

# Reclamation Manual

## Directives and Standards

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<b>Subject:</b>	Annual Reporting for Dam Safety and Related Operations
<b>Purpose:</b>	The purpose of this Directive and Standard (D&S) is to establish the requirements for performing an annual Bureau of Reclamation-wide assessment of dam safety and related Operations and Maintenance (O&M) activities. The benefits of this D&S are to establish annual reporting requirements and to promote the collection of factual input and objective evidence to assess the effectiveness of dam safety and related operations. This process presents an opportunity to enhance communication among participants and provides an annual review of performance and a report of accountability.
<b>Authority:</b>	Reclamation Project Act of 1902 and Supplementary Acts; Reclamation Safety of Dams (SOD) Act of 1978 (Pub. L. 95-578, 92 Stat. 2471), as amended; Department Manual Part 753
<b>Approving Official:</b>	Director, Dam Safety and Infrastructure
<b>Contact:</b>	Dam Safety Office, 86-67100; Reclamation Dam Safety Officer, 84-51000; Asset Management Division, 86-67200

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- 1. Introduction.** The Bureau of Reclamation (Reclamation) established the Dam Safety Program to ensure that high and significant hazard potential dams do not present unreasonable risks to public safety and welfare or environmental or cultural resources. Reclamation accomplishes this objective by conducting periodic monitoring, examinations, and analyses of the design, construction, operation, and performance of these dams. The results of these activities and the associated recommendations for additional actions are documented in various reports, memorandums, and decision documents.
- 2. Applicability.** This D&S applies to all Reclamation personnel and offices having jurisdiction and oversight responsibility for Reclamation-owned high and significant hazard facilities. This D&S is for annual reporting for dam safety-related activities for all high and significant hazard facilities that are either owned by Reclamation or included as part of an authorized Reclamation project. The reporting process is complementary to and does not in any way replace the day-to-day operations and activities performed by Reclamation to manage dam safety operations. Related annually reported activities include dam safety and O&M activities.
- 3. Requirements and Responsibilities.** The assessment process requires three activities: (1) preparing the area office annual dam safety report; (2) conducting annual dam safety assessment meetings; and (3) preparing the annual dam safety assessment which includes the Annual Dam Safety accomplishment Report and the annual Dam Safety Evaluation Report.

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- A. **Preparation of Annual Dam Safety Report by Area Offices.** Once a year, each area manager will prepare an area office dam safety report. This report will present relevant information for activities that have occurred during the previous fiscal year.
- (1) **Area Office Annual Report Distribution.** The distribution of the report is as follows. Additional copies may be distributed as requested by the regional, area, and Denver offices for any version.
- (a) **Initial Draft Report.** The initial draft report is to be completed and distributed by December 1. Each initial draft area office annual dam safety report should be electronically submitted per the instructions in the annual meeting assessment memorandum.
- Final Draft Report.** The final draft report is to be distributed at least two weeks prior to that region's annual assessment meeting. The final draft report will be distributed, at a minimum, to the regional director, the Reclamation Dam Safety Officer, and the Chief, Dam Safety Office.
- (b) **Final Report.** Within two weeks after the conclusion of the annual assessment meeting, the final area office annual report is to be provided to the following:
- (i) the regional director; the Reclamation Dam Safety Officer; the Director, Dam Safety and Infrastructure; the Chief, Dam Safety Office; and the Dam Safety Document Management System ([DSDaMS@usbr.gov](mailto:DSDaMS@usbr.gov)), the Region Dam Safety Coordinator, the Dam Safety Office Program Manager.
- (2) **Area Office Annual Dam Safety Report.** The area office annual dam safety report will consist of the following:
- (a) A Dam Safety Information System (DSIS) annual status report on each high and significant hazard dam in that area. Information and guidance for preparing the DSIS status reports can be found in the most recent template for the area office annual dam safety report. Compiling and maintaining accurate and complete data and information on which to base the annual report is the shared responsibility of the area office and the Dam Safety Office. The regional dam safety coordinator is responsible for providing an independent quality assurance review of the accuracy and completeness of the data and information in the DSIS status reports. This review will be performed to coincide with the preparation of the draft report and will be concluded prior to distribution of the draft report.

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- (b) A written narrative or summary tables assessing dam safety issues, activities, and accomplishments for the reporting year. The report will cover at minimum:
  - (i) inventory
    - (aa) dam safety and O&M facilities
    - (bb) inventory changes
    - (cc) hazard potential classification changes
  - (ii) significant dam safety and dam safety-related operational incidents
  - (iii) risk estimates
  - (iv) safety of dams corrective action studies and modifications in progress
  - (v) facility reviews accomplishments
  - (vi) significant dam safety issue evaluations and accomplishments
  - (vii) dam safety-related O&M significant issues and accomplishments
  - (viii) non-dam safety issues and accomplishments
  - (ix) SOD and O&M recommendation summary
  - (x) facility reliability rating summary
  - (xi) standing operating procedures update status
  - (xii) emergency management program and emergency action plans exercise status
  - (xiii) dam operator training status

### B. Annual Assessment Meetings.

- (1) **Scope.** Each area manager will meet with their regional director to discuss dam safety and related operations issues at the annual assessment meetings. Pertinent information and activities relevant to assessing the effectiveness of dam safety performed during the previous fiscal year will be presented and discussed. Annual assessment meetings will review the topics and information contained in the draft area office annual dam safety reports.

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- (2) **Attendance.** Required attendees for the annual dam safety assessment meeting will be the regional director, area manager, Dam Safety and Infrastructure Director, Chief of the Dam Safety Office, and the Reclamation Dam Safety Officer, the regional dam safety coordinator and Dam Safety Office Program Manager, or delegates.
  - (3) **Scheduling, Preparing for, and Conducting the Meetings.**
    - (a) Meetings will be held between December 15 and February 7. The duration of area office annual assessment meetings will depend upon the issues to be discussed.
    - (b) Logistics and scheduling of each area office meeting will be the responsibility of the regional dam safety coordinator in collaboration with the area manager and Dam Safety Office Program Manager. The area manager, with input from the regional director, will coordinate preparation of material necessary to focus on issues or identify and notify personnel (e.g., O&M specialist) required to discuss general or specific issues.
    - (c) The regional director will conduct area office annual dam safety meetings. The area manager will present dam safety and significant O&M issues, activities, and accomplishments at the annual dam safety assessment meeting. The Dam Safety Officer will discuss immediate concerns, if any, at each dam safety assessment meeting. The regional director will summarize the results at the conclusion of each dam safety meeting.
- C. **Annual Dam Safety Assessment Report.** The assessment demonstrates the effectiveness of Reclamation dam safety activities during the previous fiscal year. It will be based on factual input and objective evidence provided in area office annual dam safety reports and annual assessment meetings. The assessment will be prepared and organized in two parts: one part is the program accomplishment report prepared by the Chief, Dam Safety Office, and another part is the program evaluation report prepared by the Reclamation Dam Safety Officer. The Director, Dam Safety and Infrastructure, will distribute the dam safety assessment to the Commissioner, regional directors, and area office managers no later than March 31 of each year.
- (1) **Program Accomplishment Report.** The program accomplishment portion of the report to be prepared by the Chief, Dam Safety Office, will:
    - (a) Summarize accomplishments and compare these accomplishments to goals. The summary will include a description of implementation activities that have successfully addressed previous annual assessment recommendations.

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- (b) Include input from the Asset Management Division (AMD) of Dam Safety and Infrastructure on dam-safety related O&M accomplishments, including related policy development and program analyses.
  - (c) Compare yearly accomplishments to pertinent program performance measures and internal controls for facility reviews, facility reliability rating, decision documents, risk estimates, SOD recommendations, and dam safety issue evaluations and modifications.
  - (d) Summarize the status of incomplete recommendations from previous annual assessments.
  - (e) Be transmitted in final form to the Dam Safety Officer no later than March 1.
- (2) **Program Evaluation Report.** The program evaluation report to be prepared by the Dam Safety Officer will:
- (a) Provide an assessment of the overall effectiveness of dam safety within Reclamation.
  - (b) Summarize the adequacy of general administrative and technical practices.
  - (c) Describe the organization's degree of compliance to applicable laws, policies, and directives.
  - (d) Identify opportunities for improvement and recommend actions to strengthen dam safety, including input from the AMD concerning dam safety-related O&M and related policy development and program analyses.

#### 4. **Implementation.**

- A. The regional director, area manager, and Chief, Dam Safety Office, will work to implement recommendations from the annual assessment reports.
- B. The Reclamation Dam Safety Officer will monitor and facilitate the implementation of recommendations from the annual assessment reports.

5. **Funding.** Existing appropriated funding or authorized generated revenues will be used for reporting on dam safety and O&M.

#### 6. **Definitions.**

- A. **Dam Safety Issue.** An issue that, if not resolved:
  - (1) could lead to a failure or malfunction resulting in an uncontrolled release of stored water that would place the public and/or resources at risk, or

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- (2) would compromise Reclamation's ability to detect developing adverse dam performance and prudently respond.
- B. **Risk.** Possibility of loss or injury; exposure to the chance of injury or loss.
- C. **Hazard Potential.**
  - (1) **High Hazard Potential Dam.** A dam where failure or mis-operation will probably cause loss of human life.
  - (2) **Significant Hazard Potential Dam.** A dam where failure or mis-operation results in no probable loss of human life but can cause economic loss, environmental damage, disruption of lifeline facilities, or can impact other concerns. Significant hazard potential classification dams are often located in predominantly rural or agricultural areas but could be located in areas with population and significant infrastructure.
- 7. **Review Period.** The originating office will review this release every four years.

## RECLAMATION MANUAL TRANSMITTAL SHEET

Effective Date: \_\_\_\_\_

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

Ensure all employees needing this information are provided a copy of this release.

### Reclamation Manual Release Number and Subject

### Summary of Changes

NOTE: This Reclamation Manual release applies to all Reclamation employees. When an exclusive bargaining unit exists, changes to this release may be subject to the provisions of collective bargaining agreements.

### Filing instructions

Remove Sheets

Insert Sheets

All Reclamation Manual releases are available at <http://www.usbr.gov/recman/>

Filed by: \_\_\_\_\_

Date: \_\_\_\_\_