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# Standard Operating Procedure (SOP) for conduct of Mock Exercises/Table Top Exercises(TTE)/Capacity Development Programme(CDP) by NDMA in various States/UTs.

## I. Background

The need for Mock Exercise is to inculcate the culture of preparedness, to examine the Plans and SOPs of identified stakeholders, including (Industries – Public/Pvt Sector), to evaluate the resource status of various Departments, to coordinate the activities of various agencies for their optimum utilization and to use the feed back to identify the gaps and improve the resource capabilities to face actual disasters.

The broad objectives of the Mock Exercise are to review Disaster Management Plan of the State, to evaluate the Emergency Response Plan and Standard Operating Procedures of the Industry/District/s selected for Mock Exercise, to highlight the Roles and Responsibilities of various Stakeholders, enhance Coordination among Emergency Support Functions of various stakeholders at District level, to generate Public Awareness by involvement of Local Government, NGOs and Public and to identify the gaps in Resources, Manpower, Communications and in any other field.

Three steps are taken in the conduct of any Mock Exercise:

(i) Coordinating Conference. The purpose of Coordinating Conference is to Delineate objectives of Mock Exercise, Scope of Exercise, Selection of the Industry/ Industries & District for Mock Exercise, deciding the date and Venue for Table Top and Mock Exercise, identifying the involvement of Participants and Media for coverage.

(ii) Table Top Exercise. Table Top Exercise(TTE) is a precursor to Mock Exercise, wherein worst case scenarios are simulated. Scenarios are initially painted at the operational level of the industry for 'on site' plan. The operational staff, supervisory staff and the management respond to various injects. When the 'on-site' plan is decided 'off-site' plan for dealing with the disaster situation by the civil administration i.e. District Magistrate needs to be formulated for which, the injects are targeted at the Collector/DC and other Stakeholders at District level like Director Industry, SSP, District Health Officer, Fire Officer, Public Services heads, NDRF Team Leader, Communication, Civil Defence, Home Guard, Red Cross, RTO, NGOs Public Relations etc. Responses are elicited and detailed discussion takes place. Details of Coordination and Safety are discussed, gaps are identified and remedial measures taken before conduct of actual Mock Exercise.

(iii) Actual Mock Exercise: This is the 'D' day of the entire exercise which aims to bring together each and every participant to apply what they have learned to a practical context and to develop an cooperative, large scale, inter agency response to emergencies.

## II. Annual Mock Exercise Plan:

1. Tentative Annual Mock Exercise calendar plan for a financial year shall be prepared by **Senior Consultant (CB&ME)**, in consultation with State/District Administration and get it approved by 4<sup>th</sup> quarter of previous financial year.
  - a. Thereafter it shall be put up for approval to **Secretary, NDMA** through **Mitigation Division (JS(M) and FA)**.
2. Approved Mock exercise plan shall be timely communicated to the States/UTs/central districts and SDMA by Mitigation division.
3. Any change in schedule of Mock Exercise shall be approved by **Secretary, NDMA**.

## III. Processes

1. All States/UTs where the Mock Exercises are to be conducted will submit their proposal in the prescribed format (**Annexure I**) to NDMA generally **one month in advance**.
2. **Senior Consultant (Training and Capacity Development)** and **Senior Consultant (Capacity Building & Mock Exercise)** will take **one week** to examine the proposal(s).
3. The Mock Exercise proposals submitted by States/UTs shall be examined by **Senior Consultant (Training and Capacity Development)** and **Senior Consultant (Capacity Building & Mock Exercise)**. After examination, proposal will be passed on to Mitigation Division with due recommendation.

## IV. Cost Assessment

1. An amount of upto Rs.1,00,000/- depending upon location of exercise, and based on recommendation of **Senior Consultant(TCD)** and **Senior Consultant (CB&ME)** may be sanctioned as assistance to the **States/Districts** for the conduct of the mock exercise.
2. Expenditure to be sanctioned is broadly defined and standardized item wise as under:
  - Pre-conference expenditure involving printing, Communication, signage, inaugural expenses etc. Not exceeding - Rs 30,000
  - Conference venue arrangements Not exceeding - Rs 20,000/-
  - Conference kit and hospitality Not exceeding - Rs 10,000/-
  - Local transport and study tour Not exceeding - Rs 10,000/-
  - Photography/videography Not exceeding - Rs 10,000/-
  - Misc expenditure Not exceeding - Rs 20,000/-
  - Total Provision Not exceeding - Rs 1,00,000/-

Above item-wise costing is an indicative list, variation of expenditure among different activities within maximum prescribed limit of Rs. 1,00,000/- shall be permitted.

3. If in any Mock Exercise, the total expenditure estimate exceed Rs. 1,00,000/- separate sanction from competent authority shall be obtained with proper justification either pre or post event.

#### **V. Deliverables & Payment Schedule:-**

1. Financial assistance up to a maximum 50% of approved amount will be provided as advance before the start of Orientation & Coordinating conference/table top exercise/mock exercise as relevant
2. Balance amount after receipt of following :-
  - i. Statement of actual expenditure (SOE) in the prescribed format (Annexure-II) with justification for all expenditure incurred, duly signed by Accounts Officer /Internal Auditor and countersigned by HOD/DM/DC.
  - ii. Utilization Certificate for the amount paid in advance signed by authorized signatory (Internal Auditor or Accounts Officer of the organization) and countersigned by the Head of the Institution/District Administration, as the case may be for State/District, in the prescribed format annexed to SOP as Annexure-III .
  - iii. Reports from Specialist ( Disaster Management) and District Administration
  - iv. Soft/hard copies of all presentations/video coverage/photographs (video coverage of every event shall be compulsory. Copies of video coverage of each event shall be kept in Mitigation Division/Library for future usage).
3. Final payment to the States will be made after getting clearance from the Senior Consultants to ensure that all requirements of the mock exercise have been met by concerned district administration. Responsibility of calling reports/information from district/states/UT lies with the concerned Senior Consultant.
4. In the absence of receipt of the expenditure statement for the money released as advance, (as shall be prescribed in the sanction letter also), no additional money will be released.
4. In case the process goes only upto Table Top exercise reimbursement to the States shall be as per actual expenditure and if money given to State Government as advance is more than actual expenditure, State Government will be asked to surrender the balance amount to NDMA.

#### **VI. Involvement of Outside Expert:**

1. The quantum of technical assistance/expertise fee to any outside expert/observer specially while conducting mock exercise should be limited to, an amount, which would consist of honorarium paid to guest faculty expert as per DOPT order "G.I. Dept of Pers & Trg O.M. No 13024/22/2008-Trg I dated 3.3.2009 or latest amendment thereof, and the expenditure incurred on travel of one specialist/personnel (rarely more than one) from his/her place of work to the location of exercise by air/rail and back to his/her place of work (as per entitlement) and actual fare on travel expenses / local conveyance in local taxi to the place of Exercise. Outside expert agency would

*invariably share their expertise with NDMA and give training to NDMA staff in the specific field.*

As regards engaging outside observer, the broad guidelines to be followed is that in normal Mock exercises, there is no need of outside observer. However, in Mega Mock Exercises, where more than one State is involved, one observer/State is involved may be engaged. However, the ideal number of Observers so engaged in any such Mega Mock Exercise should be limited to three. In case there is requirement for more observers, reason for the same may be recorded and special approval of Secretary, NDMA may be obtained.

2. In the case of Mock Drills of specific nature on which expertise in NDMA is not available, the need to engage an outside Expert would arise to oversee and guide the stakeholders in conduct of the Mock Exercise.

#### V. Budget Provision

Annual plan once approved in the fourth quarter of the previous year shall be the basis for amount required for Mock Exercises. A fair amount of Rs 1,00,000/- per Mock exercise can be projected under non-plan budget head of Other Administrative Expenses.

#### VI. Post Exercise Actions:

1. **Senior Consultant(Training & Capacity Development) and Senior Consultant(Capacity Building & Mock Exercise)**, after every mock exercise would submit a report which inter alia consist of specific mention of gaps in disaster preparedness on various parameters such as infrastructure, equipments, on ground preparations, awareness among people etc. as identified during Table Top exercise and Mock exercise, these gaps need to be communicated to respective districts/State Disaster Management authorities (SDMA) by the specialists under intimation to Mitigation Division for future course of action.
2. Above reports shall be submitted for information of **Secretary, NDMA** by concerned **Senior Consultants** through **Mitigation Division**. Hard copies of each report shall be given to Mitigation Division and soft copies shall be mailed to [mitigation@ndma.gov.in](mailto:mitigation@ndma.gov.in) for future references to the event.
3. Common gaps as identified in various places need to be collated and will form basis for future guidelines and action plans, SOP to be issued by NDMA with respect to disaster preparedness. These may also set the basis of evaluation for DM plans of respective states/UTs.
4. Deliverables received in form of Video coverage of Mock Exercise/ Presentation Reports etc. shall be utilized by C&T division and Publicity and Awareness division with the help of IT and Communication division as Knowledge Management and Awareness Generation resource by keeping those things on NDMA website.

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5. MIS on Mock Exercise shall be maintained by **Senior Consultant (Training and Capacity Development)** and **Senior Consultant (Capacity Building & Mock Exercise)** and shall be passed on to Mitigation Division for incorporation in Annual Plan and Outcome Budget of NDMA.

## Format for requests for extending Finance Assistance - conducting Mock Exercises on behalf of NDMA.

1. Objective of the exercise :
2. Member concerned :
3. Steps of Mock Exercise indicating dates and place for each stage of the Mock Exercise. :
  - a. Co-ordination-cum-orientation Conference - : (i) Place  
(ii) Date
  - b. Table Top-Exercise : (i) Place  
(ii) Date
  - c. Mock Exercise : (i) Place  
(ii) Date
4. Implementing Agency :
5. Financial Assistance as per the request of State Govt./Institute and broad items of expenditure :
  - (i).....
  - (ii).....
  - (iii).....
  - (iv).....etc
6. Financial Assistance recommended by NDMA and broad items of expenditure :
  - (i).....
  - (ii).....
  - (iii).....
  - (iv).....etc.
7. Steps in release of payment :
8. Whether any other sanction exists against the same agency :
9. Date by which Expenditure Statement will be submitted. :

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10. Date for submission of Final Report of Mock Exercise by NDMA
11. Agency in whose name cheque/DD is to be drawn
12. \*Physical Output/Outcome of above exercise (numbers of agencies/personnel sensitizes/trained etc.)
13. Date by which final report of exercise will be submitted.

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**\*This information is needed for each activity for 'Outcome Budget'.**

**NATIONAL DISASTER MANAGEMENT AUTHORITY**

**Format for Submission of Statement of Actual Expenditure**

**A. Details of Organisation & Sanction Letter**

1	Name of Institution	
2	Address	
3	NDMA's Sanction Letter No & date	
4	Amount of Sanction	
5	Purpose of financial support	

**B. Details of Expenditure Incurred (head wise):-**

Sl No.	Items of expenditure ( in the same order as Given in Sanction)	Sanctioned Expenditure (in Rs.)	Actual Expenditure (In Rs.)	Variation (excess/ shortfall)	Reasons/ justification for variation
1	Pre-conference, Printing, Communication, Signage and Inaugural Expenses, Manpower				
2	Conference Venue Arrangements				
3	Travel and Lodging - Boarding expenses of Indian Delegates				
4	Conference Kit and hospitality (tea/snacks and lunch)				
5	Local Transport and Study Tour				
6	Valedictory and post conference expenses				
7	Others not covered under above categories				
	<b>TOTAL</b>				

Certified that I have satisfied myself that the conditions on which the amount was sanctioned have been duly fulfilled and that I have exercised the necessary checks to see that the money was actually utilized for the purpose for which it was sanctioned.

Certificate of verification to be accorded  
by Internal Auditor/Accounts Officer  
of the organisation with full signature and date

Signature (with rubber stamp)  
Date : \_\_\_\_\_

Signature (with rubber stamp)  
( Head of Institution )  
Date \_\_\_\_\_

GFR 19 - A  
(See Rule 212(1))

FORM OF UTILIZATION CERTIFICATE

S.No.	Letter and Date	No.	Amount (Rs.)
		Total	

Certified that out of Rs. ----- of Grants-in-aid sanctioned during the Years ----- in favour of ----- under NDMA Letter No. given in the margin and Rs. ----- on account of unspent balance of the previous year, a sum of Rs. ----- has been utilized for the purpose of ----- for which it was sanctioned and that the balance of Rs. ----- remaining unutilized at the end of the year has been surrendered to NDMA (vide No. ----- dated -----) will be adjusted towards the grants-in-aid payable during the next year -----

1. Certified that I have satisfied myself that the conditions on which the grants-in-aid was sanctioned have been duly fulfilled/are being fulfilled and that I have exercised following checks to see that the money was actually utilized for the purpose for which it was sanctioned.

Kinds of checks exercised

- 1
- 2
- 3
- 4
- 5

Signature-----

Designation -----

Date-----