

SEMINARS

National System of Evaluation of Higher Education

Guide to Institutional Auto-Evaluation

**MINISTRY OF EDUCATION
NATIONAL SYSTEM OF EVALUATION OF HIGHER EDUCATION (SINAES)**

GUIDE TO INSTITUTIONAL AUTO-EVALUATION 2004

Ministry of Education
National Institute of Educational Studies and Research "Anísio Teixeira" (INEP)
National Commission on Evaluation of Higher Education (CONAES)
National System of Evaluation of Higher Education (SINAES)

**Guide to Institutional Auto-Evaluation
General Orientations**

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PRESENTATION

The present *Guide for Institutional Auto-Evaluation* is designed for the academic community¹ of the Brazilian Institutions of Higher Education (IHE) and their Own Evaluation Commissions (CPA's), who are to be involved, as of 1 September 2004, in the national process of Institutional Evaluation of Higher Education, in accordance with the new National System of Evaluation of Higher Education (SINAES).

This is a document with orientation and suggestions for guiding the internal evaluation that is a part of the process of institutional evaluation, and is one of the main instruments of SINAES. To understand it, one needs to first read the statement on CONAES, *Guidelines for the Evaluation of Institutions of Higher Education*,² which presents the conception, principles and dimensions of SINAES and determines how it is to be implemented.

The text presented here focuses on the stages of auto-evaluation of the institutions and, in addition to a cluster of common topics, offers other possibilities and pathways for developing the institution's own processes of institutional self evaluation. Although it is a long document, no claim is made that it is exhaustive. Rather, it is an open-ended guide for each CPA in the selection of the indicators appropriate for its own IHE. Its aim is to provide a set of general orientations for implementation of the process of auto-evaluation, respecting institutional identity and specificities.³

Hélgio Trindade

President of the National Commission on Evaluation of Higher Education (CONAES)

¹ The term academic community encompasses the faculty, the student body and the technical-administrative personnel.

² A document available at the website of the MEC.

³ Other CONAES documentation will, as appropriate, be released, providing orientation on deadlines, external evaluation and integration with the other dimensions of SINAES.

1. THE NATIONAL SYSTEM OF EVALUATION OF HIGHER EDUCATION

Instituted by Law no. 10,861, of 14 April 2004, the National System of Evaluation of Higher Education (SINAES) is grounded in the need to improve the quality of higher learning, orient its expanding supply, and continually increase its institutional efficacy, its academic and social effectiveness and, particularly, the depth of its social commitments and responsibility.

The fundamental principles of SINAES

- social accountability for the quality of higher learning;
- recognition of the diversity of the system;
- respect for the identity, mission and history of each institution;
- a holistic approach, i.e., an understanding that a meaningful set of quality indicators, seen within an organic relationship and not in isolation, must be employed in the evaluation of each institution;
- continuity of the evaluation process.

SINAES comprises three main modalities or instruments of evaluation, each applied at a different moment.

1. Evaluation of Institutions of Higher Education (AVALIES) is the keynote and nexus of the evaluation system, and is carried out in two main phases:
 - a. auto-evaluation, coordinated by each IHE's Own Evaluation Commission (CPA), beginning 1 September 2004;
 - b. external evaluation, conducted by commissions designated by INEP, in accordance with the guidelines set by CONAES.

2. EVALUATION OF INSTITUTIONS OF HIGHER EDUCATION

Evaluation of institutions of higher learning is formative evaluation, aiming at improvement at all levels of the academic community and the institution as a whole. It is to be found especially when the entire internal community whole-heartedly participates and external stakeholders, from outside the institution, also contribute. In such cases, little by little, the institution builds up a culture of evaluation, making possible a permanent attitude of awareness of its mission and of its academic and social purpose.

In the process of institutional evaluation, additional information from the Higher Education Census, the Listing of Institutions of Higher Learning ("Cadastro de Educação Superior"), the CAPES (Commission for Upgrading Higher Education Personnel) reports and ratings of graduate programs, the credentialling and re-credentialling documentation for the IHE and other sources considered pertinent by CONAES, in addition to the other components of SINAES itself, ACG (the Evaluation of Undergraduate Programs) and ENADE (the National Examination of Student Performance), shall also be taken into consideration.

The main aims of internal evaluation, or auto-evaluation, are to produce knowledge and examine the meaning of the institution's set of activities and purposes, as well as identifying the causes of its problems and deficiencies, increasing the pedagogical awareness and professional capability of the faculty and technical-administrative personnel, strengthening cooperation among the different institutional stakeholders, increasing the effectiveness of the institution's ties with the community, making judgements regarding the scientific and social relevance of its activities and products, and rendering accounts to society.

Identifying, as it does, the frailties and potentialities of the institution, along the ten dimensions provided for in Brazilian law, *auto-evaluation* is an important instrument for decision making; the output is to be a detailed, comprehensive report containing analysis, criticism and suggestions.

External evaluation is the other essential dimension of institutional evaluation. Appraisal of the institution by specialists from outside its walls will, besides contributing to self knowledge and refinement of the activities carried out by the IHE, provide important inputs for regulation and educational policy formulation. Through documentary analysis, on-site visits and interviews with members of the various bodies within the institution and of the local or regional community, external commissions help to identify strong points and shortcomings of the internal evaluation, point out institutional strengths and weaknesses and suggest improvements or even measures to be taken, whether by the institution itself or by the competent bodies within the Ministry of Education.

The commission of external evaluators is to have access to the institution's documentation and facilities, in order to be able to obtain additional information, making the process as complete, rigorous and democratic as possible. In drafting its report, the commission is to take into consideration the auto-evaluation report and any other information on the IHE derived from other evaluation processes (data from the census and listing of higher education, ENADE, the Evaluation of Educational Conditions, CAPES reports and curriculum vitae⁴), along with interviews and other activities.

⁴ Continually updated and stored in an on-line database, these CV's are called "Currículos Lattes," in honor of a renowned Brazilian physicist, the late Cezar Lattes – n.t.

3. INTERNAL EVALUATION

Internal evaluation is a continual process through which an institution builds up knowledge of its own situation, in an attempt to understand the significance of its activities as a whole, in order to improve educational quality and attain greater social relevance. To that end, information is systematically gathered; the significance of accomplishments is jointly analyzed; forms of organization, administration and action are uncovered; weak points are identified, as well as strong points and potentialities; and strategies for problem resolution are put into place.

Internal or auto-evaluation is, therefore, a creative cyclical process of renewal of the analysis, interpretation and synthesis of the dimensions that define the IHE.

3.1 The requisites of auto-evaluation

For a process of auto-evaluation to be appropriately implemented and produce good results, there are certain necessary conditions:

- a) *a coordinating team* to plan and organize activities and keep up interest in evaluation, sensitizing the community and advising the different sectors of the IHE, and thus helping them to reflect on the process;
- b) *the participation of members of the institutions*, for the involvement of the stakeholders, no matter how different as they may be from one another, helps to build on the knowledge generated during the evaluation;
- c) *an explicit commitment on the part of the IHE directors* to the evaluation process. This does not, however, mean that the directors should be the principal members of the commissions to be installed. What matters is assuring that institutional support is evident, in order for the process to take place with the necessary depth and commitment;
- d) *valid and trustworthy information*, for, as trustworthy information is the essential element of the evaluation process, it must be given top priority for the pertinent bodies of the institution to make it available. For this, the gathering, processing, analysis and interpretation of information are essential to foster the dimensions that auto-evaluation wants to inquire about.
- e) *The efficient use of the findings* to plan actions aimed at overcoming difficulties and institutional enhancement. For this it is important to prioritize short, medium and long-term actions, employ participatory planning, and take steps to reach simple or more complex goals.

The requisites of internal evaluation

- the existence of a coordination team;
- the participation of the members of the institution;
- the explicit commitment of the IHE's directors;
- valid and trustworthy information;
- efficient use of the results.

3.2 Dynamics of operation

In order to attain efficiency in the internal evaluation process, actions should be designed based on a work plan that includes a timeline, a division of labor, and human, material and operational resources.

The methodology, procedures and objectives of the evaluation process must be developed by the IHE in accordance with its own specific dimensions, taking into consideration the opinions of the community, in consonance with the CONAES guidelines.

3.3 The stages of internal evaluation

The results of auto-evaluation must be submitted to review by specialists who are external to the process, with a view to moving towards an external evaluation of the practices involved. A vision from outside the IHE can correct possible mistaken perceptions on the part of the internal agents and act as a cognitive, critical and organizing instrument for the actions of the institution and of MEC. Internal evaluation demands organization, systematization and interrelationship among all the qualitative and quantitative information, in addition to value judgements as to the quality of the practices and the theoretical production of the entire institution.

The organization of this process provides for the occurrence of different stages, some of which can unfold simultaneously.

3.3.1 First stage: preparation

Setting up the institution's Own Evaluation Commission (CPA)

In accordance with the provisions of Art. 11 of the Law number 10,861/04, each institution must create a CPA, the functions of which are to coordinate and network its internal evaluation process and make information available. All CPA's have to be registered at INEP, as the first stage of a systematic and productive dialogue aimed at the effective implementation of SINAES.

The CPA must be comprised of representatives of all the segments of the university community, and also of organized civil society. The CPA itself should determine the number of members, type of composition, duration of the term of office, dynamics of functioning and type of organization; this should be approved by the institution's highest collegiate body. It is suggested that the CPA consist of a group of people capable of taking responsibility for carrying out all the actions foreseen in the evaluation process.

The support for and legitimacy of the CPA result from the degree of interest of the academic community and its forms of participation, in addition to the interrelationship between pedagogical activities and academic and administrative management.

The support of external advisors to the work carried out by the CPAs should not, under any condition, take the place of the necessary participation of its own institutional stakeholders.

Planning

The evaluation project design includes definition of objectives, strategies, methodology, resources and a timeline of evaluation activities. It is important for the timeline to specify the deadlines for carrying out the main actions and dates of events (meetings, seminars, etc.) including the deadlines set by Decree number 2,051/04, which regulates SINAES.

The planning process, discussed with the academic community, should take into account the institution's characteristics and size and the prior existence of evaluation experience, including auto-evaluation, external evaluation, evaluation of the faculty by the student body, evaluation of the technical-administrative staff and evaluation of graduate courses of study, etc.

Sensitization

In the auto-evaluation process, sensitization is aimed at involving the academic community in the construction of the evaluation proposal, by holding meetings, talks and seminars, etc. It should be stressed that sensitization should be present both at the beginning and in the course of the evaluation process; because there will always be new people starting to participate in the process, whether they be students, faculty members or technical-administrative personnel.

3.3.2 Second stage: unfoldment

During the course of the evaluation, auto-evaluation is essential, in order to ensure consistency between the actions planned and the methodologies adopted, as well as networking among participants and meeting deadlines. This stage consists of the materializing of the planned activities, such as, for example, those listed below:

- a. carrying out sensitization meetings or discussions;
- b. systematizing demands, ideas and suggestions from these meetings;
- c. holding internal seminars for introducing SINAES, presenting the proposed internal evaluation process of the IHE, internal discussions, presentation of the systematization of the findings, etc.
- d. defining the composition of the workgroups covering the main segments of the academic community (evaluation of graduates and/or faculty, studies of dropouts, etc.);
- e. construction of instruments for data gathering: interviews, questionnaires, focus groups and others;
- f. defining the methodology for data analysis and interpretation;
- g. defining the material working conditions: physical facilities, faculty and experts with man hours devoted to this task, etc.;
- h. definition of the format of the auto-evaluation report;
- i. definition of systematic work meetings;
- j. drafting of reports; and
- k. organization and discussion of the findings with the academic community and publication of the experiences.

3.3.3 Third stage: consolidation

This stage refers to the drafting, dissemination and analysis of the final report. It also covers assessment of the evaluation process, and of its results in terms of improvement of the quality of the IHE.

The report

The final internal evaluation report should express the results the process of discussion, analysis and interpretation of the data, being derived mainly from the auto-evaluation process. It is important that it be able to incorporate, whenever available, the findings of the evaluation of courses of study and of student performance.

The audience for the report includes the members of the academic community, the external evaluators and society at large. Considering this diversity of readers, clarity in the communication of the information and the analytical and interpretative character of the results obtained are fundamental. Furthermore, it is desirable for the report to present suggestions for actions of an administrative, political, pedagogical and technical-scientific nature.

Dissemination

Dissemination, as a continuation of the internal evaluation process, should provide an opportunity to present to the public and discuss the findings of the previous stages. Several means can be used to accomplish this end, including meetings, informative documentation (printed and electronic), seminars, etc. The dissemination should also provide opportunities for making public, within the internal community, the concrete actions taken based on the findings of the evaluation process.

Periodical assessment

At the end of the auto-evaluation process, it is necessary to reflect upon it, with a focus on its continuity. In this way, an analysis of the strategies used, of the difficulties faced and the progress made will permit planning future actions. Thus, the auto-evaluation process will not only further the institution's self-knowledge, which is of great value in itself for an IHE, but also be a guide for external evaluation, as anticipated in SINAES as the next stage of institutional evaluation.

The chart below presents the main relevant actions for effective unfoldment of the auto-evaluation, as established in the *Institutional Evaluation Guidelines*.⁵

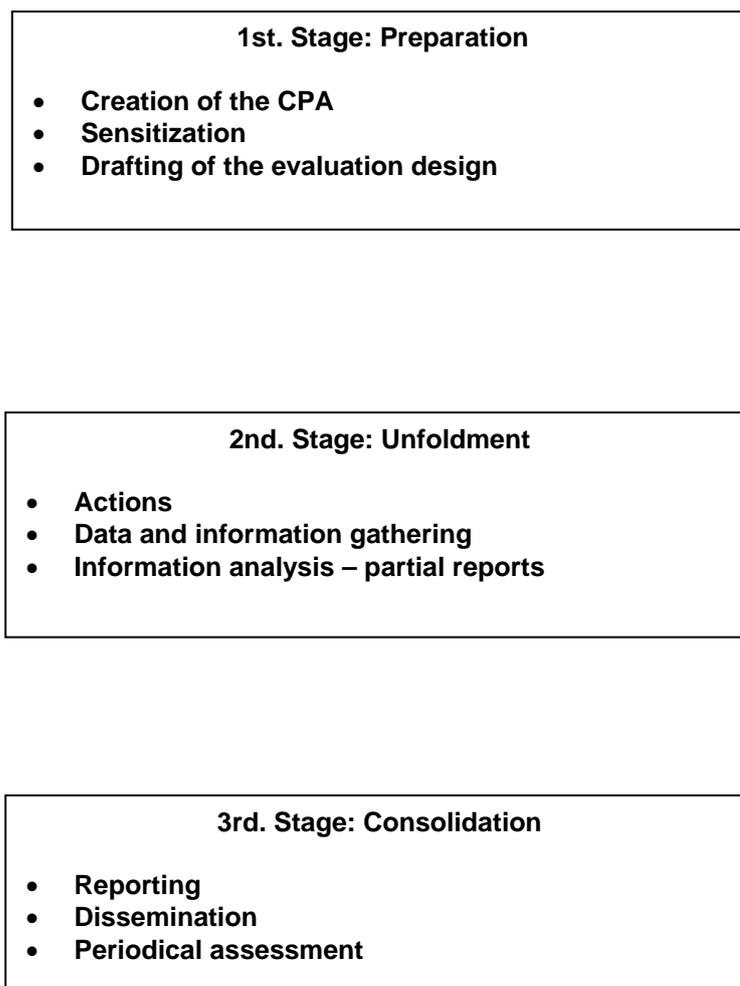


Figure 1: Stages of Internal Evaluation

⁵ A document available on the MEC website.

4. DIMENSIONS OF INSTITUTIONAL EVALUATION

The dimensions to be considered in the institutional evaluation process were established by Law no. 10,861/04, Art. 3. In this document a few topics that permit operationalization and evaluation of these dimensions are presented, as general orientations. In this way, we try to make it possible for IHE's throughout the country to proceed to develop their own institutional auto-evaluation processes, at the same time that their unique characteristics are respected.

The guide to institutional auto-evaluation is organized into three clusters:

1. *A basic common cluster* – includes topics that are to be included in the internal evaluation processes of all IHE's.
2. *A cluster of optional themes* – includes topics that may or may not be selected by the IHE for evaluation, depending on whether or not they are considered pertinent and appropriate to the institutional evaluation design. They should be understood as *suggestions* for discussion and reflection by the academic community, to help the IHE in the task of increasing its understanding of the institution, as well as expressing value judgements and taking action for improvement; the topics are presented as questions.
3. *Documentation, data and indicators* – data, indicators and documentation that can provide a basis for and justify analysis and interpretation are presented. Such data, indicators and documentation are not exclusive but rather complementary. It is also possible to use interviews and questionnaires. The IHE is expected to select these and/or other strategies for collecting whatever information may prove adequate for actually doing the evaluation, employing both quantitative and qualitative procedures.

A large share of the quantitative data about the institutions and courses of study can be extracted from the *Higher Education Census*, which is compiled every year by INEP. Other data, including qualitative data, can be generated with the assistance of institutional researchers appointed by the president or directors; this makes it very important for the CPA's to identify, in each case, the person responsible for the information provided, and for them to work in a coordinated way. The information provided in the census is an important starting point for the development of institutional self-awareness and for the evaluation activity itself.

At any rate, the themes indicated should be analyzed and evaluated according to the specific characteristics of the institution and not understood as a limitation. Especially the dimensions that involve financial issues should be analyzed in accordance with the legal nature of the institution (public or private) and its administrative organization (isolated colleges, university centers, universities). In this sense it is important to establish the necessary relationship with the proprietor, in the case of private IHE's, and with the responsible public body, in the case of public institutions.

It is essential to point out that the dimensions, as well as the topics mentioned, do not cover the entire spectrum of situations, activities and issues at the IHE. Therefore, these general orientations should not be considered a mere instrument for checking or verification or simply for quantification. Quite the contrary, it is expected that this selection of themes will be seen as a starting point for a thorough process of discussion and reflection about the several facets and activities of the institution, making it possible to deepen understanding and comprehension in that regard.

Many of the themes and dimensions presented will be part of the instrument for evaluation of the institution that will be used by the internal evaluation commissions at the time of the on site evaluation, which will be made available in due course.

4.1 The mission and the Institutional Development Plan

4.1.1 Basic and common cluster

- aims, objectives and commitments of the IHE, made explicit in official documentation;

- the materialization of the pedagogical and administrative practices and their relationship with the institution's central objectives, identifying results, difficulties, needs, possibilities and potentialities;
- basic characteristics of the Institutional Development Plan and its relationship to the social and economic context in which the IHE is inserted;
- consistency between the Institutional Development Plan and the Institutional Pedagogical Master Plan with respect to teaching, research, community extension, academic management, and institutional evaluation activities.

4.1.2 Optional themes cluster

- Is there a clear and explicit formulation of the institution's objectives and ends?
Describe:
- What is the degree of knowledge and ownership of the academic community with regard to the Institutional Development Plan?
- Is there coherence between the practical actions carried out at the IHE and the mechanisms to prove their actual accomplishment, modification and revision? Do the directors, faculty, technical-administrative personnel and the collegiate bodies take part in these activities?
- Is there consistency between the Institutional Development Plan and the Institutional Development Master Plan with reference to teaching, research, extension, academic and administrative management and institutional evaluation? Explain the ways in which coordination takes place.
- What profile are those who begin the course expected to have?
- What profile are those who leave the course expected to have?

4.1.3 Documentation, data and indicators for this dimension

- Institutional Development Plan;
- Institutional Pedagogical Master Plan;
- pedagogical design of the courses of study;
- the effective use of the Institutional Development Plan as a reference for programs and projects developed by the academic units (colleges, institutes and centers) and the central administration of the IHE (and collegiate bodies);
- evaluation and updating of the Institutional Development Plan (holding seminars, meetings, consultations);
- description of the characteristics of the graduates (knowledge and competencies they should acquire during their stay at the IHE);
- description of the characteristics of those admitted to the course of study, based on the regional and national demands (knowledge and competencies they should possess).

4.2 The policy for teaching, research, graduate programs and extension and their respective operational regulations, included in the procedures for the encouragement of academic production, research scholarships, teaching assistantships and other modalities

4.2.1 TEACHING

4.2.1.1 Common and basic cluster

- conception of the curriculum and its didactic-pedagogical organization (methods, methodologies, teaching and learning plans and learning assessment), in accordance with the institution's aims, the curricular guidelines and innovations in the area;

- pedagogical practices, considering the relationship between the transmission of information and the use of participation processes for constructing knowledge;
- the pertinence of the curricula (conception and practice), considering the institutional objectives, social demands (scientific, economic, cultural, etc.) and individual needs;
- institutional practices that encourage improvement in teaching, ongoing teacher education, support to student body, transdisciplinarity, didactic-pedagogical innovation and the use of new educational technologies.

4.2.1.2 Optional themes cluster

- With what systematic procedures and periodicity are the curricula revised? Is the periodicity adequate? Are the updating mechanisms appropriate? Is anybody responsible for the process?
- Do the curricula and study programs of each course of study correspond to the profile of the graduates?
- What are the elements that orient the updating of the curricula?
- Are meetings held to discuss the course or courses of study's curriculum or curricula? Are there discussions on the National Curricular Guidelines?

4.2.2 RESEARCH⁶

4.2.2.1 Basic and common cluster

- the social and scientific relevance of the research in relation the institutional objective, considering, as references, scientific, technical and artistic publications, patents, production of dissertations, organization of scientific events, exchange and cooperation with other national and international institutions, formation of research groups, and policies for the investigation and dissemination of this research;
- links and the contribution of research to local and regional development;
- institutional research practices and policies for training researchers (including scientific initiation);
- coordination between research and other academic activities;
- criteria for doing research, researchers' participation in academic events, publishing and dissemination of the papers.

4.2.2.2 Optional themes cluster

- Is the IHE's scientific production consistent with its mission and the investments and policies proposed for its development? Do the projects receive support from funding agencies?
- Does the IHE have ways to publicize the intellectual, artistic and cultural production of the faculty and technical-administrative personnel (books, magazines, newspapers, a publishing trust)?
- Does the IHE promote forums that permit the dissemination of the scientific initiation undertaken by the faculty, student body and technical-administrative staff?
- Are there policies to aid the members of IHE in presenting scientific papers at national and international events? Describe them.
- Are there policies to aid in forming new researchers at the IHE (fellowships, assistance)? Describe them.
- Are there activities that allow an interrelationship between teaching and research? What are they?
- Is there support for the development of research groups with resources from funding agencies? Describe them.
- Is there a mechanism to record the production and development of the IHE's researchers' activities? Explain how it works.

⁶ Only for those IHE's involved in this academic activity.

4.2.3 EXTENSION⁷

4.2.3.1 Basic and common cluster

- conception of extension and social intervention stated in the Institutional Development Plan;
- coordination of extension activities with extension and research, and with the needs and demands of the social surroundings;
- participation of the student body in the extension activities and the respective impact on their education.

4.2.3.2 Optional themes cluster

- Is there an institutional body responsible for the coordination of the activities and policy of community extension? Explain its operational dynamics.
- Is there a concern at the IHE to carry out extension activities that respond to the needs of the regional community in social, cultural and health terms, and others? How does it take place?
- Are there evaluation systems for the outreach activities conducted by the IHE? What are they? What is the impact of the extension activities on the community and on the student's education?
- Are the outreach activities connected to the teaching and research activities?
- Are they consistent with the IHE's mission? Describe the ways in which they are integrated.
- What are the institution's policies for developing extension activities? Are there institutional incentives from other sources? What are they?

4.2.4. GRADUATE STUDIES⁸ (degree and non-degree)

4.2.4.1 Basic and common cluster

- institutional policies for the creation, expansion and maintenance of non-degree and degree graduate courses of study;
- policy for improving the quality of the graduate courses of study;
- integration between undergraduate and graduate courses of study;
- forming researchers and faculty for higher education.

4.2.4.2 Optional themes cluster

- Is there an institutional body responsible for the coordination of the IHE's graduate studies policy and activities? Describe its dynamics and functioning.
- Does the IHE develop graduate courses of study (non-degree and degree graduate programs) How many? What is the scope of these activities?
- Do the courses of study offered have any relation to the IHE's academic activities? What is their impact upon them?
- Is there external and internal financial assistance to the IHE for carrying out the courses of study offered? Do the CAPES evaluation ratings reflect the reality of the courses of study? Is there integration between undergraduate and graduate studies? Between teaching and research?

4.2.5 Documentation, data and indicators of this dimension

- curricula and programs of study;
- mechanisms, agreements and conclusions of the revision, updating, and renewal of the curricula and programs of study;
- persons responsible for updating the IHE's documentation;

⁷ Only for those IHE's involved in this academic activity.

⁸ Only for those IHE's involved in this academic activity.

- systematizing the outreach activities (programs, description of activities, number of participating students);
- monitoring and evaluation of the outreach activities; study groups, scholarships issued, encouragement to do research;
- covenants and agreements with other public and private institutions, professional and entrepreneurial organizations, associations and welfare centers;
- indicators of scientific activities (publications, existence of research groups, patents, among others);
- CAPES ratings;
- indicators of the graduates' professional activities;
- indicator of publications (books and chapters of books, articles published in indexed scientific magazines, papers published in proceedings, intellectual property, internet publications).

4.3 The institution's social responsibility, considered especially in relation to its contributions to social inclusion, economic and social development, advocacy vis-a-vis the environment, cultural memory, artistic production and cultural heritage.

4.3.1 Basic and common cluster

- knowledge transfer and the social importance of the university's activities, impacts of scientific, technical and cultural activities for regional and national development;
- the nature of the relationship with the public and productive sectors, with the labor market and with social, cultural and educational institutions at all levels, etc.

4.3.2 Optional themes cluster

- What are the criteria adopted by the IHE to increase access for people with special needs?
- What are the actions carried out by the IHE to include and assist sectors and social groups that are discriminated against and/or underrepresented within each segment of the academic community (faculty, student body and workers);
- Does the IHE contribute to the creation of knowledge for the scientific, technical or cultural development of the country?
- Are there institutional activities in interaction with the social environment? In which areas (education, health, leisure, culture, citizenship, charity, economic and social organizations, the environment, cultural heritage, urban planning, economic development, among others)? Characterize the activities.
- Are there activities connected to cooperatives, NGO's, choirs, health centers, schools, clubs, labor unions, and others? Which?
- Is there an evaluation of the way in which the activities of connecting to the environment favor the development of the institution's aims? How is it done?
- Are there institutional policies for the inclusion of student body in an unfavorable economic situation? What are they?
- Does the IHE favor the inclusion of students with special needs? Does it develop strategies for their intervention in the classroom? Does it have policies for hiring personnel (faculty and technical-administrative staff) with special needs?
- What are the relationships established by the institution with the public sector, the productive sector, and the labor market?
- Are there actions aimed at the promotion of citizenship and attention to social sectors?
- Are there actions to promote initiatives of company greenhouses, junior companies, and fundraising?
- Are there policies for forming researchers? For preparing school teachers and faculty for higher education?

4.3.3 Documentation, data and indicators for this dimension

- criteria the IHE uses for starting courses of study and increasing vacancies;
- the contribution of the IHE to the creation of knowledge for scientific, technical, and cultural development;
- characteristics and relevance of the IHE's actions in the areas of education, health, leisure, culture, citizenship, charity, economic and social organizations, the environment, cultural heritage, urban planning and economic development, among others.
- description and systematizing of the activities related to cooperatives, NGO's, choirs, health centers, schools, clubs, labor unions, political parties, and others;
- evidences of the connection between these activities and the accomplishment of the IHE's aims;
- data about scholarships, discounts and other evidence of institutional policies for the inclusion of students in economically disadvantaged situations.
- list of the students, faculty and technical-administrative staff that have special needs and of the pedagogical-didactic strategies used;
- covenants and agreements with other public and private institutions, professional and entrepreneurial organizations, associations and welfare centers.

4.4 Communication with society

4.4.1 Basic and common cluster

- Strategies, resources and quality of the internal and external communication;
- The institution's public image in the social media.

4.4.2 Optional themes cluster

- What are the means of communication employed by the IHE?
- Is the IHE's communication efficient and committed to its mission? How does it take place? Is internal communication within the IHE frequent? What are the communication channels used? Is there adequate communication between the members of the IHE?
- Is the information provided to the members of the IHE complete, clear and up to date?
- Does the information shared include aspects relating to the IHE's activities (objectives, resources, duration of courses of study, orientation about instruction, rules of admission, titles offered, a list of curriculum guidelines and faculty, incentives and scholarships for students, tuition, services, bureaucratic procedures, etc.)?
- Is there an ombudsman system? How does it work?
- Are there effective coordination mechanisms and information systems for coordinating the different courses of study and units?
- Is there information structure on the institution's reality, the characteristics of the environment, the resources and other similar elements for evaluating the fulfillment of the goals and objectives?

4.4.3 Documentation, data and indicators for this dimension

- communication means and channels used to publicize the IHE's activities in the external community;
- regulations and manuals for internal circulation sharing information about procedures;
- leaflets and newspapers for internal dissemination, existence of sites for dissemination on the web and analysis of their efficacy;
- student's guide or similar document containing information about the course of study's pedagogical master plan, subjects, credits, schedules, etc.;

- questionnaires for the members of different groups within the institution, evaluating the effectiveness of the communication and the circulation of information within the institution;
- questionnaires for faculty, student body and technical-administrative staff inquiring about and evaluating the most effective strategies and the problems in the circulation of information;
- procedures for receiving suggestions and response procedures.

4.5 Personnel policies and promotion of the faculty and technical-administrative staff; their continuing education, professional development and working conditions

4.5.1 Basic and common cluster

- regulated promotion plans for the faculty and technical-administrative staff, with clear admission and progress criteria;
- professional upgrading and life quality improvement programs for the faculty and technical-administrative staff;
- psychological environment of the institution, interpersonal relationships, power structure, degrees of personal and professional satisfaction.

4.5.2 Optional themes cluster

- What is the relationship between the number of students in the courses of study and the human resources (faculty and technical-administrative staff) available?
- Is the number of technical-administrative staff sufficient to meet the IHE's objectives and needs?
- Are there clear and well-known mechanisms for the selection, contracting, improvement and evaluation of the faculty and technical-administrative staff?
- Do the professional experience and the training of the faculty and technical-administrative staff permit quality development of the institutional sense of mission?
- Are there ways to discover the degree of satisfaction of the faculty with their working conditions, resources and other job-related aspects?
- Are there ways to discover the degree of satisfaction of the technical-administrative staff with their working conditions, resources and other job-related aspects?
- Are there means of upgrading the faculty and technical-administrative staff? Are there incentives and other means of support for the accomplishment of their tasks?
- Are there assistance and life quality improvement policies for the technical-administrative staff?
- Is there integration between the members of the institution and an institutional climate of respect?

4.5.3 Documentation, data and indicators⁹ for this dimension

a. Data and indicators for the faculty

- number of full-time, part-time and hourly rate faculty ("substitutes" at the IFES);
- number of faculty who are doctors, masters and specialist, with their respective workloads;
- professional experience in teaching in institutions of higher education;
- professional experience other than teaching in institutions of higher education;
- didactic-pedagogical training;
- number of publications per professor;
- criteria for admission to the institution and progressing in the career;
- policies for capacity building or performance evaluation;

⁹ From this point on, the indicators developed by the General Accounting Office (TCU), obligatory for federal institutions of higher education, will be marked with an asterisk (*).

- research and/or studies about faculty working conditions, resources, and training of technical-administrative staff;
 - CAPES ratings of the degree granting graduate programs;
 - Faculty Qualifications Index (ICDQ),*
 - the faculty's academic production;
 - full-time student body¹⁰/professor ratio;*
 - degree of involvement with graduate courses of study;*
 - degree of involvement with research;
 - degree of involvement with extension activities.
- b. Data and indicators relative to the technical-administrative staff
- number of technical-administrative staff
 - involvement of the technical-administrative staff with research and extension;
 - professional experience;
 - criteria for admission to the institution;
 - criteria for progressing in the career;
 - capacity building policies;
 - performance evaluation;
 - research and/or studies about technical-administrative staff satisfaction with working and training conditions.
 - indicators regarding the full-time student body/technical-administrative staff ratio.*

4.6 Organization and management of the institution, especially the functioning and representation of the collegiate bodies and their independence and autonomy in their relationship with the proprietor, and the participation of the different segments of the university community in the decision making process

4.6.1 Basic and common cluster

- the existence of a management plan and/or targets: the adequacy of the plan to the fulfillment of the institutional objectives and master plans and their consistency with the organizational structure, both official and real;
- functioning and composition of the collegiate bodies;
- use of the administration and institutional decision making in relation to educational ends;
- the use of strategic management to anticipate problems and solutions;
- ways of participation of the stakeholders in management (consensual, normative, bureaucratic);
- investment in communication and circulation of information (restricted to the central administration or fluid at all levels).

4.6.2 Optional themes cluster

- Are there, at the IHE, adequate and well-known procedures to organize and conduct the decision-making processes? What are they?
- Is management results oriented or process oriented? Justify your answer.
- Are there adequate and well-known procedures at the IHE to organize and conduct decision-making processes? What are they? How do they work?

¹⁰ In accordance with the document of the General Accounting Office (TCU), the Office of Higher Education (SESu) and the Federal Office of Internal Control (AFC), TCU Decision no. 408/2002, "Orientações para o Cálculo dos Indicadores de Gestão" (Orientations for Calculating Performance Indicators), "Full Time (undergraduate) Student" is calculated as follows: $AgTI = (\text{sum of all courses of study}) \{ (NDI * Dpc)(1 + [\text{Retention Factor}] + ((N1 - NDI)/4) * Dpc) \}$, where NDI = number of graduates in the school year referent to the fiscal year, in each course of study; Dpc = standard duration of the course of study; N1 = number of students who entered in the school year referent to the fiscal year, in each course of study; and the Retention Factor is calculated in accordance with the SESu methodology.

- Are there places for support, participation and consultation for decision-making at the IHE? How do they work? Is the existing degree of centralization or decentralization at the IHE adequate for the institution's management?
- Are the filing and records systems effective in covering the IHE's functions?
- Are there formulated and well known normative instructions about the institutional procedures (statutes, bylaws, organization charts, internal regulations, academic norms and others)?
- Do the collegiate bodies function in such a way as to permit participation and internal democracy, with proportional representation?
- Is there an institutional organization chart making clear the hierarchy of functions and the IHE's working dynamics? Is it carried out in accordance with the original proposal? Are other functions and relationships established outside of the institutional organization chart?

4.6.3 Documentation, data and indicators of this dimension

- minutes of collegiate bodies;
- internal regulations, academic rules, bylaws and statutes;
- functioning of the academic registry system;
- functioning of the information system;
- control mechanisms for the academic rules;
- organization chart.

4.7 Physical infrastructure, especially for teaching and research, library, information and communication resources

4.7.1 Basic and common cluster

- adequacy of the institution's infrastructure (classrooms, library, laboratories, leisure areas, transportation, hospitals, information technology equipment, information networks and others) in relation to the teaching, research and extension activities;
- institutional policies for the conservation, updating, safety and encouragement of using means to accomplish well defined ends;
- use of the infrastructure for innovative teaching practices.

4.7.2 Optional themes cluster

- Is the number of laboratories adequate to the institution's needs in terms of the courses of study and the number of students?
- Is the space large enough for the students to carry out the programmed activities? How functional are the laboratories, libraries, workshops and experimental areas?
- What is the state of conservation of the laboratories and libraries? What are the most relevant needs?
- Is the equipment in the laboratories adequate, in terms of quantity and quality? Justify.
- What are the characteristics of the laboratories and libraries in terms of lighting, temperature control, acoustics, ventilation, furniture and cleanliness?
- Is the number of places in the library and reading rooms adequate to the users' needs? Justify.
- Do the library's working hours and calendar correspond to the needs of the students during the study periods offered by the IHE (during the day and at night)? Justify your answer.
- Is the library equipment sufficient in terms of quantity and quality? Justify your answer.
- Are the organization of the materials and the number of consultations and loans adequate? Justify your answer. Are they computerized?
- What is the availability of materials in relation to the demand?

- What is the availability of the obligatory or recommended bibliographical holdings in relation to the demand?
- What is the users' degree of satisfaction in relation to the system for accessing and consulting the materials? Justify your answer.
- What is the users' degree of satisfaction with the quantity, quality and accessibility of the bibliographical holdings? Justify your answer.
- What is the degree of satisfaction of the student body with the IHE's laboratories and libraries? Justify your answer.
- Are there clear procedures for acquiring, maintaining, revising and updating the necessary facilities and resources?
- Are the infrastructure, facilities and educational resources sufficient? Justify your answer.
- Does this institution's staff include the technical-administrative professionals required for the utilization and maintenance of the infrastructure facilities? Justify your answer.
- Are the facilities adequate and adapted to students with special needs? Justify your answer.
- Are there places for socialization available to the student body, faculty and technical-administrative staff? Justify your answer. Describe them.
- Is there consistency among the libraries, laboratories, computer equipment and pedagogical practices of the faculty? Justify your answer.

4.7.3 Documentation, data and indicators of this dimension

- number of classrooms;
- number of administrative facilities;
- number and conditions of the faculty rooms;
- number and conditions of the meeting rooms;
- number and conditions of the working offices;
- number and conditions of the conference rooms and auditoriums;
- number and conditions of the sanitary facilities;
- the existence of areas for fellowship;
- ways of access for people with special needs;
- amount of equipment (computer equipment, laboratories, administrative support);
- number of libraries (central and sector libraries);
- access to databases and virtual libraries;
- number of books, periodicals, and titles in general;
- number and conditions of the computer laboratories;
- amount of computer equipment, conditions of use and access by student body;
- number and conditions of specific laboratories;
- a description of the plan for safety, risk avoidance and environmental protection;
- questionnaires on the users' satisfaction as to the facilities in general and specifically the library, laboratories and computer equipment.

4.8 Planning and evaluation, especially in relation to processes, results and efficacy of the institutional auto-evaluation

4.8.1 Basic and common cluster

- adequacy and effectiveness of the (strategic plan) general planning of the institution and its relationship with the Institutional Pedagogical Master Plan and the courses of study's pedagogical master plans;
- procedures of evaluation and monitoring of institutional planning, especially of educational activities.

4.8.2 Optional themes cluster

- Is there a process of planning of the IHE's activities? How does it work? Does the plan include actions for continual improvement? Is there a relationship between auto-evaluation and planning? Justify your answer.
- What are the mechanisms for carrying out these actions?
- Was there any institutional evaluation before the installation of SINAES? Since when? What results did it generate? How was it organized?
- Is there a consensus as to the objectives of the evaluation process? Was there agreement about the methodology used and the objectives to be reached? How did it come about? Were there, in the auto-evaluation process, the necessary conditions for effective evaluation? Justify your answer.
- Was there enough participation to assure the commitment and ownership of the results of the auto-evaluation by the majority of the community?
- Was it possible to systematize the important information available at the IHE when the auto-evaluation was carried out? Justify your answer.
- Was it necessary to generate additional information? Why?
- Did the evaluation process permit generating critical judgements about the IHE?
- Was the auto-evaluation report able to properly communicate the conclusions of the internal evaluation process?
- Was there any discussion of the results and the reports with the community?
- Were there immediate changes and actions as a result of the auto-evaluation process?
- Were there changes included in the planning of future activities?
- Which were the issues maintained and which were changed, in order for the auto-evaluation process to continue within the scope of SINAES?
- Was there internal dissemination of the process and results of the internal evaluation?

4.8.3 Documents, data and indicators of this dimension

- Institutional Pedagogical Master Plan;
- pedagogical master plans of the courses of study;
- partial auto-evaluation reports;
- final auto-evaluation report;
- actions based on the final conclusions of the auto-evaluation;
- number of events and seminars for the dissemination of the auto-evaluation process.

4.9 Policies for treatment of students and alumni

4.9.1 STUDENTS

4.9.1.1 Basic and common cluster

- policies for student admission, selection and permanence (criteria utilized, pedagogical follow-up, room for participation and conviviality) and their relation to public policies and the social context;
- policies for student participation in teaching activities (student teaching, tutoring), scientific initiation, extension activities, institutional evaluation and student exchange activities;
- mechanisms for study and analysis of the data about newly admitted students, dropouts, average conclusion times, graduation, teacher-student ratios and other studies aimed at improving educational activities.
- monitoring of graduates and creation of opportunities for ongoing education.

4.9.1.2 Optional themes cluster

- Are the admission criteria known, discussed and shared? How are they developed?
- Are there academic support, compensation and guidance mechanisms for students with academic and personal difficulties?
- Are student rights and obligations regulated? How?
- Does the teaching process take into consideration the academic conditions and order of enrollment of the students? Justify your answer.
- Are there mechanisms that permit verification of whether the objectives of the study plans were reached? How do they work?
- Are there mechanisms to incorporate new technologies in the teaching-learning process? How do they work?
- Have indicators been developed to measure the results obtained by the students? Which?
- How have these indicators evolved over the past five years? Are the results used in the revision and organization of the teaching-learning process?
- What are the institutional conditions with regard to bureaucratic questions (enrollment, transfers, schedules, etc.)?
- What are the positive and negative aspects detected in relation to student services policy?
- What are the difficulties detected? Is there a plan for overcoming them?
- Are there places where teaching, research and extension fellowships are offered? Where? Inform the quantity and types of fellowships.
- Are there circumstances that favor the participation of students in events? Are there mobility and exchange programs? Are they based on rules and criteria for their concession? What are they?
- Are there clear incentives policies for student participation in projects with the faculty? Which?
- Are there incentive policies for the creation of junior "incubator" companies? Describe them.
- Are there policies for encouraging apprenticeship and for exchange with other institutions and with foreign students? Describe them.
- Are there programs and practice of initiation in science and beginning formation of future researchers? Describe them.

4.9.2 ALUMNI

4.9.2.1 Basic and common cluster

- professional placement of alumni;
- participation of the alumni in the life of the IHE.

4.9.2.2 Optional themes cluster

- Are there mechanisms for discovering the alumni' opinions about the education they have received, both curricular and ethical? What are they?
- What is the situation of the alumni? What is the employment index among them? Is there a relationship between employment and the professional training received?
- Are there mechanisms for discovering the opinions of employers about the institutions' alumni? What are they?
- Are the opinions of the alumni' employers taken into consideration to revise plans and the programs? How is that done?
- Do the alumni participate in the life of the institution? How?
- What types of activities do the alumni carry out? What social contributions have they made?

4.9.3 Documentation, data and indicators of this dimension

- research or studies about the alumni and/or their employers;

- data about the alumni's employment;
- evidence of continuing education activities for the alumni;
- number of candidates;
- number of students admitted;
- number of students with scholarships;
- average number of students per course of study;
- number of scholarships and incentives granted;
- number of exchanges carried out;
- number of events carried out;
- amount of participation in events;
- number of student papers published;
- index of success in undergraduate courses of study (TSG);*
- degree of student participation (GPE);*
- average time for concluding the course of study;
- full-time students/faculty ratio;
- ratio of full-time students to technical-administrative staff personnel.*

4.10 Financial sustainability, considering the social significance of the continuity of the commitments to providing higher education

4.10.1 Basic and common cluster

- financial sustainability of the institution and policies for fundraising and allocation;
- policies directed to the application of resources for teaching, research and extension programs.

4.10.2 Optional themes cluster

- In the Institutional Development Plan, is there a relationship between the IHE's development proposal and the planned budget?
- Are the courses of study offered compatible with the funds and resources available?
- Are the obligations relative to labor law being fulfilled?
- Are the faculty and technical-administrative staffs salaries being paid regularly? Are there delays? For how long have the salaries been paid late?
- Are the penalties for the delays being corrected and paid?
- Was an agreement with the labor union necessary for these payments to take place?
- Is the equipment necessary for the development of the Institutional Pedagogical Master Plan up to date in number and quantity?
- Is there a physical facility policy for updating and adapting the facilities to fulfill the IHE's demands?
- Is the use of funds for the training of the faculty and technical-administrative staff provided for in the budget?
- Is there a control of actual expenditures and those referring to current expenses in capital and investment?

4.10.3 Documentation, data and indicators for this dimension

- ratio of full-time students to technical-administrative staff;
- spreadsheet for faculty hiring;
- spreadsheet for hiring technical-administrative staff;
- financial spreadsheet included in the Institutional Development Plan;
- table of courses of study offered (undergraduate, graduate, sequential and distance);
- payment sheets of the faculty and technical-administrative staff;

- spreadsheet for disbursement of funds for training faculty and technical-administrative staff;
- spreadsheet of expenditures on fines (related to labor issues and others);
- budget-expenditure ratio (by semester and annual);
- entering student body/graduation ratio;
- ratio of faculty in training vs. trained faculty (at the graduate level: specialization, masters and doctoral courses of study);
- ratio of technical-administrative staff in training vs. trained (at the graduate level: specialization, masters and doctoral courses of study);

4.11 Other items

Include other unmentioned items that are important for the IHE, considering its essential goals, specificities and mission (for example: university hospitals; theaters; radio stations; artistic, sports and cultural activities; museums, experimental farms, zoos, etc.).

At the end, a summary chapter should be written, reviewing the dimensions analyzed, providing inputs for overcoming the difficulties encountered and disseminating the positive aspects.

ANNEX

LAW NO. 10,861, OF 14 APRIL 2004 (DOU NO. 72, 4/15/2004, SECTION 1, P. 3-4)

Institutes the National System of Evaluation of Higher Education (SINAES) and makes other provisions.

THE PRESIDENT OF THE REPUBLIC. Let it be known that the National Congress decrees, and I hereby sanction, the following law:

Art. 1. The National System of Evaluation of Higher Education (SINAES) is hereby instituted, with the aim of ensuring the national process of evaluation of institutions of higher learning, undergraduate courses of study and the academic performance of their students, within the terms of Art. 9, Clauses VI, VII and IX, of Law no. 9,394, of 20 December 1996.

§ 1. The goals of SINAES are improvement in the quality of higher education, orientation of the expansion of its supply, permanent increase in its institutional efficacy and academic and social effectiveness and, especially, promotion of a deepening of the commitments and social responsibility of the institutions of higher learning, through valuing of their public mission, promotion of democratic values, respect for differences and diversity, and affirmation of autonomy and institutional identity.

§ 2. SINAES shall unfold in cooperation with the educational systems of the states and the Federal District.

Art. 2. In promoting the evaluation of institutions, courses of study and student performance, SINAES is to ensure the following:

I - institutional evaluation, both internal and external, providing for comprehensive, integrated analysis of the dimensions, structures, relationships, social commitment, activities, goals and social responsibility of the institutions of higher learning and their courses of study;

II - the public nature of all the procedures, data and results of evaluative processes;

III - respect for the diversity and identity of the institutions and courses of study;

IV - participation of the faculty, student body and technical-administrative personnel of the institutions of higher learning, as well as of civil society, through its representatives.

Sole paragraph. The results of the evaluation referred to in the main body of this article shall constitute the basic reference for the regulation and supervision of higher education, including the accreditation and renewal of accreditation of institutions of higher learning and the authorization, recognition and renewal of recognition of undergraduate courses of study.

Art. 3. The aim of the evaluation of institutions of higher learning shall be identification of the configuration and significance of their actions, through their activities, courses of study, programs, projects and sectors, considering the different institutional dimensions, of which the following must be included:

I - the mission and institutional development plan;

II - policies on teaching, research, graduate studies and extension and their respective forms of operationalization, including procedures for encouraging academic production, research and teaching fellowships, and other modalities;

III - the institution's social responsibility, especially with regard to its contribution to social inclusion, economic and social development, environmental protection, cultural memory, artistic production and the cultural heritage;

IV - communication with society;

V - personnel policy, promotion and upgrading of faculty and technical-administrative personnel, professional development and working conditions;

VI - the organization and administration of the institution, especially the functioning and representativeness of the collegiate bodies and their independence and autonomy vis-à-vis the proprietor, and the participation of the different segments of the academic community in the decision making process;

VII - the physical infrastructure, particularly for teaching and research, library facilities, and resources for information and communication;

IX - student services policies;

X - financial sustainability, with a view to the social significance of continuity in commitments to supply higher education.

§ 1. In evaluation of institutions, the dimensions listed in the main body of this article shall be taken into consideration, respecting the diversity and uniqueness of the different academic organizations; as for the universities *per se*, points are to be given for the existence of graduate programs and for their performance, as per the evaluation done by the Coordination for Upgrading Higher Level Personnel Foundation (CAPES).

§ 2. For evaluation of institutions, diverse procedures and instruments shall be employed, including auto-evaluation and on site evaluation.

§ 3. The evaluation of institutions of higher learning shall result in ratings being given, on a five point scale, on each of the dimensions evaluated, as well as the set of all the dimensions.

Art. 4. The aim of evaluation of undergraduate courses of study is to identify the educational conditions offered to the students, especially those relative to the profile of the faculty, the physical facilities and the organization of instruction.

§ 1. Evaluation of undergraduate courses of study shall employ diverse procedures and instruments, of which visits by specialists in the respective areas of knowledge are compulsory.

§ 2. The product of evaluation of undergraduate courses of study shall be ratings, on a scale from one to five, of each of the dimensions, as well as of the set of all dimensions evaluated.

Art. 5. Evaluation of undergraduate student performance shall be done using the National Examination of Student Performance (ENADE).

§ 1. ENADE shall be used to assess student performance in relation to the contents provided for in the curricular guidelines of the respective undergraduate course of study, ability to adjust to the requirements derived from the evolution of knowledge, and competence to understand topics outside the specific field of the chosen profession, related to the situation in Brazil and the world and to other areas of knowledge.

§ 2. ENADE shall be administered periodically to students from all undergraduate courses of study, at the end of the freshman and senior years; sampling procedures may be employed.

§ 3. ENADE shall be administered to the students of each undergraduate course of study at least once every three years.

§ 4. Together with ENADE, an instrument designed to gather background data on the students (of relevance to understanding the results) shall be administered.

§ 5. ENADE is a compulsory component of the curriculum of the undergraduate courses of study; the student records shall only include whether or not this obligation has been met, as attested by the student's actual participation or, as the case may be, by a waiver issued by the Ministry of Education, as provided for in the regulations.

§ 6. It shall be the responsibility of the director of the institution of higher education to sign up all students qualified to participate in the ENADE with the Anísio Teixeira National Institute for Educational Studies and Research (INEP).

§ 7. If the students qualified to participate in the ENADE are not signed up, the institution shall be subject to the sanctions provided for in Paragraph 2 of Art. 10, without prejudice to the provisions of Art. 12 of this law.

§ 8. The assessment of the performance of students of each course of study on ENADE shall be expressed through ratings on a scale from one to five, based on the minimum standards set by specialists in the different areas of knowledge.

§ 9. In release of the results of the assessment, nominal identification of the individual result obtained by each examinee is prohibited; the same shall be furnished exclusively to the individual student, in a specific document to be issued by INEP.

§ 10. To those students with the best performance on ENADE, the Ministry of Education shall provide some form of encouragement, whether a scholarship, specific assistance or some other form of distinction with a similar aim, designed to further excellence and continued study, whether at the undergraduate or graduate level, as established by the regulations.

§ 11. The introduction of ENADE as one of the evaluation procedures of SINAES shall occur gradually; it is up to the Minister of State of Education to determine each year the undergraduate courses of study, to the students of which it shall be administered.

Art. 6. The National Commission on Evaluation of Higher Education (CONAES), a collegiate body charged with the coordination and supervision of SINAES, is hereby instituted within the Ministry of Education, tied to the Office of the Minister of State, with the following responsibilities:

I - to propose and evaluate the dynamics, procedures and mechanisms of institutional evaluation, evaluation of courses of study and assessment of student performance;

II.- to set guidelines for the organization and appointment of evaluation commissions, analyze reports, issue opinions and forward recommendations to the competent bodies;

III - to formulate proposals for the development of the institutions of higher learning, based on the analyses and recommendations produced in the evaluation processes;

IV - to network with the state educational systems, with a view to establishing common actions and criteria for evaluation and supervision of higher education;

V - each year, to submit to the Minister of State of Education a list of the courses of study, to the students of which the National Examination of Student Performance (ENADE) is to be administered;

VI - to draft its own statutes, which are to be approved by an act of the Minister of State of Education;

VII - to hold ordinary monthly meetings, and extraordinary meetings whenever convoked by the Minister of State of Education.

Art. 7. The composition of CONAES shall be as follows:

I - one representative of INEP;

II - one representative of the Coordination for Upgrading Higher Level Personnel Foundation (CAPES);

III - three representatives of the Ministry of Education, of which one must be from the body responsible for the regulation and supervision of higher education;

IV - one student representative from the institutions of higher learning;

V - one faculty representative from the institutions of higher learning;

VI - one technical-administrative representative from the institutions of higher learning;

and

VII - five members to be appointed by the Minister of State of Education, chosen from among scientific, philosophical or artistic experts and persons of recognized competence in the evaluation or administration of higher education.

§ 1. The members referred to in Clauses I and II of the main body of this article shall be appointed by the heads of the bodies they are to represent, and those referred to in Clause III of the main body of this article by the Minister of State of Education.

§ 2. The member referred to in Clause IV of the main body of this article shall be appointed by the President of the Republic, for a two year term of office; no second term of office shall be permitted.

§ 3. The members referred in Clauses V to VII of the main body of this article shall be appointed by the President of the Republic for a three year term of office; one second term of office shall be permitted, observing the provisions of the sole paragraph of Art. 13 of this law.

§ 4. CONAES shall be presided over by one of the members referred to in Clause VII of the main body of this article, to be elected by the collegiate board for a one year term; only one re-election shall be permitted.

§ 5. The institutions of higher learning are to warrant the absence of any student who, by reason of the appointment mentioned in clause IV of the main body of this article, participates in meetings of CONAES at a time coinciding with academic activities.

§ 6. The members of CONAES exercise a non-remunerated public function of relevant public interest, which takes precedence over any other public offices they may hold; whenever convoked, they shall have the right to payment of transportation and per diems.

Art. 8. The conduct of the evaluation of institutions, courses of study and student performance shall be the responsibility of INEP.

Art. 9. The Ministry of Education shall make public and available the results of the evaluations of the institutions of higher learning and their courses of study.

Art. 10. Any results considered unsatisfactory shall be a grounds for drawing up terms of commitment, to be signed by the institution of higher education and the Ministry of Education; the same is to contain

- I - an objective diagnosis of the conditions of the institution;
- II - the steps to be taken and the processes and actions to be adopted by the institution of higher education in order to overcome the difficulties detected;
- III - a statement of deadlines and targets for compliance with the actions, expressly defined, and of the division of responsibilities among the directors;
- IV - creation, on the part of the institution of higher education, of a commission for monitoring the protocol of commitment.

§ 1. The protocol referred to in the main body of this article shall be public, and will be made available to all interested parties.

§ 2. Noncompliance, in whole or in part, with the protocol of commitment constitutes grounds for the application of the following penalties:

I - temporary suspension of the opening of a process of student selection for undergraduate courses of study;

II - cancellation of the authorization for the functioning of the institution of higher education or of recognition of the courses of study offered by the same;

III - warning, suspension or loss of mandate of the director responsible for non-execution of the action, in the case of public institutions of higher learning.

§ 3. The penalties provided for in this article shall be applied by the agency of the Ministry of Education responsible for the regulation and supervision of higher education (in its own administrative procedures), which shall hear the opinions of the Chamber of Higher Education and the National Education Council.

§ 4. The decision to which Paragraph 2 of this article refers may be appealed to the Minister of State of Education.

§ 5. The period of suspension of opening of a process of student selection shall be defined by the agency of the Ministry of Education referred in Paragraph 3 of this article.

Art. 11. Each institution of higher education, whether public or private, shall appoint its Own Evaluation Commission (CPA), within a period of sixty days beginning with the publication of this law, with responsibility for conducting the processes of internal evaluation of the institution and systematizing the forwarding of the information requested by INEP; it shall obey the following directives:

I - constitution of the CEA, by an act of the chief executive officer of the institution of higher education or through a provision of its own bylaws or regulations; participation of all segments of the university community and organized civil society shall be ensured, without granting the privilege of an absolute majority to any of the segments; and

II - autonomy vis-à-vis councils and other collegiate bodies within the institution of higher education.

Art. 12. Any party responsible for providing false information or filling out forms and evaluation reports in a manner that implies omission or distortion of data to be supplied to SINAES shall respond administratively and under civil and penal law for his or her conduct.

Art. 13. CONAES shall be installed within sixty days of the publication of this law.

Sole paragraph. When CONAES is first being constituted, the two members referred to in Clause VII of the main body of Art. 7 of this law shall be appointed for two year terms.

Art. 14. The Minister of State of Education shall regulate the evaluation procedures of SINAES.

Art. 15. This law shall go into force on the date of its publication.

Art. 16. Subheading *a* of Paragraph 2 of Art. 9 of Law no. 4,024, of 20 December 1961, and Arts. 3 and 4 of Law no. 9,131, of 24 November 1995, are hereby revoked.

Brasília, April 14, 2004; 183rd. year since independence and 116th year of the republic.

Luiz Inácio Lula da Silva

Tarso Genro