

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 Bureau of Reclamation-wide assessment of dam safety, security, and related Operations and Maintenance (O&M) activities. The benefit of this Directive and Standard (D&S) is establishment of annual reporting requirements is 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; Reclamation Safety of Dams (SOD) Act of 1978 (Pub. L. 95-578, 92 Stat. 2471), as amended; Department Manual Part 753, Dam Safety and Security Program |
| Approving Official: | Director, Security, Safety, and Law Enforcement (SSLE) |
| Contact: | Dam Safety Office, 84-44000; Reclamation Dam Safety Officer, 86-70000; Reclamation Security Officer, 84-45000; Asset Management Division, 84-57000 |

1. **Introduction.** Reclamation established its Dam Safety Program to ensure that high and significant hazard dams do not present unreasonable risks to public safety/welfare and environmental/cultural resources. Reclamation accomplishes this objective by conducting periodic monitoring, examinations, and analyses of the design, construction, 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. This D&S is also for annual reporting of 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. Dam safety related activities to be reported annually include dam safety, O&M, and security activities.

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3. Definitions.

- A. **Dam Safety or Security 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
 - (2) would compromise Reclamation's ability to detect developing adverse dam performance and prudently respond to that performance.
- 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.

4. 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 director will work to implement recommendations 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, O&M, and security issues, activities, and accomplishments at a meeting attended by the regional director, the Reclamation Dam Safety Officer, the Chief, Dam Safety Office, and the Reclamation Chief Security Officer. Each area manager will work to implement recommendations 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 from the annual dam safety assessment report.

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- 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. The Dam Safety Officer will monitor and facilitate the implementation of recommendations from the annual dam safety assessment report.
- E. **Reclamation Chief Security Officer.** The Reclamation Chief 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 Chief Security Officer will work to implement recommendations from the annual security assessment report.
- F. **Director, Security Safety and Law Enforcement.** The Director, SSLE will distribute the annual dam safety assessment report and the annual security assessment report to the Commissioner, regional directors, and area office managers.
5. **Program Procedures.** The assessment process consists of three activities: (1) preparing area office annual dam safety reports and security reports; (2) conducting annual dam safety assessment meetings and security assessment meetings; (3) preparing annual dam safety assessment report and security assessment report.
- A. **Preparation of Annual Dam Safety and Security 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.
- (1) **Area Office Annual Report Distribution.** The distribution of the reports is as follows. Additional copies may be distributed as requested by the regional, area and Denver offices for any version.
- (a) **Initial Draft Reports.** Initial draft reports are 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.
- (b) **Final Draft Reports.** Final drafts reports are to be distributed at least 2 weeks prior to that area office's annual assessment meeting (these meetings are described below). Each draft area office annual dam safety report will be distributed, at a minimum, to the regional director, the Reclamation Dam Safety Officer, and the Chief, Dam Safety Office. Each final draft annual security report will be distributed to the regional director and the Reclamation Chief Security Officer.
- (c) **Final Reports.** Within 2 weeks after the conclusion of the annual assessment meeting, final area office annual dam safety reports will be provided to, at a

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minimum, the regional director; the Reclamation Dam Safety Officer; the Director, SSLE; the Chief, Dam Safety Office; Archives, 84-213000; and the Dam Safety Document Management System (DSDaMS), 84-440000. Each final draft annual security report will be distributed to the regional director and the Reclamation Chief Security Officer. Each final annual security report will be distributed, at a minimum, to the regional director and the Reclamation Chief Security Officer. Draft and final area office security reports will be controlled and distributed in conformance with Reclamation Manual D&S for safeguarding security-sensitive information.

- (1) **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) 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 annual report. 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 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.
 - (b) A written narrative or summary tables assessing dam safety issues, activities, and accomplishments throughout the area during the previous fiscal year. The report will cover as a minimum:
 - (i) inventory;
 - (aa) dam safety and O&M facilities;
 - (bb) O&M program facilities;
 - (cc) inventory changes; and
 - (dd) hazard potential classification changes;
 - (ii) significant dam safety and dam safety-related operational incidents;
 - (iii) risk estimates;
 - (iv) safety of dams corrective action plans and modifications in progress;
 - (v) facility reviews accomplishments;

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- (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
 - (aa) emergency action plans exercise status; and
 - (bb) continuity of operations plans exercise status
 - (xiii) dam operator training status.
- (2) **Area Office Annual Security Report.** The area office annual security report will discuss area office security program issues, activities, and accomplishments. The information to be included in the report is described in Reclamation Manual D&S, *Facility Security* (SLE 03-02). 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 area office annual dam safety reports and security reports.
- (2) **Attendance.**
- (a) Required attendees for the area office annual 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 safety officer/coordinator and Dam Safety Office Program Manager, or delegates, must be in attendance.

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- (b) Required attendees for the area office annual security assessment meeting will be the regional director, area manager, and the Reclamation Chief Security Officer. The regional security officer/coordinator, or delegate, must be in attendance.
- (3) **Scheduling, Preparing for, and Conducting the Meetings.**
- (a) Meetings will be held between December 1 and January 31. 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, Dam Safety Office program manager, and regional security 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.
 - (c) Area office annual dam safety meetings and security assessment meetings will be conducted by the regional director. The area manager will present dam safety and significant O&M 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 Chief 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 area office annual dam safety reports and annual assessment meetings. The assessment report will be prepared and organized in two parts, one part on program accomplishment, prepared by the Chief, Dam Safety Office; and another part on program evaluation prepared by the Reclamation Dam Safety Officer. The Director, SSLE will distribute the dam safety assessment report to the Commissioner, regional directors, and area office managers.

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- (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.
 - (b) Include input from the Asset Management Division of the Policy and Administration Office 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.

- (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; and
 - (d) identify opportunities for improvement and recommend actions to strengthen dam safety including input from the Asset Management Division of the Policy and Administration Office concerning dam safety related O&M and related policy development and program analyses.

D. Annual Security Assessment Report.

- (1) Reclamation's Chief 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 area office annual security reports and annual assessment meetings. In addition, the Asset Management Division of the Policy and Administration Office, serving the role as the Reclamation O&M advocate, will

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provide input concerning related policy development and program analyses. The Director, SSLE will distribute the report to the Commissioner, regional directors, and area office managers.

- (2) The report will:
 - (a) provide an assessment of the effectiveness of security activities within Reclamation;
 - (b) summarize accomplishments, issues, and activities for the fiscal year;
 - (c) describe the organization's degree of compliance to applicable laws, policies, and directives; and
 - (d) summarize the status of implementation of recommendations from previous annual assessments.
6. **Funding.** Existing appropriated funding or authorized generated revenues will be used for reporting on dam safety, O&M, and security.

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: _____