

# Reclamation Manual

## Directives and Standards

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**Subject:** Annual Reporting for Dam Safety, Security, and Related Operations

**Purpose:** To establish the requirements for performing an annual Reclamation-wide assessment of dam safety, security, and related operations and maintenance (O&M) activities. The annual reporting requirements are intended to promote the collection of factual input and objective evidence to assess the effectiveness of dam safety, security, and related operations. This process provides an opportunity to enhance communication among participants and provides an annual review of performance and a report of accountability.

**Authority:** Reclamation Project Act of 1902 and Supplementary Acts; Department Manual Part 753, Dam Safety Program; Federal Guidelines for Dam Safety, 1979, as directed by Presidential Memorandum dated October 4, 1979; Executive Order 13010 – Critical Infrastructure Protection, 1995; Government Performance and Results Act of 1993, Public Law 103-62 – August 3, 1993.

**Contact:** Reclamation Dam Safety Officer, D-5000; Reclamation Security Officer, D-5000; Water Resources Office, D-5500; Dam Safety Office, D-6600

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1. **Scope.** These directives are for annual reporting for dam safety related activities for all high- and significant-hazard dams that are either owned by Reclamation or included as part of an authorized Reclamation project. These directives are also for annual reporting for all pertinent security activities.

The reporting process is complementary to and does not in any way replace the day-to-day operations and activities performed by Reclamation for managing dam safety and security operations.

2. **Dam Safety Related Activities.** Dam safety related activities to be reported annually include dam safety, O&M, and security activities which, if not performed:
  - A. Could lead to a failure or malfunction resulting in an uncontrolled release of stored water that would place downstream populations and/or resources at risk or;
  - B. Would compromise the agency's ability to detect developing adverse dam performance and prudently respond to that performance.
3. **Responsibilities.**
  - A. **Regional Director.** Each Regional Director will conduct an Annual Dam Safety Assessment meeting and an Annual Security Assessment meeting with each Area Manager in their Region. At the conclusion of the annual assessment process each

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Director will work to implement recommendations that are accepted by the Commissioner from Annual Assessment Reports.

- B. **Area Manager.** Each Area Manager will prepare an Annual Area Office Dam Safety Report and an Annual Area Office Security Report. The Area Manager will present and discuss dam safety issues, activities, and accomplishments at a meeting attended by the Regional Director, the Reclamation Dam Safety Officer, and the Chief of the Dam Safety Office. In a separate meeting each Area Manager will present security information to their Regional Director and the Reclamation Security Officer. Each Area Manager will work to implement recommendations accepted by the Commissioner from the Annual Assessment Reports.
  - C. **Chief, Dam Safety Office.** The Chief, Dam Safety Office will attend all Area Managers' annual assessment of dam safety presentations to Regional Directors to provide input as dam safety issues arise during the presentation. The Chief, Dam Safety Office will prepare the accomplishment portion of the annual dam safety assessment report and will work to implement recommendations accepted by the Commissioner from the Annual Dam Safety Assessment Report.
  - D. **Reclamation Dam Safety Officer.** The Reclamation Dam Safety Officer will attend all Area Managers' annual assessment of dam safety presentations to Regional Directors and will prepare the evaluation portion of the annual dam safety assessment report and will submit the entire report to the Commissioner. The Dam Safety Officer will monitor and facilitate the implementation of recommendations accepted by the Commissioner from the Annual Dam Safety Assessment Report.
  - E. **Reclamation Security Officer.** The Reclamation Security Officer will attend all Area Managers' annual security assessment presentations to Regional Directors and will prepare a summary report of the annual security assessment results that will be submitted to the Commissioner. The Security Officer will work to implement recommendations accepted by the Commissioner from the Annual Security Assessment Report.
- 4. **Initiation of Directives.** Initial Reclamation annual dam safety and security assessments will be performed on FY97 program activities. Henceforth, assessments will be performed annually.
  - 5. **Program Procedures.** The assessment process consists of three activities:
    - ! Preparing Annual Area Office Dam Safety Reports and Security Reports.

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- ! Conducting Annual Dam Safety Assessment Meetings and Security Assessment Meetings.
- ! Preparing Annual Dam Safety Assessment Reports and Security Assessment Reports.
- A. **Preparation of Annual Reports by Area Offices.** Once a year each Area Manager will prepare an Area Office Dam Safety Report and an Area Office Security Report. These reports will present relevant information for activities that have occurred during the previous fiscal year. It is desirable to have draft reports completed and distributed by December 1, but it is required that final drafts of Area Office Reports be distributed at least 2 weeks prior to that Area Office's Annual Assessment Meeting (these meetings are described below). Each draft Annual Area Office Dam Safety Report will be distributed to the Regional Director, the Reclamation Dam Safety Officer, and the Chief of the Dam Safety Office. Each draft Annual Area Office Security Report will be distributed to the Regional Director and the Reclamation Security Officer. Final reports will be provided to those who received drafts within 2 weeks after the conclusion of the Annual Assessment Meeting. Draft and final Area Office Security Reports will be controlled and distributed in conformance with Reclamation directives for safeguarding security-sensitive information.

- (1) The **Annual Area Office Dam Safety Report** will consist of the following:
  - (a) A status report on each high- and significant-hazard dam in that Area.

Information and guidance for preparing the Status Reports can be found in the *Dam Safety Status Report Preparation Guidelines*. Compiling and maintaining accurate and complete data and information on which the annual report is based is the shared responsibility of the Area Office and the Dam Safety Office. The Regional Dam Safety Officer/Coordinator is responsible for providing an independent quality assurance review of the accuracy and completeness of the data and information in the 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.

- (b) A written narrative prepared by the Area Manager assessing dam safety issues, activities, and accomplishments throughout the Area during the previous fiscal year.

The narrative discussion will cover as a minimum:

- ! Facility Reviews

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- ! Operations
  - ! Instrumentation Readings/Observations
  - ! Emergency Management Program
  - ! Dam Safety Issues
  - ! Dam Safety Related Operation and Maintenance Issues
  - ! Dams currently classified as low hazard that, based on observations from a Review of O&M examination, need to be reassessed for possible reclassification to "high" or "significant" hazard.
- (2) The **Annual Area Office Security Report** will discuss Area Office security program issues, activities, and accomplishments. The narrative discussion will include, as a minimum, security program activities related to:
- ! Reclamation facilities and
  - ! Physical security.

The Regional Security Officer/Coordinator is responsible for providing independent quality assurance review for the accuracy and completeness of data and information upon which the Security Report is based. 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.

### B. Annual Assessment Meetings.

- (1) **Scope.** Each Area Manager will meet with their Regional Director to discuss dam safety, security, and related operations issues at the Annual Assessment Meetings. Pertinent information and activities relevant to assessing the effectiveness of dam safety and security performed during the previous fiscal year will be presented and discussed. Annual assessment meetings will review the topics and information contained in the draft Annual Area Office Dam Safety Reports and Security Reports. Each Area Office dam included under the scope of these directives will be specifically discussed during the annual assessment meeting.
- (2) **Attendance.** Required attendees for the Annual Area Office Dam Safety Assessment Meeting will be the Regional Director, Area Manager, Chief of the Dam Safety Office, and the Reclamation Dam Safety Officer. The Regional Dam

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Safety Officer/Coordinator and Dam Safety Office Program Manager, or delegates, should be in attendance.

Due to security sensitive information and personnel clearance requirements, participation in the Annual Area Office Security Assessment Meeting is restricted. It will be required that the Regional Director, Area Manager, and the Reclamation Security Officer be present in person for the security portion of an Area Office Annual Assessment Meeting. The Regional Security Officer/Coordinator, or delegate, should be in attendance.

- (3) **Scheduling, Preparing for, and Conducting the Meetings.** Meetings will be held between December 1 and January 31. It is anticipated that the typical length of Annual Area Office Assessment Meetings will be one half day; however, the length will depend upon the number of dams and associated issues to be discussed.

Logistics and scheduling of each Area Office meeting will be the responsibility of the Regional Dam Safety Officer/Coordinator in collaboration with the Area Manager, Dam Safety Office Program Manager, and Regional Security Officer/Coordinator. Preparation of material necessary to focus on issues, or identification and notification of personnel required for discussion of general or specific issues (e.g., O & M specialist) will be coordinated by the Area Manager, with input from the Regional Director.

Annual Area Office Dam Safety Meetings and Security Assessment Meetings will be conducted by the Regional Director. The Area Manager will present dam safety issues, activities, and accomplishments at the Annual Dam Safety Assessment Meeting and security issues, activities, and accomplishments at the Annual Security Assessment Meeting. The Dam Safety Officer will discuss immediate concerns, if any, at each Dam Safety Assessment Meeting, and the Security Officer will discuss immediate concerns, if any, at each Security Assessment Meeting. The Regional Director will summarize the results at the conclusion of each Dam Safety and each Security Assessment meeting.

- C. **Annual Dam Safety Assessment Report.** An Annual Dam Safety Assessment Report will be provided to the Commissioner by March 1 of each year. The report will be an assessment of the effectiveness of Reclamation dam safety activities during the previous fiscal year. The report will be based on factual input and objective evidence provided in Annual Area Office Dam Safety Reports and Annual Assessment Meetings and will be prepared and organized in two parts, one part on program accomplishment, another part on program evaluation.

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The accomplishment portion of the report to be prepared by the Chief, Dam Safety Office will:

- ! 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.
- ! Include input from the Water Resources Office of the Program Analysis Office on dam safety related O&M accomplishments, including related policy development and program analyses.
- ! Compare yearly accomplishments to pertinent Government Performance and Results Act performance measures.
- ! Summarize the status of unimplemented recommendations from previous annual assessments.

The evaluation portion of the report to be prepared by the Dam Safety Officer will:

- ! Provide an assessment of the overall effectiveness of dam safety within Reclamation.
- ! Summarize the adequacy of general administrative and technical practices.
- ! Describe the organization's degree of compliance to applicable laws, policies, and directives.
- ! Identify opportunities for improvement and recommend actions to strengthen dam safety including input from the Water Resources Office of the Program Analysis Office concerning dam safety related O&M and related policy development and program analyses.

The report will be distributed at the discretion of the Commissioner.

- D. **Security Officer's Annual Security Assessment Report.** Reclamation Security Officer will provide the Commissioner with an Annual Security Assessment Report by March 1 of each year. The report will be an assessment of the effectiveness of Reclamation security activities during the preceding fiscal year. The report will be based on factual input and objective evidence provided in Annual Area Office Security Reports and Annual Assessment Meetings. In addition, the Water Resources Office of the Program Analysis Office, serving the role as the Reclamation O&M advocate, will provide input concerning related policy development and program analyses.

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The report will:

- ! Provide an assessment of the effectiveness of security activities within Reclamation.
- ! Summarize an evaluation of general administrative and technical practices.
- ! Describe the organization's degree of compliance to applicable laws, policies, and directives.
- ! Identify opportunities for improvement and recommend actions to strengthen security.
- ! Summarize the status of implementation of recommendations from previous annual assessments.

The report will be distributed at the discretion of the Commissioner.

6. **Funding.** Existing appropriated funding or authorized generated revenues will be used for reporting on dam safety, O&M, and security.
7. **Related Policy or References.** Following is a list of policies, directives, laws, and other documents related to Reclamation dam safety. Contact Water Resources, D-5500 for a current summary listing of policies, directives, and guidelines related to dam safety, O&M, and security.

### A. Policies and Directives.

- ! *Emergency Management*, Reclamation Manual (RM) Policy FAC P01
- ! *Emergency Management*, RM Directives and Standards FAC 01-01
- ! *Early Warning System*, RM Directives and Standards FAC 01-02
- ! *Directives for the Review of Operation and Maintenance (RO&M) Program Examination of Associated Facilities (Facilities Other Than High- and Significant-Hazard Dams)*, RM Directives and Standards FAC 01-04
- ! *Controlling Distribution of Dam and Powerplant Operating Documents*, RM Directives and Standards FAC TRMR-7
- ! *Security of Reclamation Facilities*, Draft Directives

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! *Review/Examination Program for High and Significant Hazard Dams*

### B. **Laws and References.**

! *Government Performance and Results Act of 1993, Public Law 103-62 – August 3, 1993.*

! *Dam Safety Program, Part 753 of the Department of the Interior Departmental Manual – April 14, 1982.*

! *Reclamation Safety of Dams Act, Public Law 95-678 – November 2, 1978 and as amended by Public Law 98-404 – August 28, 1984.*

! *Federal Guidelines for Dam Safety, Ad Hoc Interagency Committee on Dam Safety – June 25, 1979.*

! *Annual Reporting for Dam Safety, Security, and Dam Safety Related Operations and Maintenance Guidelines.*

! *Peer Review of the U.S. Department of the Interior Dam Safety Program of the Bureau of Reclamation, Phase I, Association of the State Dam Safety Officials, Inc. – January 1997.*