

Institutional evaluation and strategic planning in higher education: knowledge and practices at a Pantanal-origin institution¹

Avaliação institucional e planejamento estratégico na educação superior: saberes e práticas numa instituição de origem pantaneira

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Abstract

Studying Institutional Evaluation and its relationship with Strategic Planning means reaffirming the importance of these instruments for institutional decision-making and for the pursuit of quality in the services provided to society. The present article describes the experience of a multi-campus public state university on the development of an Institutional Evaluation integrated with Strategic Planning in a democratic and participatory manner. The results showed that the interfacial relation between planning and evaluation, through the SINAES axes and dimensions, is of the utmost importance in reducing the gap between what is planned and what is evaluated. Furthermore, university managers need to base their daily actions and activities on these institutional documents with a view to establish and achieve the quantitative and qualitative goals which are part of the university's mission.

Keywords: Institutional evaluation; Strategic planning; higher education.

Resumo

Estudar a Avaliação Institucional e as relações com o Planejamento Estratégico é reafirmar a importância desses instrumentos para as tomadas de decisão institucionais e para a busca da qualidade dos serviços prestados à sociedade. O presente artigo traz a experiência de uma universidade pública estadual *multicampi* sobre o desenvolvimento da Avaliação Institucional integrada com o Planejamento Estratégico de forma democrática e participativa. Os resultados evidenciaram que a relação interfacial de planejamento e avaliação, por meio dos eixos e dimensões do SINAES, é de suma importância para que se diminua o distanciamento entre o que se planeja e o que se avalia. Além disso, os gestores universitários precisam pautar as ações e atividades cotidianas baseando-se nesses documentos institucionais com vistas ao estabelecimento e alcance de metas quantitativas e qualitativas próprias da missão universitária.

Palavras-chave: Avaliação institucional; Planejamento estratégico; educação superior.

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This study was carried out at the Universidade do Estado de Mato Grosso (State University of Mato Grosso) (Unemat), whose objective was understanding the possibilities for integration of the Institutional Evaluation, by means of the Sistema Nacional de Avaliação da Educação Superior (National System for the Evaluation of Higher Education) (Sinaes), and the Strategic Planning at UNEMAT, based on the results of the Self Evaluation of this Pantanal-origin institution.



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¹ This article is the result of a research developed by the *Stricto Sensu* Education Postgraduate Program, tied to the Grupo de Estudos e Pesquisas em Avaliação Educacional (Educational Evaluation Studies and Research Group) (GEPAVE), based at the region of Mato Grosso Pantanal pantanal, tied to the Universidade do Estado de Mato Grosso (State University of Mato Grosso) (UNEMAT).

INTRODUCTION

This article is the result of a research developed by the *Stricto Sensu* Education Postgraduate Program, tied to the *Grupo de Estudos e Pesquisas em Avaliação Educacional* (Educational Evaluation Studies and Research Group) (GEPAVE), based at the region of Mato Grosso Pantanal, tied to the *Universidade do Estado de Mato Grosso* (State University of Mato Grosso) (UNEMAT). The aim was to understand the possibilities of integration of the Institutional Evaluation by means of the *Sistema Nacional de Avaliação da Educação Superior* (National System for the Evaluation of Higher Education) (SINAES) and Strategic Planning at UNEMAT based on the results of the self-evaluation.

To this end, qualitative research was employed as a methodology and, as instruments, the institutional documents were analyzed and semi-structured interviews were conducted, collecting the voices of the following managers: University president, vice-president, dean of Planning and Information Technology, dean of Financial Management, dean of Management, dean of Student Affairs, dean of Undergraduate Education, dean of Research and Postgraduate Studies, dean of Extension and Culture, the Political-Pedagogical and Financial Directors (*Diretores Político-Pedagógicos Financeiros*) (DPPFs) of the campuses of Alta Floresta, Alto Araguaia, Barra do Bugres, Cáceres, Colíder, Diamantino, Juara, Luciara, Nova Mutum, Nova Xavantina, Pontes e Lacerda, Sinop e Tangará da Serra, and the members of the Internal Evaluation Committee (*Comissão Própria de Avaliação*) (CPA).

The locus of this research was UNEMAT, founded in 1978 under the condition of *Instituto Superior de Cáceres* (Cáceres Higher Institute) (IESC). With regard to the evaluation policies, UNEMAT began the process in 1994, in response to an invitation from the *Programa de Avaliação Institucional das Universidades Brasileiras* (Institutional Evaluation of Brazilian Universities Program) (PAIUB). In 2009, the Internal Evaluation Committee (*Comissão Própria de Avaliação*) (CPA) adapted to the guidelines made by SINAES. Whilst UNEMAT's *Planejamento Estratégico Participativo* (Participatory Strategic Planning) (PEP) was conceived in 2015 based on a participatory and emancipatory elaboration (Universidade do Estado de Mato Grosso, 2017).

Planning and evaluation are important tools for the management of a university and it is up to the institution, by means of its managers and academic community, to think of the conceptions, principles and values which may support the institutional mission. To this end, the management must have, as a central axis, the social function of the university and the purposes of the plans and evaluation, as well as questioning its processes, instruments and narratives for the implantation of a participatory system as an instrument for democratization of the institutional processes.

The democratic and participatory management has, as a social function, the production of scientific knowledge which may allow for the quality of life and human development. In this institutional context, planning and evaluation emerge, also in a participatory manner, as central devices for the management and for the several academic agents, who have the need to cooperate and take on forms of collective responsabilization based on the social, cultural and political relevance of the educational and scientific tasks which are developed.

This article brings the opportunity to know the experience of a state university on its processes of planning and evaluation under the view of the managers. The Institutional Evaluation is a subsidy for University Planning, whose results must contribute as instruments for university management.

INSTITUTIONAL EVALUATION IN HIGHER EDUCATION

Institutional evaluation is an instrument for the transformation of higher education. This is what will correct the path of the management and guide the directions of university planning, directly contributing to the development of the university, allowing for the institution to be located and organized, charting new directions and/or widening its horizons.

Besides, Institutional Evaluation provides self-analysis of the teaching, research and extension, collaborating directly with the institution's planning process and supporting pertinent information to the university management with the purpose of decision making, with orientation for university politics and technical analysis of the operational and financial

problems. Furthermore, it is also possible to enable an environment of accountability to the society and the interested community itself (Universidade do Estado de Mato Grosso, 2002). According to Leite (2005), evaluation of the university arose in North America, during the Twentieth Century. With globalization, this phenomenon transposed international borders and landed in Brazilian soil spearheaded by neoliberalism, which engendered a new format of the State, originating the image of the Evaluating State (Lima, 2010a), whose conception is centered on the surveillance and control of the activities following the logic of budgetary rationality (Dias Sobrinho, 2002 apud Lima, 2010b). In this understanding, the State begins to trace public evaluational policies through the controlling scrutiny of the government, with views to efficiency and competitiveness, serving the market and hierarchies, which was named Regulatory Evaluation. Opposing this hegemonic and historical perspective, according to Leite (2005), Emancipatory Evaluation stresses conscientization and qualitative dialogics, resulting in collective creation through subjective epistemology, also named Participatory Evaluation. The latest and current higher education evaluation policy in Brazil is the *Sistema Nacional de Avaliação da Educação Superior* (National System for the Evaluation of Higher Education) (SINAES), established through Law number 10,861, from April 14th, 2004 (Brasil, 2004a). SINAES is a governmental program with coverage across the entire Brazilian territory and designed for the evaluation policies, with the purpose of improving the quality of higher education, orientation for the expansion of its offers, permanent increase of its institutional efficacy and academic and social efficacy. It is organized in three foundational pillars: Institutional Evaluation (contemplating the Internal and External Evaluations), Evaluation of the Students' Performance (by means of the application of the *Exame Nacional de Desempenho de Estudantes* – National Exam of Students' Performance – ENADE² and the acquisition of the Índice Geral de Cursos – General Index of Courses – IGC³) and the Evaluation of Undergraduate Courses (through which the Recognition and the Renovation are granted).

Interval Evaluation or Institutional Self-evaluation is the recognition process carried out by the institution itself, identifying its characteristics and performances in the fields of teaching, research, extension and management. This allows for the identification of the positive and negative impacts of that given moment with the purpose of subsidizing the improvement of the quality of higher education in a participatory manner. The results characterize the institutional portrait and are transformed into an official document of the university.

Institutional Evaluation is an important tool and/or instrument, essential for university management, functional and important both for the academic community and society in general. For the academic community because Institutional Evaluation unites the perspective of its agents in summarized reports and quality indicators; and for society in general because the university must be of service for the common good and cater to the desires of the population. Both can only be materialized through managers who do not resort to deflection regarding the evaluation results.

Institutional Evaluations, besides guiding rationality in decision making, also consists of a managing technique for university management, highlighting several aspects of the institution and under which conditions it is found in that given moment, which is timely in reflections for the definition of priorities and determinations for the changes desired by the academic community.

STRATEGIC PLANNING IN HIGHER EDUCATION

Planejamento Estratégico (Strategic Planning) (PE) in the conception of the participatory model and its combination with Institutional Self-Evaluation may contribute to the development of higher education institutions. It is the experience of a Participatory Strategic Planning case which is in full execution in a public state university in the countryside of the state of Mato Grosso.

² ENADE is a Brazilian national exam designed to assess the academic performance of students in higher education, specifically those in their final year of undergraduate programs.

³ Índice Geral de Cursos (IGC) is a key evaluation metric used in Brazil to assess the overall quality of higher education institutions.

And why plan? According to Mintzberg (2004), the exercise of planning allows for the coordination of the activities, subsidizes rational decision making and ensures that the future will be taken into consideration, preparing for the inevitable, anticipating the undesirable and controlling what is controllable. Planning is materialized in multiple ways and in distinct levels. According to Chiavenato (2003, p. 171), "there are three distinct levels of planning: strategic, tactic and operational planning"⁴. The present article will delimitate the study reach on Strategic Planning (PE) for being the broadest and encompassing all of the organization.

Intellectualized by Igor Ansoff, the precursor of the managing instrument in the 1960s, with discussions on the gaze of the strategic planning of business enterprises, the PE was conceived with formulations of steps and/or stages which versed the establishment of objectives, analyses of disparity with the position of the company, courses of action, decision making, amongst others, including the evaluation of the process: "internal evaluation is preoccupied with the fact that the company may or may not resolve its problems, [...] and if the objectives cannot be reached, an External Evaluation will be carried out"⁵ (Ansoff, 1967, p. 140 apud Mintzberg, 2004, p. 51).

PE is a managing tool conceived for the corporate market with views to the medium and long term aims and objectives, methodologically conceived for the attainment of profits, defined by the summit and/or presidents of the organization, designed for capital and the capitalization of dividends in the commercial system, which has been perfected and instrumentalized with the aid of business schools, which studied the operationalization of the strategic process. In this, the design school stands out, which formalized the script through the Strengths, Weaknesses, Opportunities, Threats (SWOT) matrix to encompass all of the aspects correlated to the American business organisations.

Throughout this period, the PE was being recognized and adapted to each reality, breaking, to some extent, the methodological rigidity for it to become viable and applicable at the companies. Through these changes and updates of the market, some more refined derivations of this tool started to emerge, so that they would serve the companies, from the private sector to public administration bodies.

For the private sector, the idea of *Planejamento Estratégico de Negócio* (Strategic Business Planning) (PEN) or *Planejamento Estratégico Corporativo* (Strategic Corporate Planning) (PEC), amongst others, stands out "through which an organization intends to apply a given strategy to reach the proposed objectives"⁶ (Chiavenato, 2003, p. 236).

Strategic Planning geared towards public administration, although adapted and systematized for bodies at national, state and municipal levels, still lacks legitimacy of the target audience directly impacted by this organizational instrumentalization, therefore, it is not all democratic. How can this management tool, conceived for the corporate market, be of service to public administration, or, more specifically, how can Strategic Planning contribute to a public higher education institution? *Planejamento Estratégico Participativo* (Participatory Strategic Planning) (PEP) has shown to be an alternative for the connection of this link, for, under this participatory and democratic perspective, by means of the engagement of all agents involved, the goals, objectives, organizational identity, development methodologies, what will be done, how it will be done, who will be responsible for it and with what it will be done are deliberated.

Toni (2003) approaches this theme of Strategic Planning with a participatory focus, saying that the choice for participatory forms represents a considerable advancement in the celebration and social legitimation of these pacts and consensus, having as a methodological principle the perspective of planning with who actually executes it. Strategic Planning with a participatory focus is based in democratic participation, the individual's autonomy, the democratization of knowledge and in technical-political praxis. In addition, it intends to initiate a process of inversion of the historic pattern of capacitation of the public servants and agents, making them collectively participant in the discussion of the themes of public administration in a context of democratization of the social and power relations, resulting in the sense of who executes it must also plan and carry out the critical-practical action (Toni, 2003).

⁴ "existem três níveis distintos de planejamento: o planejamento estratégico, o tático e o operacional"

⁵ "avaliação interna está preocupada com o fato de a empresa poder ou não resolver seus problemas, [...] e se os objetivos não puderem ser atingidos, será feita uma Avaliação Externa"

⁶ "pela qual uma organização pretende aplicar uma determinada estratégia para alcançar os objetivos propostos"

PEP is the fruit of numerous variations, modifications and adaptations which took place over the years. The positive point in this issue is precisely the flexibilization of the technique and methodology herein employed with the opening of collective decisions. However, the negative point of these constant alterations is that the PEP employed in institution "A" usually has not been the same in institution "B". With the exception of the democratic and participatory principle, the steps and organization of this instrument are not uniform, which ends up jeopardizing the comparability of information and the formulation of a consensual methodology, even a conceptualization *sui generis*.

What is observed is that, regardless of the considerations and particularities of each case, under Participatory Strategic Planning, there was the process of reconstruction of the guiding principles of these tools, concurrently with the reconfiguration of the matrices and the inversion of the decision making period. The principles are reviewed because, before they geared towards the generation of profit, they now aim for quality. The methodology of the process is built upon collectivity, taking advantage of the essences of the matrices and disregarding technicist rigidity. And, whereas in the private market, organizational identity and the short, medium and long-term goals are defined and implemented, under the participatory perspective, the decisions and strategies are decided and implemented with the consent and involvement of all the parties involved, contributing to the decision making of its managers.

According to Toni (2003), Strategic Planning with a participatory focus is an instrument which plans the organization, at the same time in which it develops its participants in a pedagogy which institutes a new form of sharing the direction and sense of the public organizations. The participatory focus aims to consolidate itself as a managing instrument, a tool for the collective construction of democratic identities in the public sector.

Therefore, Participatory Strategic Planning and Participatory Institutional Evaluation are presented as means which subsidize university management in the decision making in face of the public higher education institutions for being anchored to participatory and democratic principles. This is because, while the planning demonstrates the institution's course, the evaluation reflects the perception of the academic community in that given moment, being the responsibility of management to align planning with the evaluation.

PLANNING, MANAGEMENT AND EVALUATION IN HIGHER EDUCATION

The "planning, management and evaluation" interface will be possible if there is a clear adherence and acceptance of the participatory and democratic principles as constituent elements of the university environment. This interaction decreases the distancing between what is planned and what is evaluated, with significant contributions to the university autonomy and the legitimation of the carried out actions, otherwise, "the distancing between planning and evaluation leads to severe consequences, prevents the construction of propositions with the participation of the community and allows for the imposition of projects, rules and actions"⁷ (Lima, 2010a, p.126).

Planning is the abstract component in this conjecture, but which depends on university managers for the implementation of what was desired by the academic community at short, medium and long terms, and which was also guided to plan according to the points outlined in the institution's evaluation. University management is what grants materiality to this interaction, for one must organize for the implementation of the planned actions and build spaces of democratic debates, engendering the evaluative culture of participation in the university. The evaluation will subsidize the management in decision-making and guide the actions of institutional planning, feeding back into this mechanism. This process is continuous and aims for the improvement of the institution, which is grounded in the participatory and democratic conception, under which the social agents have voice and turn in the everyday of the institution. This interface may be represented in the following form:

⁷ "o distanciamento entre o planejamento e a avaliação leva a consequências gravíssimas, impede a construção de propostas com a participação da comunidade e possibilita a imposição de projetos, de normas e ações"

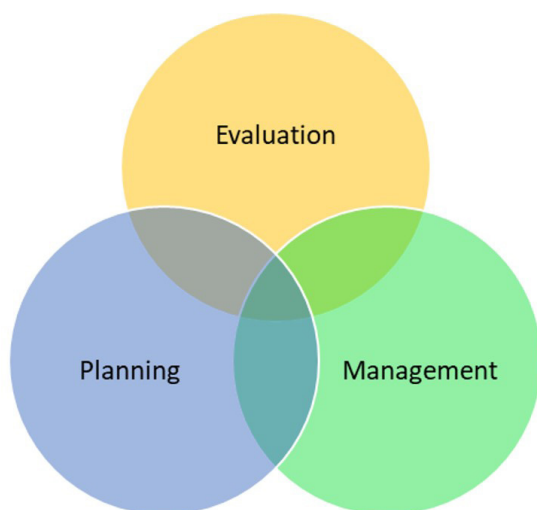


Figure 1. Planning, management and evaluation in the higher education institution. Source: Elaborated by the authors (2023).

The interfacial systematization of the university planning, management and evaluation of UNEMAT is centered in the SINAES axes and dimensions, in accordance to the matrix described as following:

Chart 1. Interfacial matrix of planning, management and evaluation in higher education.

INTERFACIAL MATRIX OF PLANNING, MANAGEMENT AND EVALUATION OF UNEMAT				
Axes	Dimensions	Planning	Management	Evaluation
Axis 1: Institutional Planning and Evaluation	Dimension 8: Planning and Evaluation	• Definition of the scope.	• How and with what will we carry it out?	• In what situation do we find ourselves in this given moment?
Axis 2: Institutional Development	Dimension 1: Mission and Plan for Institutional Development			
Axis 3: Academic Policies	Dimension 3: Social Responsibility of the Institution	• For which period and temporal space?		• Which are the contributions for the planning?
	Dimension 2: Policies for Teaching, Research and Extension			
	Dimension 4: Communication with the Society	• Where and when do we want to reach and/or arrive?	• Materialization of the planning instruments.	• (Re)Positioning in the face of the results
Axis 4: Management Policies	Dimension 9: Students Services Policy			
	Dimension 5: Staff Policies			
	Dimension 6: Organization and Management of the Institution			
Axis 5: Physical Infrastructure	Dimension 10: Financial Sustainability			
	Dimension 7: Physical Infrastructure			

Source: Elaborated by the authors (2024).

Thereby, **Chart 1** has the following meaning:

- a) Planning:** The quadrant where it states 'where and when do we want to reach and/or arrive?' proposes that institutional planning, current planning, strategic planning, amongst other variations of university planning, be them congregated under this perspective of organization by means of the axes and dimensions, developing the interaction between what is evaluated and what is planned for a quality university management. The creation of mechanisms and instruments of a participatory evaluation (which very much depends on the size and nature of the project) creates the essential elements for the population's adherence to the planning process and, with effect, of collective commitment on critical balance, the eventual course corrections and adjustments to be made. The strategy of participatory evaluation creates a sort of sharing between managers and the purpose of the project (Toni, 2003).
- b) Management:** It is bringing to the fore the university management praxis in which "How and with what will we carry it out?" expresses the techniques to be employed, the legislation to be followed, the budgetary allocations, amongst other administrative compendiums which subsidize the decision making for the improvement of teaching, research, and even management, according to the axes and dimensions. In this variable, the public university manager has discretion over how they will carry out and/or implement the actions proposed by the academic community. Managing an educational institution, therefore, requires a differentiated management in its everyday life, both in goals and objectives. Conducting an educational institution is not an easy task, especially due to the main objective being the coordination of different components of a system, without losing sight of the specificity of its characteristics and values, which aim for the common good. Managing a higher education organization and/or institution refers to more complex questions, for it is not characterized for being a common company, but highly differentiated, complex and very specific because it is responsible for educating people. (Oliveira, 2009).
- c) Evaluation:** it comprises the end and the beginning of the process, given that it will highlight the strong and/or positive points of the institution which need to be maintained, as well as the weak and/or negative points which need to be rethought through the question "In what situation do we find ourselves in this given moment? What are the contributions of the planning?". The data listed in the results will enable the feedback into this mechanism in higher education institutions due to being confluent and harmonic with the SINAES axes and dimensions. It is worth noting the prominent role exerted by the self-evaluation, according to SINAES, under the participatory perspective in this interaction: "The participants of the change process in an organization feel responsible when they participate in the discussions and the results, be them favorable or otherwise"⁸ (Oliveira, 2009, p. 90). The results of the evaluation will subsidize the discussions and reflections, which, consequently, will endorse data for the planning and support the management in decision making.

The systematization of this matrix, illustrated through Figure 1, has as an aim enabling an institutional planning which is closer to reality, and which does not become unenforceable, considering that the managers will be based in more reliable information, allowing them to make more assertive decisions which represent the desires of the community and the improvement of the institution. This interconnection will strengthen the evaluative culture and diminish the distancing between what is planned and what is evaluated. This is because, consequently, there will be feedback of the information.

The theoretical and practical combination of planning, managing and evaluation, these being interconnected by the participatory and democratic conception, may result in institutional quality. Thus, the approach of this theme was essential for the reflection of the existing interfaces between planning, managing and evaluation within the environment of public higher education. The following section will highlight the results of this research alongside the carried out analyses.

⁸ "Os participantes do processo de mudança em uma organização sentem-se responsáveis quando participam das discussões e dos resultados, sejam estes favoráveis ou não"

ANALYZING THE INTERFACE “EVALUATION AND STRATEGIC PLANNING” THROUGH THE VOICE OF THE MANAGERS IN A CASE STUDY

The *Universidade do Estado de Mato Grosso* (State University of Mato Grosso) (UNEMAT) is a public and free higher education institution which has completed 45 years of existence in 2023. Cáceres, a city in Alto Pantanal (High Pantanal⁹), hosts the Rectorate of this university, which is present in 56 districts, contemplated by 13 campuses, 21 pedagogical centers and 27 distance learning hubs, offering 179 courses, serving approximately 18,145 students in different modes of education, with 1,432 faculty members and 758 administrative staff, and also hosting 30 *stricto sensu* graduate programs, according to UNEMAT’s 2023 Statistical Yearbook (Universidade do Estado de Mato Grosso, 2023a).

From 1997, the process of political establishment of institutional evaluation began. In 2002, through the university’s *Comissão Central de Avaliação Institucional* (Central Commission for Institutional Evaluation) (CCAI), the 1st Institutional Evaluation Report was issued and published, comprising the period of 1998 to 2002. With the advent of the *Sistema Nacional de Avaliação da Educação Superior* (National System for the Evaluation of Higher Education) (SINAES), reflecting in the restructuring of UNEMAT’s self-evaluation project and in the establishment of the Internal Evaluation Committee (*Comissão Própria de Avaliação*) (CPA) (Universidade do Estado de Mato Grosso, 2023), in 2005, was issued, and the second report, named 2nd Self-Evaluation Synthesis Report, comprising the period from 2003 to 2005. Following, in 2007, the 3rd Institutional Evaluation Report of UNEMAT was issued, comprising the period from 2005 to 2007. In 2013, the Final Report of the Cycle’s Self-Evaluation 2010-2012 was published; in 2015, the Final Report of the Cycle’s Self-Evaluation 2013-2015; and, lastly, the Final Report of the Cycle’s Self-Evaluation 2015-2018 (Chart 2).

Chart 2. Historical context of the evaluation process at UNEMAT.

History of Institutional Evaluation at UNEMAT	
Year	Trajectory and developed actions
1994	The <i>Ministério da Educação</i> (Ministry of Education) (MEC) invited UNEMAT to participate in the <i>Programa de Avaliação Institucional</i> (Institutional Evaluation Program) (PAIUB).
1996	Receivment of funds from the MEC for the implementation of the <i>Programa de Avaliação Institucional da UNEMAT</i> (UNEMAT Institutional Evaluation Program) (PAIUNEMAT).
1997	UNEMAT establishes the first evaluation committee, named <i>Comissão Central de Avaliação Institucional</i> (Central Commission for Institutional Evaluation). PAIUNEMAT Opening Seminar. Holding of the first Forum for Institutional Evaluation of UNEMAT.
1998	Establishment of the data collection instruments for the PAIUNEMAT. Implementation of the National Course Exams at UNEMAT.
1999	Data collection and tabulation for the PAIUNEMAT. Holding of the first Seminar of Institutional Evaluation of UNEMAT.
2001	Holding of another Seminar of Institutional Evaluation at UNEMAT.
2002	Issue and publication of the 1st Institutional Evaluation Report of UNEMAT.
2003	UNEMAT establishes the <i>Coordenadoria de Avaliação Institucional da UNEMAT</i> (UNEMAT Institutional Evaluation Coordination) (COAVI) tied to the <i>Pró-Reitoria de Planejamento e Desenvolvimento Institucional</i> (Institutional Planning and Development Pro-Rectorate) (PRPDI).
2004	Establishment of the <i>Constituição da Comissão Própria de Avaliação</i> (Internal Evaluation Committee) (CPA), atendendo a legislação do SINAES.
2005	Issue and publication of the 2nd Institutional Evaluation Report of UNEMAT, named 2nd Self-Evaluation Synthesis Report.
2007	Issue and publication of the 3rd Institutional Evaluation Report of UNEMAT.
2009	The Internal Evaluation Committee reformulates its project and adheres to the SINAES organization, contemplating the 10 dimensions.

Source: Silva (2021, p. 107).

⁹ *Pantanal* is the biome which encompasses the world’s largest tropical wetland area, as well as the largest flooded grassland, found mostly in Brazil in the states of Mato Grosso do Sul and Mato Grosso, but also extending to their neighboring countries, Bolivia and Paraguay. *Alto Pantanal* refers to the highest regions of this biome.

Chart 2. Continued...

History of Institutional Evaluation at UNEMAT	
Year	Trajectory and developed actions
2010	Issue of the Institutional Evaluation Project for the period from 2010 to 2014. The COABI is restructured and begins to be called <i>Diretoria de Avaliação Institucional</i> (Directorate of Institutional Evaluation) (DAI).
2012	Issue and publication of UNEMAT's Partial Institutional Self-Evaluation Report referring to the period from 2010 to 2012. The DAI is restructured and begins to be called <i>Diretoria de Gestão de Regulação do Ensino Superior</i> (Directorate of Higher Education Management and Regulation) (DGRES), being allocated to the <i>Pró-Reitoria de Ensino de Graduação</i> (Undergraduate Teaching Prorectorate) (PROEG).
2013	Issue and publication of the 4th Institutional Evaluation Report of UNEMAT, named <i>Relatório Conclusivo da Autoavaliação do Ciclo</i> (Final Report of the Cycle's Self-Evaluation) 2010-2012.
2014	Issue and publication of the Partial Institutional Self-Evaluation Report referring to the period from 2013 to 2015.
2015	Issue and publication of the 5th Institutional Evaluation Report of UNEMAT, named <i>Relatório Conclusivo da Autoavaliação do Ciclo</i> (Final Report of the Cycle's Self-Evaluation) 2013-2015.
2016	Issue of the UNEMAT Institutional Evaluation Project for the period from 2015 to 2018.
2017	Issue and publication of the Partial Institutional Self-Evaluation Report referring to the period from 2015 to 2018.
2018	Issue and publication of the 6th Institutional Evaluation Report of UNEMAT, named <i>Relatório Conclusivo da Autoavaliação do Ciclo</i> (Final Report of the Cycle's Self-Evaluation) 2015-2018.

Source: Silva (2021, p. 107).

By panoramically explaining all of the trajectory of the evaluational politics at the State University of Mato Grosso, it is indispensable to highlight the notable concern in all of the process for the development of participatory and democratic culture. Of the nine analyzed reports, the latest reports, among partial and conclusive (corresponding to the 2010-2012, 2013-2015 and 2015-2018 cycles) enjoy, to a certain extent, consonance and harmony, due to the data systematization of the data in Categories of Analysis, created by UNEMAT's Internal Evaluation Committee (*Comissão Própria de Avaliação*) (CPA) itself, through the SINAES dimensions and axes. Therefore, the interface between the Strategic Planning of the institution and the Institutional Evaluation begins with the alignment of the Categories of Analysis consistent with the dimensions and axes of the SINAES, according to the following **Chart 3**.

Chart 3. Organizations of the Dimensions and Axes of the SINAES per Category of Analysis.

CATEGORIES OF INSTITUTIONAL EVALUATION ESTABLISHED BY UNEMAT	SINAES AXES	DIMENSÕES DO SINAES
Management and Organizational Category	Axis 1: Institutional Planning and Evaluation	Dimension 8: Planning and Evaluation
	Axis 2: Institutional Development	Dimension 1: Mission and Plan for Institutional Development Dimension 3: Social Responsibility of the Institution
	Axis 4: Management Policies	Dimension 5: Staff Policies Dimension 6: Organization and Management of the Institution Dimension 10: Financial Sustainability
	Axis 5: Physical Infrastructure	Dimension 7: Physical Infrastructure
Infrastructure Category	Axis 3: Academic Policies	Dimension 2: Policies for Teaching, Research and Extension Dimension 4: Communication with the Society Dimension 9: Students Services Policy

Source: Silva (2021, p. 114).

Chart 3 highlights the organization of the Dimensions and Axes of the SINAES, analyzed in categories, consistent with what was adopted by UNEMAT's CPA, them being: Administrative and Organizational Category, Infrastructure Category and Pedagogical category. In the Administrative and Organizational Category, the axes and dimensions which refer to the planning, execution and budget of the activities developed by the institution in teaching, research, extension and management, as well as the regulation of the actions, organizational structures, functioning, integration and articulation of the instances, sectors, coordinators and divisions/supervisions were allocated. Whilst in the Infrastructure Category, all of the issues related to classrooms, libraries, laboratories, amongst other aspects which are necessary to the functioning and execution of the planned and developed activities in teaching, research, extension and management at the university were contemplated. Lastly, the Pedagogical Category comprises the dimensions which provided the analysis of the aspects related at the level of activities which were being developed at management, teaching, research and extension, as well as the communication with society, quality of offered services and student services policies.

In this participatory environment of democratic evaluation, the *Planejamento Estratégico Participativo 2015-2025* (2015-2025 Participatory Strategic Planning) of the *Universidade do Estado do Mato Grosso* (State University of Mato Grosso), hosting the SINAES dimensions and axes consistent with the Categories of Analysis. Built with the insignias "planning", "participating" and "implementing", this institutional process began in 2012, with the signing of the Agreement No. 771,800/2012¹⁰ between the *Fundo Nacional de Desenvolvimento da Educação* (National Fund for the Development of Education) (FNDE) and the university. The PEP was conceived under the participatory perspective with qualitative approach, with the assumption of institutional strengthening of a public and democratic university, with didactic-pedagogical and financial autonomy to establish its actions of management, teaching, research and extension, seeking to reach the strategic objectives and the goals at short, medium and long term, in order to potentialize the institutional quality.

In addition, a coordination committee was organized, located at the Rectorate, alongside the local committees, which represented the 13 campuses and the Rectorate headquarters, divided in centers for the operationalization of the works¹¹ involving all instances and sectors, such as Rectorate, Pro-rectorate, colleges, campuses directorates, course coordinations, and segments of the academic community: faculty, technicians, administrators, and students. It was developed in seven stages:

- I) Preparatory phase with the initial organization of the committees and the updating and systematization of information, along with the dissemination of actions and mobilization of the academic community;
- II) Training of Multipliers, conducting the sharing of knowledge and the dissemination of the participatory and democratic perspective across all centers with all segments of the academic community;
- III) Diagnostic Analysis for Strategy Building, positioning the university and analyzing what is being returned to society, along with an examination of the positive points (strengths and opportunities) and negative points (weaknesses and threats) based on the variations of SWOT and the characterization of *fatores críticos de sucesso* (critical success factors) (FCS);
- IV) Development of Guidelines (review and/or improvement of the mission), which is the revision of the university's legal framework, resulting from the institutional identity;

¹⁰ The Agreement/Partnership No. 771,800/2012O had as an objective capacitating the team of staff, composed of higher education technicians and faculty in Strategic Planning, for the main justification consisted of defining UNEMAT's main directions and the elevation of the Índice Geral de Cursos - General Index of Courses - IGC

¹¹ The operational areas of the work reunions were: Center 1-Cáceres (Rectorate, Cáceres, Pontes and Lacerda campuses); Center 2- Tangará da Serra (Tangará, Barra do Bugres and Diamantino); Center 3- Alta Floresta (Alta Floresta and Colíder); Center 4- Sinop (Sinop, Nova Mutum and Juara); e Center 5- Nova Xavantina (Nova Xavantina, Luciara and Alto Araguaia).

- V) Construction of the Strategy, definition of the institution's strategic map, linking the previous stages and the budget for the actions;
- VI) Development of Monitoring Tools for the PEP, defining how and when the forecasts will be evaluated;
- VII) Consolidation of the PE so that university management is aligned with the goals and objectives set. In the final report of the PEP, consisting of 204 pages divided into nine sections, the aspirations of the UNEMAT academic community were highlighted, expressed and validated in short, medium, and long-term objectives by each administrative unit responsible for the proper implementation of what was planned until 2025.

AND WHAT IS THE INTERFACE BETWEEN UNEMAT'S PEP AND THE INSTITUTIONAL EVALUATION?

This construction took place throughout the entire process, in a participatory and strategic environment, in which the 2015-2025 Participatory Strategic Planning of the *Universidade do Estado de Mato Grosso* (State University of Mato Grosso) emerged hosting the SINAES Dimensions and Axes consistent with the Categories of Analysis. The interface between the PEP and Institutional Evaluation becomes more evident in stages 3 (Diagnostic Analysis) and 4 (Development of the Guidelines) of the PEP, when it was established the quantitative and qualitative indicators to be used would be the Dimensions of the *Sistema Nacional de Avaliação da Educação Superior* (National System for the Evaluation of Higher Education) (SINAES), made available to the public by the *Instituto Nacional de Estudos e Pesquisas Educacionais Anísio Teixeira* (Anísio Teixeira National Institute for Studies and Educational Researches) (INEP), regulated by Law No.10,861/2004 (Brasil, 2004a) described in the INEP/DAES/CONAES Technical Note No. 065/2014 (Brasil, 2014). Therefore, the variables of the Critical Success Factors were the Dimensions of the Institutional Evaluation; consequently, the validated strategic objectives of short, medium and long term are the responses of the academic community for its own notes in the evaluation processes.

UNEMAT's Participatory Strategic Planning is still being implemented, for its coverage is of 10 years, that is, it is in the Consolidation stage (7), however, this managing instrument has already been contributing to university management, subsidizing the development of institutional documents, with an emphasis on the objective support of the 2018 University Congress and for the public issue of the *Plano de Desenvolvimento Institucional* (Institutional Development Plan)-PDI 2017-2021 and the 2022-2028 PDI, besides guiding the development and implementation of the Participatory Strategic Planning of UNEMAT's 2022-2030 *Stricto Sensu* Post Graduation.

By interviewing the managers of UNEMAT, it is evident that they understand the importance of the Institutional Evaluation and Strategic Planning in the participatory perspective, concatenated with the SINAES Axes and Dimensions. Concerning the Institutional Evaluation, it is noted that the managers understood it as a processual work capable of noting the positive and negative matters of the institution, and also, that the data/information resulting from the Institutional Evaluation must serve as reflection and discussion by the academic community, with views to the improvement in the quality of the university, subsidizing the planning.

However, it is observed in the speeches that, although the managers versed on the importance of the results of the evaluation on university management, they made little use of the data to develop and/or guide their activities at the university, stating that many actions ceased to be carried out throughout the years due to issues of financial order, which were frustrated and/or contingent on the part of the State. It was also evident that the institutional Evaluation took on the role of evaluating what is being done and maintaining the short, medium and long-term planning closer to reality, subsidizing the daily activities.

FINAL THOUGHTS

The interfacial relation of planning and evaluation, by means of the Categories of Analysis and the SINAES Axes and Dimensions, is of utmost importance for the distancing between what is planned and what is evaluated to be diminished, for there will be, consequently, the feedback of the information. This will allow for the managers to base themselves on more reliable information, allowing for more assertive decision making which represents the desires of the community, guiding the discussions and planning of the university with views to the establishment and achievement of quantitative and qualitative goals inherent to the university's mission.

At UNEMAT, the Final Reports of Institutional Evaluation have been aiding in the development of institutional documents which guide the institution's macro pedagogical policies, as is the case of the *Planejamento Estratégico Participativo* (Participatory Strategic Planning) (PEP) 2015-2025, of the *Plano de Desenvolvimento Institucional* (Institutional Development Plan) (PDI) 2017-2021, of the *Plano de Desenvolvimento Institucional* (Institutional Development Plan) (PDI) 2022-2028, of the 2022-2030 *Stricto Sensu* Participatory Strategic Planning and of the final confection of the 2018 Final Report of the Cycle's Self-Evaluation. These institutional documents have the participatory and democratic principles in common, which subsidize and/or allow for the managers to make more assertive and legitimate decisions, with actions developed and implemented based on that which the academic community noted as the best course for the institution to trail, and in this manner, propitiating the interfacial relation of evaluation with institutional planning, allowing for the feedback of the university management.

The study also highlighted that university administrators understand the importance of integrating planning/management/evaluation through the intersections of the SINAES Axes and Dimensions. They recognize that Institutional Self-Evaluation has contributed to and strengthened spaces for discussion and participation within the community, allowing various stakeholders to make their contributions and suggestions. Furthermore, administrators believe that Participatory Strategic Planning is an administrative tool for organizations and/or institutions committed to the participatory principle (conception), where the entire process occurs collectively (democratic process), defining the purpose and/or business (mission) and contributing to the construction of the future image (vision), the actions to be implemented (strategic guidelines), and whether what was planned is actually being carried out (follow-up and/or monitoring). On the other hand, it became clear that administrators made little use of these institutional documents in decision-making and in guiding the university's daily activities. However, it was also proven that this scenario can be changed through a shift in culture and habits on the part of university administrators.

The academic community must be aware of the Institutional Evaluation and Participatory Strategic Planning of the institution, analyzing and dialoguing with the services provided by the university managers, in order to base their actions and everyday activities of the public university to improve the quality of teaching, research, extension and management in the most professional way possible, considering the contributions of short, medium and long term, aiming for the consolidation of a public, free and quality institution.

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