



सत्यमेव जयते

# **Government of India Cabinet Secretariat Handbook on writing Cabinet Notes**



**Updated till 15.04.2018**



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# **Government of India Cabinet Secretariat**

## **Handbook on writing Cabinet notes**

<https://cabsec.gov.in>

## FOREWORD

The decisions taken by the Cabinet and Committees of the Cabinet are fundamental to the governance of the country and form the basis of policy formulation as also for evaluating the impact of programmes, policies, plans, projects and schemes of the Government. The preparation of correct, accurate and concise Cabinet notes is essential to facilitate decision making at the highest level of the Government.

2. For helping the Ministries/Departments write good quality Cabinet notes that are conceptually clear, lucid and well-organized, the Cabinet Secretariat had prepared a Handbook in 2011, capturing all necessary information on the subject. The compilation has not only assisted the Ministries/ Departments but has also contributed towards improving the quality of Cabinet notes.

3. Several new instructions relating to preparation of Cabinet notes have since been issued. While all these instructions are available on the website of the Cabinet Secretariat (<https://cabsec.gov.in>), a need has been felt to update the Handbook by reflecting all the extant instructions etc. so that it can continue to serve as a single reference document for preparation of Cabinet notes. Accordingly, the Handbook has been updated. Besides preparation of the Cabinet notes, the Handbook also explains the Rules for disposal of Business in the Government, including the process of amending the Government of India (Allocation of Business) Rules, 1961.

4. I do hope that the Ministries/ Departments will find this updated Handbook useful.

5. Suggestions for further improvement in the Handbook, if any, may be forwarded to Director (Cabinet), Cabinet Secretariat, Rashtrapati Bhawan (e mail: [dir.cab-cabsec@nic.in](mailto:dir.cab-cabsec@nic.in))



(P K Sinha)

Cabinet Secretary

 April, 2018

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# Section 1: Some Introductory Issues

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## Cabinet Notes as instruments of policy making

1. The decisions taken by the Cabinet and Committees of the Cabinet are fundamental to the governance of the country. Various matters of national and international importance impacting different facets of governance get flagged and placed before the Cabinet and Committees of the Cabinet. The notes for their consideration are, therefore, central to policy making and to successful execution of different programmes. These notes, should therefore, have the highest degree of clarity with all pertinent details having been brought out in the right perspective.

2. The proposals that are placed before the Cabinet and Committees of the Cabinet are often the culmination of a series of steps. These include consultations with the stakeholders within the Central Government and outside, consultations with the State Governments, inter-ministerial consultations and in many cases, appraisal by designated bodies or financial institutions. The final document and the proposals contained in such notes should therefore be of very high quality.

## Clarity of language and thought

3. The language of the notes for the Cabinet/Committees of the Cabinet should be clear, concise and incapable of misconstruction. Style of presentation is as important as the content of the notes. While avoiding needless verbosity, it is advisable to use short sentences. Lengthy sentences, abruptness, redundancy, superlatives and repetition, whether of words, observations or ideas, often lead to confusion. Care also needs to be taken to ensure correct usage of spelling and grammar and to avoid typographical errors. Foreign or classical words and expressions should be avoided as far as possible. In the English text, vernacular words should be used only when their meaning cannot be expressed equally well in English. Comparative statements indicating the existing provisions and the proposed changes in a tabular format are preferable as compared with running matter. Such tabular statements are also useful while considering amendments to Acts or recommendations of the Parliamentary Committees etc.

## Centre - State Partnership

4. India is a Union of States with authority delineated between the Central and the State Governments. The three lists in the Seventh Schedule of the Constitution of India viz. **List-I - Union List; List-II - State List; and List-III- Concurrent list**, spell out the respective domains of the Central and the State Governments. Therefore, while deciding to place any proposal before the Cabinet or the Committees of the Cabinet, the Departments should check that either the subject falls within the business of the Union Government or that appropriate procedures have been followed to empower the Central Government to take decisions in the matter in terms of the constitutional provisions or other relevant laws. It needs to be ensured that proposals to be placed before the Cabinet/Committees of the Cabinet do not lead to transgression of the authority of the State Governments. Though, the Government business is disposed of by the Governments concerned in terms of the respective domains, its implementation is done largely by the States. It would, therefore, be desirable to build some stake for the State Governments and to the extent feasible, link the release of central funds to achievement of pre-defined milestones.

## Disposal of the business of the Government of India

5. The business of the Government of India is disposed of at various levels within the Ministries/Departments in terms of the Government of India (Allocation of Business) Rules, 1961 by, or under the general or special directions of the Minister- in-charge. However, the Government of India (Transaction of Business) Rules, 1961, stipulate that such disposal of business is subject to the provisions relating to consultation with other Ministries/Departments, approval of the Prime Minister, the Cabinet and its Committees and the President. Accordingly, while a significant portion of the Government business gets disposed of at the departmental level, certain cases, or class of cases that are important from the national perspective, require approval of the Cabinet or one of the Committees of the Cabinet.

6. Detailed guidelines/instructions regarding preparing notes for the Cabinet and Committees of the Cabinet have been issued by the Cabinet Secretariat. These are available on the Cabinet Secretariat website viz. <http://cabsec.nic.in> and also included in this Handbook. [These instructions are also to be followed for writing notes for EGoMs and GoMs, if constituted].

7. The Government of India (Allocation of Business) (AoB) Rules, 1961 and the Government of India (Transaction of Business) (ToB) Rules, 1961 have been framed under Article 77 (3) of the Constitution of India. The First Schedule to the AoB Rules specifies the Ministries, Departments, offices and Secretariats while the Second Schedule lists out the business allocated to different Ministries/Departments of the Government of India. The cases that require approval of the Cabinet, are indicated in the Second Schedule, and those requiring approval of the Committees of the Cabinet are indicated in the First Schedule to the ToB Rules, 1961. Updated versions of these Rules are available on the Cabinet Secretariat's website.

8. Some of the illustrative cases required to be placed before the Cabinet are:

- (a) Cases involving legislation including the issue of Ordinances.
- (b) Cases involving negotiations with foreign and Commonwealth countries on treaties, agreements, MoUs and other important matters.
- (c) Proposals to appoint public commissions or committees of inquiry and consideration of the reports of such commissions or committees.
- (d) Proposals relating to creation of posts of the level of Joint Secretary to the Government of India or higher.
- (e) Cases in which a difference of opinion arises between two or more Ministers and a Cabinet decision is desired.
- (f) Proposals to vary or reverse a decision previously taken by the Cabinet.

9. The proposals concerning the country's security are required to be placed before the Cabinet Committee on Security. Issues impacting the economy and having financial implications are generally placed before the Cabinet Committee on Economic Affairs.

10. Broadly, in terms of the existing delegation of authority, cases involving expenditure up to Rs. 1000 crore, are disposed of either within the Ministry or in consultation with the Ministry of Finance as per the threshold laid down for submission of cases to the Cabinet or Committees of the Cabinet in the TOB Rules. Subject to any specific delegation of higher powers, all proposals involving expenditure of over Rs. 1000 crore are required to be placed before the Cabinet or the Committee of the Cabinet concerned for approval.

11. The proposal(s) sought to be placed before the Cabinet/Committees of the Cabinet, should either be the concern exclusively of the sponsoring Department, or it should primarily concern the Department in terms of the AoB Rules. In cases, where it does not exclusively concern the sponsoring Department, the concurrence of Departments whose business is impacted, must be obtained. In the event of such concurrence not being possible, the views of the differing Departments are to be appropriately included in the note seeking approval of the Cabinet or the Committee of the Cabinet. In the latter case, where there is difference of opinion between the sponsoring and the consulted departments, the views of the consulted departments need to be reflected honestly in the note. However, the Ministries can, in terms of the instructions relating to consideration of matters by the Committee of Secretaries, also place such cases before the Committee of Secretaries for narrowing down or eliminating differences.

12. The process of inter-ministerial consultations is a critical component of the process of writing notes for the Cabinet/Committees of the Cabinet. Three major problems have, in general, been noticed with regard to inter-ministerial consultations. These are:

- (i) the notes do not reflect the views of the Departments concerned at all;
- (ii) these are paraphrased sometimes in a manner that does not correctly reflect the viewpoint of the consulted Department; and
- (iii) the comments of the consulted Ministries are brushed aside and counter comments of the sponsoring Department provided, which are not based on merit.

13. The detailed instructions regarding inter-ministerial consultations and other procedural aspects have been reproduced in section 3 of this Handbook.

14. The distinction between decisions of the Cabinet/Cabinet Committees recorded as '**postponed**' and '**deferred**' is very often not clear to the Ministries. It is clarified that the two terms when used in the context of the decisions of the Cabinet/Committees of the Cabinet do not have the same meaning. In cases, where the decision is recorded as 'postponed', the item(s) remain pending with the Cabinet Secretariat and would in due course be placed before the Cabinet or the appropriate Committee of the Cabinet. However, in cases, where the decision is recorded as 'Deferred', it is deemed to have been disposed of and hence not pending with the Cabinet Secretariat. The Ministry/Department concerned is, in such a case, required to bring up a fresh proposal for consideration of the Cabinet/appropriate Committee of the Cabinet after following the prescribed processes including fresh inter-ministerial consultations, if a decision on the issue is required to be taken by the Cabinet/Committees of the Cabinet.



## Section 2: Rules of Business in brief

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1. The executive power of the Union is, as per the Constitution of India, vested in the President, who may exercise it either directly, or through officers subordinate to him/her in accordance with the Constitution and the rules framed thereunder. The President has, in exercise of the powers conferred under Article 77(3) of the Constitution of India, framed the Government of India (Allocation of Business) (AoB) Rules, 1961, and the Government of India (Transaction of Business) (ToB) Rules, 1961 for disposal of Government Business. In this section, the salient features of these rules are being recapitulated. The full and up to date text of these rules is available on the website of the Cabinet Secretariat (<https://cabsec.gov.in>).

### **Government of India (Allocation of Business) Rules, 1961**

2. The AoB rules comprise three parts:

(i) the main rules;

(ii) the First Schedule indicating the names of the Ministries, Departments, Secretariats and Offices under the Government of India. (The correct name(s) of the Ministries/Departments should be taken from this Schedule); and

(iii) the Second Schedule indicating the distribution of subjects among the Ministries/Departments. This gives details of the items of business allotted to the individual Ministries and Departments. The business so allocated to Ministries and Departments includes Attached and Subordinate offices, and other organizations including Public Sector Undertakings administered by them.

3. It needs to be noted that the Government of India (Allocation of Business) Rules, 1961 are illustrative and not exhaustive and therefore, in many cases, there would be some degree of overlap between the business allocated to different Departments or some of the items might not figure in the list of any Department. However, it would, generally be possible to find out the Ministry/Department responsible for handling the issue based on proximity/affinity of the issue to the business listed in the Second Schedule .

4. Proposals for amending these Rules could be initiated by the Ministry/Department concerned and forwarded to the Cabinet Secretariat. A proposal to amend these rules should have the approval of the Minister-in-charge of the sponsoring Ministry/Department and if the proposed amendment(s) also impact the business of other Ministries/Departments, the sponsoring Ministry should obtain the concurrence of all such Ministries/ Departments at the level of the respective Minister(s)-in-charge.

### **Government of India (Transaction of Business) Rules, 1961**

5. Most of the powers of the Union are not exercised by the President in person and the ToB Rules, as amended from time to time, lay down the procedure to be complied with for the disposal of the business allocated to various Departments including submission of cases to the Prime Minister, the Cabinet and its Committees and the President.



6. The ToB Rules comprise:
  - (a) the main rules;
  - (b) the 'First Schedule' which lists the functions of the various Cabinet Committees;
  - (c) the 'Second Schedule' which details the cases that are required to be brought before the Cabinet;
  - (d) the 'Third Schedule' which lists the cases to be submitted to the Prime Minister and the President; and
  - (e) the 'Fourth Schedule' which lists the periodical reports etc. required to be submitted to the President for information.
7. The two key features of the ToB Rules are that: (i) all business allotted to a Department under the Government of India (Allocation of Business) Rules, 1961, is to be disposed of by, or under the general or special directions of, the Minister-in-Charge, except where such authority is required to be exercised by some other competent authority under these Rules; and (ii) when the subject of a case concerns more than one Department, a decision can be taken or order issued only after such Departments have concurred, or, failing such concurrence, a decision thereon has been taken by or under the authority of the Cabinet.
8. Procedurally, therefore, the Minister-in-Charge of the Department would be within his right to bring the matters before the Cabinet in all cases of difference of opinion with the Ministries whose business is impacted. However, in all cases of differences between Ministries, it is incumbent upon the sponsoring Ministries to honestly reflect the views/comments of the consulted Ministries/Departments along with their counter views, if any. The sponsoring Department should not cursorily brush aside the views of the consulted Department.
9. These rules also bring out the need for consultation with the nodal Ministries such as the Ministry of Finance in respect of financial matters, the Ministry of Personnel, Public Grievances and Pensions in respect of personnel matters; and the Ministry of Law and Justice in legal matters. As an illustrative analogy, in matters relating to financial outgo, the rules prescribe that the cases cannot be decided without the concurrence of the Ministry of Finance except when these fall within the delegated authority of the Ministry concerned. Similarly, in personnel matters, consultation with the Ministry of Personnel, Public Grievances and Pensions is mandatory. In matters relating to proposals concerning legislation, the making of rules and orders and preparation of important contracts to be entered into by the Government, etc., the Ministry of Law & Justice has to be consulted. Similarly, the Ministry of External Affairs should be consulted on all matters affecting India's external relations including agreements, **MoUs** and treaties with foreign countries / **agencies**. However, in case of international agreements, **MoUs** or treaties etc. which impact our domestic laws, concurrence of or consultation with the Ministry of Law & Justice, Department of Legal Affairs is also necessary.
10. Under rule 11 of the ToB Rules, it is the responsibility of the Secretary of the Ministry / Department to ensure that the requisite rules / regulations / procedures / processes etc. are duly observed while disposing of the business of the Department.

11. To meet a situation of extreme urgency or unforeseen contingency in any particular case, Rule 12 of the Government of India (Transaction of Business) Rules, 1961 empowers the Prime Minister to permit or condone a departure from these rules, to the extent deemed necessary.

12 In such situations also, the process of examination and inter-ministerial consultations would need to be followed. All cases under Rule 12 are mandatorily required to be routed through the Cabinet Secretary and should, in no case, be sent directly to the Prime Minister.

13. The following guidelines are required to be followed in cases where rule 12 is proposed to be invoked:

- i) proposals shall be moved only by the administrative Ministry/ Department concerned with the subject, under the Government of India (Allocation of Business) Rules, 1961;
- ii) proposals shall be accompanied by a detailed justification clearly bringing out the urgency involved in the matter and the exceptional circumstances that require it to be processed under Rule 12 along with a statement specifying the reasons, why it could not be processed for obtaining the approval of the competent authority in time;
- iii) Secretary of the Department/Ministry will ensure that all essential requirements including inter-ministerial consultations, have been met before submitting the proposals for approval under this rule. This fact is to be mentioned in the proposal submitted for approval under Rule 12;
- iv) the Ministry/Department concerned shall route the proposal through the Cabinet Secretary after obtaining the approval of the Minister-in-charge in all cases and also of the Minister of Finance in matters involving outgo of funds, or other Ministers concerned, where the subject matter impinges on their business; and
- v) proposals of the Ministry/Department of which the Prime Minister is the Minister-in-charge, are to be routed through the Cabinet Secretary by the Secretary of the Department concerned. However, in case, the Department has a Minister of State, his/her approval is to be obtained in the first instance, and thereafter the proposal routed through the Cabinet Secretary.

14. # In all such cases, where approval under rule 12 has been obtained, it is necessary that the Note for seeking *ex-post-facto* approval of the Cabinet/ Committee of the Cabinet concerned should be forwarded to the Cabinet Secretariat within one month of the approval under Rule 12, unless the Cabinet Secretariat has, while communicating the approval, advised to the contrary.

[# Inserted vide Cabinet Secretariat O.M. No. 1/3/3/2011-Cab. dated 29.06.2011]

## Section 3: Consolidated Instructions

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### Applicable to notes for the Cabinet and its Committees

#### I. FORMAT AND PRESENTATION OF THE NOTE

1. The notes are to be prepared in the format at **Annex-I** at the end of this section and copies of the Notes made on A-4 size paper.
2. The copies of the Note are to be made both in English, and Hindi. Both versions are to be sent to the Cabinet Secretariat together.
3. The notes are to be typed in double space (in Arial font, size 12-14) and both sides of the paper are to be used.
4. The typing impression should be legible and clear in all pages.
5. In the documents annexed, marginal notings if any, must be removed. In case, such documents have a poor impression, these must be retyped.
6. The main note should, preferably, not exceed 7-8 pages in double space. Other details, especially tables, charts, diagrams, maps etc. which should, as far as possible be brief, can be relegated to annexes.
7. A wide margin (not less than 1.5 inch) should be left towards that edge of the paper which is put in the pads for the meetings i.e. the left edge on the obverse and the right edge on the reverse of the page.
8. All paragraphs and sub-paragraphs of the Notes are to be appropriately numbered. Bullets, arrows and other similar markings are not to be used as a replacement for paragraphs or sub-paragraphs.
9. The Notes are to be security graded "Secret" or "Top Secret". While assigning the security grading, the proposed classification should be properly evaluated with reference to the contents of the Note. However, all proposals to be brought before the Cabinet/Committees of the Cabinet are to be classified at least as "Secret". Depending on the content, the sponsoring Ministry/Department would examine whether the note should continue to be classified "Secret" or "Top Secret" after its consideration by the Cabinet, or after action on it is complete or over.
10. Copy number is to be indicated on the top right side on the first page of the note. Below that, in the centre, the file number and the name of the sponsoring Ministry and Department are to be indicated. Copy number is not required to be indicated on pages other than the first page of the main note.

11. The file number and the name of the Ministry/Department is to be indicated on each page of the note on the top including appendices and annexures.
12. The words "Note for the Cabinet" or "Note for the Cabinet Committee on \_\_\_\_\_", as the case may be, are to be indicated below the name of the Ministry/Department on the first page.
13. Below the caption "Note for the Cabinet/Committee of the Cabinet", a brief subject heading is to be given. While being brief, the heading should be fully indicative of the proposals contained in the Note.
14. Every note should, as far as possible, be so structured as to include paragraphs on introduction, background, proposal, justification, details of inter-ministerial consultations (including dates on which the comments are received), financial implications, **Employment Generation Potential of the proposal\***, approval required and a paragraph stating that the note has been approved by the Minister-in-charge. **Appendix I** "Statement of Implementation Schedule, **Appendix II** "Statement on Equity, Innovation and Public Accountability" and **Appendix III** "Statement on Major Milestones and Corresponding Target Dates" (for infrastructure project related proposals only) should also be added and a reference made to that effect in the body of the note.

[\* Inserted vide Cab. Sectt. OM no. 1/50/1/2016-Cab. dated 20.01.2016.]

15. On the top right hand corner of the first page, the date of the note is to be indicated clearly. It has to be the date on which the note is signed and its copies sent to the Cabinet Secretariat. In those cases, where the Note is required to be rectified/revised and resubmitted, it should be given a fresh date. The date on the front page and all other pages that are signed by the competent officer should be the same, both in English, and Hindi versions.
16. All pages in the Note, including the annexes, appendices etc. are to carry continuous page numbers on the bottom extreme right hand corner, simultaneously indicating total number of pages, in the manner "page x of y" where "x" is the running serial number of the page, and "y" is the total number of pages in the note including appendices/Annexures.
17. The fact that Appendices/Annexes/Annexures are attached with the note should be indicated in the main note and also duly referenced with page numbers wherever these are referred to for the first time. On each Appendix/Annex/Annexure, the relevant paragraph and page number of the main note, where these have been referred to, should be indicated, for easy reference.
18. Only relevant papers are to be annexed with the Note. Unrelated papers/annexures are not to be attached. Copies of old notes considered by Cabinet/Committees of the Cabinet are not to be attached. In cases, where the issue had previously been considered by the Cabinet/Committees of the Cabinet, only the relevant extracts from such notes and the decision(s) previously taken by the Cabinet/Committees of the Cabinet are to be annexed or appropriately reproduced in the body of the note.

19. It should be indicated in the final paragraph of the Note that the proposals made therein have the approval of the Minister-in-charge of the sponsoring Ministry.
20. The Note should be properly tagged or stapled. No other form of binding is advised. There should be no spiral/hard binding of the note(s).
21. The Note as well as the Appendices, should be signed by a Joint Secretary or higher officer in the main Ministry/Department sponsoring the note. Joint Secretary equivalent officers even if working in the main Ministry/Department are not authorized to sign the notes for Cabinet/Committees of the Cabinet.
22. No note for the Cabinet/Committees of the Cabinet etc. should be signed by any officer in the Attached/ Subordinate Office.
23. The telephone number of the officer signing the note should necessarily be indicated in the note as well as Appendices.

## II. CONTENTS

### A. GENERAL

24. Special attention needs to be paid to the quality of drafting. The note while being brief should bring out all relevant details and no material fact should remain unstated. The main note should be self-contained, lucid, straightforward and contain only the relevant details.
25. All acronyms/abbreviations used in the text of a note are to be expanded when the term is first used in the note. Its full form, with the acronym/abbreviation given in brackets should be given. Acronyms that are not commonly used are to be avoided.
26. The Note should have a brief introduction that succinctly brings out the essence of the proposal in three-four sentences, followed by a brief background, the details of the proposal, its financial implications, details of appraisal, if any carried out by the financial institutions or prescribed appraisal body/forum, inter-ministerial consultations, consultations with State Government, if relevant, recommendations of any expert bodies etc., details about Appendices/Annexures attached and approval required etc.
27. All the Notes for Cabinet and its Committees should separately and clearly reflect the Employment Generation Potential of each proposal. These details are required to be indicated in the main body of the Note in a separate Paragraph after the Paragraph on "Financial Implications" in the Draft Cabinet Note as well as the Final Cabinet Note.

**[Inserted vide Cab. Sectt. OM no. 1/50/1/2016-Cab. dated 20.01.2016.]**

28. Proposals concerning sectoral policies/policy statements, should be accompanied by an action plan with clearly identifiable time-lines and milestones for different activities.

29. Proposals for creation or up-gradation of posts should not include proposals to appoint individuals against the newly created/up-graded posts as these would require consideration by the Appointments Committee of the Cabinet (ACC) separately. This would also apply to cases where such up-gradations are being considered to retain officers who have been empanelled for higher posts, but whose services are required in public interest. However, the cases of temporary upgradation of post(s) to the level of Joint Secretary and above (namely, post(s) in Pay Matrix level 14 or above) for a maximum period of two years from the date of upgradation and its further continuation on the upgraded level up to five years from such upgradation on year to year basis; as also temporary downgradation of such post(s) for a specified period shall be disposed of by the Appointments Committee of the Cabinet\*.

**[\*Amendment no. 70 dated 25.10.2017 to the Government of India (Transaction of Business) Rules, 1961.]**

30. The approval paragraph should be self-contained and it should indicate the specific point or points on which approval/decision is sought. Reference to proposals in earlier paragraphs should be avoided while formulating the approval paragraph. The paragraph should have absolute clarity and it should leave no scope for any differing interpretations. This paragraph should also not contain any content for which approval of the Cabinet/Committee of the Cabinet is not required.

## **B. Legislative Proposals**

31. In cases, where draft legislations are to be placed before the Cabinet, the draft Bill duly vetted by the Legislative Department should be attached to the note, as an annexure and specific approval of the Cabinet sought for the Bill and introducing it in the Parliament. The approval paragraph should necessarily provide flexibility to carry out changes of drafting/ consequential nature in consultation with the Ministry of Law & Justice, Legislative Department.

32. ^^The Ministries / Departments are also required to bring out clearly, in the "Justification" Paragraph of any Cabinet Note proposing a new legislation, the essentiality of the legislation being proposed and the reasons why the purpose cannot be served through an existing legislation or by framing subordinate legislation or through executive orders etc.

**[^^Inserted vide Cab. Sectt. OM no. 1/50/1/2016-Cab. dated 17.08.16.]**

33. It is to be ensured that any legislative proposal scheduled to be introduced in the forthcoming session of Parliament, is sent to the Cabinet Secretariat well in time, after completing all procedural requirements including requisite inter-ministerial consultations^.

**[^Inserted vide Cab. Sectt. OM no. 1/50/1/2016-Cab. dated 01.07.2016.]**

## **C. AGREEMENTS/ TREATIES/ MOU WITH FOREIGN GOVERNMENTS/ AGENCIES**

34. Prior approval of the Cabinet is required to be obtained by the concerned Ministry/ Department in all cases involving treaties, agreements and other important matters including MoUs to be signed with any foreign agency/ country, except in case of provisos (i) and (ii) under para (d) of the second Schedule of Government of India (Transaction of Business) Rules, 1961, for which the procedure is separately given in the Second Schedule of the said rules.

35. All MoUs that are signed by Departments and are required to be brought before the Cabinet for post facto approval or information, under the extant provisions, must be sent to this office immediately after signing, and at most within one month of the signing of the MoU. In case of any delay, the Note should detail the specific reason(s) and justification(s) in submitting the Note before the Cabinet after the prescribed time period<sup>^</sup>. For MoUs/ Agreements for which prior approval of the Cabinet is not required, the Ministries / Departments should send an intimation to Cabinet Secretariat as soon as such an MoU/ Agreement is entered into along with a copy of the signed Agreement<sup>^^</sup>.

**[<sup>^</sup>Cabinet Secretary's D.O. no. 1/48/6/2015-Cab dated 14.08.2015, reiterated vide Cab Sectt's OM no. 1/50/1/2016-Cab dated 10.11.2016 and 21.03.2018]**

**[<sup>^^</sup>Cabinet Sectt's OM no. 1/50/1/2016-Cab dated 06.02.2017, dated 8.9.2017 and dated 21.03.2018]**

36. While seeking the approval of Cabinet for entering into MoU, in terms of the provisions of the Government of India (Transaction of Business) Rules, 1961, Ministries/ Departments must provide the rationale of opting for the MoU route. Ministries/ Departments should also enclose a list and status of existing MoUs while seeking approval of a new MoU. These instructions are applicable to all subordinate/ attached offices including Statutory Bodies and authorities of Ministries/ Departments and the various Commissions under the Constitution\*\*.

**[\*\*Cabinet Secretariat O.M. No. 1/48/6/2015-Cab. dated 03.06.2015.]**

37. \*In cases concerning accession to/ratification of international Conventions/Treaties etc., where the relevant domestic laws are required to be amended or new laws enacted, for meeting the obligations associated with such Conventions/Treaties, it has since been decided that accession to, or ratification of such Conventions/Treaties be undertaken only after the relevant domestic laws have been amended, or the enabling legislation has been enacted if there are no domestic laws on the subject. The proposals could continue to be brought up for consideration of the Cabinet seeking approval for conclusion of international Conventions/Treaties etc., in cases, where the enabling domestic laws need to be amended or new legislations enacted, the proposals for entering into such Conventions/Treaties should specifically state that these will be acceded to, or ratified, only after amending the relevant domestic laws, or enacting appropriate legislations. In brief, while there is no bar to signing of agreements/MoUs as approved by the Cabinet, these will be ratified/acceded to only after necessary action has been taken for amending/enacting relevant domestic laws.

**[\*Inserted vide Cabinet Secretariat O.M. No. 1/13/2/2010-Cab. dated 23.08.2011]**



#### D. REVISED COST ESTIMATES (RCE) PROPOSALS:

38. After approval of projects/schemes by the competent authority, Ministries/Departments are expected to closely monitor their implementation to ensure that cost and time overruns are avoided and remedial steps taken, whenever required.

39. All proposals involving time and cost overrun or extension in time frame of implementation of projects/schemes referred to the Cabinet/Cabinet Committees for their consideration and approval must necessarily incorporate in the Note for Cabinet/Cabinet Committees, specific physical and financial milestones with corresponding half yearly targets for their implementation. In the event of any slippage from adherence to these specified targets, at the end of every six months, the Cabinet/Cabinet Committees would need to be apprised of the reasons for such slippage along with the strategy to achieve the targets.

40. For proposals where Cabinet/Cabinet Committee is not the approving authority, the same procedure may be adopted and the matter be placed before the appropriate approval authority.

**[Inserted *vide* Cabinet Secretary's DO No. 1/50/2018-Cab. dated 27.02.2018]**

#### E. APPENDICES

41. The Note should state that "the Statement of Implementation Schedule" is at **Appendix-I** and the Statement on Equity, Innovation and Public Accountability is at **Appendix-II** to the Note (the brief details of how the proposals in the note will sub-serve the objective of 'Equity, Innovation and Public Accountability' are to be included in the main note), and the Statement on major milestones and corresponding target dates have been attached at **Appendix-III** (for infrastructure project related proposals only). These Appendices should be placed immediately after the main note. These should be properly referred to and cross-referenced.

42. Brief details of the three appendices are as below:

##### 42.1 . Appendix-I

(i). The Statement of Implementation Schedule, i.e. Appendix- I should be placed immediately after the main note and contain the following information:

(a) Gist of the decision(s) sought- This has to correspond to the approval sought;

(b) Likely benefits arising out of the decisions (in physical/financial or social terms, e.g. employment generation, development of backward areas, benefits to target groups, etc.); and

(c) Time-frame and manner of implementation of the decision and its reporting to the Cabinet Secretariat.

## 42.2. Appendix-II\*

(i). The aspects of equity, innovation and public accountability would, to the extent relevant, be incorporated as Appendix II to the Note. The paragraph immediately succeeding the paragraph in which the Statement of Implementation Schedule has been referred to in the main note would provide a gist of the contents of Appendix II in a few sentences. While reporting on how the proposal under consideration will advance the goals of equity or inclusion, innovation and public accountability, various aspects of these goals including the following may be kept in view:

(a) equity could include geographical considerations, particularly for backward and special category regions and socio-economic equity in the context of disadvantaged communities, gender, poverty, etc.;

(b) similarly, the dimension of public accountability could include (but not be limited to) increased stakeholder participation, awareness campaigns, cost benefit analysis, social audit, independent evaluation and the provision for greater transparency or information disclosure. The proposal should also detail how it is using information tools for ensuring transparency and accountability as well as reporting in the public domain; and

(c) as regards innovation, these could be improvements in the existing schemes/structures/practices/procedures etc. In this context, there could be innovations in policy, in institutional arrangements, management innovations or technological innovations, and so on. Innovation could be conceived of in the scheme design itself or room could be left for innovation during actual implementation at the State level by in-built flexibility in the scheme for local innovations. Innovation could also include documentation, dissemination and implementation of the best practices.

(ii). Every proposal being put up for consideration by the Cabinet/Committee of the Cabinet might not necessarily respond to these three criteria or be amenable to this format or reporting. Where none of the goals can possibly be addressed because these dimensions are not relevant to the proposal under consideration in the Note, the reason for this may be briefly specified in the Note as well as in **Appendix-II**.

(iii). Care needs to be taken by the Ministries to ensure that reporting on these goals does not become perfunctory or stereotyped. Where, for instance, equity or inclusiveness is furthered, there should be some attempt to quantify the likely impact through suitable indicators. Similarly, where relevant, it should be specified what innovation is being introduced, or exactly how public accountability is going to be strengthened.

[^Inserted vide Cab Sectt's D.O. letter no. 1/13/6/2007-Cab dated 23.06.2009].

## 42.3. Appendix- III

(i) In all cases concerning infrastructure, the note for Cabinet/ Committee of the Cabinet shall clearly bring out the major milestones and the corresponding target dates for achieving them. This should be reflected in Appendix-III and mentioned specifically as part of the paragraph seeking their approval.

43. Specimen formats of **Appendix- I, Appendix- II and Appendix-III** have been included at the end of this section.

44. All other Annexures/ Annexes should be placed after the prescribed Appendices. In no case, any Annexure/ Annex should be placed before the Appendices.

### III. SUPPLEMENTARY NOTES

45. In cases, where the data/information, based on which the proposals had been formulated, undergo significant change(s) by the time the proposals are actually considered by the Cabinet/Cabinet Committees, it would be advisable to either withdraw the Note for necessary updation and revision, or immediately bring the facts to the notice of the Cabinet Secretariat. In such cases, where the note is not withdrawn, a Supplementary Note should be prepared for consideration by the Cabinet/Committees of the Cabinet. In all such cases, the fact that there has been a change in the circumstances or new facts have come to light or new events have occurred in the interregnum, etc should be brought to the notice of the Cabinet Secretariat immediately. However, where it may not be feasible to prepare the Supplementary Note based on the new material in time or there is a requirement to further assess and analyze the issue, a request for withdrawal of the note should be sent to the Cabinet Secretariat immediately. Such a request should preferably be made with the approval of the Minister-in-charge. However, in exceptional cases, the request may be made with the approval of Secretary of the Ministry/ Department concerned.

46. A Supplementary Note will have the same format, style and presentational features and will explicitly state the updated/revised information and change in the approval sought, if any. A Supplementary Note can be sent only with the approval of the Minister in-charge and has to be signed by an officer competent to sign a Cabinet Note. Its subject should be the same as indicated on the first page of the main note. In cases, where the approval required undergoes change, Appendix-I and II should also, to the extent necessary, be changed.

### IV. INTER-MINISTERIAL CONSULTATIONS

47. The sponsoring Ministry/Department should undertake due diligence and in a time-bound manner consult only those Ministries/Departments whose business is likely to be impacted by the proposal / draft note(s) . .

**[Clarified vide Cab Sectt OM no. 1/50/1/2016-Cab. dated 11.05.16 and OM no. 1/50/3/2015-Cab dated 27.06.2016, and reiterated vide OM no. 1/50/1/2016-Cab dated 06.02.2017].**

48. The views of the consulted Ministries/Departments should have the approval of the Minister-in-charge of consulted Ministries/Departments. While conveying the views on proposals contained in the draft notes for the Cabinet/Committees of the Cabinet to the sponsoring Ministry/Department, the consulted Ministries/Departments should categorically state that the same have the approval/concurrence of their Minister-in-charge. In cases, where approval at the level of the Minister-in charge in the consulted Ministries is not indicated by them, it will be presumed that the comments had been approved at the level of the Minister-in-charge.

49. When the differing Ministry/Department's remarks are reproduced in the final Note, no second reference to the differing Ministries/Departments concerned is necessary. However, if any addition is made to the Note by the sponsoring Ministry to rebut the arguments advanced against its proposal, it should be shown to the differing Ministries/Departments. The obligation would, however, be limited to sending a copy of the note to such Ministry/Department and not to securing their consent to the views expressed by the sponsoring Ministry/Department in rebuttal. In such cases, the fact that the note, in its final form, has been shown to the differing Ministry/Department should be clearly reflected in the Note.

50. The details of inter-ministerial consultations i.e. the comments of consulted Ministries are required to be incorporated in the main note. The views of the consulted Ministry/Departments, including dates on which these are received, need to be faithfully reflected in the main note to ensure that the Cabinet/Committees of the Cabinet could peruse them before arriving at a decision. The comments of the consulted Ministry should not be edited or para-phrased in a manner as to alter their connotation and all the comments/ conditionalities should be incorporated in the note/ annexures.

51. Only in cases where the comments of the consulted Ministries/Departments are very lengthy and it may not be possible to incorporate them in the main note, the same may be reproduced in the Annexure without being para-phrased or edited along with the comments of the sponsoring Ministry in a tabular format. However, the gist of such comments shall necessarily be incorporated in the main body of the note even in such cases.

52.\*\* All Ministries/Departments are required to ensure that keeping in view the Constitutional mandate of Article 338(9) and Article 338A(9), the National Commission for the Scheduled Castes, and the National Commission for the Scheduled Tribes, as the case may be, shall necessarily be consulted by them through the Ministry/Department administratively concerned with the National Commission, as the case may be, before finalization of such notes for consideration of the Cabinet/Committees of the Cabinet. In all such cases, the administrative Ministry concerned will place the views of the Commission concerned, as received by them, before the Minister-in-charge of the Ministry/Department before their final views/comments on such issues are communicated to the sponsoring Ministry/ Department. It has further been decided that the unabridged/unedited views of the Commission concerned along with the responses thereupon by the Ministry/Department administratively concerned with the Commission be included in/enclosed with the note for consideration of the Cabinet/Committees of the Cabinet along with responses of the sponsoring Ministry/Department.

53. The proposals contained in the final note forwarded by the sponsoring Ministry/Department to the Cabinet Secretariat should be the same as those included in the note circulated to the Ministries/Departments at the time of inter- ministerial consultations. If a sponsoring Ministry/Department makes a substantive change in original proposal(s) after inter-ministerial consultations, it would be incumbent upon them to re-circulate the note for completing inter-ministerial consultations. A failure to do so would render the institutional mechanism of inter- ministerial consultations infructuous, while giving the impression that the requisite inter-ministerial consultations have been undertaken.

**[\*\* Inserted *vide* Cabinet Secretariat OM No. 1/3/2/2012-Cab. dated 16.02.2012]**

54. All notes for the Cabinet/Committee of the Cabinet etc. must specifically mention the dates on which comments of the consulted Ministries/Departments were sought and received by the administrative Ministry/Department.

55. A copy of the draft note should necessarily be forwarded to the Prime Minister's Office as well as Cabinet Secretariat<sup>^</sup> at the time when notes are sent for inter-ministerial consultations and their comments awaited for two weeks. In cases, where the proposal needs to be cleared/appraised by bodies such as EFC/PIB etc., a copy of the EFC/PIB Memo etc. should also be forwarded to PMO/Cabinet Secretariat. Comments, if any, received from PMO/ Cabinet Secretariat should be duly taken into account while finalizing the note. It is, however, clarified that the consideration of the proposal by the appraisal bodies should not be delayed for reasons of non-receipt of comments from PMO/Cabinet Secretariat.

**[<sup>^</sup> Inserted *vide* Cabinet Secretariat OM No. 1/50/3/2014-Cab. dated 01.09.2015 and reiterated *vide* OM no. 1/50/1/2016-Cab. dated 06.02.2017]**

56. The fact that a copy of the note was forwarded to PMO and their comments, if received, were taken into account while finalizing the note for the Cabinet/Committee of the Cabinet, may be indicated in the forwarding communication sent to the Cabinet Secretariat, but the details of the views of PMO/ Cabinet Secretariat should not be mentioned in the body of the note for consideration of the Cabinet/Committees of the Cabinet. The fact that the draft note had been sent to PMO, can, however, be mentioned in the paragraph on inter- ministerial consultations without referring to what comments were received from PMO.

57. Notes for consideration of the Cabinet, the Cabinet Committee on Security (CCS) and the Cabinet Committee on Political Affairs (CCPA) which clearly contain any security related aspects should also be sent by the Ministry/Department concerned to the National Security Council Secretariat/NSA for their views at the time of inter-ministerial consultations.

58. In respect of proposals concerning North Eastern Region, consultations with the Ministry of Development of North Eastern Region should be carried out before finalizing the proposals(s) for consideration of the Cabinet/Committees of the Cabinet.

59. In respect of social sector schemes, the Ministries/Departments should necessarily consult the Ministry of Panchayati Raj to enable empowerment of these democratic institutions at grass root level. The Ministry of Panchayati Raj should also be consulted in all cases relating to centrally sponsored Programmes/ Schemes.

60. NITI Aayog should be consulted on proposals to launch a new Centrally Sponsored Scheme, as also on matters involving economic policy.

61. The suggestion, either in the Note, or in the forwarding memo, to the effect that the views of the Ministries/Departments concerned have not been received and may be

given in the meetings, would, normally be an unacceptable departure. Vigorous and proactive efforts are required to be made to obtain the views of the Departments concerned, the difference of opinion, if any, reconciled, and the resultant position incorporated in the Note appropriately.

62. In order to ensure that communication seeking comments/concurrence of the Ministries/Departments concerned on Cabinet proposals receive due attention at appropriate level, the administrative Ministry/Department has to ensure that at least one copy of all such communication is invariably addressed to the Secretary of the Department by name, *inter alia*, indicating the urgency.

63. In some cases, where the Ministries/Departments make presentations before the Prime Minister/the Cabinet/the Committees of the Cabinet prior to the note being submitted for consideration by the Cabinet or Committees of the Cabinet, the directions given during the course of such presentation(s) for processing the cases further are erroneously construed as superseding the *laid down procedures for processing such proposals including those relating to clearance* by the Expenditure Finance Committee (EFC), Public Investment Board (PIB) and other such appraisal bodies. To remove any ambiguity in this regard, it is clarified that presentations made before the PM/the Cabinet/CCEA do not *ipso facto* imply dispensing with the prescribed modes of inter-ministerial consultations/appraisal of proposals by the authorities concerned such as EFC, PIB etc. In such cases, the following procedure shall be adopted:

(a) issues concerning policy without financial implications may be processed in accordance with the directions given during the course of such presentations for being placed before the appropriate authority; and

(b) in respect of issues where approval is sought for commencement of the schemes, programmes etc. having budgetary implications/ financial outgo, the prescribed procedures for appraisal by EFC/ PIB etc. and necessary inter-ministerial consultations are not to be dispensed with.

## V. TIME-LINES FOR INTER-MINISTERIAL CONSULTATIONS

64. Commencing from the date, the draft note is received by the Ministry/Department being consulted, the comments of consulted Ministries/Departments shall, in all cases, be finalized and communicated to the sponsoring Ministry/Department in two weeks.

65. \*\*\* In all cases where the notes for the Cabinet/Committees of the Cabinet are required to be circulated for inter-ministerial consultations, the entire process of consultations will be completed in two weeks' time. In cases where the consulted Ministries/Departments fail to forward their comments to the sponsoring Departments within two weeks, the sponsoring Departments will clearly indicate in the body of the note the date on which comments were sought from the Ministry/Department concerned, and the fact that the comments of the Ministries/Departments consulted have not been received till finalization of the note for the Cabinet/Committee of the Cabinet. The sponsoring Ministry / Department should also indicate the date(s) on which the comments are received from the various consulted Ministries / Departments either in the body or the Annexure to the Cabinet Note where the

details of the inter-ministerial consultations are reflected<sup>^</sup>. It will be the responsibility of the Ministry/Department sponsoring the proposals to ensure that the draft note for the Cabinet/Committee of the Cabinet is delivered to all Ministries/Departments required to be consulted and the Prime Minister's Office/ Cabinet Secretariat quickly, preferably on the same day as the date of circulation, and the period of two weeks will reckon from the date, copies of such draft notes have been delivered to all Ministries/Departments concerned.

**[\*\*\* Inserted *vide* Cabinet Secretariat O.M. No. 1/50/1/2014-Cab. dated 20.06.2014 and reiterated vide OM no. 1/50/1/2016-Cab dt 06.02.2017]**

**[^ Inserted *vide* Cabinet Secretariat O.M. No. 1/50/3/2015-Cab. dated 30.09.2015]**

66. If any consulted Ministry/Department has inputs that it considers necessary/critical for decision making in the case, and these could not be communicated to the sponsoring Ministry/Department in time, the Secretary of such Ministry/Department could be required to indicate such inputs during the meeting of the Cabinet along with reasons for not having been able to provide the comments in time.

67. After completion of inter-ministerial consultation an unnumbered single copy of the finalized note shall be submitted to the Prime Minister's Office. Simultaneously, 5 copies of the note are to be submitted to the Cabinet Secretariat. The sponsoring Ministry/Department will wait for 3 working days for any direction and, thereafter, if any comments have been received, make necessary changes and submit the requisite number of final note to the Cabinet Secretariat.

68. \*\*\*\*It has been observed that in all cases of moving of a fresh Resolution in the Parliament and in all such cases relating to the award of the Board of Arbitration, fresh approval of the Cabinet would be required as the term of the Parliament comes to an end or there is a change in Government. This would require fresh inter-Ministerial Consultations, as applicable.

**[\*\*\*\* Inserted *vide* Cabinet Secretariat O.M. No. 1/50/1/2014-Cab. dated 23.09.2014]**

## **VI. APPRAISAL BY BODIES SUCH AS PIB/EFC ETC.**

69. Proposals involving projects and/or schemes involving outflow of funds are considered and appraised in inter-ministerial meetings before their consideration by the Cabinet/ Committees of the Cabinet. In respect of such proposals, a simplified procedure of inter-ministerial consultations has been devised. While details in this regard have been laid down in separate orders/instructions, brief summary of these is as below:

(a) Copies of the memo sent for consideration of the appraisal bodies should also be sent to PMO at the time these are sent to the Ministry/Department concerned to convene the meeting of such appraisal bodies.

(b) The Ministries/Departments represented on the appraisal body should check that their viewpoint has been correctly reflected in the minutes. Secretaries participating in the deliberations of these bodies/appraisal fora would obtain the orders of their respective Ministers immediately after the Board/ Committee takes a decision and communicate their comments, if any, to the Secretary of the Ministry sponsoring the proposal within a week of



the issue of the minutes of the Board/Committee meeting failing which the formal concurrence of their Ministry will be assumed. Any comments received from the consulted Ministries should be duly reflected in the note for the Cabinet/Committees of the Cabinet by the sponsoring Ministry. The notes for Cabinet/Committees of the Cabinet containing proposals based on recommendations of appraisal bodies, being submitted for consideration should have the approval of the competent authorities as indicated below:

Sl. No.	BODY	APPROVAL REQUIRED
1.	Core Group on Disinvestment (CGD)	Minister-in-charge of the Department of Disinvestment.
2.	Public Investment Board (PIB), Expenditure Finance Committee (EFC), Committee on Establishment Expenditure (CEE)	Minister-in-charge of the Administrative Ministry and the Minister of Finance.
3.	Expanded Board of Railways (EBR)	Minister of Railways and the Minister of Finance.
4.	Public Private Partnership Appraisal Committee (PPPAC)	Minister-in-charge of the Administrative Ministry and the Minister of Finance

*Note: The above table is an illustrative list. The Government has set up some more bodies for considering Ministry/Department specific schemes as approved by the Cabinet/Committees of the Cabinet from time to time. The proposals in such cases should be processed in accordance with the specific procedure laid down for the purpose.*

(c) If the recommendations made by these bodies/appraisal fora are not accepted by the sponsoring Ministry, it will be obligatory for the sponsoring Ministry to show the Note for the Cabinet/Committees of the Cabinet to all Ministries concerned and obtain their comments before the note is finalized for submission to the Cabinet/ Committees of the Cabinet.

(d) In all other cases, namely, those in which the recommendations of these bodies/appraisal fora are acceptable to all Ministries concerned, the sponsoring Ministry will finalise the note after following the procedure summarized in the table in subparagraph (b) above and send a copy of the final Note for the Cabinet/Committees of the Cabinet together with the minutes of the Board/Committee meeting as an annexure thereto to the Prime Minister's Office. Five (5) copies of the Note should also be sent to the Cabinet Secretariat simultaneously. After waiting for a period of 3 working days, the requisite number of copies of the Note should be forwarded to the Cabinet Secretariat provided no observations are received from PMO/Cabinet Secretariat on the note. A copy of the Note should be sent by the sponsoring Ministry/Department to all Ministries concerned when the requisite number of copies is sent to the Cabinet Secretariat.

70. Subject to conditions elaborated in subsequent paragraphs, no fresh inter-ministerial consultations would be required if the recommendations of appraisal bodies are proposed to be accepted by the sponsoring Ministry.

71. **\*\*The monetary ceilings / threshold for delegating powers of appraisal and approval of cost estimates of public funded projects are for specific investment proposals and projects. Proposals for new schemes / programmes / policy initiatives with generic programmatic content and principles that impact other Ministries / Departments irrespective of financial implications should be brought before the Cabinet for its consideration after going through the due process including that of approvals by appraisal bodies such as Expenditure Finance Committee (EFC) etc. (where applicable).**

**[\*\*In terms of Cabinet Sectt OM no. 781/4/2/2014-Cab dated 20.03.2014]**

72. All the Notes submitted for the consideration of appraisal bodies [such as Expenditure Finance Committee (EFC), Public Investment Board (PIB), Core Group on Disinvestment (CGD), Expanded Board of Railways (EBR), Public Private Partnership Appraisal Committee (PPPAC), Telecom Commission (TC), High Powered Committee for road projects under the Special Accelerated Road Development Programme for North East (HPC) etc.] should henceforth clearly indicate, under a distinct 'heading' / paragraph, the Employment Generation Potential of each proposal. All appraisal bodies must make it a criterion for appraisal of the proposal before it, and appraise this aspect carefully while considering the proposal. The minutes of the meeting of such appraisal bodies should also separately and clearly reflect the Employment Generation Potential of each proposal\*\*.

**[\*\*Inserted vide Cab. Sectt. OM no. 1/50/1/2016-Cab. dated 22.01.2016.]**

73. After receipt of the recommendations of the appraisal body [EFC/PIB/CGD/PPPAC/EBR/Telecom Commission/High Powered Committee for Road Projects under the Special Accelerated Road Development Programme for North East (HPC)], the sponsoring Ministry/Department will, as soon as feasible, finalize the note for the Cabinet/Committees of the Cabinet with the approval of the Minister-in-Charge of the sponsoring Ministry/Department. While preparing the note wherein the proposals have been recommended by any appraisal body, the approval of the Minister of Finance must be obtained and it should be clearly indicated in the body of the note that the recommendations/ minutes of the appraisal body have the approval of the Minister of Finance\*. Simultaneously, a copy of the draft note will also be forwarded to the Prime Minister's Office as well as Cabinet Secretariat^.

**[\*Inserted vide Cab. Sectt. OM no. 1/50/1/2014-Cab. dated 17.10.14.]**

**[^ Inserted vide Cabinet Secretariat OM No. 1/50/3/2014-Cab dated 01.09.2015, reiterated vide OM no. 1/50/1/2016-Cab. dated 06.02.2017]**

74. Proposals on which recommendations have been given by the appraisal bodies/CoS shall be placed before the Cabinet or its Committees within 60 days from the date of the meeting of the appraisal body/CoS. In all cases, where the Secretary of the Ministry/Department concerned expects delay beyond 60 days in submitting the Cabinet/Committee of the Cabinet notes, the Cabinet Secretary shall be apprised of the reasons for delay, which will also be appropriately indicated in the note for the Cabinet/Committees of the Cabinet. Further, it will be necessary to obtain the approval of the Chairperson of the Board/Committee for condonation of delay.

75. Proposals required to be placed before various appraisal bodies/CoS shall, if the Note/Memo for their consideration is complete in all aspects, and no further inputs are considered essential on any specific aspect, be disposed of by the appraisal body/CoS within a period of four weeks.

76. The appraisal process in the NITI Aayog shall, in all cases be completed within a period of four weeks.

77. All Ministries/Departments concerned will put in place a system under which the status of pending proposals for consideration by the appraisal bodies will be reviewed on a fortnightly basis. Copies of the minutes of such a review shall be endorsed to the Cabinet Secretariat.

## **VII. MATTERS CONSIDERED BY COMMITTEE OF SECRETARIES**

78. In cases considered by the CoS on the directions of the Cabinet/Committees of the Cabinet, it will be the responsibility of the Secretary concerned to communicate the approval or otherwise of the Minister-in-charge of his Ministry/Department within a week from the date of issue of the minutes of the meeting of the CoS and in the event no such comments are sent to the sponsoring Ministry, it will be presumed that the Ministry concurs with the decision taken in the CoS meeting.

79. In all other cases considered by the Committee of Secretaries, the usual procedure of inter-ministerial consultations will continue to be followed as consultation process includes approval of the Minister-in-charge of the consulted Ministry/Department and consideration of a matter by a CoS is not a substitute for consideration of the issues at the Ministers' level.

80. In all cases, where the issue has been considered by a CoS, a copy of the comments/ feedback sent to the sponsoring Ministry should also be endorsed to the Cabinet Secretariat.

81. In respect of urgent cases being submitted for consideration of the Cabinet Committee on Economic Affairs (CCEA), which have not been considered by the High Powered Price Monitoring Board (HPPMB), the Administrative Departments may normally give seven days' time to all Ministries concerned to convey their views on the draft Note before the same is finalized and submitted for consideration of the CCEA. However, in cases of extreme urgency, a shorter period may be allowed depending on the situation. In such cases, the Administrative Department will inform the Cabinet Secretariat as soon as such notes are circulated.

## **VIII. NEED TO AVOID LAST MINUTE RUSH OF PROPOSALS**

82. The Ministries/Departments must plan their activities in such a manner that the proposals for consideration of the Cabinet/Committee(s) of the Cabinet are not sent just before these are to be announced or operationalised leaving little time for examination of the pertinent issues and modifications/ interventions, if any required.

## Further, Ministries/ Departments should invariably submit the proposal for consideration of the Cabinet seeking extension of ongoing projects/ schemes, in variance to the earlier Cabinet decisions, well within the initially approved date of completion.

**[## Inserted vide Cab. Sectt. OM no. 1/50/1/2016-Cab. dated 12.02.2016.]**

## IX. NO. OF COPIES

83. The number of copies of the notes required to be sent to the Cabinet Secretariat are as below:

<b>Cabinet/Committee of the Cabinet</b>	<b>No. of copies*</b>
Note for Consideration of Cabinet.	<b>50</b> copies in Hindi and English [+additional copies equivalent to number of Ministries / Departments consulted in the matter].
Notes for Cabinet Committee on Economic Affairs	<b>40</b> copies in Hindi and English [+ additional copies equivalent to the number of Ministries / Departments consulted in the matter].
Notes for Cabinet Committee on Accommodation	<b>25</b> copies in Hindi and English [+ additional copies equivalent to the number of Ministries / Departments consulted in the matter].
Cabinet Committee on Political Affairs.	<b>30</b> copies in Hindi and English.
Cabinet Committee on Security	<b>20</b> copies in Hindi and English.

**[\* Reviewed and modified vide Cab. Sectt. OM no. 21/1/5/2016-Cab. dated 11.01.17.]**

Note 1: The Ministries/ Departments will also make available soft copies of the signed notes for the Cabinet/ Committees of the Cabinet along with all Annexures, etc. (both in English and Hindi versions) to the Cabinet Secretariat in pdf format in an appropriate Computer Storage Media along with requisite number of copies of the final note#.

**[# Inserted vide Cab. Sectt. OM no. 1/50/1/2014-Cab. dated 11.06.2014.]**

Note 2: Cabinet Committee on Parliamentary Affairs is being serviced by Ministry of Parliamentary Affairs.

84. Cabinet Secretariat shall, where necessary, request for additional copies of the notes for Cabinet/Committees of the Cabinet.

## X. COPIES OF BULKY DOCUMENTS

85. While generally it would be desirable to annex documents referred to in the body of the note, in cases where the documents are rather bulky, it would be in order to enclose the executive summary or relevant extracts from the documents. However, 5 copies each of the Act(s), Ordinance(s), Rules and Regulations referred to in the note should be

sent to the Cabinet Secretariat along with the copies of the note for the Cabinet/Committees of the Cabinet, in cases where these are not attached with the note, being bulky. However, copies of the relevant extracts from such rules/ Acts/instructions should be annexed to the note and duly referred to in the body of the note.

## **XI. CLEARANCE BY ELECTION COMMISSION OF INDIA**

86. During the period when elections have been announced and the Model Code of Conduct (MCC) for political parties and candidates issued by the Election Commission of India (ECI) is in force, the Ministries/Departments forwarding proposals for consideration of the Cabinet/Committees of the Cabinet should ensure that provisions of the Code are not violated. In cases where provisions of MCC are attracted, prior approval of Election Commission will be mandatory. All such proposals will be routed through the Cabinet Secretariat, and the Ministries/ Departments will not make any such reference directly to the Election Commission. #

**[# Cabinet Secretariat OM no. 1/41/1/2016-Cab dated 31.1.2017 circulating therewith Election Commission letter N. 437/6/ECI/INST/FUNCT/MCC/2017-MCC&BE dated 27.01.2017.]**

## **XII. FORWARDING OF NOTES TO CABINET SECRETARIAT**

87. After completion of inter-Ministerial consultations when a note for submission to the Cabinet or any Committee of the Cabinet chaired by the Prime Minister is approved by the Minister-in-charge of a Department/Ministry, , an unnumbered copy of the note should be forwarded to the Principal Secretary to the Prime Minister immediately and thereafter, comments/advice of the PMO be awaited for three working days. Simultaneously, five copies of the note will also be forwarded to the Cabinet Secretariat. Only after expiry of three working days, the note may be finalized, and requisite number of copies should be sent to the Cabinet Secretariat for placing it before the Cabinet/Committees of the Cabinet. The note should bear the date on which it is sent to the Cabinet Secretariat. The fact of compliance with the aforesaid instructions will be clearly stated in the forwarding memo *vide* which the notes are sent to the Cabinet Secretariat.

88. The forwarding memo should be addressed to and all copies of notes sent to Director (Cabinet), Cabinet Secretariat, Rashtrapati Bhavan, New Delhi- 110004 and not to any other senior officer in the Cabinet Secretariat. Where it is considered expedient or necessary to draw the attention of senior officers in the Cabinet Secretariat, an additional copy of the note may be forwarded to them directly.

89. For inclusion of proposals in the agenda of the meetings of the Cabinet/Committees of the Cabinet, which are generally held on ##Wednesdays, procedurally correct notes should be sent to the Cabinet Secretariat at the earliest possible and those notes received upto Thursday of a particular week and found to be procedurally in order, will, to the extent feasible, be placed for consideration of the Cabinet/Committees of the Cabinet in its meeting to be convened in the following week.

**[##Inserted *vide* Cabinet Secretariat O.M. No. 1/50/1/2014-Cab. dated 11.06.2014]**

90. The forwarding Memo should categorically mention that the time-lines stipulated for completion of inter-ministerial consultations have been adhered to, and the Ministry/ Department had proactively pursued the Ministries/ Departments required to be consulted, in cases where their comments were not received within the stipulated time-frame. Names of Ministries/Departments, who have not responded despite follow-up, should be indicated in the forwarding memo as also the main body of the note.

91. Further, in cases where there are differences between the Ministries/ Departments, these should be highlighted in the forwarding Memo to be sent to the Cabinet Secretariat.

### **XIII. COMMUNICATION PLAN AND PRESS BRIEF**

92. It is important that the decisions of Cabinet/ CCEA are given wide and effective publicity by leveraging the range and reach of Mass media, Social media and Personal media having focused attention on Target Groups, Beneficiaries, Regions, etc. A well formulated Communication Plan for decisions, which need to be highlighted, is necessary to reach out to the people by utilizing various channels for dissemination of information.#

93. For all important decisions, Ministries/ Departments, therefore, will forward an appropriate Communication Plan which may inter alia include a 'Press Brief' and cover details such as strategy for dissemination through different Media. The Communication Plan should also incorporate a comparison between the earlier scenario and the one which would emerge as a result of the Cabinet/ CCEA decision and also highlight how it will be an improvement over the past. \*

94. General principles of a Communication Plan and a suggested outlines are enclosed at **Annex-II** and **Annex-III** respectively. However, it may be noted that the general principles and the outlines are only indicative and not exhaustive. The Communication Plan has to be innovative and tailor-made depending upon the nature of the proposal. #

[# Cabinet Secretariat OM No. 1/50/1/2016 dated 19.5.2017]

[\* Cabinet Secretariat OM no. 1/50/2016 dated 27.6.2017]

95. 'Draft Press Brief' prepared on the assumption that the proposal would be approved as such by the Cabinet/Committee of the Cabinet with two copies each of the same in Hindi and English should be enclosed with the communication forwarding the note for the Cabinet/Committee of the Cabinet. In case, the 'Draft Press Brief' is not attached to the note, the reasons for not doing so may be mentioned in the forwarding communication. The press briefs should bring out the essence of the proposals or highlight the details about their possible impact, implementation strategy, targets and benefits expected to be achieved through the programmes/schemes approved by the Government. A suggested template for the purpose is at **Annex- II** at the end of this section.

96. In the event, there has been a lapse of two or more weeks between the date of preparation of the brief and the date on which the item is taken up in the Cabinet meeting, an updated brief inter alia indicating subsequent developments, if any, should be handed over to the Cabinet Secretariat on a day prior to the date of the meeting for taking necessary

action. In case of any significant development, an updated brief may be given, even if the gap between the preparation of the brief and the date of the meeting is less than two weeks.

97. While media is generally not briefed in respect of ordinances and proposals on purely administrative matters with which the public at large is not directly concerned, a final view in the matter is to be taken by Cabinet Secretary. Further, when Parliament is in session, no media briefing is done in respect of proposals relating to major questions of policy. The Ministries/ Departments should, however, send the brief to the Cabinet Secretariat even in such cases.

**[As per Cabinet Secretariat O.M. No.1/3/3/2011-Cab. dated 27.05.2011]**



**ANNEX-I****SPECIMEN FORMAT OF THE MAIN NOTE**

SECRET

Copy No. \_\_\_\_\_

No. \_\_\_\_\_

MINISTRY OF \_\_\_\_\_

DEPARTMENT OF \_\_\_\_\_

New Delhi, the (date of the note)

**NOTE FOR THE CABINET OR****NOTE FOR THE CABINET COMMITTEE ON \_\_\_\_\_**

Subject: \_\_\_\_\_

\*\*\*\*\*

**1. INTRODUCTION**

A snapshot of the proposal in 3 or 4 sentences.

**2. BACKGROUND**

A brief background of the proposal to understand its genesis. This would include consideration of the matter earlier by Cabinet/Committees of the Cabinet or Commissions/High Level Committees etc., if relevant, and other pertinent details.

**3. PROPOSAL**

The proposal may be stated with clarity and precision so that there is no ambiguity in what the Ministry/Department aims to achieve by implementing the proposal. The time-lines for completion of different stages of the projects/scheme/plan etc, where relevant, need to be clearly spelt out.

**4. JUSTIFICATION**

Rationale of the proposal may be brought out in this part of the note. The Ministries / Departments are also required to bring out clearly in this para, while proposing a new legislation, the essentiality of the legislation being proposed and the reasons why the purpose cannot be served through an existing legislation or by framing subordinate legislation or through executive orders etc.

**5. INTER-MINISTERIAL CONSULTATIONS**

Details of all inter-ministerial consultations and their views/comments including dates on which the comments are received from them, as elaborated in the consolidated instructions should be brought out in this section. This should also give details of the appraisal of the proposal by any appraisal bodies or financial institutions.

**6. FINANCIAL IMPLICATIONS**

The financial implications of the proposal may be worked out as accurately as possible and should be detailed in this section. Further, the manner in which the expenditure is proposed to be borne may also be clearly indicated.

## **7. Employment Generation Potential**

The Employment Generation Potential of the proposal should be worked out and be reflected clearly in this Paragraph.

## **8. APPROVAL PARAGRAPH**

The approval paragraph is the most crucial paragraph containing the proposal on which consideration and approval of the Cabinet/ Committee of the Cabinet is solicited. It should be a self-contained paragraph and drafted with clarity and precision leaving no scope for ambiguity or differing interpretations.

## **9. STATEMENT OF IMPLEMENTATION SCHEDULE (APPENDIX- I)**

As per prescribed format and conforming to the approval paragraph.

## **10. STATEMENT OF EQUITY, INNOVATION AND PUBLIC ACCOUNTABILITY (APPENDIX- II)**

As per prescribed format. Brief details of how the proposal will subserve the three criteria to be included in the main body of the note.

## **11. STATEMENT ON MAJOR MILESTONES AND CORRESPONDING TARGET DATES (APPENDIX- III) –**

In the format prescribed for the purpose. (This is required only for Infrastructure Project related proposals)

## **12. APPROVAL OF THE MINISTER-IN-CHARGE**

The last paragraph should indicate about the approval of the Minister- in-charge to the proposal(s) contained in the note.

Signature\_\_\_\_\_

Name\_\_\_\_\_

Designation\_\_\_\_\_ (Joint  
Secretary or higher in the sponsoring  
Ministry/Department)

Telephone No.\_\_\_\_\_

**Note:-** The above format is indicative and the exact headings may vary.

**APPENDIX-I**

SECRET

No.-----

Ministry of-----

Department of-----

**STATEMENT OF IMPLEMENTATION SCHEDULE**

Subject:\_\_\_\_\_

Gist of decision required	Project benefits/results	Time-frame and manner of implementation/reporting to Cabinet Secretariat.

Signature\_\_\_\_\_

Name\_\_\_\_\_

Designation\_\_\_\_\_

(Joint Secretary or higher in the  
sponsoring Ministry/Department)

Telephone No.\_\_\_\_\_

## APPENDIX-II

SECRET

No.-----

Ministry of-----

Department of-----

**STATEMENT OF EQUITY, INNOVATION AND PUBLIC ACCOUNTABILITY**

Subject:\_\_\_\_\_

\*\*\*\*

S.No.	The required goal	How does the proposal advance this goal?
1.	<b>Equity Inclusiveness</b> or	
2.	<b>Innovation</b>	
3.	<b>Public Accountability</b>	

Signature\_\_\_\_\_

Name\_\_\_\_\_

Designation\_\_\_\_\_

(Joint Secretary or higher in the  
sponsoring Ministry/Department)

Telephone No.\_\_\_\_\_

## APPENDIX-III

SECRET

No.-----

Ministry of-----

Department of-----

**STATEMENT ON MAJOR MILESTONES AND TARGET DATES**

Subject:\_\_\_\_\_

\*\*\*\*

S.No.	Major milestones	Time Frame for completion/ Target date
1.		
2.		
3.		

Signature\_\_\_\_\_

Name\_\_\_\_\_

Designation\_\_\_\_\_

(Joint Secretary or higher in the  
sponsoring Ministry/Department)

Telephone No.\_\_\_\_\_

**ANNEX II****GENERAL PRINCIPLES OF A COMMUNICATION PLAN**

- (i) Ministries/ Departments are required to formulate their communication Plan, decide on the degree of publicity required to be done, media to be utilized for dissemination, language for publicity etc. based on the nature and importance of the decision, its impact on people and geographical spread, target groups/ intended beneficiaries/ audience, etc. For example, a Cabinet decision for creation of certain posts is of an administrative nature for which a Press Brief may suffice. However, for a social sector scheme, the Communication Plan will be of a different dimension altogether and may involve a multi-pronged strategy for dissemination publicity. Regional languages may be used to amplify the message. For example, a decision which has impact in the State of Tamil Nadu, the language for dissemination may also be Tamil.
- (ii) Focus of publicity should be on outcomes/benefits of Cabinet/ CCEA decision for the general public/ target groups/ intended beneficiaries/ region, etc.
- (iii) . The communication Plan should also incorporate a comparison between the earlier scenario and the one which would emerge as a result of the Cabinet/ CCEA decision and also highlight how it will be an improvement over the past.
- (iv) Where the Cabinet/ CCEA decision furthers the philosophy of the Government such a Minimum Government Maximum Governance, Sabka Saath Sabka Vikas, Ek Bharat Shreshth Bharat, Transparency and Accountability, Make in India, etc., these aspects may be highlighted by the Ministries/ Departments in their Communication Plan.
- (v) It would also be advisable to reach out to influencers who have worked on a particular issue or are influencing voices on a particular issue. For example, on the National Health Policy, Tweets and Facebook posts by leading Doctors and Health experts can have a strong impact.
- (vi) When Cabinet/ CCEA decision affects a particular State/ Union Territory, prominent voices and media influencers from that State/ Union Territory can be reached out to for sharing the salient features of the decisions.
- (vii) Paid/ Promotional campaigns are to be resorted to only after ensuring value optimization of such methods.

\*\*\*\*\*

**Annex III****OUTLINE OF A COMMUNICATION PLAN****I. Content**

- (i) Press Brief/ Press Note.
- (ii) Draft SMS/Whatsapp Message/ Facebook Post/Twitter.
- (iii) Infographics.
- (iv) Short Videos (To be resorted to sparingly and mentioned in case created).
- (v) Small write-ups for electronic media.

**II. Strategy for dissemination**

Ministries/Departments may, depending upon the nature of decision and its impact, adopt any one of the following methods or combination of methods for dissemination of information.

**(I) Mass Media**

- (a) Publicity on Television and National/Regional/Local Newspapers.
- (b) Articulation of benefits on National and Local Media.
- (c) 'Opinion piece' articles in leading English, Hindi and Regional dailies on the nature and scope of the decision and how it impacts the people.
- (d) Bulletins on AIR News/ AIR- FM/ Private FM Radio Stations.
- (e) Interviews on Electric Media/ Radio and TV Talk Shows.
- (f) Special Mass Media Programmes.

**(II) Personal Media**

- (a) Personalized SMS texts, Whatsapp posts, Video messages to keep citizens aware of key decisions taken by Cabinet/ CCEA.
- (b) Mailers with images, videos and captions encapsulating the decision.

**(III) Social Media**

Twitter/ Facebook, etc. – For every Cabinet/ CCEA decision, the Ministry/ Department concerned may tweet about the decision with supporting links that give details about the decision. In addition to twitter, the contents of the decision may be shared on Facebook also to tap its wider reader base. Cabinet/ CCEA decisions and policies may be tweeted and shared on Facebook by other concerned Ministries/Departments also in addition to the nodal Ministry/ Department concerned for wider amplification. Other Ministries/ Departments may innovatively link the Cabinet/ CCEA decision with their respective Plans/ Programmes, etc.

(IV) Last Mile Publicity/ Outdoor Publicity

- (a) Letters to elected representatives of Local Bodies.
- (b) Hoardings/ Wall writings.
- (c) Street Plays/ Nukkad Natak.
- (d) Field Publicity at Government Offices implementing Cabinet/ CCEA decision.



**ANNEX- IV****SPECIMEN FORMAT FOR THE PRESS BRIEF**

Ministry name

Date of decision

Subject of the Note for the Cabinet/Committees of the Cabinet

1. Decision
2. Point-wise details
3. Background
4. Implementation strategy and targets
5. Major impact, including employment generation potential
6. Expenditure involved
7. No. of beneficiaries
8. States/districts covered
9. Details and progress of scheme if already running

## Section 4: Forwarding Cabinet Notes

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All notes for the Cabinet and Committees of the Cabinet should be forwarded to Director(Cabinet), Cabinet Secretariat, Rashtrapati Bhawan, New Delhi and not to any other officer(s) in the Cabinet Secretariat to ensure that there is no delay in receipt or processing of such notes. Where it is considered expedient or necessary to draw the attention of senior officers in the Cabinet Secretariat, an additional copy of the note may be forwarded to them directly.

2. In order to ensure that none of the facts required to be brought to the notice of the Cabinet Secretariat while forwarding the notes for the Cabinet/Committees of the Cabinet, are missed out, a model Office Memorandum for forwarding the notes to the Cabinet Secretariat has been devised and reproduced overleaf.

3. It must be ensured that the notes are stapled at the left hand top corner and are not bound spirally or otherwise.

## Model Forwarding Office Memorandum

Copy No.

### Secret

No.....Ministry/Departme  
nt of

New Delhi, dated

### Office Memorandum

Subject: XX

The undersigned is directed to enclose.....<sup>1</sup> copies of the Final note (both in Hindi and English versions) on the above mentioned subject for consideration by the Cabinet/Cabinet Committee on.....

2. It is informed that the Ministries/Departments of .....,..., and .... and the Prime Minister's Office have been consulted at the draft stage. The comments of the consulted Ministries/Departments have been included in the main body of the note.

3. The stipulated period of two weeks for inter-ministerial consultations was over on ..... However, despite having taken pro-active steps to solicit the views/comments of the Ministries concerned including a *demi- official* reminder at the level of Secretary, the comments of the Ministry/ Department of ....., .....were not received. **OR** The proposal has been appraised by the EFC/PIB/ other appraisal bodies (specify the body). The recommendations of the EFC/PIB/other appraisal bodies (specify the body) have been accepted. The Cabinet/ Committee of the Cabinet note has been approved by the Minister of Finance (where relevant). Copies of the EFC/PIB Memo were sent to PMO on .....

4. No comments were received from PMO within the stipulated period of two weeks after sending the draft note **OR** The comments received from PMO on the subject have duly been factored into the proposal.

5. After completion of inter-Ministerial consultations, an unnumbered single copy of the note for the Cabinet/Cabinet Committee on..... had been forwarded to PMO on..... Three working days, after sending the note to PMO, lapsed on..... No comments have been received from PMO on the subject **OR** The comments received from the PMO have duly been taken into account while finalizing the note. Five copies of the note had also been sent to the Cabinet Secretariat on the day it was sent to PMO.

---

**50** + number of Ministries/Departments consulted in case of note for the Cabinet;  
**40** + number of Ministries/Departments consulted in case of note for CCEA, **25+**  
number of Ministries/Departments consulted in case of note for CCA. For Notes for CCPA and CCS, **30 and 20** copies respectively may be forwarded.

6. A tabular statement indicating the views/comments of PMO and action taken thereon by the Department/comments of the Department are annexed with this Office Memorandum.

7. There has been a delay in submitting this case as the prescribed period of 60 days after appraisal by EFC/PIB was over on ..... The reasons for the delay are..... , ....., and .....

8. It is also stated that there are no differences on the proposals with the consulted Ministries/Department **OR** there are differences on certain proposals and brief details thereof are as below:

.....  
.....  
.....

9. The concerns expressed by the consulted Ministries/Departments have duly been addressed.

10. It is requested that the note may be placed before the Cabinet/ Committee of the Cabinet at an early date **OR** there is urgency for consideration of this item by the Cabinet/Committee of the Cabinet keeping in view..... (reasons to be given) and therefore, it is requested to place the note in its next meeting.

**(XYZ)**  
**Designation**  
**Tel. No.**  
**E mail....**

**Cabinet Secretariat**  
**{Director (Cabinet)}**  
**Rashtrapati Bhawan, New Delhi 110004.**

## Section 5: Checklist for avoiding Common Deficiencies

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(A checklist for use in Ministries/Departments)

<b>A</b>	<b>Competence of the Central Government to consider the matter.</b>	
1.	Does the subject matter of the note for the Cabinet/Committee of the Cabinet concern the Government of India exclusively?	
2.	If not, have the State Governments been consulted?	
3.	In case the subject does not fall in the Union or Concurrent list, or consultations with the State Governments have not been held or their concurrence has not been obtained, does the Central Government have the competence to take decision in the matter? Have the details in this regard been brought out in the note?	
4.	In case the subject is covered by the Union List or the Concurrent list, but part of the expenditure has to be borne by the State Governments, has consultation been carried out with the States or is it left optional to the States to implement the proposal?	
5.	In case of schemes/projects to be implemented by the State Governments, does the proposal seek to create a stake for the State or has the release of payments been linked to the achievement of clearly defined periodic milestones?	
<b>B</b>	<b>Competence of the Department to consider the matter.</b>	
6.	Does the subject matter concern the Department, proposing to move the note, in terms of the Government of India (Allocation of Business) Rules, 1961?	
7.	Does it, besides concerning the sponsoring Ministry, also impact the business of other Ministries/Departments? Have the requisite inter-ministerial consultations been held?	
<b>C</b>	<b>Competence of the Cabinet/Committee of the Cabinet to consider the matter.</b>	
8.	Does the proposal fall within the mandate of the Cabinet/Committee of the Cabinet for whose consideration the note is being prepared or is it required to be disposed by some other competent authority in terms of various schedules of the ToB Rules or specific decisions taken by Cabinet/Committees of the Cabinet?	
<b>D</b>	<b>Physical Presentation of the note</b>	
9.	Whether the name of the Ministry/Department, security grading, page number, file number etc. have been indicated correctly on each page of the note?	
	Whether it has been ensured that bullets are not used in the note and each	

10.	paragraph or sub-paragraph is distinctly numbered?	
11.	Have all the abbreviations been expanded when used for the first time in the note?	
12.	Has the date of the note been given on the front page of the note and is it the same as given by the officer signing the Note?	
13.	Has the note been typed in double space on A-4 size of paper with font size of 12-14 (Arial)?	
14.	Whether 1.5 inch left margin has been provided?	
15.	Whether 'back to back' printing has been done?	
16.	Whether Annexures have any notings in the margin or are Annexures not legible, partly, or fully? If yes, have they been replaced with legible copies without any notings in the margin? [Annexures could be retyped, if these are not legible]	
17.	Have any unrelated Annexures or papers including previous notes of the Cabinet/Committees of the Cabinet been attached? (If so, they may be removed. In respect of old notes of Cabinet/Committee of the Cabinet, only relevant extracts and minutes may be enclosed).	
18.	If there are Annexures within Annexures, have these been numbered distinctly to ensure that there is no confusion?	
19.	Have copies of the Reports / Acts / Orders etc. referred to in the body of the note been duly attached with the note or have these been forwarded separately to the Cabinet Secretariat?	
20.	Have the notes been properly stapled? (spiral binding or any other form of binding is not permitted, only stapling of notes is allowed).	
21.	(a) Has the proposed Agreement, MoU or Treaty with any of the foreign Governments / <b>Agencies</b> been vetted by the Legal & Treaties Division of the Ministry of External Affairs and attached with the note? (b) In cases, where such Agreements also affect our domestic laws, has the draft been vetted by the Ministry of Law and Justice?	
22.	Has a copy of the draft Bill vetted by the Legislative Department been attached, in case of proposals relating to legislation?	
<b>E</b>	<b>Details regarding earlier consideration of the note.</b>	
23.	(a) Has the note been considered previously by the Cabinet/Cabinet Committee? (b) If yes, have the facts/details regarding previous consideration including date of such consideration been mentioned in the note and copies of the minutes/approval accorded and only relevant extracts from the note considered earlier attached with it or reproduced in the note?	
<b>F</b>	<b>Financial Implications.</b>	
24.	Have the financial implications been worked out and reflected correctly in the note?	
25.	Are the requisite funds available with the Department and has the proposal been cleared by the Ministry of Finance?	
<b>F.I</b>	<b>Employment Generation Potential.</b>	
	<b>Has the Employment Generation Potential of the proposal is reflected in main</b>	

25A.	<b>body of the Note in a separate Paragraph after the Paragraph on ‘Financial Implications’?</b>	
<b>G</b>	<b>Statement of Implementation Schedule and Statement of Equity, Innovation and Public Accountability.</b>	
26.	(a) Are these attached immediately after the main note and marked as Appendix I & II respectively? (b) in respect of infrastructure proposals, has Appendix III indicating milestones also been attached?	
27.	Is Appendix-I in conformity with the approval paragraph and the prescribed format?	
28.	Is Appendix-II in conformity with the prescribed format?	
29.	Have all these statements been signed by the competent officer?	
30.	Is the fact regarding Statements having been attached with the note appropriately stated in the body of the note?	
<b>H</b>	<b>Applicability of Model Code of Conduct relating to Elections</b>	
31.	(a) Is the Model Code of Conduct (concerning elections) for political parties applicable? (b) If yes, will the proposal be affected by the code and whether concurrence of the Election Commission of India has been obtained through the Cabinet Secretariat?	
<b>I</b>	<b>Inter-ministerial consultations.</b>	
32.	(a) Does the proposal in any manner impact the business of any other Department(s)? (b) If so, have they been consulted or their concurrence obtained?	
33.	Does the proposal have financial implications beyond the authority delegated to the Ministry/ Department and if so, has the Ministry of Finance been consulted?	
34.	In case of legislations, the making of rules or the orders of a general character in exercise of a statutory power conferred on the Government and the preparation of important contracts to be entered into by the Government, has the Ministry of Law (Department of Legal Affairs and the Legislative Department, as applicable) been consulted and the draft vetted by them?	
35.	Whether in cases relating to the number or grade of posts, or to the strength of a service or to the pay or allowances of Government servants or to any other conditions of their service having financial implications, concerning the Ministry of Finance prior concurrence of the Department of Personnel & Training has been obtained or consultation carried out with that Department?	
36.	(a) Is the case fully covered by a decision or advice previously given by the Department of Personnel & Training in respect of determination of the method of recruitment and conditions of service and interpretation of the existing orders of general application relating to such recruitment or conditions of service? (b) If not, has the Department of Personnel & Training been consulted?	
	(a) Is the case fully covered by instructions issued or advice previously given	

37.	by the Ministry of External Affairs in respect of matters affecting India's external relations; and (b) if not, has the Ministry of External Affairs been consulted?	
38.	Does it require appraisal by any of appraisal bodies? If yes, has the proposal been so appraised? Have the minutes of the meeting of the appraisal body been attached with the Cabinet/Committee of the Cabinet note?	
39.	Has the note been sent within two months from the date of clearance of the appraisal body?	
40.	In case of delay, has the delay been condoned by the competent authority and reasons of delay explained in the Note?	
41.	(a) Whether the recommendations of the appraisal body are proposed to be accepted <i>in toto</i> ? (b) Whether approval of the competent authorities as required in case of each appraisal body has been taken?(c) In case, the recommendations of the appraisal body are not proposed to be accepted, has it been circulated to the Ministries concerned, their comments/concurrence obtained and appropriately reflected in the note with counter-comments of the Department?	
42.	Has the proposal/recommendation of the appraisal body been approved by the Minister of Finance where financial implications are involved?	
43.	Whether all Ministries whose business could be impacted, have been consulted as per the time-lines prescribed?	
44.	Has consultation required with the Ministries of Panchayati Raj, Women and Child Development, Social Justice & Empowerment, Tribal Affairs, DONER, Environment, Forest & Climate Change etc. been carried out?	
45.	Has the note been sent to the Prime Minister's Office (PMO) at draft stage and their comments awaited for two weeks?	
45A.	Has an advance copy of the Draft Cabinet Note been sent to the Cabinet Secretariat also at draft stage?	
46.	Have the views of the consulted Ministries been reflected properly in the main body of the note along with the counter-comments of the sponsoring Ministry?	
47.	Are the names of the Ministries/Departments correctly written in the body of the note as these exist in the GoI (AoB) rules?	
48.	Have copies of the Note been sent to differing Ministries and the fact mentioned in the body of the Note and reconfirmed in the forwarding Memo?	
49.	In cases where comments have not been received from the consulted Ministries/Departments despite the lapse of the prescribed time limits, has an effort been made to pro-actively pursue the Ministries concerned?	
50.	Has National Security Council Secretariat been consulted in matters relating to national security?	
<b>J</b>	<b>Consultation with PMO/ Cabinet Secretariat</b>	



51	Have PMO's views duly been factored in while finalizing the Note? Has the sponsoring Ministry/Department mentioned the views of the PMO in the forwarding Memo, and indicated how these have been factored into the proposal by attaching a tabular statement.	
52.	Has an unnumbered single copy of the note after inter-Ministerial consultations been endorsed to PMO? Have five copies also been sent to Cabinet Secretariat on the same date?	
53	Has the Ministry waited for three working days thereafter for comments of PMO/ Cabinet Secretariat before finalizing the note?	
54.	Has a reference been made to the views of PMO/Cabinet Secretariat in the note? If yes, such references be deleted. It is clarified that indicating that the note had been sent to PMO is not prohibited and what is prohibited is that views are attributed to PMO/Cabinet Secretariat in the note.	
<b>K</b>	<b>Changes in the notes after inter-ministerial consultations.</b>	
55.	Are the proposals in the note the same as those included in the draft note circulated to Ministries/Departments at the time of inter-ministerial consultations? If the sponsoring Department has made substantial changes in the original proposals, had the note been re-circulated for completing inter-ministerial consultations?	
<b>L</b>	<b>Presentations made before the Cabinet/ Cabinet Committees/ the PM.</b>	
56.	In case, presentations are made before the PM/Cabinet/Committees of the Cabinet prior to the note being submitted for consideration of the Cabinet/Cabinet Committees, whether the following procedure has been adopted: (i) Issues concerning policy without financial implications may be processed in accordance with the directions given during the course of such presentations for being placed before the appropriate authority; and (ii) in respect of issues, where approval is sought for commencement of the schemes, programmes etc. having budgetary implications/financial outgo, has the prescribed procedure for EFC/PIB/ approval(s) and necessary inter-ministerial consultations been followed?	
<b>M</b>	<b>Communication Plan and Press Brief</b>	
57.	Communication Plan to be prepared and shared with Cabinet Secretariat (only for important decisions)	
57a.	Have two copies of the press brief in Hindi and English been sent with the note to Cabinet Secretariat? <b>(This is mandatory).</b>	
<b>N</b>	<b>Hindi version</b>	
58.	Has Hindi version been attached with all Annexures and is it complete in all respects? <b>(This is mandatory).</b>	
<b>O</b>	<b>Approval Paragraph</b>	
	(i) Is the approval paragraph self-contained, brief and excludes any facts/ details on which approval of the Cabinet/Committee of the Cabinet is	

59.	not required? (ii) Do the contents of <b>Appendix I</b> correspond to the approval paragraph?	
<b>P</b>	<b>Approval of Minister-in-charge.</b>	
60	Has the approval of the Minister-in-charge been taken for placing the note before the Cabinet/Committees of the Cabinet and indicated in the note?	
<b>Q</b>	<b>Change in the facts/circumstances after submission of notes</b>	
61.	Has there been any change in the facts/circumstances after submission of the note for consideration of the Cabinet/Cabinet Committee including receipt of comments from the Ministries/Departments or State Government or other authorities. If so, (a) has the Cabinet Secretariat been informed about it? and (b) has a <b>Supplementary Note</b> been prepared and requisite copies sent to the Cabinet Secretariat or (c) is the note required to be withdrawn for recasting?	
<b>R</b>	<b>Prescribed time-lines.</b>	
62.	Have the time-lines prescribed for various activities including inter-ministerial consultations and reference to PMO/ Cabinet Secretariat been followed?	

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# Section 6: Specimen Cabinet/Cabinet Committees Note

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*(This note has been prepared only for training purposes and is not an actual note).*

Copy NO. \_\_/40

**SECRET**  
File No. XXXXXXXX  
Ministry of Shipping

New Delhi, Dated the XXXX, YYYY

## **NOTE FOR THE CABINET COMMITTEE ON ECONOMIC AFFAIRS**

**SUBJECT: Financial support to the Indian Maritime University for augmentation of facilities for providing reservation of seats to 'Other Backward Classes' (OBCs).**

### **1. Introduction**

The present proposal seeks approval of the Cabinet Committee on Economic Affairs (CCEA) for augmenting the facilities available at the Indian Maritime University (IMU), Chennai and its other campuses for complying with the requirements relating to reservation of seats for 'Other Backward Classes' (OBCs) in educational institutions in terms of the Central Education Institutions (Reservation in Admission) Act, 2006. The proposal entails an estimated expenditure of ` (amount) crore to be incurred during (Year), (Year) and (Year). This includes non-recurring expenditure of (amount in crores) and recurring expenditure of (amount in crore).

### **2. Background**

2.1 Based on the approval accorded by the Cabinet in its meeting held on (date) (**Annex I, p. 9**), the University was established on 14.11.2008 in Chennai with campuses at Chennai, Kolkata, Mumbai and Vishakapatnam as a Central University under the IMU Act, 2008 (22 of 2008).

**SECRET**

Page No. 1 of 11

**SECRET****File No. XXXXXXXX****Ministry of Shipping**

2.2 While setting up the University, the existing seven Government and Government aided maritime training and research institutes viz. Marine Engineering & Research Institute, Kolkata, Marine Engineering & Research Institute, Mumbai, Lal Bahadur Shastri College of Advanced Maritime Studies and Research, Mumbai, T.S. Chanakya, Navi Mumbai, National Maritime Academy, Chennai, Indian Institute of Port Management, Kolkata and National Ship Design and Research Centre, Vishakapatnam, were merged with it.

**3. Proposal**

3.1 It is now proposed to augment various facilities, including hostel, the academic blocks, administrative blocks, computing facilities, laboratories and sports infrastructure in all the campuses of the IMU by providing a one-time budgetary support of ` (amount in crore).

3.2 In terms of the decision of the Cabinet, the University is a self funding institution and no financial support is to be provided to it for its normal operations by the Government. However, in order to comply with the law enacted by the Government relating to reservation of seats for OBCs in educational institutions, additional infrastructural and other facilities are required to be created in different campuses of the IMU. This is proposed to be done over a period of next three years. It is clarified that except for this assistance, the IMU would continue to be run on self- financing basis.

**4. Financial implications**

4.1 The details of non-recurring expenditure involved for augmentation of these facilities, campus-wise, has been assessed as below:

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**Table: Details of Non-Recurring Expenditure (in crore)**

<b>Name of Campus</b>	<b>Hostel</b>	<b>Academic and Administrative blocks, computer facilities</b>	<b>Sports infrastructure</b>	<b>Total</b>
<b>Chennai</b>	(amount)	(amount)	(amount)	(amount)
<b>Kolkata</b>	(amount)	(amount)	(amount)	(amount)
<b>Mumbai</b>	(amount)	(amount)	(amount)	(amount)
<b>Vishakapatnam</b>	(amount)	(amount)	(amount)	(amount)
<b>Total</b>	(amount)	(amount)	(amount)	(amount)

4.2 The year-wise outgo of funds on account of non-recurring expenditure would be (amount in crore) in (Year), (amount in crore) in (Year) and (amount in crore) in (Year).

4.3 Besides, there would also be a recurring expenditure of ( amount in crore) during the next three years on account of salary and wages due to creation of new posts at various levels and outsourcing of certain services. All the additional posts will be created in accordance with the norms relating to creation of teaching and non- teaching posts for which a separate reference will be made to the Department of Expenditure, Ministry of Finance. It is confirmed that none of the new posts will be of the rank of Joint Secretary to the Government of India or higher. The year-wise outgo of funds on account of recurring expenditure would be (amount in crore) in (Year), (amount in crore) in (Year) and (amount in crore) in (Year).

4.4 The additional funds required for the purpose would be provided through plan support from within the existing allocations of the Ministry of Shipping.

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4.5 Various activities proposed to be undertaken for construction of hostel and academic blocks are proposed to be completed during (Year).and (Year).. The quota for reservation of seats will be filled up in a phased manner and in the academic session (Year), IMU will be fully complying with the statutory requirements of reserving 27% seats in all its campuses for OBC students.

**5. Justification**

The IMU is a self-sustaining institution and would be generating sufficient funds for meeting all its expenditure for its normal activities. Without taking into account the requirements arising due to augmentation of facilities at IMU, the total revenue and expenditure of the IMU between (Year) to (Year) have been assessed at (amount in crore) and (amount in crore) respectively. There will, as such, be an overall surplus of (amount in crore) at the end of this period. IMU plans to utilize this surplus amount for enhancing the quality of teaching faculty at all its campuses for which a separate action plan is being drawn up by the University. However, since augmentation of facilities at IMU is required for creation of additional seats in the University to meet the statutory requirements, it is necessary to provide additional funds for creation of facilities at IMU. Keeping in view the decision of the Government that introduction of reservation for OBCs will not result in any reduction in the number of seats for general category students, overall, 450 additional seats will need to be provided at all campuses of the IMU. There is no scope for any cost cutting or internal generation of resources by the IMU without compromising the quality of education and training being imparted by it.

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**6. Inter-ministerial consultations/ appraisal by EFC**

6.1 The draft memo for the Expenditure Finance Committee (EFC) had been circulated on (date).and the comments of the consulted Ministries/ Departments had been received by the Ministry of Shipping. The Ministries consulted and the date of the receipt of their comments were: the Planning Commission ( (date), Ministry of Finance, Department of Economic Affairs ( (date) and Department of Expenditure ( (date), Ministry of Human Resource Development, Department of Higher Education ( (date). The NITI Aayog had while supporting the proposal, highlighted the need for augmenting the capacity of the institutions to ensure that world class education could be imparted. The Department of Expenditure, Ministry of Finance, had stated that the Ministry must explore the feasibility of meeting the additional expenditure from the internal resources of the IMU. Based on the comments of the consulted Ministries, the Memo for the EFC was finalized and sent to the Department of Expenditure for appraisal of the proposal on 30.09.2010. Copy of the draft EFC Memo and the final EFC Memo were also forwarded to the Prime Minister's office on (date) and (date) respectively.

6.2 The EFC, chaired by Secretary, Department of Expenditure considered the proposal in its meeting held on (date) and recommended the proposed financial support to the IMU with the stipulation that no grant or budgetary support would be provided by the Government to IMU in addition to (amount in crore) now proposed. A copy of the Minutes of the EFC is at **Annex II (p.10)**.

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6.3 The recommendations of EFC have been accepted by the Ministry. The proposal has been approved by Minister of Finance.

6.4 A copy of final note for consideration of the CCEA had been forwarded to PMO on (date). One copy of the note had also been forwarded to the Cabinet Secretariat on the same date.

## **7. Employment Generation Potential**

Construction and allied activities associated with augmentation of various facilities, including hostel, the academic blocks, administrative blocks, computing facilities, laboratories and sports infrastructure in all the campuses of the IMU is likely to generate employment opportunities equivalent to ..... mandays for unskilled workers.

## **8. Approval sought**

Approval of the Cabinet Committee on Economic Affairs is solicited for providing one time budgetary support of ` (amount in crore) { ` (amount in crore) non-recurring and ` (amount in crore) recurring for three years) to provide support as a one time grant to IMU to enable compliance with the statutory requirements of reservation of seats for OBC students in terms of the Central Educational Institutions (Reservation in Admission) Act, 2006.

**9.** The Statement of Implementation Schedule is at **Appendix I (p- .....**).

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- 10.** The Statement of Equity, Innovation and Public Accountability is at **Appendix II (p-8)**. The proposal would enhance equity by providing additional seats in the IMU for OBC students and also increase the overall number of seats in the University.
- 11.** The Note has been seen and approved by the Minister of Shipping.

**(ABCD)**  
**Joint Secretary to the Government of India**  
**Tel No. \*\*\*\***

**XXXX.**

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**APPENDIX-I**  
(Refer para 8, page 6 of the Note)

**STATEMENT OF IMPLEMENTATION**  
**SCHEDULE**

**Subject:** Financial support to the Indian Maritime University for augmentation of facilities for providing reservation of seats to 'Other Backward Classes' (OBCs).

Gist of decision required	Projected benefits/results	Time-frame and manner of Implementation/ Reporting to the Cabinet Secretariat.
1	2	3
Providing one time budgetary support of ..... crore ( ..... non-recurring and ..... crore recurring) for three years as a one time grant to IMU to enable compliance with the requirements of reservation of seats for OBCs in terms of the Central Educational Institutions (Reservation in Admission) Act, 2006.	The measure will increase the availability of seats in maritime studies and also enable IMU to comply with the statutory requirements.	After approval of the CCEA, the requisite funds will be released to IMU in a phased manner.

**(ABCD)**  
**Joint Secretary to Government of India**  
**TEL: 2371XXXX**  
**XXXX.**

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**APPENDIX-II**

(Refer para 9, page 5 of the Note)

**STATEMENT OF EQUITY, INNOVATION AND PUBLIC ACCOUNTABILITY**

**Subject: Financial support to the Indian Maritime University for augmentation of facilities for providing reservation of seats to 'Other Backward Classes' (OBCs).**

Sl. No.	The required goal	How does the proposal advance this goal?
1.	<b>Equity or Inclusiveness</b>	The proposed augmentation of facilities at IMU will enable the University to reserve seat for OBCs without any reduction in the general seats. The students belonging to backward classes would as such be able to go in for higher technical education. This will also lead to increase in the total number of seats in different disciplines.
2.	<b>Innovation</b>	Not applicable
3.	<b>Public Accountability</b>	Intake of students in various courses would be made by the University through an all India examination.

**(ABCD)**  
**Joint Secretary to Government of India**  
**TEL: 2371XXXX**  
**XXXX.**

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**Annex-I**  
**(Refer to para 2, page 1 of the note)**

**Extracts from the note for the Cabinet considered by Cabinet in its meeting held on (date)**

“XX”

**Extracts from the minutes of the meeting of Cabinet dated 18.12.2006.**

“XX”

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**Annex-II**  
**(Refer to para 6.2, page 6 of note)**

**Minutes of the meeting of the Expenditure Finance Committee held on (date) under the chairmanship of Secretary, Department of Expenditure.**

**Subject: Financial support to the Indian Maritime University for augmentation of facilities for providing reservation of seats to 'Other Backward Classes' (OBCs).**

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**Space for notes**