

# **APPROVAL PROCESS**

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FOR

# **DIPLOMA INSTITUTIONS**

**2007-2008**

**ALL INDIA COUNCIL FOR TECHNICAL EDUCATION  
I.G. Sports Complex, I. P. Estate,  
New Delhi – 110 002**

## **PROGRAMMES REQUIRING AICTE APPROVAL**

### **1.1 DIPLOMA LEVEL COURSES**

1. Diploma in Engineering & Technology
2. Diploma in Pharmacy
3. Diploma in Architectural Assistantship
4. Diploma in Hotel Management & Catering Technology
5. Diploma courses in the field of Applied Arts & Crafts
6. Post-Diploma/Advanced Diploma Courses related to Technical Education

- 1.2 Increased enrollment initiatives for optimal utilization of infrastructure:** The Council will consider proposals for starting second shift of enrollment for a select programme, of well reputed Diploma Level Institutions in order to increase enrollment for Diploma Level courses and also to reduce the education cost by optimal utilization of infrastructure facilities. The institutions will be required to provide teaching faculty and the Principal/ Head of the Institute separately for the second shift. This provision will be considered for new institutions as well as to existing institutions beginning year 2007-2008.

**PROCEDURE FOR PROCESSING OF PROPOSALS FOR ESTABLISHMENT OF NEW TECHNICAL INSTITUTIONS (DIPLOMA) FOR THE ACADEMIC YEAR 2007-2008**

**2.1 REQUIREMENT OF GRANT OF APPROVAL**

No new technical institution of Government, Government Aided or Private (self financing) institution shall be started and no new courses or programs in Technical Education shall be introduced and no increase/ variation of intake shall be effected without obtaining prior approval of the Council.

**2.2 THE APPLICATION FORM CAN BE SUBMITTED BY**

- a) Registered Societies and Trusts /Self financing Private Institutions
- b) Central/State Government Institutions/Government Aided Institutions

The stages involved in the processing of applications are described below:

**2.3 STAGE -1**

**SUBMISSION OF APPLICATION**

Applications duly filled in along with requisite processing Fee may be submitted any time of the year to the Director Technical Education of the concerned State Govt./UT in original and a copy sent to the Concerned Regional Office of AICTE

## **CHECK LIST TO BE FOLLOWED AT THE TIME OF SUBMISSION OF APPLICATION**

- Copy of Registration of Society/Trust along with details of constitution, memorandum of association of the Society/Trust.
- Copy of letter from Competent Authority as designated by the concerned State Government for classification of land, with respect to its location i.e. Metropolitan City/State Capital /Others.
- Copy of registered land documents in the name of applicant Trust/Society.
- Copy of building plan prepared by an Architect and approved by the Competent Authority as designated by concerned State Govt./UT.
- Copy of resolution of the Society/Trust /Applicant earmarking land for the proposed institution(s)
- Copy of land use certificate from Competent Authority as designated by concerned State Govt./UT
- Details of latest fund position along with photocopy of FDR's, SB A/c, Current A/c etc. available with the applicant for this proposal
- Detailed Project Report (DPR).

### **2.4 STAGE - II**

#### **VERIFICATION OF DOCUMENTS.**

The application alongwith following documents received at the Directorate of Technical Education of the concerned State Govt./UT may be scrutinized by

a committee comprising experts, including Regional Officer of AICTE as members and Director, Technical Education or his nominee as convenor constituted by the Secretary dealing with technical education of the concerned state Govt./UT.

1. Registration document of the Trust/ Society indicating members of Society/ Trust and its Objectives.
2. Land document(s) in original showing ownership in the name of Trust/Society in the form of Registered Sale Deed / Irrevocable Gift Deed (Registered)/ Irrevocable Government Lease (for minimum 30 years) by concerned authority of Government.
3. Land Use Certificate/ Land Conversion Certificate allowing the land to be used for educational purpose, from the Competent Authority along with Topo-sketch/ Village Map indicating land Survey Nos. and a copy of City road map showing location of proposed site of the institution.
4. Site Plan, Building Plan prepared by a registered Architect and duly approved by the Competent Plan Sanctioning Authority of the concerned State/UT admn.
5. Proof of adequate working capital (Funds) in the form of either Fixed Deposits in the Bank / latest Bank Statement of Account maintained by the Society / Trust/Applicant.
6. Justification and viability of the project as enunciated in the DPR.
7. The deficiencies if any, shall be communicated by the Director Technical Education under intimation to the concerned Regional Office of the AICTE concerned State/UT to the applicant institution within 15 days from the date of receipt of the Application.

## 2.5 STAGE - III

### ISSUE OF LETTER OF INTENT

The recommendations of the Scrutiny Committee will be considered by the State level Committee, whose constitution is given below:

- 1) **Secretary of Higher Education / Technical Education of the Concerned State / UT / or his Nominee not below to level of Professor/Director/VC of a University.** **Chairman**
- 2) **Regional Officer of AICTE or a AICTE representative not below the rank of Deputy Director/Reader or equivalent.** **Member**
- 3) **Two (2) Subject Experts to be nominated by the State Govt./ UT Administration from within the State / UT or outside the State / UT** **Members**
- 4) **Director of Technical Education / State Board of Technical Education of the Concerned State /UT** **Member Secretary**

Based on the recommendations of the above Committee, the Regional Office of AICTE shall issue a letter of Intent to the Applicant Trust/Society.

The Letter of Intent shall be valid for a **maximum period of 3 years**, during which the Institution shall complete all requirements as per the Norms & Standards and conditions as decided by the Council from time to time.

In respect of cases, in which Letter of Intent is denied, the grounds for rejection shall be duly communicated to the concerned Applicant Institution. The Applicant may submit Compliance Report along with documentary

evidence to substantiate the claims to be considered for reconsideration by the State Level Committee.

## 2.6 STAGE - IV

### ISSUE OF LETTER OF APPROVAL

The Applicant Trust/Society to whom the Letter of Intent issued would be required to comply with the following requirements and submit the documents to the Director of Technical Education of concerned State Govt./UT.

- 1) A non-refundable processing fee of Rs. 25,000/- drawn in favour of "The Director Technical Education" of the Concerned State Govt./UT (Government and Govt. aided Institutions are exempted from payment of processing fee).
- 2) A Joint Fixed deposit of Rs. 15 lakhs created in the joint names of the President/Chairman of the Applicant Society/Trust and the Director Technical Education of the Concerned State Govt./UT (Government and Govt. aided Institutions are exempted):

The original Joint Fixed Deposit Receipt shall be kept under the custody of the proposed institution. A copy of the Joint Fixed Deposit Receipt shall be submitted to the Director Technical Education of the concerned State Govt./UT along with an affidavit on non judicial stamp paper of prescribed value stating that the Joint Fixed Deposit shall not be encashed or modified without prior consent of AICTE and DTE. the Director Technical Education of the concerned State Govt./UT shall instruct the concerned Bank not to allow any encashment/modification of fixed deposit and grant of loan against the FDR without prior consent of AICTE and the Director Technical

Education of the concerned State Govt./UT. The Applicant Society/Trust/Institution may be permitted to encash the Joint Fixed Deposit on expiry of the term of the Fixed Deposit. However, the term of the fixed deposit could be extended for a further period as may be decided on case to case basis and/or forfeited in case of any violation of norms, conditions, and requirements and/or non-performance by the institution and/or complaints against the institution.

The processing fee and the Joint FDR amount for Minority institutions may be reduced by 20%.

## **2.7 STAGE -V**

### **EXPERT COMMITTEE VISIT**

- (a) As and when the applicant is ready for an inspection for verification of its preparedness for establishment of the proposed institution, it shall make an application indicating compliance of the conditions stipulated at para 2.6 above for causing an inspection.
- (b) A visit of Expert Committee will be arranged by Director Technical Education of the concerned State Govt./UT for verification of the facilities created for establishment of the proposed Institution.
- (c) The Expert Visiting Committee shall comprise of the following members:
  - **Three Expert members not below the level of Associate Professor/Reader**
  - **Regional Office of the AICTE or a AICTE representative not below the rank of Reader or equivalent.**

- **Director Technical Education of the Concerned State Govt./UT or his nominee not below the rank of JT/Dy. Director level as Convener.**

(d) The Expert visiting Committee shall examine the preparedness of the institution to impart quality education as per the norms & standards and conditions prescribed by the Council from time to time.

## **2.8 STAGE - VI**

### **CONSIDERATION AND ISSUANCE OF LETTER OF APPROVAL/REJECTION**

1. The Report of the Expert Committee shall be placed before the State Level Committee for consideration.
2. Based on the recommendations of the State level Committee the Regional Officer of AICTE shall issue letter of approval.
3. The Letter of Approval shall be valid for a maximum period of 2 years. It shall be the responsibility of the Applicant institutions to obtain necessary permission/affiliation for admission of students from the concerned Admission Authority/State Govt./UT/Board during the validity of the period of approval. In case the institution fails to start the approved programmes during the validity period of approval, the applicant institution make a fresh application for consideration of letter of intent.

In respect of cases, for which approval is denied for non-fulfillment of norms & standards and conditions as may be stipulated by the Council,

grounds of denial shall be communicated to the concerned Applicant/Society/Trust/Institution.

## 2.9 STAGE -VII

### APPEAL FOR RECONSIDERATION OF THE PROPOSAL

In case approval for establishment of new institution is not granted, the applicant can make an appeal with documentary evidence to substantiate the claims made and the appeal shall be heard by the following Committee:

- **The Chairman of the AICTE Regional Committee as Chairman**
- **Two members not below the rank of Professor to be nominated by the Chairman AICTE ----- members**
- **Director of Technical Education of the State Govt./UT- member**
- **Regional Office of AICTE -----convener**

Based on the Recommendations of the Appellate Committee Letter of Approval/Rejection shall be issued by the Regional Officer of AICTE on behalf of the Council.

Incase the proposal is rejected based on the recommendations of the Appellate Committee, the Applicant Society/Trust shall make a fresh proposal.

## **Extension of Approval to Existing Technical Institutions (Diploma level Technical Institutions)**

### **3. Requirement of Grant of Approval**

No existing technical institution of Government, Government Aided or Private (self financing) shall conduct any technical course/programme without obtaining prior approval of the Council.

#### **3.1 APPROVAL PROCESS FOR PROCESSING PROPOSALS FOR EXTENSION OF APPROVAL TO EXISTING TECHNICAL INSTITUTIONS:**

(a) AICTE approved technical Institutions shall submit a Compliance Report in the prescribed format along with mandatory disclosure information to the concerned Director of Technical Education of the concerned State Govt./UT and a copy to the concerned Regional Office of the Council by 31st August every year.

(b) The institution shall also submit an undertaking in the prescribed format stating that the information provided in the Compliance Report is factual and correct and that the Council can take appropriate action, including withdrawal of approval, if it is found that the information provided in the Compliance Report is false.

3.2 (a) The compliance reports shall be placed before the State Level Committee comprising:

1) **Secretary of Higher Education / Technical Education Chairman of the Concerned State / UT / or his Nominee not below to level of Professor/Director/VC of a University.**

2) **Regional Officer of AICTE or any Member AICTE representative not below the rank of**

**Deputy Director/Reader or equivalent.**

3) **Two (2) Subject Experts to be nominated by the State Govt./ UT Administration from within the State / UT or outside the State / UT** **Members**

4) **Director of Technical Education / State Board of Technical Education of the Concerned State /UT** **Member Secretary**

3.3 (a) Based on the recommendations of the Sate level Committee the Regional Officer of AICTE shall issue letter of extension of approval/rejection letter.

(b) The approvals to all the existing technical institutions shall be communicated by 30<sup>st</sup> June every year.

(c) In those cases where extension of approval is denied for non-fulfillment of norms, & standards and conditions as may be stipulated by the Council, grounds of denial shall be communicated to the institution.

3.4 In case Extension of Approval is not granted, the Institution can make an appeal with documentary evidence to substantiate the claims made and the appeal shall be heard by the following Committee:

- **The Chairman of the AICTE Regional Committee as Chairman**
- **Two members not below the rank of Professor to be nominated by the Chairman AICTE -----members**
- **Director of Technical Education of the State Govt./UT- member**
- **Regional Office of AICTE -----convener**

Based on the Recommendations of the Appellate Committee letter of extension/rejection shall be issued by the Regional Officer of AICTE on behalf of the Council.

- 3.5 Random visits may be organized by the Director of Technical Education through Expert Committee (as per the composition of the Committee defined at Para 2.7 above.) Any time for verifying the status of maintenance of norms and standards by the Institutions.
- 3.6 a) The Technical Institutions shall publish an information booklet before commencement of the academic year giving details regarding the institution and courses/programmes being conducted and details of Infrastructural facilities including faculty etc. in the form of mandatory disclosure. The information booklet shall be made available to the stakeholders of the technical education on cost basis. The information booklet shall be revised every year incorporating latest information on all aspects of the institution.
- (b) It shall be mandatory for the technical institutions to maintain a Web site providing the prescribed information. The website information must be continuously updated as and when changes take place.
- (c) If a Technical Institution fails to disclose the information or suppress and/or misrepresent the information, appropriate action including withdrawal of AICTE approval could be initiated.

**Introduction of New Courses or Programmes and/or for Variation/Increase in the Intake Capacity of the Existing Courses in Existing AICTE-Approved Technical Institutions (diploma).**

**4.1 Requirement of Grant of Approval**

No technical institution of Government, Government Aided or Private (self financing) shall conduct courses or programs in Technical Education and no new courses or programs shall be introduced and no increase and/or variation of intake in the existing Courses/Programmes shall be effected at all levels in the field of 'Technical Education' without obtaining prior approval of the Council.

**4.2 The stages involved in the processing of Proposals are described below:**

**4.3 Stage-I- Submission of Proposals**

The AICTE approved technical Institutions may submit "any time" round the year a proposal for grant of approval for introduction of new courses or programmes and/or increase/ variation in the intake capacity, in the prescribed format along with the following documents to the concerned Director of Technical Education of the State Govt./UT and a copy to the Regional Office of AICTE

- A copy of the Compliance Report along with Mandatory Disclosures submitted.
- Detailed Project Report along with relevant documents

**4.4 STAGE-II: Verification of the proposal:**

- The Proposal shall be scrutinized by a Committee comprising Experts including Regional Officer of AICTE as members and Director of Technical Education or his nominee as Convener.
- Deficiencies if any, shall be communicated by the Director, Technical Education of the concerned State/UT intimation under intimation to the Regional Office of AICTE to the applicant Institution within 15 days from the date of receipt of the proposal.

#### **4.5 Stage-III- Evaluation of Proposal**

(a) The proposal shall thereafter be considered by the State level Committee:

- |    |  |                         |
|----|--|-------------------------|
| 1) | <b>Secretary of Higher Education / Technical Education of the Concerned State / UT / or his Nominee not below to level of Professor/Director/VC of a University.</b> | <b>Chairman</b>         |
| 2) | <b>Regional Officer of AICTE or any AICTE representative not below the rank of Deputy Director/Reader or equivalent.</b>   | <b>Member</b>           |
| 3) | <b>Two (2) Subject Experts to be nominated by the State Govt./ UT Administration from within the State / UT or outside the State / UT</b>                            | <b>Members</b>          |
| 4) | <b>Director of Technical Education / State Board of Technical Education of the Concerned State /UT</b>   | <b>Member Secretary</b> |

4.6 (a) Based on the recommendations of the State level Committee, the Regional Officer of AICTE shall issue a letter of approval/rejection for introduction of new courses/programmes and/or increase/variation of intake capacity.

(b) The approval accorded by the AICTE shall be valid for two years from the date of issue of letter of approval. It shall be the responsibility of the Applicant institutions to obtain necessary permission/affiliation for admission of students from the concerned Admission Authority/State Govt./UT/Board during the validity of the period of approval. In case the institution fails to start the approved programmes during the validity period of approval, the applicant institution make a fresh application.

(c) In those cases where approval is denied for non-fulfillment of norms, & standards and conditions as may be stipulated by the Council, grounds of denial shall be communicated to the concerned institutions.

4.7 In case approval for introduction of new courses/programmes and /or increase/variation of intake capacity is not granted, the applicant institution can make an appeal with documentary evidence to substantiate the claims made and the appeal shall be heard by the following Committee:

- **The Chairman of the AICTE Regional Committee as Chairman**
- **Two members not below the rank of Professor to be nominated by the Chairman AICTE -----members**
- **Director of Technical Education of the State Govt./UT- member**
- **Regional Office of AICTE -----convener**

Based on the Recommendations of the Appellate Committee the Regional Officer of AICTE shall issue letter of approval or rejection for introduction of new courses or programmes and/or increase in intake and/or variation in the intake capacity.

4.8 The decision on grant of approval or otherwise shall be communicated to the institutions throughout the year.

4.9 Cases where approval is denied on the recommendations of the Appellate Committee grounds of denial shall be communicated to the concerned Applicant Institution.

In case the proposal is rejected based on the recommendations of the Appellate Committee, the Applicant Society/Trust shall make a fresh Proposal.

## AICTE NORMS FOR DIPLOMA LEVEL TECHNICAL INSTITUTIONS

1. **Intake and No. of courses:-** Diploma level technical institutions may be started with 5 courses with an intake of 300. The class size should be 60 in each discipline. Intake could be increased subject to providing additional infrastructure, faculty and other facilities as per the AICTE norms and accreditation of programmes.
2. In order to put the available resources to optimum use, diploma level institutions may start courses in relevant clusters/groups such as:
  - a. Mechanical Engineering Group,
  - b. Information Technology and Electronics Communication Engineering Group,
  - c. Electrical Engineering Group,
  - d. Civil Engineering and Architecture Group,
  - e. Hotel Management, Food Technology and Travel and Tourism Group,
  - f. Applied Arts and Crafts Group,
  - g. Pharmacy, Bio-Medical and Lab Technologies Group.
3. Select diploma level institutions with adequate infrastructure, faculty and other facilities may be allowed to conduct **two shifts**, provided that such arrangements does not affect the quality of education. More specially, it should not lead to any reduction in Workshop, Laboratories and contact teaching hours. Adequate faculty and other resources have to be also provided to ensure quality diploma level education.

4. **Land:-** Diploma level institutions may be permitted to be established with land norms as per the following table:

<b>Table 1</b>	Mega Cities	Metro cities including State Capitals	Others
Diploma Level Technical Institutions	1.5 Acres	2.5 Acres	5 Acres

5. **Teacher Student Ratio:** Diploma level institutions should be provided faculty in the teacher student ratio of 1:20. The faculty should be appointed with approved designations, i.e Heads of Department, Senior Lecturers and Lecturers. Ratio between Senior Lecturer and Lecturer should be 1:3.
6. **Built up area requirements:** Diploma level technical institutions should be provide built up area (instructional area) at the rate of **5 sqm per student**. Since the built up area permitted be constructed vary from location to location, depending upon the local norms of construction, the institutions may be allowed to construct building vertically to meet the built up area requirement in the light of reduction in land area.

Besides the built-up area for instruction of 5 sqm per student, appropriate additional area may be provided as administrative area plus circulation area etc. This includes area for Principal's Room, Store Room, Reception Office, maintenance etc. The additional built-up area could be **4 to 5 Sqm** per student.

**7. Experiments**

The experimental setups should be arranged as per the requirements of the affiliating body's curriculum, and normally not more than four students should work in a team for an experiment.

**8. Requirement of Computers**

As per the requirements of the affiliating Body's curriculum, and not more than 2 students to work on one computer and not more than four students to work in an experiment.

**9 Library/Books and Journals**

Table 2: Books and Journals requirement in Library

Category of New Institute	Books	Journals
Diploma level technical institutions	2 reference books per student	6 text books for student
		As per the requirement of the curriculum of affiliating body

**10 Funds:**

**1. For new institutions:**

- a) Rs. 50 Lakhs (excluding land and buildings)
- b) Joint Fixed Deposit Rs. 15 Lakhs

**2. For existing Institutions:**

- a) Rs. 50 Lakhs Operational funds

Note: All other facilities shall be provided as per the requirement of curriculum of the concerned State Board of Technical Education/ Affiliating Body.