

**AFFIRMATIVE ACTION POLICIES IN GRADUATE EDUCATION: AN ANALYSIS  
OF SCIENTIFIC PRODUCTION IN THE PERIOD 2012-2022**

**AS POLÍTICAS DE AÇÕES AFIRMATIVAS NA PÓS-GRADUAÇÃO: UMA ANÁLISE  
DA PRODUÇÃO CIENTÍFICA NO PERÍODO 2012-2022**

**POLÍTICAS DE ACCIÓN AFIRMATIVA EN LO POSGRADO: UN ANÁLISIS DE LA  
PRODUCCIÓN CIENTÍFICA EN EL PERÍODO 2012-2022**



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**ABSTRACT:** This article presents the results of research on the evolution and main characteristics of scientific production on affirmative action policies in graduate education. This is a bibliographic research, developed through the analysis of the content and techniques commonly used in studies of the state of knowledge type. Data were collected from the CAPES Catalog of Theses and Dissertations, the CAPES Periodical Portal, the ANPED Portal, the Scientific Electronic Library Online (SciELO) and the Brazilian Digital Library of Theses and Dissertations (BDTD). The study showed that scientific production (i) grew significantly from 2016; (ii) is concentrated in the Southeast region of the country; (iii) prioritizes the analysis of experiences of inclusion of blacks, browns and indigenous people and, (iv) does not include studies on people with disabilities.

**KEYWORDS:** Educational policies. Graduate education. Affirmative actions. State of knowledge.

**RESUMO:** O presente artigo apresenta os resultados de uma pesquisa sobre a evolução e as principais características da produção científica sobre as políticas de ações afirmativas na pós-graduação. Trata-se de uma pesquisa de natureza bibliográfica e documental, desenvolvida por meio da análise de conteúdo e das técnicas comumente empregadas nos estudos do tipo estado do conhecimento. Os dados foram coletados no Catálogo de Teses e Dissertações da CAPES, no Portal Periódicos CAPES, no Portal ANPEd, na Scientific Electronic Library Online (SciELO) e na Biblioteca Digital Brasileira de Teses e Dissertações (BDTD). O estudo evidenciou que a produção científica (i) cresceu significativamente a partir de 2016; (ii) está concentrada na região Sudeste do país; (iii) prioriza a análise das experiências de inclusão de pretos, pardos e indígenas e, (iv) não contempla estudos sobre pessoas com deficiência.

**PALAVRAS-CHAVE:** Políticas educacionais. Pós-graduação. Ações afirmativas. Estado do conhecimento.

**RESUMEN:** Este artículo presenta los resultados de una investigación sobre la evolución y principales características de la producción científica sobre políticas de acción afirmativa en la escuela de posgrado. Se trata de una investigación bibliográfica, desarrollada a través del análisis de contenido y técnicas comúnmente utilizadas en estudios del tipo estado del conocimiento. Los datos fueron recolectados del Catálogo de Tesis y Disertaciones de la CAPES, del Portal Periódicos CAPES, del Portal ANPED, de Scientific Electronic Library Online (SciELO) y de la Biblioteca Digital Brasileña de Tesis y Disertaciones (BDTD). El estudio mostró que la producción científica (i) creció significativamente a partir de 2016; (ii) se concentra en la región Sureste del país; (iii) prioriza el análisis de experiencias de inclusión de negros, pardos e indígenas y, (iv) no incluye estudios sobre personas con discapacidad.

**PALABRAS CLAVE:** Políticas educativas. Posgrado. Acciones afirmativas. Estado del conocimiento.

## Introduction

Discussions about affirmative actions (AAs) in higher education in Brazil are not recent (Cunha, 2007). In 1996, the National Human Rights Program (PNDH) recommended, among other actions, the implementation of AA “[...] for black people’s access to professional courses, universities and areas of cutting-edge technology” (Brazil, 1996, p. 30). In 1999, the first bill PL 73/1999 was submitted to the National Congress proposing the reservation of places in federal and state public universities (Brazil, 1999). The following year, the then federal deputy Paulo Paim presented bill no. 3,198/2000, the Statute of Racial Equality, approved ten years later as Law 12,288/2010 (Brasil, 2000a, 2010). In 2001, the United Nations Conference against Racism, Racial Discrimination, Xenophobia and Intolerance recommended that countries implement policies to reduce racial inequalities for black students in public universities (Santos, 2012; Feres Júnior *et al.*, 2018). The following year, in 2002, then President Fernando Henrique Cardoso signed Decree No. 4,228/2002, establishing the National Affirmative Action Program (Brazil, 2002).

This agenda of national and international debates created a favorable environment for the approval of the first AA policies in public universities. Rio de Janeiro was the first state in the federation to institute reserved places for students graduating from public schools, black people and people with disabilities. Based on state laws approved by the Legislative Assembly of the State of Rio de Janeiro in the years 2000 (Law nº 3,524) and 2001 (Law nº 3,708 and Law nº 4,061), the State University of Rio de Janeiro (UERJ) and the University State of Norte Fluminense (UENF) implemented their first affirmative action policies (Rio de Janeiro, 2000, 2001, 2003). In the following years, similar policies were adopted by the State University of Mato Grosso do Sul, the State University of Bahia and the University of Brasília (Nierotka; Trevisol, 2019; Santos, 2012; Trevisol; Nierotka, 2016).

In August 2012 - approximately four months after the Federal Supreme Court's decision to consider ADPF 186 unfounded and declare racial quotas constitutional (Santos, 2012; Nierotka, Trevisol, 2019; Venturini, 2017; Trevisol, Nierotka, 2015) - the National Congress approved Law 12,711/12, also known as the “Quota Law” (Brazil, 2012). The absence of postgraduate courses in the Quota Law generated a lot of criticism, especially from social movements and civil society entities that had been fighting for the approval of the reservation of places for master's and doctorate courses. A few years later, the Ministry of Education recognized this gap and published a normative ordinance (Ordinance 13/MEC/2016) with the purpose of inducing federal higher education institutions (IFES) to introduce AA policies in

postgraduate programs (PPG) (Brazil, 2016b). Ordinance 13 motivated numerous IFES to approve policies for the inclusion of PPIs and PwD in their master's and doctorate courses.

The entry of black, brown and indigenous students (PPIs) and people with disabilities (PwD) have posed new and complex challenges for institutions, forcing them to formulate, implement and permanently (re)evaluate their institutional teaching and assistance policies student, permanent residence, etc. The need to understand the effectiveness and efficacy of AA policies has also introduced new challenges within academic research. The growing involvement of the scientific community gave rise to new fields of study and consolidated research as an expression of socio-historical reality itself. The set of dissertations, theses, articles and books on the topic reflect, in this sense, the historical, sociological, political and institutional dimensions of the process of formulating, implementing, monitoring and evaluating AA policies in higher education. The dialectical relationships between the concrete whole and science make researchers - in addition to being analysts - renewing and transforming agents of the socio-historical reality studied. The concrete whole is, in this way, both the starting point and the arrival point. Research problematizes reality with the purpose of, through knowledge, transforming it (Santos, 2000; Kosik, 1969; Magalhães; Souza, 2012).

The dialectic between scientific production and the concrete whole is the underlying problem that motivated this research. Meta-analytic studies on the state of knowledge are relevant as they help to understand objects/themes/fields of study based on their historicity. The analysis of scientific production reveals the evolution and main characteristics (epistemological, theoretical and methodological) that research on the topic has assumed over time. Based on the theoretical-methodological assumptions that guide studies on the state of knowledge, this research analyzed scientific production (dissertations, theses and articles) on AA policies in postgraduate studies produced between 2012 and 2022. The investigation was conducted with the purpose of (i) identifying the predominant study themes (ii) analyzing the evolution of scientific production over the period; (iii) categorize production according to production modalities and, (iv) identify the main methodologies adopted.

With these objectives in mind, this article is structured into three fundamental parts. The first part addresses the conceptual and normative aspects of AA, especially the regulatory frameworks and main policies. The methodological aspects of the study are presented below. The third part includes data analysis.

### **Affirmative actions: conceptual and normative aspects**

AAs are public policies designed to promote the inclusion of minorities and social groups that, for various reasons, have been historically excluded, discriminated against and/or persecuted. In practice, they are instruments through which the State and society seek to repair damages, reduce inequalities, expand opportunities and remove barriers (formal and informal) that limit and/or prevent the exercise of citizenship and access to the rights offered to the society as a whole (Oliven, 2007; Quirino, 2014). According to Santos (2010, p. 186, our translation), AAs aim to “[...] repair sociocultural and moral damages that were and are caused whenever the dimension of diversity and difference between individuals took or takes the form of inequality [...]”. In practice, AAs promote differentiated treatment with the aim of restoring - even partially - equality of opportunities to historically marginalized groups (Jaccoud; Beghin, 2002). In an unequal society like Brazil, AAs produce “positive discrimination”, that is, they aim to expand the principle of equality on merit (Almeida, 2021; Feres Júnior, 2004). In the words of Crosara (2017, p. 52, our translation), AAs give “[...] differentiated treatment to groups that find themselves in situations of inequality and exclusion, with the aim of rebalancing asymmetric situations that create disadvantages for minorities and advantages for the majority, promoting equality of opportunity”.

Through them, the State seeks to respond to the demands presented by social groups who, through their demands, denounce the limits of the principle of formal and legal equality. The State abandons its traditional position of neutrality and acts to achieve material equality.

In this sense, they still promote “unequal treatment” with the purpose of alleviating/reducing the consequences of a discriminatory past and, at the same time, promoting social transformation. As Piovesan (2008) highlights, they reaffirm the principle of merit beyond the liberal perspective. The substantive dimensions of merit are reaffirmed doubly, both in a retrospective (historical repair) and prospective (transformation of present and future social relations) sense. AAs generate new opportunities, especially for individuals and social groups - partially or completely - excluded from access to citizenship rights and public goods offered by society.

As highlighted above, the concept of AA is comprehensive. It encompasses a broad set of commitments to social emancipation and the contemporary human rights agenda. The materialization of this agenda has been a permanent challenge for the State and society, especially for social movements that fight for racial equality and social inclusion. The advances

made in recent decades, especially in terms of public policies, result from possible consensuses built between political and social actors.

The following table helps to understand the long and complex process of formulating and institutionalizing AA policies in Brazil. It highlights, albeit briefly, how the approved regulatory frameworks gave rise to public policies for the entry of PPIs and PwD into higher education.

**Table 1** – Main regulatory frameworks and AA policies in Brazil.

| Regulatory frameworks                                                                            | Goals                                                                                                                                                                                                                                                                                    | Year    |
|--------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------|
| National Human Rights Program (PNDH)                                                             | Recommended AAs for black people's access to professional courses, universities and technology areas                                                                                                                                                                                     | 1996    |
| Bill 73/1999                                                                                     | Proposed the reservation of places in federal and state public universities                                                                                                                                                                                                              | 1999    |
| Bill 3,198/2000                                                                                  | Proposed the Racial Equality Statute                                                                                                                                                                                                                                                     | 2000 to |
| Bill 3,638/2000                                                                                  | Proposed the Statute of Persons with Special Needs                                                                                                                                                                                                                                       | 2000b   |
| Decree No. 4,228/2002                                                                            | Established the National Affirmative Action Program                                                                                                                                                                                                                                      | 2002    |
| Law 12,288/2010                                                                                  | Established the Racial Equality Statute                                                                                                                                                                                                                                                  | 2010    |
| Final decision of the STF on the Action for Non-compliance with a Fundamental Precept (ADPF 186) | Declared the constitutionality of racial quotas in public universities                                                                                                                                                                                                                   | 2012    |
| Law 12,711/12                                                                                    | Instituted the Quota Law in IFES                                                                                                                                                                                                                                                         | 2012    |
| Law 12,990/14                                                                                    | Reserved 20% of the vacancies offered in public competitions for black people to fill permanent positions and public jobs within the scope of federal public administration, local authorities, public foundations, public companies and mixed-capital companies controlled by the Union | 2014    |
| Law 13,146/15                                                                                    | Establishes the Statute of Persons with Disabilities                                                                                                                                                                                                                                     | 2015    |
| Law 13,409/16                                                                                    | Provided for the reservation of places for PwD in secondary and higher level technical courses at IFES                                                                                                                                                                                   | 2016a   |
| Normative Ordinance 13/MEC/2016                                                                  | It induced IFES to create AA policies in postgraduate programs.                                                                                                                                                                                                                          | 2016b   |

Source: Prepared by the authors.

This set of normative frameworks created the legal and institutional conditions for the implementation of AA policies in the PG. Although the first legal framework was published in 2016 (Normative Ordinance n. 13/MEC/16) (Brasil, 2016b), studies developed by Venturini



(2019a, 2020) show that, since the end of the 1990s, universities Brazilian public institutions, especially the University of Brasília, had been discussing the need for AA policies for the entry of black people into PG. In 2002, the State University of Bahia (UNEB) was the first public university to establish an AA policy for black and indigenous people in PPG (Carvalho, 2006 apud Venturini, 2019a). In the following years, similar policies were implemented in several PPGs, such as UERJ (2002), USP (2004), UFPA (2004), UFPB (2004), UFRJ (2007), UFAM (2010), Museu Nacional (2012), UFPA (2012), UFSC (2013), etc.

In 2015, the Ministry of Education established a working group (Ordinance 929/MEC/15) with the purpose of developing AA proposals for the inclusion of self-declared black, brown and indigenous students and students with disabilities, pervasive developmental disorders and high skills (Ministry of Education, 2015). The results of these GTs gave rise to Normative Ordinance 13/MEC/2016 (Brasil, 2016b). According to the timeline drawn up by Venturini (2020), the aforementioned ordinances encouraged institutions to approve their institutional AA policies in PG. In 2015 there were two (UFG and UFPI); in 2016, two (UFAM and UFPB); in 2017, fourteen (UFMG, UFBA, UFGD, UFU, UFT, UFPel, UFFS, UFRR, UFS, UFTM, UNIFAP, UNIPAMPA, UNIRIO and UFOP); in 2018, five (UFRJ, UFRB, UFAL, UFRPE and UFV); in 2019, five (UNIVASF, UFOPA, FURG, UFMS AND UNILAB) and, in 2020, one (UnB).

AA policies in PG result from intense disputes between groups with different interests. Analyzes must, in this sense, take into account the contexts and power relations where policies are formulated, implemented and evaluated. Based on the concept of policy cycle proposed by Ball, Maguire and Braun (2016), we can state that AA policies are permeated by the contexts of influence, text production and practice. As Mainardes (2022) highlights, educational policies are not restricted to implementation, as professionals who work in education reinterpret and recontextualize policies in order to adapt them to real contexts and make them viable. There is no linearity between design, implementation and evaluation. As Mainardes, Ferreira, Tello (2011, p. 157, our translation) highlight, the contexts of influence, text production and context of practice are “intimately linked and interrelated, have no temporal or sequential dimension and are not constituted as linear stages ”.

The policy cycle approach proposed by Ball, Marguire and Braun (2016) allows us to overcome the linear view anchored in the implementation stage. Policy cycle theory intertwines several dimensions: the material, the interpretative and the discursive. As Fávero, Santos, Centenaro (2022) highlight, actors translate policy and, in doing so, interpret it by attributing

meaning based on their social, cultural, political and economic context. Therefore, the reading of any and all policies must always be socially situated. The context is intrinsically linked to the relationship between subjects and politics, stating that “politics is written in bodies and produces specific positions of subjects” (Ball; Maguire; Braun, 2016, p. 13, our translation). In this sense, actors assume different types of roles, functions and commitments in the process of interpretation and practical translation of policy.

Based on the policy cycle theory, the following analysis will consider the contexts and the main actors involved, especially the formulators, negotiators, enthusiasts, translators, critics and recipients as a totality for the formulation of AA policies in the postgraduate studies.

### **Methodological path and research universe**

This is qualitative research, of a bibliographic and documentary nature, of the state of knowledge type (Trevisol; Shoenardie, 2022; Morosini; Kohls-Santos; Bittencourt, 2021) combined with content analysis (Bardin, 2011). The survey, systematization and analysis of scientific production were carried out using the methodology commonly adopted in studies on the state of knowledge. The first procedure was to define the scope of the research and establish a time frame. The data collection was limited to Brazilian scientific production on AAs in postgraduate studies, developed between 2012 (year of approval of the Quota Law) and 2022. The five bases/platforms for data collection were then defined: (i) CAPES Theses and Dissertations Catalog; (ii) CAPES Journal Portal; (iii) *Scientific Electronic Library Online* (SciELO); (iv) Brazilian Digital Library of Theses and Dissertations (BDTD) and, (v) Higher Education Policy GT of the National Association for Research and Postgraduate Studies in Education (ANPEd). The choice of these databases is due to the fact that they are the main indexing platforms for scientific production on affirmative actions in higher education in Brazil.

Data collection was carried out through a combination of several techniques adopted in Boolean research. As Ferneda (2003) highlights, the different combinations make Boolean search more detailed and precise. When using the terms “AND”, “OR” and “NOT”, it is possible to expand or reduce the search (Souza, 2019, p. 82).

In addition to Boolean search operators, quotation marks were used, which can reduce the possibilities of productions that are presented to the researcher. The quotation marks cause the platform to search for the exact term, ignoring other issues that are related, but that do not address it directly (Furtado, 2012; Souza, 2019). We use the operator “OR” to search for



productions relating to “Affirmative actions” and “Quotas”, and “AND” to record works relating to “Postgraduate”. To guide the searches, some keywords were used, such as “undergraduate”, “postgraduate”, “affirmative actions” and “quotas”.

**Table 2** – List of items obtained through research on scientific production.

| Catalog                                | Descriptors                                          | Amount     | Selected  |
|----------------------------------------|------------------------------------------------------|------------|-----------|
| CAPES Periodical Portal                | “Affirmative Actions” OR “Quotas” AND “Postgraduate” | 201        | 22        |
| CAPES Theses and Dissertations Catalog | “Affirmative Actions” OR “Quotas” AND “Postgraduate” | 19         | 6         |
| SCIELO                                 | Affirmative actions in postgraduate studies          | 9          | 9         |
| BDTD                                   | Affirmative actions in postgraduate studies          | 141        | 14        |
| ANPEd                                  | Affirmative actions in postgraduate studies          | 0          | 0         |
| <b>Total</b>                           | <b>Total</b>                                         | <b>370</b> | <b>51</b> |

Source: Prepared by the authors.

**Table 3** – Criteria for inclusion and exclusion of cataloged items.

| Inclusion criteria                             | Exclusion criteria                          |
|------------------------------------------------|---------------------------------------------|
| Available online and open access               | Graduation-related                          |
| Related to postgraduate studies                | No mention of postgraduate studies          |
| Related to affirmative actions                 | They do not mention affirmative actions     |
| Written and/or published between 2012 and 2022 | Topics unrelated to the research objectives |

Source: Prepared by the authors.

It is noteworthy that in the first stage 370 products were selected. In the second stage, after submission to the inclusion and exclusion criteria, 51 products remained. Based on the selected material, the specificities were analyzed and the main categories of analysis were subsequently defined. The categories emerged from the analysis of common references (themes, object of study, conception and approaches) present in the collected material.

**Table 4** – Main categories and subcategories of analysis of scientific production.

| Categories                                               | Subcategories             |
|----------------------------------------------------------|---------------------------|
| 1. Affirmative action policies at PG                     | Conception                |
|                                                          | Implementation            |
|                                                          | Follow-up                 |
|                                                          | Assessment                |
| 2. Assessment of affirmative action experiences in PG    | Institutional experiences |
|                                                          | Personal experiences      |
| 3. Affirmative action for PPIs, PwD and other minorities | Blacks                    |
|                                                          | Indigenous                |
|                                                          | PCD                       |
|                                                          | Transsexual women         |

Source: Prepared by the authors.

The use of categories allowed a more in-depth qualitative analysis of the evolution and characteristics of scientific production, such as publication method, year, region, theme, objectives and main results.

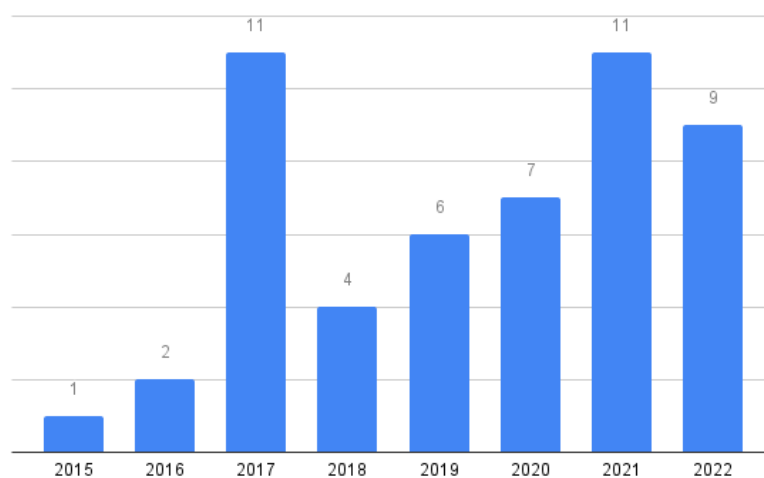
## Results and discussion

With the application of the inclusion and exclusion criteria described in the methodology, 51 productions remained (13.8% of the total), 20 theses and dissertations (6 available in the CAPES Catalog of Theses and Dissertations and 14 in BDTD) and 31 articles published in journals (22 on the CAPES Periódicos Portal and 9 on the SciELO Portal). Of this total, 43.1% correspond to the CAPES Periodical Portal, 27.5% to the BDTD Portal, 17.6% to SciELO and 11.8% to the CAPES Theses and Dissertations database. We noticed a lack of works published on the ANPEd Portal.

Regarding the regional distribution of scientific production, the research showed that the majority of the items analyzed were produced and published in the Southeast region of the country (47.1% of the total), followed by the South region (23.5%), Central-West (21.6%), Northeast (5.9%) and North (1.9%).

Regarding the time frame, the research showed that the scientific production analyzed is quite recent. No records were observed in the period between 2012 and 2014, corresponding to the two years after the approval of the Quota Law. As you can see in the figure below, the first recorded scientific production (a dissertation) was produced in 2015.

**Figure 1** – Number of academic works analyzed by year of publication.



Source: Prepared by the authors.

The data show a progressive increase in scientific production until 2021. The years 2017 and 2021 represent the largest number–of scientific productions. The number reflects the expansion of AA policies and the importance of public policies as a factor in social and academic advancement. According to the Postgraduate Affirmative Action Observatory (Obaap, 2023), between 2018 and 2021 around 794 postgraduate programs (PPG) implemented their AA policies. The research identified a progressive growth in the number of research records until 2021, with 23.5% of productions referring to category 1 (AA policies in PG), 54.9% to category 2 (assessment of AA experiences in postgraduate studies) and 21.6% in category 2 (affirmative actions for PPIs, PwD and other minorities).

### Category 1: AA policies in PG

Of the total production listed in category 1, (23.5% of the total), six are articles, three are dissertations and three are theses. These productions analyze the political and institutional aspects of AAs, that is, as measures adopted by the State with the purpose of promoting the inclusion of socially vulnerable groups.

**Table 5** - List of academic works classified in category 1.

| Title                                                                                                                                         | Author(s)                           | Type of work and year | Goals                                                                                                                                                                                                                                                                                                                                                                                               |
|-----------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------|-----------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| “Quotas in postgraduate courses at state universities in Rio de Janeiro: an analysis of law no. 6,914/14 in light of the public policy cycle” | Nathani S. Lima                     | Dissertation (2017)   | Unite theory and practice, giving voice and expression to the individuals involved in the drafting and execution of the law being studied.                                                                                                                                                                                                                                                          |
| “Affirmative action in postgraduate studies: the challenges of expanding an inclusion policy”                                                 | Ana C. Venturini                    | Thesis (2019b)        | Contribute to public policy literature by explaining: (a) the reasons why and how access for marginalized groups was incorporated into the decision-making agenda of Brazilian public universities; (b) the factors that led some PPGs to adopt AAs as opposed to others that did not; and (c) how the implementation of AA policies changed the traditional selection process carried out by PPGs. |
| “Socio-racial quota policies as affirmative action in postgraduate programs at Brazilian public universities”                                 | Antonio L. de Oliveira              | Dissertation (2019)   | Analyze the application of the quota policy in the PG of the main public higher education institutions in the country, identifying the number of students enrolled according to the different quota categories.                                                                                                                                                                                     |
| “Affirmative actions: who are the postgraduate students in Brazil?”                                                                           | Fabiana S. Pereira and Ivan R. Neto | Article (2019)        | Collect information from recent research on the profile of PG students in Brazil, since more than 70% of students enrolled in master's and doctoral programs are of white ethnicity.                                                                                                                                                                                                                |

|                                                                                                                                          |                                                                         |                     |                                                                                                                                                                                                      |
|------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------|---------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| “Affirmative actions in postgraduate studies”                                                                                            | Fabiana S. Pereira                                                      | Dissertation (2019) | Collect information from recent research on the profile of PG students in Brazil, since more than 70% of students enrolled in master's and doctoral programs are of white ethnicity.                 |
| “The production of knowledge about affirmative actions in Postgraduate Programs in Brazil: balances and perspectives”                    | Emanuel M. Carvalho                                                     | Thesis (2019)       | Carry out an epistemological analysis of the theses and dissertations produced by PPGs in Brazil that investigated the topic of affirmative actions.                                                 |
| “Affirmative action policy in postgraduate studies: the case of public universities”                                                     | Ana C. Venturini and João F. Juneior                                    | Article (2020)      | AA policies in PPGs (master's and doctorate) at public universities.                                                                                                                                 |
| “Inclusion policies in postgraduate studies: behind the scenes and the history of the publication of Normative Ordinance 13/2016”        | Ana C. Venturini                                                        | Article (2021)      | Analyze the way in which AA policies for PG were incorporated into the CAPES and MEC decision agenda, as well as investigate the process that led to the creation of Ordinance no. 13/2016.          |
| “Affirmative actions in postgraduate studies: the current situation in Law programs”                                                     | Marciano S. de Godoi and Gabriella VL Silva                             | Article (2021)      | Continue with the implementation of AA measures in private postgraduate institutions.                                                                                                                |
| “Affirmative action in postgraduate programs in Brazil: patterns of institutional change”                                                | Anna C. Venturini                                                       | Article (2022)      | Explain how the introduction of AA policies led to changes in candidate selection processes.                                                                                                         |
| “The Construction of the research agenda on affirmative action in Brazilian postgraduate studies”                                        | Jurandir de A. Araújo, Gilvanice B. da S. Musial and Marta LTB de Jesus | Article (2022)      | To present an overview of academic production regarding AA in Brazilian GP, with the aim of identifying the main characteristics of this research agenda.                                            |
| “Affirmative actions in Postgraduate Education: access, permanence and production of knowledge in federal universities in the Northeast” | Larissa Cavalcanti from Albuquerque                                     | Thesis (2022)       | Analyze the procedure for implementing quotas in the PG (stricto sensu) of federal universities in the Northeast, taking as a starting point the specific resolutions adopted by these institutions. |

Source: Prepared by the authors.

The productions listed in category 1 reflect a common focus on the cycle of affirmative action policies in postgraduate studies, covering the design, implementation, monitoring and evaluation of these policies. This data provides a general understanding of which policies were implemented, how they were applied, the reasons for their adoption, their precepts and the results achieved.

The most frequent debate within category 1 is related to implementation in the affirmative action policy cycle, followed by evaluation. However, the studies present different approaches. While some aim to analyze the implementation of policies, how the government

agenda was formed or even the historical and conceptual precepts that culminated in the affirmative action law, others aim to present how the implementation of these policies changed the selection processes organized by institutions or identify the number of students by quota type. Furthermore, it was observed that some works explore, in addition to the category of affirmative action policies in postgraduate studies, discussions that fall into other categories due to their scope and complexity.

From this perspective, there is the study entitled "Quotas in Postgraduate courses at State Universities of Rio de Janeiro: an analysis of law no. 6,914/14 in light of the Public Policy Cycle", carried out by Lima (2017). In this study, the author examines the experiences of universities in the state of Rio de Janeiro with the implementation of the postgraduate quota law, analyzing the process through the public policy cycle.

Furthermore, Venturini (2019b) covers different subcategories, ranging from conception to implementation. Carvalho (2019) carries out an analysis of the themes most covered in theses and dissertations on affirmative actions in postgraduate studies and a work that stands out is the article by Godoi e Silva (2021), which addresses the need to discuss affirmative action in private universities, especially in the area of Law, say the authors. In the context of category 1, the selected works have in common the focus on documentary investigations combined with field research. The theoretical/epistemological approaches are diverse, however, the cycle of public policies presented in the research by Lima (2017) and the liberal foundation in the research by Oliveira (2019) stand out, based on theories of justice as equity. A second common element is the approach to formulating and implementing policies based on the study of the actors involved such as managers, coordinators, students and political leaders. The perspective is to describe the fields of tension in the formulation of AA policies in PG and their implementation difficulties. A third common point is that the research deals with understanding AA policies based on Ordinance 13/MEC/2016 (Brasil, 2016b).

In its entirety, the research points to Ordinance 13/MEC/2016 as positive as a vector of justice and social inclusion, however, they present weaknesses and difficulties in the implementation of these policies by HEIs (Brasil, 2016b). Finally, it is possible to verify that research is guided by methodological eclecticism, which leads to the affirmation that researchers in the area have not yet solidified their own methodological and epistemological conception.

## Category 2: evaluation of AA experiences in PG

Category 2 corresponds to 54.9 % of the productions analyzed, comprising 17 articles, 9 dissertations and 2 theses. The works listed in this category analyze different individual and institutional experiences of implementing AAs in PG.

**Table 6** - List of academic works classified in category 2.

| Title                                                                                                                                                       | Author(s)                                                                                                                                | Type of work and year | Goals                                                                                                                                                                                                                                                                                 |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------|-----------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| “Black, gay and from the North: affirmative actions in the skin”                                                                                            | Anderson da C. Pereira                                                                                                                   | Article (2017)        | Present different situations from the author's personal trajectory, from before graduation to writing, relating these experiences with some of the main arguments for and against the postgraduate access policies that have been implemented in Brazil.                              |
| “My life as a student in the white world”                                                                                                                   | Nelly Duarte                                                                                                                             | Article (2017)        | Propose a reflection on the challenging journey the author took to reach university and, more specifically, the strategies she used to overcome the adversities encountered.                                                                                                          |
| “Formulation and implementation of affirmative action for postgraduate studies at the National Museum”                                                      | Anna C. Venturini                                                                                                                        | Article (2017)        | Contribute to the literature in order to critically analyze both the formulation and implementation of AA policies for PG.                                                                                                                                                            |
| “Time and the wind: notes on the art of bureaucratizing quota policies at USP”                                                                              | Ana L. de Fiori, Cibele B. Assênsio, Fabiana Andrade, Jacqueline M. Teixeira, Letizia Patriarca and Talita L. Dal'Bó                     | Article (2017)        | Show that it is viable to create and apply affirmative action policies, such as the quota system, in the postgraduate program in Anthropology at USP.                                                                                                                                 |
| “The proposal for quotas and affirmative actions in the Postgraduate Program in Social Anthropology at the University of São Paulo: from boredom to melody” | Ana CRD Marques, Ana L. de Fiori, Cibele B. Assênsio, Fabiana de Andrade, Jacqueline M. Teixeira, Letizia Patriarca and Talita L. Dal'Bó | Article (2017)        | Present the proposal of the Permanent Affirmative Action Commission (CPAA) of PGAS/USP, based on other successful initiatives of postgraduate programs in Brazilian public universities that have implemented affirmative policies.                                                   |
| “The politics of ill will in the implementation of ethnic-racial quotas”                                                                                    | Márcio Goldman and Gabriel Banaggia                                                                                                      | Article (2017)        | Produce analyzes on issues of racism and inclusion based on the intersection between the authors' academic training as anthropologists and their experiences as ethnographers.                                                                                                        |
| “Presentation - Reflections from the experience of the National Museum”                                                                                     | Aline M. Nascimento and Barbara P. da S. Cruz                                                                                            | Article (2017)        | Question the reason why the fields of study of "Ethnic-Racial Relations" and "Indigenous Ethnology" have been, for the most part, unable to include the presence and intellectual production of the groups that are studied as "objects" of these fields, with occasional exceptions. |



|                                                                                                                                                              |                                                                                                                    |                     |                                                                                                                                                                                                                                                          |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------|---------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| “The insertion of affirmative action in postgraduate studies”                                                                                                | Rute CD da Palma and Regina A. da Silva                                                                            | Article (2017)      | Highlight the creation, in 2014, of the Affirmative Action Policy Council, which is linked to the Dean of Student Assistance (PRAE).                                                                                                                     |
| “Black masters: postgraduate trajectories of graduates of the pre-academic training course affirmation in postgraduate studies”                              | Kelly Cristina C. de Souza                                                                                         | Dissertation (2018) | To analyze the path of black individuals who completed the pre-academic course called "Affirmation in Postgraduate Studies", and who subsequently entered postgraduate studies.                                                                          |
| “Representations of racial quotas in undergraduate and postgraduate studies among professors research productivity (PQ) at the Federal University of Goiás”  | Aline D. dos Santos                                                                                                | Dissertation (2018) | Present the social views of support, resistance, realignment and reinterpretation of affirmative action policies and identify the level of acceptance or opposition to the quota policy at postgraduate level by Research Productivity professors (PQs). |
| “The presence/absence of the Indian in postgraduate studies at the Federal University of Sergipe: between tensions and the right to move beyond the village” | Larissa F. Ferro                                                                                                   | Dissertation (2018) | Analyze, based on laws, decrees, ordinances, regulations, etc. related to the Federal University of Sergipe, what is the role of indigenous peoples within this university, taking into account the perspectives of the indigenous people themselves.    |
| “The presence of indigenous students in universities: between affirmative actions and compositions of ways of knowing”                                       | Talita L. Dal'Bó                                                                                                   | Thesis (2018)       | Analyze the trajectory of indigenous students at Brazilian universities over the last fifteen years, particularly at the UFSCar and UFAM institutions.                                                                                                   |
| <i>Stricto Sensu</i> postgraduate studies: analysis by the Federal University of Paraná”                                                                     | Ana C. Vanali and Paulo Vinícius B. da Silva                                                                       | Article (2019)      | <i>stricto sensu</i> UFPR postgraduate programs.                                                                                                                                                                                                         |
| “University of Brasília, what for? And for whom? A study on affirmative actions for black people in the Postgraduate Program in Law at UnB”                  | Kelly M. Bezerra                                                                                                   | Dissertation (2020) | Investigate the effects and potential impacts of implementing affirmative actions in the Postgraduate Program in Law at UnB.                                                                                                                             |
| “Educational processes revealed in coexistence: equity course”                                                                                               | Alessandra G. da S. Oliveira, Ana CAM Soarez, Gilmar A. de Oliveira, Natália L. dos Santos and Luciene A. da Silva | Article (2020)      | Understand how educational processes occurred during the implementation of the affirmative action program "Equity in access to postgraduate studies for underrepresented populations" in 2012.                                                           |
| “The experience of being at university from the perspective of an indigenous postgraduate student”                                                           | Gilza F. de SF Pereira, Wagner R. do Amaral and Jenifer AB Bilar.                                                  | Article (2020)      | Highlight the trajectories of indigenous academics and professionals who graduated from public universities thanks to AA policies and increase the visibility and recognition of these trajectories.                                                     |
| “Affirmative policies in FACE postgraduate studies: a study of social representations”                                                                       | Selma M. Coelho                                                                                                    | Dissertation (2020) | Identify and report the number of black quota graduates from undergraduate courses at the University of Brasília (UnB), focusing on the Faculty of Economics, Administration, Accounting and Public Policy Management (FACE).                            |

|                                                                                                                                                                            |                                                                                          |                     |                                                                                                                                                                                                                                 |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------|---------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <i>stricto sensu</i> postgraduate courses at state universities in Rio de Janeiro”                                                                                         | Rafaela N. do Nascimento                                                                 | Dissertation (2020) | Examine the quota policy in postgraduate programs at UERJ, UENF and UEZO, with an emphasis on access and retention of students in master's and doctoral programs.                                                               |
| “Affirmative actions in postgraduate studies: the experience in public universities in Mato Grosso do Sul”                                                                 | Fabiana L. de Souza                                                                      | Dissertation (2021) | Analyze how affirmative action policies were created and implemented through quotas and overloads in the PG of UEMS, UFMS and UFGD during the period from 2016 to 2019.                                                         |
| “An anti-racist decolonial project: affirmative actions in postgraduate studies at the University of Brasília”                                                             | Joaze Bernardino-Costa and Antonádia Borges                                              | Article (2021)      | Highlight that the implementation of the AA policy at the university was the result of the anti-racist activism of black and white professors and students.                                                                     |
| “University of Brasília, What for? And for whom? A Study on Affirmative Actions for Black People in the Postgraduate Program in Law at UNB”                                | Kelly M. Bezerra and Renísia CG Filice                                                   | Article (2021)      | Understand what the effects and impacts may be resulting from the adoption of AA policies in this PPG.                                                                                                                          |
| “The place of black women in science: implementation of affirmative actions in postgraduate studies at the Physics Institute of the Federal University of Bahia (IF-UFBA)” | Tanesca S. Cal                                                                           | Dissertation (2021) | Analyze how AA policies were implemented at the Physics Institute of the Federal University of Bahia during the period from 2017 to 2020.                                                                                       |
| “Trajectories and experience of access to Postgraduate Studies through affirmative actions”                                                                                | Márcia B. de Araújo and Santuza A. da Silva                                              | Article (2021)      | Know and analyze the school and life trajectories of five subjects.                                                                                                                                                             |
| “Affirmative actions in higher education: the case of the Postgraduate Program in Teaching, at the Universidade Federal Fluminense”                                        | Francisca MR de Andrade, Jacqueline de S. Gomes, Marcelo N. de Almeida, Yuri MS Milagres | Article (2022)      | Analyze the implementation of AA policies based on the experience of the "Commission for the Insertion of Quotas in the Selection Notice" of the Postgraduate Program in Teaching at the Universidade Federal Fluminense (UFF). |
| “Affirmative actions in Brazilian postgraduate studies: the case of UFRGS”                                                                                                 | Everton Garcia da Costa                                                                  | Article (2022)      | Outline an analysis of the current scenario of AA policies in the UFRGS PG.                                                                                                                                                     |
| “Justice inconclusive: vices and virtues of the quota policy in postgraduate studies at UFRGS”                                                                             | Luciana Garcia de Mello                                                                  | Article (2022)      | Analyze the impacts of the AA policies of UFRGS PPGs in combating structural racism.                                                                                                                                            |
| “Implementation of the racial quota policy in a postgraduate program at the Federal University of Rio de Janeiro”                                                          | Cintia Nóbrega Gabetto de Sá                                                             | Dissertation (2022) | Evaluate the process of implementing the racial quota policy in the PPG in Nursing at the Federal University of Rio de Janeiro.                                                                                                 |
| “Quilombolas in postgraduate studies building Ebges of resistance - personal, collective, political-pedagogical and multi-                                                 | Andréia Rosalina Silva                                                                   | Thesis (2022)       | Analyze the scenario of four Brazilian public universities: UFG, UFRB and UFB and examine the effect of quotas on access to postgraduate studies for quilombolas, evaluating the personal,                                      |

|                                             |  |  |                                                                        |
|---------------------------------------------|--|--|------------------------------------------------------------------------|
| pistemic displacements in higher education” |  |  | community and institutional changes that occurred during this process. |
|---------------------------------------------|--|--|------------------------------------------------------------------------|

Source: Prepared by the authors.

Productions in category 2 reflect the researchers' interest in understanding how AA policies impacted the institutions and target audiences. It is also noticeable the concern with the success of new entrants, aiming at retention policies; the analysis, mainly, of the implementation stage of affirmative actions in universities, as well as making visible the feasibility of implementing these actions, by promoting inclusion. Furthermore, they highlight the trajectories of the benefiting groups, based on their experiences in the institutions, namely: the difficulties faced, racism and resistance. Therefore, the studies indicate how these policies contributed and were relevant or concomitant with the notion of identity and belonging of the individuals analyzed, as well as their contribution to the institution studied.

From an epistemological point of view, research does not generally present a theoretical/scientific positioning. The exception is the research by Bernardino-Costa and Borges (2021) who studies AAs in postgraduate studies from a decolonial perspective. The lack of definition of epistemological positioning is linked to the nature of research that seeks to highlight with greater emphasis the appropriation of personal and institutional experiences. Cartography and ethnography are methodologies used in research. As for procedures, the studies use documentary collection interconnected with the critical problematization of personal and institutional experiences of the HEI. Finally, in the category, no research was found that deals with experiences in postgraduate studies with PwD nor investigations that deal with experiences or initiatives in PG at private universities.

### Category 3: Affirmative action for PPIs, PwD and other minorities

In category 3, 11 works were listed, corresponding to 21.6 % of the total. The productions in this category analyze AA policies and their contributions to the inclusion of social minorities. Category 3 includes a total of 8 articles and 3 dissertations.

**Table 7-** List of academic works classified in category 3.

| Title                                                                                                            | Author(s)     | Type of work and year | Goals                                                                                                                          |
|------------------------------------------------------------------------------------------------------------------|---------------|-----------------------|--------------------------------------------------------------------------------------------------------------------------------|
| “Affirmative actions for the black population in postgraduate programs: deepening the issue at the University of | Rivany B. Beú | Dissertation (2015)   | Analyze how efficient the social pressures exerted by black students in UnB postgraduate courses have been in expanding access |

| Brasília”                                                                                                                         |                                                |                     |                                                                                                                                                                                                    |
|-----------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------|---------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 'Contemporary policies and practices on race relations and postgraduate studies”                                                  | Marcos A. B. da Silva                          | Article (2016)      | Examine topics related to race relations and PG in Brazilian society, based on AA policies, educational trajectories and opportunities, goals and plans for the future of PG.                      |
| “On top of the world: Everest and affirmative action in postgraduate studies”                                                     | José A. dos Santos and Luciana G. de Mello     | Article (2016)      | Reflect on the historically formed inequalities in admission to higher education in Brazil, reflecting on the current framework of AA policies in PG for access for black students in the country. |
| “Counterdiscipline: indigenous people in postgraduate studies and the future of anthropology”                                     | Marcela S.C. de Souza                          | Article (2017)      | Indicate and discuss the difficulties and implications for the discipline of Anthropology as a whole, as well as for specific theoretical production, given the inclusion of indigenous peoples.   |
| “The return of the Canoe Snake: in search of an indigenous anthropology”                                                          | João PL Barreto and Gilton M. dos Santos       | Article (2017)      | Propose a reflection exercise to seek an anthropology that takes into account the perspective and knowledge of indigenous peoples.                                                                 |
| “Auntie, are you a man? Trans in/in education: challenging and occupying the 'cis' themes' of postgraduate studies”               | Sara W. York                                   | Dissertation (2020) | Incorporate fundamental elements for the construction of an education that is democratic, secular, public, feminist and that takes into account transvestite epistemology.                         |
| “Access of black students to postgraduate studies: a study on ethnic-racial inclusion in public universities”                     | Edna Martins; Luiz C. Novaes, Eric D. da Gama. | Article (2021)      | Describe the situation of black students' access to PPG in Education at a federal public university between 2013 and 2018, considering the absence of quota policies.                              |
| “Affirmative actions for black people in postgraduate studies: absences, proposals and disputes”                                  | Luiz Mello                                     | Article (2021)      | Explain the importance of AAs in the fight against racism and in promoting anti-racist values.                                                                                                     |
| “Development is for everyone: affirmative actions in <i>stricto sensu</i> postgraduate studies in Law from a racial perspective ” | Amália R. de M. Silva                          | Dissertation (2021) | Examine the AAs policy that uses racial criteria to reserve PG places in Law in public higher education institutions.                                                                              |
| “Demarcating universities”: indigenous peoples and affirmative actions in Brazilian postgraduate studies”                         | Iara T. Bonin                                  | Article (2022)      | Present information on initiatives aimed at promoting the entry of indigenous students into master's and doctoral programs in education at public universities.                                    |
| “Destigmatizing academia: affirmative actions in postgraduate studies”                                                            | Antonádia Borges and Joaze Bernardino-Costa    | Article (2022)      | Reflect on the connection and interdependence between patterns of academic prominence, the persistence of colonial knowledge and the presence of institutional racism.                             |

Source: Prepared by the authors.

The results listed in the table above reveal a frequent approach to ethnic-racial groups made up of black, brown and indigenous individuals. Of the 11 works in the category, 7 address the challenges of black people in the PG, 3 address the indigenous presence and only 1 address

the challenge of occupying space in the PG as a trans body. Regarding the black population, studies focus on different subjects, among them: the concern surrounding the demands regarding the black population, whether they are being assisted or not. Race relations in PG after AAs policies. The description of what access opportunities were like for the black community before the quota policy and, thus, demonstrating the importance of its implementation in promoting access and permanence. The need to increase the participation of black people in PG and explain the relevance of AAs in the fight against racism and in the propagation of anti-racist values. Reflection on historical inequalities in access to higher education, at the same time as it is necessary to analyze the current framework of AA policies in PG for the admission of black students.

Regarding the indigenous population, we understand the need to open the debate about the difficulties for the discipline of Anthropology, as well as theoretical production, given the inclusion of indigenous people in the PG, as well as the reflection of an anthropology that considers the knowledge of Indian people. Furthermore, present information about the initiatives created to include indigenous students in *stricto sensu* postgraduate studies.

As for academic characteristics, the research that forms part of this category is predominantly qualitative, with extensive use of the content analysis technique. In the epistemological field, eclecticism and diversity of methodological approaches predominate.

It is important to highlight the lack of work that addresses the issue of people with disabilities (PwD) in postgraduate studies (master's and doctorate), and that this constitutes a factor that demands attention. In fact, the absence of studies involving the trajectory of students with disabilities in post-higher education also suggests the lack of presence of these individuals in universities.

### **Final remarks**

The study showed, firstly, that academics' interest in the topic grew significantly after the publication of Ordinance no. 13/MEC/2016 (Brazil, 2016b). Scientific production in this area therefore has a close relationship with the public policies that the Brazilian State has implemented in recent years. The increase in the number of dissertations, theses and articles, from 2015 onwards, reflects the progressive engagement of institutions in the process of implementing AAs in PG.

It is worth highlighting, secondly, that the increase was quite concentrated in the

Southeast region of the country (which accounts for around 47.7% of the analyzed production) and in federal and state public HEIs. There is only one production on the importance of designing AA in community and private HEIs. Furthermore, there is a concentration/predominance of studies on the inclusion experiences of black, brown and indigenous people. On the other hand, there was a lack of research on the inclusion of PwD in GP. This absence reflects the culture of exclusion, the fragility of AA policies for people with disabilities and the historical invisibility of these groups within HEIs. The results reaffirm the need to advance in the implementation and improvement of AA policies in postgraduate studies, established by Strategy 14.5 of the National Education Plan (2014-2024).

The research elucidated, thirdly, that some areas of knowledge have been more protagonists than others in the effort to debate, implement and analyze AA policies in PG. Among these areas, Anthropology stands out, especially the PPGs at UFRJ, UFAM, UFPA, UFSC, UnB and Unicamp.

Regarding methodology, there is a predominance of qualitative research, with documentary collection and field research. Epistemological eclecticism appears as a striking characteristic of this field of study, characterized by the plurality of methodologies, techniques and theoretical perspectives, many of which are antagonistic and contradictory. As Tonieto and Fávero (2020) highlight, epistemological fragility results in “gelatinous” investigations. The researcher's lack of epistemological positioning makes it impossible to reflect on the research process itself (Tello; Mainardes, 2012).

The scientific production analyzed reflects the advances and gaps in the AA implementation process in PPG in Brazil. The works analyzed portray the challenges of building citizenship in a deeply unequal country, where black, brown, indigenous people and people with disabilities struggle daily to access the fundamental rights guaranteed by the 1988 Federal Constitution.



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