

## **Ordinance 64, March 24, 2010**

THE PRESIDENT OF THE COORDINATION FOR THE IMPROVEMENT OF HIGHER EDUCATION PERSONNEL – CAPES, according to the attributions foreseen in art. 26, clause IX, Decree 6.316, from December 20, 2007, and considering the need to regulate the system of the Graduate Support Program – PROAP, **determines:**

Art. 1. The approval of the new Graduate Support Program, annexed to this Ordinance.

Art. 2. This Ordinance comes into force on the date of its publication on the Union Official Journal and revokes the Ordinance 10, from March 27, 2002 as well as any contrary rules.

Jorge de Almeida Guimarães

(Annex to Ordinance CAPES 64, March 24, 2010)

## REGULATION OF THE GRADUATE SUPPORT PROGRAM – PROAP

### Chapter I

#### OBJECTIVE OF THE PROGRAM AND CRITERIA FOR THE APPLICATION OF RESOURCES

Art. 1. The goal of the Graduate Support Program – **PROAP** is to provide better conditions for human resources training, as well as the achievement and improvement of knowledge in the scope of *stricto sensu* graduate courses at public Higher Education Institutions – IES, according to the following aspects:

I – supporting innovative activities in graduate programs targeting their academic development in order to provide an increasingly qualified and diverse training to graduate students;

II – using the resources available at the scientific level of masters and doctors to meet the main need of the national demand within a reasonable time;

III – accessing the resources targeted to fund academic and research activities in the scope of graduate programs regarding the projects of thesis and dissertation by graduate students, in addition to maintaining and improving the existing programs, and

IV – supporting the development of activities of planning, definition, and implementation of the Graduate Institutional policy and the articulation of the IES participation in the PROAP.

### Chapter II

#### CONDITIONS FOR THE ADMITTANCE OF THE INSTITUTION IN THE PROAP

Art. 2. By participating in the PROAP, the IES must:

I – have public legal personality and offer free education;

II – maintain *stricto sensu* graduate program(s) evaluated by CAPES and presenting scholarship quota granted by the Social Demand Program – DS by CAPES under a score equal to or higher than 3 (three);

III – maintain a administrative infrastructure responsible for managing the PROAP in the institution, such as the DS, and

IV – be responsible for meeting the obligations established in the agreements and terms of cooperation formalized with CAPES.

## Chapter III

### PROAP MANAGEMENT

Art. 3. The PROAP management is executed by the Dean's Office of Research and Graduate Courses of the participant IES or equivalent higher management body in charge of the *stricto sensu* graduate course, according to this regulation.

Single paragraph. It will for CAPES, the participant institution and the program to:

#### **I - Attributions of CAPES:**

- a) define the reference values established to each Graduate program
- b) execute the transference of the resources required to implement the PROAP, and
- c) monitor and evaluate the PROAP performance.

#### **II – Attributions of the participant institution**

- a) To refer to CAPES the Institutional Work Plan (Annex I) resulting from the consolidation of the work plans of all graduate programs in the institution and the Dean's Office (Annex II);
- b) To verify and send to CAPES all documents required to implement the PROAP;
- c) To publish internally all announcements sent by CAPES referring to PROAP;
- d) To execute the accountability of the fixed agreements and report objects within the established deadlines;
- e) To interact with CAPES to improve the PROAP and the graduate program, and
- f) To coordinate the PROAP implementation through the Dean's Office, which will be responsible for establishing contact between the institution and CAPES.

#### **III - Attributions of the Coordinations of the Graduate Programs**

- a) To observe the PROAP rules;
- b) To keep up to date regarding the compliance of general rules by generating a file containing administrative information related to the PROAP to be permanently available to the Dean's Office and CAPES.

## Chapter IV

### General and operational rules of the PROAP

#### Section I

Art. 4. The reference value for the distribution of the financial resources per graduate program is established in function of the:

I - budget availability of CAPES;

II - quota of DS scholarships, nature of the knowledge area (table of weights in the Annex III), level of training (master or doctorate) and is represented in the following expression:

$$\text{Value of reference} = (\text{quota of master scholarships DS} \times \text{R\$ } 500.00 \times \text{weight of the area}) + (\text{quota of doctoral scholarships DS} \times \text{R\$ } 800.00 \times \text{weight of the area}) + \text{R\$ } 16,000.00 ;$$

Single paragraph. The sum of the share of the total resources granted to the graduate programs of each institution, which will be 10% of the total, is to be managed by the Dean's Office and included in the Institutional Work Plan.

#### Transference of Resources

Art. 5. The instruments applied in the transference of resources will be the Term of Agreement, Term of Cooperation or Researcher Fund – AUXPE:

I – the AUXPE will be used whenever the yearly value to be referred is below the value fixed in clause I, art. 2, Decree 6170, from July 25, 2007;

II – upon the application of clause I of art. 5 in this regulation, the AUXPE will be formalized between CAPES and the Dean's Office for Research and Graduate courses, or equivalent authority.

Art. 6. The resources will be transferred according to the Terms of Agreement and Cooperation executed with the IES to the AUXPE when applicable according to the financial availability of CAPES and based on the values described in the service planning.

#### FINANCED ITEMS

Art. 7. The Institutional Work Plan presented can support essential funding expenses in the scope of the services to meet the purposes listed and described as follows:

#### Equipment Maintenance

I – acquisition of reposition material; hiring legal entity service, with or without provision of pieces used for the activities of the graduate programs – aim established in clause III of art. 1.

### **Functioning of Laboratories of Education and Research**

II – acquisition of material for third-party consumption and services – legal entity, required for the laboratory functioning;

III – expenses with tickets and accommodation for teachers and technicians who are required to move in order to undertake training in new techniques of laboratory and equipment use linked to the development of their students' theses or dissertations;

IV – expenses with visiting and guest teachers to participate in the training can be funded with resources for acquisition of tickets and accommodation. The values of such expenses will be established according to specific federal legislation covering a maximum period of 14 (fourteen) days.

### **Production of Didactic-Instructional Material and Publication of Scientific Papers**

V – material for third-party consumption and services – legal entity to elaborate didactic-instructional material, graphic editorial business, and material for the publication of activities supported by CAPES;

VI – publication of scientific paper in the country and abroad;

VII – maintenance of the library of journals, provided it is not contained on the Web Portal of Journals of CAPES;

VIII – acquisition of books for common use to be provided at the libraries of the institutions, provided that these are obtained using fund resources, according to the Union Chart of Accounts;

IX – payment of annuities to Scientific Associations and National Associations of Graduate Programs,

X – hiring of legal entity service to pay for services of linguistic review and translation of scientific papers subjected to indexed scientific journals of international circulation.

### **Acquisition of new IT technologies**

XI – funding of acquisition of new computer technologies, applications, supplies, and peripherals classified according to the institutions, such items of funding, third-party services for the education of students, professors and technician of the institutions.

### **Technical-Scientific Events promoted by the Graduate Program**

XII – material for consumption, rent of physical space and equipment required for the promotion of events, third-party services of translation and support to other services related to the planned event. The expenses associated with guest teachers can be financed from the resources foreseen in paragraph “XIII” of this article.

### **Participation of guest professors in examining boards of theses, dissertations, and qualification examinations**

XIII – expenses for the payment of tickets and accommodation, established according to the current federal legislation, for guest professors to participate in examining boards of theses, dissertations, and qualification of examinations.

### **Participation of Coordinators of Graduate Programs in Events in the Country**

XIV – expenses for the payment of tickets and accommodation, established according to the current federal legislation and article 8 of this regulation, for a maximum period of 5 (five) consecutive days, for the Coordinator of the Graduate Program, or its representative, to participate in events promoted by CAPES, if and when convened, as well as those related to national forums and national associations of Graduate Courses and Research in the scope of the knowledge area referent to the Graduate Program.

### **Participation of professors in events in the country**

Art. 8. The use of resources can be granted to cover expenses of application fee corresponding to the maximum value of R\$ 500.00 (five hundred Real), tickets, and accommodation, established according to current federal legislation, for a maximum period of 5 (five) consecutive days.

Paragraph Single. These expenses will cover work presentations by professors and participation of Graduate Programs coordinators in national forums.

### **Participation of professors in events abroad**

Art. 9. Resources to cover expenses with accommodation can be used, according to the current federal legislation, for a maximum period of 7 (seven) days, and application fee (legal entity) in the equivalent amount in Real – a maximum of US\$500.00 (five hundred dollars) per professor.

Single paragraph. These expenses will be funded provided that they fit at least one of the situations below :

- 1) If the request of international airplane ticket acquisition is accepted or obtain favorable opinion regarding the nature of the pleading by the **Program of Travel Abroad Grant-AEX** by CAPES or by another program of the same nature by another public funding agency (CNPq and FAPs). Therefore, the interested teachers must seek the services of the abovementioned programs in the respective agencies to obtain the corresponding airplane ticket, in addition to presenting to the respective institution the letter of granting to gain the support mentioned in this item. In case of support by another agency, the PROAP resources can be used provided that the professor is granted only with the airplane ticket. An interval of 2 (two) years must be complied to receive the benefit, except for the events held in countries of Latin America,
- 2) It is exempted from review of substance if the event is held in countries of Latin America provided that the applicant is officially withdrawn from the institution according to publication on the Union Official Journal of the state or municipality.

### **Participation of students in events in the country**

Art. 10 The participation of regularly enrolled students in scientific events in the country, such as congresses, seminars, and courses, can be funded with resources destined to cover the following expenses:

I – application fee, in the maximum amount of R\$ 500.00 (five hundred Real) per event, ticket, accommodation, food, and urban transport;

II – in cases of participation in congresses and seminars, these expenses will be covered exclusively for students who perform work presentations for a maximum period of 5 (five) consecutive days and the corresponding amount cannot exceed the equivalent value referent to the accommodation of a professor who possibly participate in the same event;

III – the participation in courses or disciplines that do not integrate the mandatory study disciplines foreseen by the institutions will be allowed provided that these are necessarily linked to the students' theses and dissertations.

Single paragraph. In case of economic gain, it will be possible to substitute the tickets of the students who present their scientific production with the rental of a car of common use (legal entity), which will possibly enable the participation of other students without the PROAP covering their expenses.

### **Participation of doctoral students in events abroad**

Art. 11. The participation of regularly enrolled doctoral students in scientific events abroad will be funded with resources to cover application fee expenses (legal entity) in the equivalent amount in Real – a maximum of US\$ 500.00 (five hundred dollars) per graduate student on the data of the expense issue, airplane ticket (at promotional rate), food, accommodation, and urban transport até o value maximum up to the maximum foreseen in the current federal legislation for a maximum period of 7 (seven) days.

Paragraph single. The funding of expenses for the participation of doctoral students in congresses or conferences abroad will be authorized only upon the compliance of the following requirements:

- I – the doctoral student must be the main author or co-author of the paper to be presented in the event;
- II – work presentation at oral session or poster session in the scope of events of acknowledged international relevance in the corresponding area of knowledge, and
- III – proof of regular enrolment in graduate program, acceptance and/or official communication to participate in the congress/conference.

### **Participation of master students in events in Latin America**

Art. 12. The participation of regularly enrolled master students in scientific events in Latin America will be funded with resources to cover application fee expenses (legal entity) in the equivalent amount in Real – a maximum of US\$500.00 (five hundred dollars) per graduate student – on the date of the funding issue, airplane ticket (at promotional rate), food, accommodation, and urban transport, up to the maximum foreseen in the current federal legislation for a maximum period of 7 (seven) days.



Single paragraph. The funding of the expenses regarding the participation of master students in congresses or conferences abroad will be authorized only upon the compliance of the following requirements:

I – the master student must be the main author or co-author of the paper to be presented in the event;

II – work presentation at oral session or poster session in the scope of events of acknowledged international relevance in the corresponding area of knowledge, and

III – proof of regular enrolment in graduate program, acceptance and/or official communication to participate in the congress/conference.

### **Participation of visiting professors in the Programs**

Art. 13. The participation of visiting professors, either Brazilian or foreign, from graduate programs in academic activities lasting 30 (thirty) consecutive days, or not, for every period of 1 (one) year, will be supported using resources to cover expenses with tickets and accommodation, as defined in the current federal legislation.

Single paragraph. PROAP will finance essential funding expenses regarding the permanence of Visiting Professors in the scope of the Graduate Program. For periods of duration equal to or higher than 16 (sixteen) consecutive days, professors will be granted with an amount equivalent to the value of the post-doctoral scholarship in the country. For activities that last from 11 (eleven) to 15 (fifteen) consecutive days, professors will be granted with an amount equivalent to half of the scholarship value. In case of 10 (ten) consecutive days, only the accommodation aspect will be funded.

### **Participation of professors and students in field works and data collection in the country**

Art. 14 . The participation of professors and students in works or practical field lessons and data collection in the country will be funded using resources destined to cover the following expenses:

I – rental of cars, services, material for consumption required to the development of field activities, tickets, and accommodation for professors (visiting or permanent);

II – tickets, accommodation, food, and urban transport for the participation of students.

§ 1. Expenses with fuel can be funded to meet the transportation needs of professors and students when participating in field works provided that the vehicle belongs to the institution, is rented or formally granted by legal entity.

§ 2. This item also finances the acquisition of tickets for all students regularly enrolled in traineeship activities in the scope of national institutions according to the Regulation of the Social Demand Program.

### **Funding of accommodation for professors**

Art. 15. Upon **payment of accommodation** for the participation of professors in the events foreseen in this Regulation, **it will not be allowed to fund other expenses such as accommodation, food, or urban transport.**

## **NON FINANCED ITEMS**

Art. 16. Under no circumstances the resources of this program will be used to pay either visiting or not visiting professors in the scope of pro-labore, consulting, bonus, technical assistance or any other type of remuneration to teach courses, seminars or lectures, or present works, participate in examining boards or field works, which is also applied to payments for third-party services – private individual – to cover expenses that characterize long-term contracts, employment bond, recapitalization of the institution, signings that are to target to graduate activities or those not in accordance with Law 8.666, from June 21, 1993, Law 9.648, from May 27, 1998 and IN/STN001, from January 15, 1997.

### **Relevant Federal Legislation**

Art. 17. The application of the PROAP resources must follow the current federal legislation – Law 9.394 (Guidelines and Base of the National Education), from December 20, 1996, Complementary Law 101, from May 04, 2000, Law 8.429, from February 02, 1992, Law 8.666 from June 21, 1993, Normative Ruling/STN 1, from January 15, 1997, Decree 6.907, from July 21, 2009, Decree 6.170, from July 25, 2007, Interministerial Ordinance 127, from May 29, 2008, Decree 5.992, from December 19, 2006, and Decree 6.576, from September 25, 2008 – along with the rules of PROAP, the Terms of Agreement and Cooperation formalized with the IES and AUXPE, when applicable, regarding the distribution of the resources contained in the Institutional Work Plan presented by the Dean’s Office and specific orientations demanded by the Directory of Management by CAPES.

### **Implementation Deadline**

Art. 18. The Institutional Work Plan must be elaborated over the fiscal year between January 1 to December 31.

## **ANNEXES**

I – Institutional Work Plan – PROAP

II - Work Plan of the Graduate Program – PROAP III - Table of Weights per Knowledge Area and Level – PROAP

**ANNEX I****INSTITUTIONAL WORK PLAN – PROAP****INSTITUTION:**

<b>FUNDED ITEMS:</b>		
<b>ITEM</b>	<b>DESCRIPTION OF THE ACTIVITIES/NATURE OF THE EXPENSES</b>	<b>COST</b>
Clause I of Art.7	Maintenance of equipment	
Clauses II, III and IV of Art.7	Functioning of laboratories of education and research	
Clauses V, VI, VII, VIII, IX and X of Art.7	Production of didactic-instructional material and publication of scientific articles	
Clause XI of Art.7	Acquisition of new computer technologies	
Clause XII of Art.7	Technical-scientific events promoted by the Graduate Program	
Clause XIII of Art.7	Participation of guest professors in examining boards of theses, dissertations and exams of qualification	
Clause XIV of Art.7	Participation of Coordinators of Graduate Programs in Events in the Country	
Art. 8	Participation of professors in events no country	
Art. 9	Participation of professors in events abroad	
Art. 10	Participation of students in events no country	
Art. 11	Participation of doctorate students in events abroad	
Art. 12	Participation of master students in events in Latin America	
Art. 13	Participation of visiting professors in program	
Art. 14	Participation of professors and students in field works and data collection in the country	
<b>TOTAL</b>		

**DATE AND SIGNATURE OF THE DEAN OF GRADUATE AND RESEARCH:**

**ANNEX II**  
**GRADUATE PROGRAM WORK PLAN – PROAP**

<b>FUNDED ITEMS:</b>		
<b>ITEM</b>	<b>DESCRIPTION OF THE ACTIVITIES/NATURE OF THE EXPENSES</b>	<b>COST</b>
Clause I of Art.7	Maintenance of equipment	
Clauses II, III and IV of Art.7	Functioning of laboratories of education and research	
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Art. 8	Participation of professors in events no country	
Art. 9	Participation of professors in events abroad	
Art. 10	Participation of students in events no country	
Art. 11	Participation of doctorate students in events abroad	
Art. 12	Participation of master students in events in Latin America	
Art. 13	Participation of visiting professors in program	
Art. 14	Participation of professors and students in field works and data collection in the country	
<b>TOTAL</b>		

**DATE AND SIGNATURE OF THE GRADUATE PROGRAM COORDINATOR:**

## ANNEX III

TABLE OF WEIGHTS PER KNOWLEDGE AREA AND LEVEL – PROAP

Major Area	WEIGHT	
	Master	Doctorate
Exact and Earth Sciences	4	5
<b>Exceptions:</b>		
Mathematics	3	4
Statistics	3	4
Biological Sciences	4	5
Engineering	4	5
Health Sciences	4	5
<b>Exceptions:</b>		
Physical Education	3	4
Nursing	3	4
Agrarian Sciences	4	5
Applied Social Sciences	2	3
<b>Exceptions:</b>		
Architecture	3	4
Communication	3	4
Human Sciences	2	3
<b>Exception:</b>		
Psychology	3	4
Anthropology	4	5
Geography	4	5
Languages and Linguistics	2	3
Arts	3	4
Multidisciplinary	3	4
Sciences of Education	2	3