pressures, largely the result of global flows of tertiary education resources—funding, ideas, students, and staff—have forced Universities to re-examine their missions.

To understand goals, tasks, roles, policies for research management. I hope it'll help not only to establish similar processes and policies at my University (Sponsored Research, Research Development, Research commercialization and technology' transfer, Digital Scholarship, IP and Academic Integrity etc.) but also to determine the strategy of universities development in Ukraine

Lessons from my Fellowship

Vision

Study how high-ranked public University make significant contributions to the advancement of knowledge through research, teach with the most innovative curricula and pedagogical methods under the most conducive circumstances, make research an integral component of undergraduate teaching, bridge the gap between high-powered ideas and their beneficial impact on the economy, market, society, and produce graduates who stand out because of their success in intensely competitive arenas during their education and (more important) after graduation.

Goals

Introduce the FSU experience in my university, extend to the university community and other stakeholders in the field of higher education and research in Ukraine, lobby for appropriate changes to the current Ukrainian legislation, procedures, policies etc.

Objectives

Study and understand goals, tasks, roles, policies for research governance and research management at whole, including Sponsored Research, Research Development, Research commercialization and technology' transfer, Digital Scholarship, IP and Academic Integrity policies and procedures, as well as general criteria and key performance indicators for Research University, its presentation in various ranking (state, federal, international), reporting establishment etc. And due to my own personal professional interest also - Digital Scholarship and Academic Publishing, Open Access and Scientometrics, Research Data Management and Digital Humanities, Distance Learning and Distance Education program as well as educational programs for library and information science.

Florida State University at glance

Main Campus: 476.0 acres in Tallahassee, Leon County, FL.

- 112- degree programs at the Bachelor's degree level;
- 128 -degree programs at the Master's degree level;
- 1 program at the Advanced Master's degree level;
- 26 -degree programs at the Specialist degree level;
- 81- degree programs at the Doctoral degree level;
- 3 -degree programs at the Professional degree level.
- 40,440 students, 2,351 faculties, 14,251 university employers.
- 2015-16 Federal, State & Private Research Awards: \$190,074,661



The research mission of FSU. FSU takes great pride in the ability to provide supportive environments for the exploration of all types of ideas; and with approximately \$200 million in research expenditures each year, and more than 50 prominent research centers and institutes calling our campuses home, FSU continues to be one of the top idea-incubators in the nation.

I had about 40 different meetings according to my goals and objectives at VP Research Office, Office of Sponsored Research, Office of Proposal Development, Office of Commercialization, Office of Institutional Research, Office of Distance Learning, Office of Digital Research, International Office, Office of Faculty Development and Advancement, University Student Affairs office. As well as individual meetings with professors and scholars from College of Communication & Information, Information Institute, Institute for Successful Longevity, Florida IT Career Center and other. I met also DOMI station incubator and MegaLab. I visited also such interesting events as **Discovery on Parade** (public event which provide a unique preview of new and exciting local universities inventions, discoveries, and innovations with wall-to-wall exhibits showcasing universities research and creative works making their way into the commercial market, information on new and existing companies created through universities research endeavors, live technology demonstrations by researchers and their students) or **Career Fair** (event brings in companies from North Florida looking for students and it's interesting to check how works face-to-face interaction with potential employers). I visited at least 3 from 7 **University Libraries** (Dirac Science Library, Goldstein Library, and Strozier Library) to meet their experience, resources, and services for researcher' helping. I looked through the key **documents** which regulate the strategy' development of the university and its core business processes, of course, mostly in research management area: from University Strategic plan and University Handbook to various processes and procedures policies (*Proposal Submission Policy, Limited Submissions, Rate Agreement, Campus Cost Sharing Procedures, Subrecipient Monitoring Procedures, Subcontracting (issuing outgoing sub-awards under a sponsored research account), Guidance on Direct Charging Computers and Other Information Technology Devices to Federally-Funded Projects, Ownership and Copyright policy etc. till even Animal Use in Research Policy.*

This intense but so beneficial schedule allowed me to meet with the main FSU' processes as research University. Almost at all these meetings, we had an open discussion with colleagues about the importance and effectiveness of this policies or procedures, I can compare these procedures (or lack of them!) in Ukraine.

Unfortunately, I have to state that at my University (like in other universities of Ukraine) there is no such a systematic approach which include all the peculiarities of the Research at the University, appreciates the role and contribution of each participant of the process, has clear and reasonable performance indicators. Of course, we've some policies, but they are disseminated, have different criteria and a different understanding in the various universities in my country.

I would like to use this experience to implement such a system at my University and to share this model with other universities of the country.

So, describing **my main FSU "research lessons"** and ideas to implement it at my University and sharing for Ukrainian universities.

Of course, in this document, I can't describe all the ideas, activities, practices I met here at FSU. I've collected a lot of necessary documents, notes, contacts for further acquaintance with university policies and contacts with FSU colleagues. I need to explore it in future, interpreting and discussing with my colleagues at my university. I hope for further cooperation and possible joint projects with FSU. Here I'm trying to present only the main "my FSU lessons & ideas", which I hope to implement at my University.

First of all, **University Governance**

Accurate, clear and deep management of the University system as a whole (from University Strategic Plan, the various reports to the University Factsheet and **University Handbook** (available through web-site also).

Clear and understandable research and appropriate process control system. Prescribe all procedures, policies, forms, reports, and so on. Clearly defined all roles and levels of competence and responsibility of the relevant University departments. The researcher or Dean or Faculty or Ph.D. scholar should not speculate about the "rules of the game": everything set out in the Faculty Handbook. The Faculty Handbook provides an overview of the history and administrative structure of Florida State University, its mission statement etc. as well as faculty's governance. It clear presents information on various processes and procedures you will encounter as a faculty member in academic, administrative, or research roles (including assignment of responsibilities, annual evaluation policies, promotion and tenure, sabbatical policies, different faculty awards, benefits, different IP policy with Policy on Patents till - for example- out university activities with Conflict of Interest policy or Political Activity' policy and Alcohol and Drugs policy, or Sexual Harassment Policy, or Academic Honor Policy , or Using the University symbols etc. Of course, I'm interested in all Misconduct in Research and Creative Activity Policy (from Policy Statement, Reporting Allegations of Misconduct in

Research and Creative Activity, Inquiry and Investigation, Protection of those Reporting Misconduct, Promptness of Procedure, Requirement of Notification and Interim Actions, Dissemination of Information Regarding Integrity in Research and Creative Activity, Addressing Allegations of Misconduct in Research funded by Extramural Funding Agencies etc.

It's **Faculty Handbook** (as policies and procedures change, the most up-to-date information will be available in the Office of Faculty Development and Advancement Web site. Such a valuable experience in the creation of a complete document as University and Faculty Handbook (as well as **Student Handbook**) which presents all the policies and procedures of the University I'm sure is required to introduce for Ukrainian universities. And it will be in my plan for my University.

Office of Institutional Research

FSU IR completes federally- and state-mandated surveys and reports as required by law. Annual Florida State University Fact Book provides the most current data available for a general description of the activities of the university (this book also prepared in this Office). I met with FACET - Florida State University's official employee activity reporting system (Effort reporting is required for compliance with federal and state regulations governing sponsored research and other activities at the University and any employee that receives funds from a sponsored project, or is officially committed to performing work for a sponsored project, is required to certify their effort each semester. Certain employees (including all faculty-class employees) paid from state funds or who participate in instructional activities at the University must also certify their effort). Professional employees certify their effort after each semester in an academic year: summer, fall, and spring. Non-exempt employees certify their effort 12 times a year (once a month). I'm looking into different another type of reports (Detailed reports of OPS and Regular faculty by appointment, gender, college, department, ethnicity, tenure, full-time/part-time, and class title etc.), faculty and staff indicators (for example, Courses Taught by Type of Instructor, Faculty Person-years by Academic Functions or Faculty Average Salary Comparisons, Tuition and Fees Comparisons or Room and Board Expense etc.). The Common Data Set is maintained also by the Office of Institutional Research. It contains valuable resources that have been put on-line for the purposes of convenience and reference. Universities everywhere are requested to provide statistics and information for numerous publications, surveys, and general inquiries. Although the source of each inquiry is different, the theme is similar, and we often answer the same questions over and over. So, University takes care of increasing efficiency by standardizing each response and it's OIR role to provide it.

IR conducts or coordinates also student surveys when requested by FSU senior administrators, collecting data on student or alumni opinions of their education and experiences at FSU. For example, since 2005, FSU has participated in the National Survey of Student Engagement (NSSE) every three years.

So, when I met the OIR experience, goals, activities with surveys etc. I realized its role: it is not only to collect and structure data. It's not only a performance data. It's University Reputation basis and strategic value! "Working with the current university 'data we can predict our future!'" (Globally, nationally or even for Tallahassee' development). We discussed *Carnegie Classification*¹ framework (due research universities criteria and differences in quantitative levels for R1: Doctoral Universities – Highest research activity, R2: Doctoral Universities – Higher research activity, R3: Doctoral Universities – Moderate research activity).

It's useful for me to know that research (doctoral) universities were assigned to one of three categories based on a measure of research activity. The research activity scale includes the following correlates of research activity: research & development (R&D) expenditures in science and engineering; R&D expenditures in non-S&E fields; S&E research staff (postdoctoral appointees and other non-faculty research staff with doctorates); doctoral conferrals in humanities fields, in social science fields, in STEM (science, technology, engineering, and mathematics) fields, and in other fields (e.g., business, education, public policy, social work). These data were statistically combined using principal components analysis to create two indices of research activity reflecting the total variation across these measures (based on the first principal component in each analysis). Ukrainian Ministry of Education and Science now in the process of creation such criteria for the research university and it'll be useful to use Carnegie Classification and other international standards.

The following set of metrics presents Florida State University historical data in three key areas which affect our state funding as well as our national reputation: Performance-Based Funding, Preeminent Research University Funding and Top 25 University Ranking (see Appendix 1). Well, it's strategically necessary for each University to metrics represent areas where University focus as part of its effort to move into the top national universities, as ranked by QS or Times tell U.S. News & World Report or America's Best Colleges ranking or Forbes review etc. Funding metrics were legislatively established and are monitored by the Florida Board of Governors (BOG).

I can compare OIR activity to my University statistics and metrics policies and identify areas for improvement, including ranking metrics etc. I am sure every successful modern university should have such department as OIR here, and this work must be systematic and comprehensive. My university is only taking its first steps in this direction, as well as other universities in my

¹ The Carnegie ClassificationTM has been the leading framework for recognizing and describing institutional diversity in U.S. higher education for the past four and a half decades. Starting in 1970, the Carnegie Commission on Higher Education developed a classification of colleges and universities to support its program of research and policy analysis. Derived from empirical data on colleges and universities, the Carnegie Classification was originally published in 1973, and subsequently updated in 1976, 1987, 1994, 2000, 2005, 2010, and 2015 to reflect changes among colleges and universities. This framework has been widely used in the study of higher education, both as a way to represent and control for institutional differences, and also in the design of research studies to ensure adequate representation of sampled institutions, students, or faculty

country seeks to enter the global arena of higher education and global research cooperation. Such performance of the university is very important.

Office of Sponsored Research and Office of Proposals Development to support the responsible management of sponsored projects

I don't know of any university in the Ukraine, which not active in the search for funding for research. Budget funding (through the Ministry of Education and Science in Ukraine) is also carried out on a competitive basis, and the competition quite high and complex. On average each university has to fund only for 2-5 projects (for 2 years term for applied research, and 3-year for fundamental). At my university, we have funded by only the 5 projects, for example. That's why every University should seek additional sources of funding and apply for research grants (for Horizon2020, USAID, World Bank, European bank for reconstruction and development, CRDF, etc.). But I do not know also any university in the Ukraine, where Grant proposal submission and Sponsored Research policies would be such well managed and systematic as here at FSU: to assist faculty with proposal review and submission, in negotiate and execute agreements on behalf of the University, in establish and communicate policies and procedures necessary to ensure compliance with applicable contract and grant terms, Federal and State regulations and University policies and procedures and so on. All issues about how submitting grant for the Right Reasons with the Right PI!

In Ukraine, as a rule, it's the faculty responsibility for sponsored research. University "knows" only about approved grants, and not always. In the case of individual research grants (which do not require a university mandate), such grants are often administered not by the University but by NGO or external institution even. Such unclear or indefinite university policy isn't useful for both sides. Only for the last 5-7 years the overhead (indirect costs) policies starting in some universities, but in order for received the overhead for the university not to support faculty. A vicious circle: the university does not motivate and helps scientists to write a good project and get funding, but this requires for scientists. Scientists are not motivated to dedicate the university even for grant applying process because they don't get any help or support, besides the requirement to include overhead costs for University.

This has to change. The capacity to perform and to develop a competitive proposal – is not only faculty responsibility but the University! And the experience of US universities is very useful.

Sponsored Research Administration (SRA) at FSU, a unit under the purview of the Vice President for Research, is responsible for pre- and post-award functions of the university for awards with U.S. public funding (federal, state, and local governments) and U.S. public funding that is flowed through private organizations). The staff (45 persons!) provide the university community with client-centered, professional, and appropriate administrative expertise to support the responsible management of sponsored projects. In carrying out this mission, their goal is to provide responsive administrative guidance and education for FSU constituents in

order to facilitate Florida State University's teaching, research, and service missions. Primary Functions of SRA:

- Assist faculty with proposal review and submission.
- Negotiate and execute agreements on behalf of the University and assist faculty with pre-award advances where appropriate.
- Establish and communicate policies and procedures necessary to ensure compliance with applicable contract and grant terms, Federal and State regulations and University policies and procedures.
- Activate sponsored project accounts including cost share and review expenditures to provide assurance that sponsored financial activities are in compliance with sponsor regulations.
- Provide post-award non-financial services such as project extensions, budget revisions, key personnel changes, or scope of work changes.
- Establish effective cash management systems to ensure cash flow and the corresponding collection and deposits to respective contract and grant accounts.
- Monitor and review sub-recipient activity to ensure compliance with applicable contract and grant terms, Federal and State regulations and University policies and procedures.
- Prepare financial reports and invoices as required by sponsoring agencies including cost share reports and receive and deposit all subsequent payments.
- Prepare Facilities and Administrative Rate proposal.
- Respond to audit inquiries.
- Provide training to departmental representatives and Principal Investigators to further develop and enhance their knowledge and skills related to the management of sponsored funding.

I'm looking for such documents as Rate Agreement, Proposal Transmittal Form, Proposal Submission Policy, Limited Submissions policy. I'm briefly met with such policies and procedures as Tuition Waiver Manual, Terminal Leave Policy, Dual Employment Compensation, Guidance on Direct Charging Normalized Compute Unit (NCU) Services to Federally-Funded Projects, Animal Use in Research, Campus Cost Sharing Procedures , Effort Commitments during No-Cost Extension Periods, Guidance on Direct Charging Computers and Other Information Technology Devices to Federally-Funded Projects, Non-Duty Stipend and Research Participant Payment Guidelines, Subcontracting (issuing outgoing sub-awards under a sponsored research account), Subrecipient Monitoring Procedures, Participant Support Costs Procedures, Program Income Procedures etc.

I'm looking also for *Research Development & Grant Writing News* - a monthly electronic newsletter for faculty and other members of the university community about how to compete

successfully for research and education funding from federal agencies and private foundations. And Strategies for Planning, Developing and Writing Large Team Grants book (I downloaded it for my future study).I have a chance to look into Successful Proposal Examples also etc.

Another closest Office - **the Office of Proposal Development (OPD)**, a component of the Office of the Vice President for Research at FSU also, it serves as a resource for faculty seeking grant support. The office provides a variety of services including proposal development assistance, faculty partnership identification, as well as training opportunities for faculty who are new to grant seeking and grant writing. OPD also publishes funding notices and provides other research-related resources. OPD has only 5 staff but they do best for equip faculty with the best possible grant resources, train faculty through a use of interactive, relevant and effective workshops and programs, and assist faculty by providing high-quality proposal development and consulting services. The Office of Proposal Development also provides support for large (over \$1M) proposals including multi-disciplinary proposals. Services include grant Identification and Dissemination, collaborator Identification, assisting in Obtaining Letters of Support, coordinate Peer Grant Review of Proposal, graphic Design Support, password protected Online Portal (to enable team collaboration) etc. I'm looking for Faculty Guide to Competing for Research Funding, Proposal Writing Short Course, and another proposal resources. Meet briefly with Pivot (funding connected database from ProQuest).

I would like to **create such a service as SRA and OPD** (as a department or even a small group of people in research management office) at my University.

TECHNOLOGY TRANSFER AND COMMERCIALIZATION

Among the many roles of the university are the dissemination and expansion of knowledge and the performance of public service. The process of fulfilling these roles creates an environment, which generates new and useful inventions, which may be granted protection and professional recognition in the form of patents issued in the name of the inventor. Patent protection is sought to increase the chances worthwhile innovations will be actively pursued and developed for the public benefit, not just recorded in the literature. Some patentable inventions may have commercial applications that, through licensing, could provide additional funds to support the work of the inventor. The transfer of technology to industrial concerns with the capability to develop and market these new products and processes is an increasingly important contribution to state and national economic development. While all inventions may not result in income to the inventor and the university, it is the university's responsibility to use the patent system to protect and enhance basic research and to bring into public use commercially applicable discoveries.

Providing a better understanding of the research to market process for technology development, including the critical areas of intellectual property rights and patents, establishing a model of sustainable economic growth through science and education, development new Ecosystem for

“University-Business-Industry” – important tasks for University in Ukraine. That’s why I’m so interested in such experience at FSU. Ukrainian universities have a similar department, but usually, it’s more engaged in registration of patents and copyright certificates only. Existing intellectual property policies usually don’t take care of all IP and commercialization issues. Our universities are only on the way to the creation of such a policies and workflow in order not only for the protection of intellectual property but also to promote the results of research to business and industry and commercialize it.

OFFICE OF COMMERCIALIZATION AT FSU is responsible for the efficient transfer of university discoveries to the marketplace for the benefit of society. To support the university’s research mission, this unit evaluates, protects, markets, and licenses the university’s inventions and software, assists in the formation of startups, provides outreach and informative forums to the university’s faculty on the commercialization processes, promotes collaboration with industry, investors, and others within the technology commercialization ecosystem. Technology is typically commercialized through a license agreement in which the university grants rights in a specified technology to a third party for a period of years. I met with policies for IP (Ownership depends upon the employment status of the creators of the invention, their use of university facilities, and any agreement that may be in place between the university and the creator or his or her employer), Rate for Royalties or other income resulting from inventions in which the University takes title will be distributed (85 percent to inventor(s) for the first \$10,000; 15 percent to University) Once the \$10,000 plateau has been reached, net income (gross royalties minus direct costs of patenting, licensing, legal, and other related expenses) will be divided as follows: For net income in excess of \$10,000: 40 percent to inventor(s), 30 percent to dept. or unit or both, which inventor is a member; 30 percent to University. Royalties or other income resulting from copyrighted work in which the University takes title will be distributed as follows: 50% to Author(s), 50% to University to be divided as follows: 25% to FSU Research Foundation, 25% to the Author(s) Academic Unit(s).

We need to revise intellectual property policies in our university, I’m sure. A big debate about the commercialization of research’ technology now in Ukraine and, of course it should be supported by the related legislation (now the universities – non-for-profit organization) and we need to lobby for changes in legislation.

Another issue for discussing now in Ukraine – for University start-ups and spin-off.

As I posted in the blog also **Domi Station** - is a **startups incubator and coworking space**, sponsored by FSU and Leon Community. It's a good example how to create a start-up. Start-up - it's not about the money only, isn't it? It's about the creation of new ecosystems of connections between Industry and Academia. Its potential new jobs and income in a community from new economic activity. A new culture of innovation, response to the needs of the city, state, and

country. And Universities now create a type of ecosystem (not only in Research and Education) that spawns technologies with the potential for exponential growth and societal transformations.

Digital Research landscape

Digital scholarship definitely influenced not only for researchers, publishers, or librarians but the Universities as a whole. They have to create a new strategy in using of digital evidence and method, digital authoring, digital publishing, digital curation and preservation, and digital use and reuse of scholarship. They have to build an effective system of aid researchers in the creation and dissemination of research results, to develop criteria, kpi, resources and services for this new system, to build an institutional infrastructure to support new practices and new models of scholarship. FSU has special **Office of Digital Research and Scholarship** which provide support, infrastructure, collaborative partnerships, and consulting for technology-inflected research in the areas of digital humanities, academic publishing, data management, and digital pedagogy. They are focused on deploying platforms, tools, and content for new forms of research and scholarship. 4 main area for expertise: Academic Publishing, Research Data Management, Digital Pedagogy, Digital Humanities. Research data management is a key area in the research process and the effective stewardship of data is increasingly mandated by public and private funding institutions. The Research Data Management team assist scholars with writing data management plans and the management and curation of research data, provide a resource for data management, planning, data storage, data curation tools and option for sharing, licensing of publishing data sets.

We have of course some activities at Ukrainian Universities (with Institutional repositories, with OA journals, with some digital literacy training etc.) but not as a system, and creation such Office (or Unit) in VP Research Office (or in University Library) will be so useful, I'm sure The modern University need data management and curation knowledge and new skills that support the long-term preservation, access and reuse the data.

I'm delighted with Digital Research team activities and services. And hope to create such a strong and comprehensive system for digital research and scholarship at my University and share this model for Ukrainian Universities. Especially for such activities as Digital Humanities and RDM as a system, with researchers ID as a policy, with SMM – activity to promote scientific output.

I've one more idea about Digital project incubator. As well as for Open Access Fund to support scholars at my Universities.

Research PR and promotion - another big issue I met here. Newsletter, web-site, social media – everywhere FSU is so active. And Research – in a Focus. For example, special You Tube

channel - Research in a Minute² etc. I'd like to create Research Portal and Research Newsletter at my University,

Of course, I have to mention at least briefly for **Ph.D. programs** at FSU that focus not on individual research but Ph.D. students also attracted to the collaborative work, critical thinking, interdisciplinary, the ability to see not only the narrow issue. I have to mention the experience of **Office of Distance Learning** since it is not only the new digital technologies for education but also a big challenge for nowadays University as a model. I have to say about *the values* and special *corporate culture* at the FSU, the university mission and its values shared by everyone I met here! I have to say about a particular attention to all my questions and following active discussions.

A lot of FSU "lessons" I can't fit in this document format. But I'm sure this experience will accompany me for a long time and will help to implement the best practice at my University.

Activities

I am absolutely convinced that the strategic mission and vision that we identified at my University - correct and aimed to the future. But I also understand now that we have to review and understanding of research management priority, to develop and implement a series of new policies and procedures. To create a new research and sponsored research culture, which focuses on the synergy of all stakeholders: faculty, administration, deans, students, librarians, external partners etc. We must develop also a systematic and coherent program of professional development for our scholars and administrators.

So, on my homecoming I'm going to share my fellowship experience with NaUKMA President and Vice-Presidents, NaUKMA Senate and Council for Research, and other stakeholders, as well as with my colleagues from RMO, Graduate School and International Department. Then I will prepare the set of recommendations taking into University Strategic Plan' revision the objectives, goals, resources etc. Then revision and improvement (or creation) of the different research policies will be initiated:

- Proposal Submission Policy, Proposal Development Policy, including Indirect-cost policy.
- Policy for Research Digital Management
- Ownership and Copyright policy
- Patent and Licensing Policy and Transfer Technology Policy
- Academic Integrity and Ethics Policy (to provide students, faculty, and staff with guidelines about what behaviors violate academic integrity expectations, and the process for addressing academic integrity problems)

I'm proposing to establish such new offices at NaUKMA from 2018: Office of Sponsored Research and Proposals Development and Office of Digital Scholarship (at University Library).

² Research in a Minute - <https://www.youtube.com/playlist?list=PLTCv6n1whoI2MF1XyA9X14nMrc6rIXOS7>

I'd like to start also with University Handbook Creation: discussion and implementation the new University assessment policy, including ranking' data.

We have to rethinking also about University web-site for Research presentation and promotion, so I'll propose the NaUKMA Research Portal creation: to concentrate information about research activities and innovation at NaUKMA in join electronic environment, provide better interactions between scientists, promote and popularize science, raising the motivation and scientific interest of the younger generation.

This plan will be also distributed and approving. I'm going to present policies draft with University Council for Research and University Senate (for discussions, revisions, and feedback and approval).

Deliverables

Outputs and outcomes of this "restart" are obvious for me. Firstly, the University as beneficiate itself due to such transparent and clear system of research management which will help to achieve the research university goals. The main deliverable will be the obligatory minimal research requirements which will be included in the Research Policy of NaUKMA.

The faculty (scholar) will be beneficiary also because the University will create a clear system of research support and management. Scholars should do their own research, and all support, from research data management or commercialization of research results - will take by the University. So, the main outcome will be enhanced attractiveness of NaUKMA for researchers and academic staff. The research findings would contribute to creation of knowledge on internal academic and administrative reforms related to faculty performance requirements. In the long run such well-designed policies will enhance the University Ranking.

The beneficiary is a student due they are involved in the strong research University, with famous scientists, with good labs etc., with experience also in collaborative research etc. - the key to their professional success in the future.

All members of the NaUKMA community will indirectly benefit from proposed changes.

Many Ukrainian universities will follow these successes and adopt similar policies, promoting healthy competition as well as developing these recommendations will be useful to policy makers who are responsible for improving the university rankings across the country. So, the country will indirectly benefit from the change I'm sure. Course powerful science and excellence education - the success of the country' development and economy.

Resource Requirements

No doubt these changes will require resources, changing some structure or creation new positions or department for creating and implement new policies or procedures. First, I am sure, I

have to convince University president and University Supervisors Board and University Senate of the necessity for such changes, and they must approve it. And I will do it.

We need to make changes in the University strategic plan and operational plans, since the budget revision. I've mandate to do it due my responsibility as VP Research and IT. Without a doubt, I am not able to do it myself, without the support of my team – Office of Research Management, Graduate and Ph.D. School, IT Department, Libraries.

Research Management Office (Scientific and Education Center) at NaUKMA will be actively involved in reforms which are carried out at our University. But RMO need to have more staff, improve necessary resources, skills, and experience to implement this reform. The NaUKMA Graduate School, International Department, Strategic Development Department, Finance Department and Law Department will also be involved in this process, and the overall process will be conducted under the supervision of Council for Research and University Senate. We have a special Committee under University Senate - Council for Research and Publication activity, which join the successful scholars from each of the NaUKMA Schools. We must also take care of the implementation of the system of professional development for these new skills or and capabilities.

Regarding timeline I think that the obligatory research policies and research standards will be implemented by October 2017. Concerning University Handbook and Research Portal as well as 2 new departments I hope the process will be completed by the end of 2018.

Stakeholders and Communication

Our team members who will drive the change I'm sure should include except me:

- **University President** as the first person who is responsible for all processes in the University and strategic planning. If we could re-thinking our vision and mission statements, and what are the specific goals that the University is seeking to achieve as Research University. In what niche(s) will it pursue excellence in research?
- University **Honorary President** and **President** of International Charitable Foundation for the renaissance of Kyiv Mohyla Academy (strategic planning, external relations, grants, FR)
- **VP for Economics and Finance** (How will the transformation be financed? What share should fall under the public budget? What share should be borne by the private sector? What incentives should be offered (for example, land grants and tax exemptions)? for review the University budget and another resource)
- **Members of Council for Research** and Publication activity - How will success be measured? What monitoring systems, outcome indicators, and accountability mechanisms will be used?

- **Dean of Kyiv Mohyla Business School** (risk management, metrics etc.)
- Chief of Research Management Office
- Director of Graduate School
- Director of University Library
- Chief of Strategic Development Office
- Chief of International Department (What are the internationalization goals that the university needs to achieve (with regard to faculty, students, programs, and so forth) for Research University? Should the university be set up in partnership with a foreign institution?)

Of course, this is not an exclusive list of the main participants of "changes". Some issues require for support by University graduates, so I'm planning to consult with Alumni Association. Some issues require clarification or review functions (in particular the participation of the University in international rankings of universities, it is engaged in the international department now), so I need to be in cooperation with International department. Quite a change lies in the university reporting to the Ministry of Education and Science of Ukraine as government's role be in this process. So I have to lobby these changes on behalf of the university at the country level. Of course, I need to discuss changes with another external partners (Kyiv Mohyla Foundation in America, some private and public organization etc.)

Work Plan

I realize such driving 'work plan does not make for "overnight." And maybe even for one or two years. Such existing system' "restarting" will require at least 3-5 years. But the first steps I have to plan for the first year, and I'm sure for success. Among the first – year priorities for my university, I can identify the following:

Gantt Chart

Action	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct
Meeting with President					X							
Meeting and presentation for Council for Research					X							
Presentation for University Senate						X						
Review the University Strategic plan, identify its objectives, goals, resources etc.					#	#	#					

Establish Policy for Research Digital Management and creation the Office of Digital Scholarship at University Library)					#	#	#	#	#	#	#	#
Ownership and Copyright policy Establish						#	#	#	#	#	#	
Patent and Licensing and Transfer Technology Policy Establish								#	#	#	#	#
Proposal Submission Policy, Proposal Development Policy, including Indirect-cost policy, Develop & Submit Proposal Policy						#	#	#	#	#	#	#
Workshop for faculty (life cycle of a sponsored project from funding announcement through close-out of the award)												#
Establish the Office of Sponsored Research and Proposals Development from 2018												
NaUKMA Research Portal creation: statement of work, discussion, creation						#	#	#	#	#	#	#
University Handbook (with Faculty Handbook and Student Handbook ‘) Creation: discussion and implementation.						#	#	#	#	#	#	#
Academic Integrity and Ethics Policy			#	#	#	#	#	#	#			
University assessment policy Establish									#	#	#	#
NaUKMA Office of Research Newsletter creation											#	#

Challenges and Constraints

People resist changes usually, of course. Scholars want to conduct their research and don't care about other things (commercialization, promoting, etc.). Administrators fear for extra work or lack of competence or skills for the new activity. There are no clear metrics or performance indicators for the majority of new processes or procedures that I described here. The insufficient country's legislation, especially in the commercialization of research and startups. That's why the Introduction of the new culture required for acceptance of the proposed obligatory rule will be the main constraint to implementation. But I'm sure NaUKMA has a great experience in resolving of such obstacles by discussions in order to convince academic community how important and productive supposed reforms are in long-term perspective. We have also at NaUKMA junior faculties and PhD students with necessary skills and vision who stand by reforms. I understand that, but these changes are necessary if we are an approach to the successful Research University.

Risks

The main risks associated with my reform, is the lack of understanding and support by University president and Senate. If I can't convince them of the importance of changes, I can't succeed. The risks also – in the lack of resources (financial or human resources) due university budget cuts and the new knowledge and skills for staff. Lack of knowledge and experience in scientific projects and articles writing in foreign language, research assessment, intellectual property, transfer technology, research digital management, absence of national high-ranked journals in variety of fields (Humanities) causes discontent of personnel, especially in the older generation of academics.

Research universities expect faculty to spend a large portion of their time on research, but the salary for faculty in Ukraine mostly depend from teaching, and it gap should be change. NaUKMA has a great experience in resolving of such problems by debates in order to convince our community how important and creative the proposed reforms are in long-term perspective.

Monitoring and Evaluation

One of the main activities of my VP Research Office is periodically screening, analyzing and reporting of research activity based on gathered statistical data with the aim of detection of strengths and weaknesses of NaUKMA research and innovation. This activity is directly connected to the monitoring and evaluation of the planned reform.

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