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ENGINEERING GUIDELINES FOR THE EVALUATION OF HYDROPOWER PROJECTS

CHAPTER 17 – POTENTIAL FAILURE MODE ANALYSIS

DRAFT FOR PUBLIC COMMENT

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Revision Log		
No.	Date	Description

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ABBREVIATIONS

BOR	U.S. Department of the Interior, Bureau of Reclamation
D2SI	Division of Dam Safety and Inspections (FERC)
DSSMP	dam safety surveillance and monitoring plan
FEMA	Federal Emergency Management Agency
FERC	Federal Energy Regulatory Commission
MFU	major findings and understandings
ODSP	owners dam safety program
PFM	potential failure mode
PFMA	potential failure mode analysis
RIDM	risk-informed decision making
STID	Supporting Technical Information Document
USACE	U.S. Army Corps of Engineers

17-1 INTRODUCTION

17-1.1 General

A Potential Failure Mode Analysis (PFMA) is a process used for safety evaluations of dams and project works. Traditional dam safety evaluations have tended to focus on a limited number of “standards based” concerns such as hydraulic capacity of spillways and stability of structures under a set of pre-defined loading conditions. PFMAs are intended to broaden the scope of the safety evaluations to include potential failure scenarios that may have been overlooked in past investigations. A PFMA is an exercise to identify all potential failure modes (PFMs) under normal, flood, earthquake, and other (ice, reservoir sedimentation, etc.) loading conditions, including all external loading conditions for water retaining and conveying structures, and to assess those potential failure modes that are significant enough to warrant continued awareness and attention to visual observation, monitoring, and remediation, as appropriate.

A PFMA is a method of analysis where particular flaws and initiating conditions are postulated and the analysis reveals the full range of effects of the flaws or the initiating condition on the system (USACE, 2014). Each method of failure is identified, described, and evaluated on its credibility and significance. Potential failure modes are a way that failure can occur, describing the means by which element or component failures must occur to cause loss of the sub-system or system function. The potential failure mode encompasses the full sequence of events from initiation (cause) through the ultimate failure effect of interest to include physical, operational, and managerial systems.

17-1.2 Definitions

The following definitions are provided to assure that all readers have a common understanding of the terms commonly used in this document.

Failure – For the purposes of the PFMA, failure is defined as an uncontrolled release of the reservoir, in whole or in part; the inability of project features or components to perform their intended function; or project features or components performing in an impaired or compromised fashion; any of which results in an adverse consequence. This includes misoperation of project elements. Additional details are provided in Section 2.1.

Potential Failure Mode (PFM) – A way that failure could occur (i.e., the full sequence of events from initiation to the failure condition) for a given loading condition. Potential failure modes that result in unintended releases of water, such as the Folsom Dam radial gate failure, or potential failure modes such as the Oroville service spillway are also considered.

Potential Failure Mode Analysis (PFMA) – The process utilized to determine the potential failure modes pertinent to the structure under investigation.

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Major Findings and Understandings (MFU) – The most significant items learned by the participants in the PFMA session regarding such items as the design, construction, performance, operations, and safety of the dam or feature.

PFMA Report – The document prepared to capture the information, evaluations, results, and conclusions developed during the PFMA.

Credible – A term used to indicate that a potential failure mode is considered to be physically possible and the likelihood of the potential failure mode is not considered so remote as to be negligible.

NOTE: *While this Guideline discusses the PFMA as it applies to dams and other project features, many of the subsequent sections refer to “dam” instead of “dams and other project works.” This is done for brevity and is not meant to exclude other project features from the PFMA process.*

17-1.3 Purpose

A PFMA is an examination of “potential” failure modes for an existing dam or other project work(s) by a team of persons who are qualified either by experience or education to evaluate a particular structure. It is based on a review of existing data and information, first hand input from field and operational personnel, a site inspection, completed engineering analyses, identification of potential failure modes, failure causes and failure development, and an understanding of the consequences of failure.

The PFMA is intended to provide enhanced understanding and insight on the risk exposure associated with the dam. This is accomplished by including and going beyond the traditional means for assessing the safety of project works and by intentionally seeking input from a diverse team of individuals who have information on the performance and operation of the dam. A PFMA includes and uses all of the available data and information from standard engineering analyses of an existing dam. A PFMA should be viewed as a supplement to the traditional process in which a dam’s safety is judged based on its ability to pass standards-based criteria for stability and other conditions.

According to federal guidance (FEMA, 2015), “The goal of a potential failure modes analysis is to: (1) identify the site-specific credible potential failure modes for a given dam; (2) provide complete descriptions of the potential failure modes, including the initiating event and the progression of steps leading to an uncontrolled release of the reservoir; and (3) provide a general description of the magnitude of the breach, including identifying and recording the factors that make the potential failure more likely and less likely and the consequences more severe or less severe.”

The goal of a PFMA is to provide input and become the foundation of the management of dam safety activities and provide a thoughtful and transparent way to prioritize those

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activities. The key to a successful PFMA is the development of detailed and descriptive PFMs that provide the owner with an understanding of any potential weaknesses that may exist at the project that then allows the owner to evaluate, monitor, and take actions to reduce the possible threat to dam safety.

17-1.4 Value of PFMA

Utilizing an intensive team inquiry process beginning from a basis of no preconceived notions, the potential failure mode examination process has the ability to:

- Enhance the dam safety inspection process by helping to focus on the most critical areas of concern unique to the dam under consideration;
- Identify operational related PFMs;
- Identify structural related PFMs (e.g. internal erosion) not covered by the commonly used analytical methods (e.g., slope stability, seismic analysis);
- Enhance and focus the visual surveillance and/or instrumentation monitoring program;
- Identify shortcomings or oversights in data, information or analyses necessary to evaluate dam safety and each PFM;
- Help identify the most effective dam safety risk reduction measures; and
- Document the results of the study for guidance on future dam safety inspections. By updating the documentation (as a living document), the benefit of increased understanding and insight lives on.

There are other outcomes that result from carrying out a PFMA in the manner described in this guidance document:

- The process of searching out all the information about the dam for the specific purpose of identifying PFMs (plus the involvement of a diverse group of people in the PFMA process) typically results in uncovering data and information that was previously unknown to most personnel currently involved in the dam's safety evaluation. Frequently this information plays an important role in identifying a PFM.
- Credible PFMs and failure scenarios will be identified and documented for use and consideration.
- Certain problems, issues, and concerns that have been associated with the dam may be found to be of lesser significance than previously perceived from the standpoint of consequence, remoteness, or physical possibility.

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- Enhancements to the monitoring and visual inspection programs are recognized and readily developed. Monitoring efforts can become more focused on the important issues.
- A wide range of persons (from the dam tender to the owner's dam safety program manager) become aware of the dam's most significant vulnerabilities and the relationship of the surveillance and monitoring programs to these vulnerabilities.
- Gaps in data, information, or analyses that prevent characterizing the significance of a PFM are recognized and identified for consideration and possible action by the owner.
- Risk reduction opportunities applicable to the Dam Safety Surveillance and Monitoring Plan (DSSMP), operations, structure response, or emergency preparedness are recognized and identified for consideration by the owner.
- It provides the opportunity to easily and effectively educate all who are concerned with the dam (dam tender, owner, regulator, periodic reviewers, inspectors, designers, and others) about:
 1. The PFMs for the project or structure;
 2. How monitoring, including use of specific instrumentation and visual surveillance is used to look for specific symptoms, behaviors, or evidence that might provide advanced signs of a developing failure for the identified PFMs;
 3. How "general health" monitoring (e.g., crest monitoring, piezometers) is used as basic data to help watch for conditions that have not been previously identified as PFMs;
 4. How operations (i.e., regulated, normal, unusual) of this dam and others upstream and downstream may influence dam safety; and
 5. When operational scenarios or situations may require intervention or emergency actions.

17-1.5 Limitations of PFMA

The PFMA process is recognized as an improvement over strictly traditional deterministic engineering analysis approaches but, like any analysis method, it has limitations, some of which include:

1. It is difficult to be fully comprehensive. Many factors contribute to this, such as:
 - a. There can be a lack of creativity by the PFMA team members in imagining all the ways the elements and components of a project can interact that can lead to failure or some unintended consequence.

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- b. The linear chain-of-events approach in developing PFM pathways and events can make it difficult to envision or capture “jumps” or other PFM pathways that might not be obvious.
2. If the process does not follow a structured approach, it can lead to overlooking or missing PFMs or misrepresenting or improperly assessing the importance of the PFMs.
3. The robustness of the results can be very dependent on the experience and breadth of project team. Important or critical PFMs can be missed by teams comprising inexperienced personnel or those that do not include sufficient knowledge and experience in the technical and operations disciplines represented by the project.
4. Because much of the PFMA session is conducted in a group setting, the results can be susceptible to cognitive bias and heuristics often present in group dynamics. Experienced facilitators must be knowledgeable of such factors and be vigilant in correcting this when it occurs.
5. If not properly scoped or scheduled, PFMA sessions can have insufficient time or resources to complete the required work. This can result in short-changing the process that can lead to missing or misrepresentation and assessment of PFMs.
6. Project reports and information may be lacking or may not be available that can prevent the team from understanding the structure in sufficient factual detail to identify or evaluate the PFMs.

Other criticisms of the PFMA process are often simply a misunderstanding of the purpose and intent of the process. At times some might expect a result or outcome of the PFMA process that is not in line with the objective of the PFMA process. Some expect more out of the PFMA process than what is intended (e.g., the ability to prioritize the urgency and actions of each PFM, providing a short-list of less than five (or some other small number) PFMs requiring some form of action or follow up, etc.). The PFMA process is intended to identify, describe, and evaluate PFMs so that resulting dam safety activities can be identified. It is an initial step in the dam safety risk management process. Other than very coarse sorting, the results of the PFMA process are not able to distinguish priorities of dam safety activities (a risk analysis can be helpful for achieving that particular goal).

PFMAs require periodic review and updates; it does not remain relevant if left unmaintained. The inputs, assumptions, evaluations, and results of a PFMA must be reviewed and updated on a periodic basis to incorporate:

- changes in understanding of the project from the gathering of new/updated information and analyses,
- physical or operational changes to the structures or components at the site,
- changes in understanding of engineered systems,

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- advancements in technology and experience, including lessons learned from dam safety incidents and failures, and
- changes in project personnel and operating staff.

17-2 SCOPE OF PFMA

17-2.1 Project Features/Components

The PFMA shall include an evaluation of all the project features and components that could result in a failure, as defined above, that could result in an adverse consequence.

All project features and components – not only common or predominant project features, but also those appurtenant features and components that are integral to the design, operation, and performance of the project (e.g., spillways, canals, outlet/discharge systems, penstocks, intakes, and non-overflow structures, etc.).

Inability to perform their intended function – inability to carry out the designed or desired purpose of the feature or element.

Impaired or compromised fashion – e.g., gate hoist or hydraulic pump fails or fails to perform as designed resulting in physical damage or operational limitations (reduced pump performance increases time to open gates in a timely manner that could lead to an increased rate of rise of the reservoir and an inability to access other gate controls or overtopping of an embankment or other adverse consequences).

Adverse consequence – any negative unintended result produced by a cause or from a set of conditions. Adverse consequences can include complete or partial loss of the reservoir, loss of human life, environmental losses, economic or financial losses, loss of cultural or historical features, loss of recreation benefits, damaged integrity of/respect for the dam owner/operator, and others. Adverse consequences can be caused directly or indirectly. Adverse consequences can result from a component failure that leads to damage or inability to operate another critical component of a system resulting in an adverse consequence up to and including failure of the dam resulting in loss of the reservoir and loss of human life.

17-2.2 Approach

A PFMA is intended to be a robust investigation and evaluation to identify and assess the possible vulnerabilities of project elements, components, or structures that could fail and result in an adverse consequence. It requires a thorough understanding of the project features and components, anticipated (design) loading conditions and frequency, project operations, monitoring capabilities, interaction of project systems, project communication, and influence of human and organizational factors in operation and decision-making. The PFMA must include all design and anticipated loading conditions through the full range of loading.

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Because of the complexity of dam systems, component and system complications, and system interactions and dependencies, different approaches to identifying and evaluating PFMs are generally required. These approaches may include:

1. Event tree approach (ETA), which is generally characterized by potential failure mode progression in a sequential chain-of-events,
2. Failure mode and effects analysis (FMEA), which is used to map out the consequences of specific events that can occur during operation of an engineered system; and
3. Fault tree analysis (FTA), which is a construct that shows the logical interaction among the elements of a system whose failure, individually or in combination, could contribute to the occurrence of a defined undesired event such as a system failure.

ETA has long been the predominant approach used in PFMA in dam safety in the United States. This approach works well for PFMs in which a logical sequence of events from an initiating event to the complete set of possible outcomes can be described. For complex systems and systems with multiple interactions (mechanical, electrical, human influences, etc.), FMEA and FTA approaches allow for a more comprehensive understanding and systematic evaluation of the functional elements of the system to better identify and evaluate PFMs. Additional information on the three approaches is documented in Hartford and Baecher, 2004.

Each of these approaches has advantages and disadvantages when applying them to PFMA.

17-2.3 Human and Organizational Factors

The PFMA must include the potential contribution and influence of human organizational factors, such as organizational culture and decision-making authority and practices, and how these factors can contribute to failure. The propensity toward failure is determined by the balance of factors that contribute to failure versus safety. In general, the human factors contributing to failure include three categories of primary drivers (Alvi, 2013):

- Pressure from non-safety goals, such as achieving functional design, reducing cost, increasing profit, meeting schedules, engaging in competition, building and maintaining relationships, pursuing political objectives, and following personal agendas.
- Human fallibility and limitations due to misperception, faulty memory, incompleteness of information, lack of knowledge, unreliability of intuition, inaccuracy of models, cognitive biases operating at a subconscious level, use of heuristic shortcuts, adverse effects of emotions, and fatigue.

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- Complexity, resulting from multiple interactions of multiple components, which exacerbates the other drivers and can result in nonlinearly large effects from small causes, as well as difficulties in modeling, predicting, and controlling structural behavior.

These primary drivers of failure lead to various types of human errors – e.g., slips, lapses, and mistakes – as well as compromised risk management due to ignorance, complacency, and overconfidence.

A fundamental human factor that helps prevent failures is an overarching dam safety culture, which entails individuals at all levels in organizations placing value on safety, having a humble and vigilant attitude, and conscientiously implementing best practices (for more information regarding Owners Dam Safety Program (ODSP), see Chapter 19 of the FERC Engineering Guidelines). With respect to general design features, these best practices include conservative safety margins; structural redundancy, robustness, and resilience; and controllable PFMs. Organizational and professional best practices include:

- Sufficient staffing and reasonable schedules.
- Peer review and cross-checking.
- Thorough documentation and effective information-sharing, including allowing dissent, in order to ‘connect the dots’ on project issues.
- Creating teams who bring in diverse perspectives, while also having effective and continuous leadership.
- Recognizing knowledge limitations, deferring to expertise, and engaging in training.
- Using checklists.
- Careful structural modeling and use of software.
- Meeting professional, ethical, and legal/regulatory standards.
- Learning from failures.
- Promptly and effectively detecting, investigating, and responding to warning signs, including after extreme events and during “quiet periods.”

Additional information on human and organizational factors is included in Appendix A.

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17-3 APPLICATION

A PFMA is to be conducted for:

1. Part 12D PFMA. All FERC-regulated dams that are required to undergo Independent Consultant safety inspections, as defined in 18 CFR Part 12, Subpart D, are required to perform a PFMA and Level 2 risk analysis at the comprehensive assessment cycle. Refer to Chapter 16 of the FERC Engineering Guidelines for more specific information on PFMA for a Part 12D Comprehensive Assessment.
2. Quantitative Risk Assessment PFMA. A PFMA is the first step in conducting a quantitative risk assessment for an existing dam or a risk reduction action. A significant increase in dam safety awareness can be developed from this step. Thorough PFM identifications and complete descriptions will lead to a more efficient risk assessment process. Interim risk reduction measures and study plans can be effectively developed based on the results of the PFMA.
3. Design Modification PFMA. A PFMA should be conducted prior to major modifications or remedial work on a structure. The purpose of the PFMA is to identify and evaluate those PFMs that are the result of or potentially affected by the recommended modification/remediation plan. **The design modification PFMA is not required to look at the entire project.** Before a PFMA can be conducted for major modifications or remedial actions, the design must have progressed to the point of a recommended alternative. The design for the proposed modification should be at least to the 60-percent level to enable the PFMA team to critically evaluate the modification for PFMs and to determine if construction of the recommended alternative may adversely impact other structures, resulting in new PFMs not considered in the pre-existing PFMA. Conceptual designs would not be adequate for this evaluation as they may undergo significant modifications during the design process, which might trigger the requirement for additional PFMA. A PFMA may also be useful for the design team to evaluate design alternatives, but such an evaluation is not required. PFMs that can result from construction-related activities, if they are known at the design stage, should also be incorporated into the design PFMA.
4. Construction PFMA. A PFMA should be conducted prior to or during construction when the contractors proposed means and methods have the potential to adversely load or otherwise potentially compromise the structure. A construction PFMA is performed after the designs (drawings and specifications) have been completed and the contractor has been selected and has developed proposed construction sequences and procedures to perform the work. A construction PFMA does not need to be performed for every project. The construction PFMA should include design and construction personnel familiar with the project, the proposed designs, and the planned construction activities with an emphasis on those construction activities that may result in the formation of

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new PFMs due to the construction activities (either temporarily during the construction period or could remain after construction) or exacerbate existing PFMs. The construction PFMA must be performed far enough in advance of the construction activities so potential modifications that might result from the PFMA can be incorporated into the construction work with the least amount of impact.

5. Post-Construction PFMA. A PFMA should be conducted after the completion of major modifications or remedial work on a structure. The purpose of the PFMA is to evaluate the actual conditions encountered during construction, the construction methods and features as a result of the construction activities, and any design changes that may have taken place during construction. Before a post-construction PFMA can be conducted for major modifications, the construction documentation must have been completed (as-built drawings and construction summary reports). It is also preferred that initial monitoring information is also available, covering a full cycle of typical reservoir operations (i.e., at least one calendar year).

A PFMA may be required for other projects or for other purposes as requested or required by the Regional Engineer.

17-4 CONDUCTING A POTENTIAL FAILURE MODES ANALYSIS

17-4.1 General

The primary product and the main focus of a PFMA is identifying and obtaining a clear understanding of each element, component, and structure for a given project and its site-specific PFMs. At the outset of the PFMA the entire team must understand that the product of the exercise is not a decision document, but rather an informational resource document, developed from the combined input of the team, that is intended for use and reference for many years.

The PFM “identification” is intended to go beyond a simple generic statement of the potential problem (e.g. operations, slope instability, foundation, overtopping, liquefaction, etc.). The PFM identification, examination, and description must provide background information on the loadings, structural conditions, circumstances, and events at each site that identify why this PFM is being considered for this site. Also, the significance of the PFMs for the site must be discussed in terms of the need for awareness, surveillance and monitoring, analyses and investigation, or for making operational changes, structural repairs, or modifications.

The PFMA process is a guide to help focus, routine dam safety activities such as dam safety inspections and monitoring activities, as well as foundational elements for risk analyses. Both activities require and benefit from a comprehensive review and discussion of **all** available information (historic records and photos, engineering analyses, previous inspection reports, etc.). Hence, the detailed reviews commonly done prior to a dam safety inspection are still necessary. Linking the outcomes of the PFMA and dam safety inspections is efficient and effective because it allows others, not often in the direct safety evaluation loop, to participate and contribute to the outcome.

17-4.2 Overview of PFMA Process

Specific steps and actions for carrying out a PFMA for a dam or project are provided below and these steps are recommended, as a minimum, for a PFMA to be comprehensive, consistent, and complete. In completing these specific steps, it is very important that the principles of the process be thoroughly understood and followed in order for the full value of the process to be achieved. These principles include:

- Diligence in searching for and obtaining all the project background information;
- An open, investigative approach toward identifying and understanding PFMs and failure scenarios;
- Dedication of the assigned persons to the reading and understanding of all the background information on the dam prior to the PFMA session;
- Documentation is the key to capturing the insight and ideas resulting from the process; and

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- Willingness of all parties to set aside their normal responsibilities and daily duties and focus on what the data, information, and experience/knowledge of individuals can teach us about the dam.

Advance planning is imperative to ensuring a successful PFMA. Some questions that should be addressed prior to conducting a PFMA include:

1. What technical disciplines should be represented on the PFMA team?
2. How many people are expected to attend the PFMA session?
3. How many days or weeks is the PFMA session expected to last?
4. Should the PFMA session be split into multiple weeks to adequately cover multiple structures?
5. What size of meeting room will be needed for the PFMA session?
6. What equipment and technology (e.g., Wi-Fi, multiple projectors, whiteboard, easels, hard copy drawings, etc.) should be available to ensure all participants are engaged and productive during the PFMA session?
7. Are there special considerations that should be accommodated in the PFMA session?

The Licensee should discuss these and other questions with the FERC dam safety professional during the initial planning phase of the PFMA. Once the key members of the PFMA team have been identified and selected, these questions should be revisited, and plans adjusted accordingly.

The six general steps in the PFMA process include:

- Step 1 Identification of the PFMA Team participants
- Step 2 Collection of background information on the project for review. Collect all data, studies and information on the investigation, design, construction, analysis, performance and operation of the project. All existing studies and investigation reports that relate to the ongoing safety of the dam must be included and reviewed and evaluated. A listing should be made of the data available for review and considered in the PFMA and the reference list included in the PFMA report documentation.
- Step 3 Comprehensive review of all of the background data on the project. The PFMA team, experienced in dam safety evaluation (familiar with dam failure mechanisms), is to review all the background information for general understanding and with these specific questions in mind:

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- How could this dam or component fail? (Site-specific consideration of loadings, structure condition, and project operations)
- What happens if the dam or component fails?
- Are the identified PFMs recognized and being appropriately monitored by visual surveillance or instrumentation?
- What actions (immediate or long term) can be taken to reduce dam failure likelihood or to mitigate failure consequences? These actions could include any of the following: data collection, analysis or investigations, operational changes, communication enhancement, monitoring enhancement, and structural remediation measures.

Step 4 Site review including interviews with key owner personnel at the project. This includes visiting the project site and performing an inspection with a focus on PFMs. The site review should include observations of structural and geologic conditions, a review of project operations, and interview(s) with the project owners/operators for their input on PFMs.

Step 5 Conduct the PFMA session. This includes identifying PFMs and failure scenarios with the group of persons most familiar with design, analysis, performance, and operation of the dam. Record the identified PFMs, the reasons why each PFM is favorable / less likely and adverse / more likely to occur and identify any possible actions related to each that could help reduce risk (i.e., monitoring enhancement, investigation, analysis, and/or remediation). Also, specifically identify possible surveillance and monitoring enhancements and risk reduction measures for each PFM.

Step 6 Documentation of the PFMA. This includes immediately recording the major findings and understandings from the brainstorming session.

The following sections describe each step in detail.

17-4.3 Identification of the Potential Failure Mode Analysis Team Participants

17-4.3.1 General

The PFMA participants (team members) consist of a diverse group of individuals with varying backgrounds and responsibilities. Fundamentally these are persons who have prior experience with the design, construction, analyses, performance, and operation of the dam, or who will obtain knowledge of the project through reading of the background material. The primary advantage of having a variety of people participate in the PFMA process (and it is a very significant advantage) is that as more ideas and more questions are put forward, the more knowledge and information is available, and a greater diversity of opinion is input to the process. The qualifications of the team members should be

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commensurate with the complexity and diversity of the project features and the magnitude of the potential consequences.

If the PFMA team has been chosen properly, they will participate in the workshop with the appropriate expertise, an open mind, and a willingness to achieve the best possible results. This type of approach reaches a better conclusion than any of the individual members could have on their own and it is intended to reveal all potential dam safety concerns related to the project.

17-4.3.2 Roles and Responsibilities

Some of the team members have specific roles and responsibilities and need to have the requisite experience and capability to fulfill these roles. The roles and requirements of the team members are given below:

Team Leader – The dam owner should designate a member of their staff or a designated appointee as the team leader who is responsible for coordination of the PFMA activities, including collection of the background information; coordination of the site visit and PFMA session meeting dates, location, and logistics; follow-up actions from the PFMA session; and coordination of the preparation and review of the PFMA document.

Facilitator(s) – A facilitator (or co-facilitators) is required to facilitate the PFMA session. The facilitator (or co-facilitators) also peer review the PFMA report. The facilitator's role in a PFMA is the most critical to the entire process and requires a significant amount of preparation. It is ideal for the facilitator to have read all of the documents regarding the project. It is the role of the facilitator to lead the group discussion during the finding of facts and discovery of all pertinent information when discussing and developing a PFM. Without a good understanding of the project, it makes it more challenging for the facilitator to draw the information out of the team members that is required to fully develop and understand a PFM. It could be argued that the facilitator should be able to develop each PFM by themselves, and while this could potentially be the case, there is no way they could know everything the team members know that is not included in the documentation, based upon their individual experiences and daily dealings with the project. It is also critical for the facilitator to remain an impartial arbiter and not become just another member of the PFMA team.

The facilitator is responsible for the flow of the workshop to ensure that everyone stays focused and that the participants do not get sidetracked by discussions that are not relevant to the point at hand. As can occur from time to time, sidebar conversations can develop during the group discussion. While these conversations may be relevant to the PFMA discussion, most often it is important that these sidebar conversations are prevented and instead occur with the entire group, so everyone has the same information. The facilitator is responsible for ensuring that all important facts are recorded for incorporation into the discussion during the workshop as well as the final PFMA report.

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It is inappropriate for dam owners to facilitate the PFMA on their own structures.

Core Team – The core team comprises select individuals who form the nucleus of the PFMA team. Core team members are responsible for:

- Reading the project background information and documentation,
- Participating in the site review,
- Attending and participating in the PFMA session, and
- Reviewing and providing comments on the draft PFMA report.

Unless otherwise approved by the facilitator, **the core team members are the only PFMA team members that provide input and recommendations for the screening of the individual PFMs**, as discussed in Section 4.7.7.

The core team generally consists of the following persons:

- Independent Consultant(s) who have completed a recent Part 12D report or are scheduled to complete the next Part 12D inspection, as well as any additional members of the IC Team, may serve as core team participants. See Chapter 16 of the FERC Engineering Guidelines for more information regarding the role of the ICs during a Part 12D PFMA.
- Technical representative(s) of the owner's staff (i.e., owner's chief dam safety engineer, other dam safety personnel) and/or their consultants.
- Subject Matter Experts. Competent, experienced scientific, engineering, and operational professionals representing technical disciplines and operations needed to fully evaluate the design, construction, operation and maintenance of the project features and components. The number and experience of the professionals should be commensurate with the complexity of the project and magnitude of the potential adverse consequences. The effectiveness of the process is dependent on the technical understanding of the PFMs that are developed and evaluated by the team. Complex components or systems (gates, SCADA systems, etc.) may require additional specialized expertise.

The team leader may or may not be assigned by the owner as one of the designated core team members. This is because the coordination and logistic activities may keep the team leader from being able to meet the review of background material requirements. If the owner and team leader consider that this may be the case, another representative of the owner should be designated to participate in the core team review of all the background material.

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The core team members and technical representatives of the owner's staff are specifically assigned the responsibility to read and review all the project background material. Subject matter experts are recommended to read and review all the project background material; however, as a minimum, they must read and review the project background material that is relevant to their technical expertise.

Note taker(s) – The note taker is perhaps the second most important person in a PFMA session (other than the facilitator). It is the responsibility of the note taker to capture, in writing, the key discussions and concepts during the PFMA. A good note taker can capture a group discussion in a few sentences and does not attempt to simply record each statement made. Comprehensive notes are of utmost importance as they form much of the content of the PFMA report and record the key inputs, assumptions, and thoughts of the subject matter experts in building the case for the results of the risk analysis.

The note taker should make sure all notes are clear and capture the discussions of the group, including the intermediate decisions that are made prior to moving on to the next subject. It can be helpful if the note taker uses a computer projector to display the notes in real-time during the meeting. This helps the participants see what is being captured and ensures the notes adequately capture the information, intent, and decisions. (A word of caution: the PFMA team members must not get caught up in wordsmithing each word of the notes. Otherwise, the meeting will get bogged down and progress will come to a halt. Team members should ensure that the recorded information is accurate, but wordsmithing should be reserved for reviewing the final report.)

Other tips:

- Taking notes during a PFMA meeting is distinctly different than administrative note taking. It is extremely helpful if the note taker is an engineer with knowledge of the project in general. This is important because the note taker must be familiar with engineering terms and concepts so that they can be appropriately and timely captured during the discussions.
- It can be more efficient if the note taker is the primary author of the PFMA report. This provides an added motivation of the note taker to record good notes and can improve the quality of the final product.
- It is also important to identify a backup or secondary note taker to supplement or provide a backup set of notes in case the primary note taker becomes distracted or cannot be present.
- If a projector is used to display the notes real-time, consider having them on a separate projector from project drawings, photographs, etc.

FERC Dam Safety Professional(s) – FERC dam safety personnel must attend and participate in the PFMA. FERC personnel are responsible for providing technical and

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regulatory oversight of the PFMA session. FERC personnel will provide input when the team misses or has incorrect information and will inform the owner's representative(s) and facilitator when the PFMA process is not following established FERC guidelines. FERC personnel may suggest candidate potential failures during the brainstorming session, may suggest more likely/less likely evaluation factors, and may suggest interim risk reduction measures and dam safety management activities if such information has not been discussed by the PFMA team. FERC personnel may ask clarifying questions related to the information discussed, figures presented, etc. in order to ensure the factual project information is being presented.

FERC personnel will provide comments regarding the screening of PFMs when, in the opinion of the FERC personnel, the core team has not adequately justified the screening of the PFM. The lack of comments by FERC personnel during the PFMA workshop does not indicate acceptance or approval of the team's findings.

Operations and Maintenance Staff – In formulating the team it is important to include those individuals with intimate knowledge of the project operations and structures, especially the senior dam tenders and those responsible for collecting monitoring data. The PFMA sessions should include the key operating staff of the project who will be able to clarify operating rules and procedures and will learn about the failure modes developed in the process. The benefits from including these personnel include bringing focus to the most likely modes of failure based on engineering judgment and increasing the general awareness of dam safety issues by sharing knowledge at all levels. Experience has shown that it is very helpful and valuable to include senior (experienced) field personnel in the actual PFMA session because all information has not been written down and in certain cases assumptions in written reports differ from what is done or known in practice. It is important that the operations and maintenance staff be encouraged to participate fully and openly in all discussions without any fear of reprisal by their management for indicating things may not be done in the correct manner or in perfect conformance with what is considered official documentation. The field personnel also can verify data and information discussed in the session.

Supplemental Resources – In addition to the team participants there are other people who have specific technical knowledge or experience that may be useful to the team. These people would be notified and asked to be available or on call on the day of the PFMA session. This would include such persons as those involved with the construction of the facility, seismotectonic specialists, hydrologists, structural engineers, electrical engineers, mechanical engineers, geotechnical engineers, field personnel, inspectors, instrumentation personnel, emergency preparedness personnel, etc. If there has been a major change to the project (anchoring program) or if there is a complex instrumentation program (unique instrument), it is useful to have the responsible engineer/operator make a short presentation during the workshop so that all participants have a common understanding of the issue. Also, if not already a designated Core Team member, an

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engineering geologist with dam experience should participate in the PFMA and should review all geological background material, make appropriate observations during the field review, and participate in discussions of foundation related PFMs.

17-4.3.3 General Selection Criteria

The following criteria should be considered when selecting PFMA participants:

- The core team members should have knowledge and experience related to dam safety evaluations. It is especially helpful to have persons who have experience and knowledge related to dam failures and who have an inquisitive/investigative mindset.
- Persons who had experience with the original design and/or construction of the project can provide invaluable insights and data. Wherever possible, they should be recruited for the PFMA field and data review and the PFMA session. Alternatively, they can be available by phone to answer questions raised during the session.
- State dam safety personnel, including the dam safety inspector responsible for the subject project, can provide valuable data, information and insights into the project and should be invited to participate.

The qualifications of the PFMA facilitator include:

- Be a licensed professional engineer or licensed engineering geologist with a minimum of ten years of experience in the design, construction, monitoring, and operation of dams. The facilitator(s) should have experience in the type of project they are facilitating (e.g., embankment dam, concrete dam, or hydraulic structure, etc.). To a certain extent, the lack of expertise in one type of dam or another can be partially mitigated by having one or more PFMA team members that are experts in that field in order to assist in the technical aspects of the project. It is not necessary for them to be an expert for the structures, but they must have a general understanding of how they operate and what case histories have taught the dam safety community with regards to design and operational weaknesses. They should have an excellent understanding of dam incidents and failures and be able to draw on that knowledge during the PFMA process.
- Have training and experience participating in a PFMA similar to that described in this guidance. This includes:
 - Attended a FERC-sponsored PFMA training workshop (or equivalent PFMA training). FERC will periodically provide training opportunities to help develop PFMA facilitators.

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- Have previous experience facilitating a PFMA or be a co-facilitator serving under the supervision and training of an experienced facilitator. They must fully understand the objective and requirements of the PFMA and what constitutes a fully developed and acceptable PFM. This ensures that the person leading the PFMA process knows not only how the process is carried out, but also is aware of what can be accomplished. This is especially critical if the Core Team members have not been through a PFMA.
- Have assimilated the information and written the report for at least one PFMA.
- Have limited prior project experience with respect to examining the dam's operation and history. This is considered an advantageous situation with respect to providing a fresh and vigorous look at the structure.
- Possess good communication and group leadership skills.

Below are some additional qualifications a facilitator should possess:

- *Independent/Objective.* It is of utmost importance that the facilitator remains completely independent during the development of a PFM. Their role is not to act as a decision-maker, nor to influence anyone's decision regarding the development of a PFM; it is to guide the team towards the different options available in the development of a PFM and the facts surrounding the different steps of a PFM. The facilitator should not make any comments or innuendos along the lines of how unbelievable or ridiculous a PFM is, or how "that would never happen" as discussions are taking place. It is totally appropriate for them to ask the typical, how, what, why, and when types of questions to get the team to think things through, though they should remain cognizant of their tone and strive to remain neutral. They should help guide the team in a discussion that keeps them focused along the correct paths without directing or biasing them which path to take.
- *Interrogator.* In conjunction with being independent, a good facilitator is able to lead the group discussion by asking questions that will help lead them down the most suitable path of a fully developed PFM. It is important that the facilitator remain independent when asking these questions. At each decision point in the process, a short discussion is often necessary to determine the different possibilities for the progression of the PFM. They can ask the group questions about which path is the most likely to progress and suggest the different options. Therefore, it is critical for the facilitator to have a good understanding of all the mechanisms that can present dam safety issues related to the type of structure being evaluated. For example, an understanding of mechanisms related to seepage and internal erosion, slope stability, overtopping erosion, and liquefaction are important when evaluating an embankment dam. If the project involves a concrete

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dam or concrete features, the facilitator must also understand sliding, overturning, structural strength, and general performance of concrete structures.

- *Motivational Speaker.* This may seem like an odd characteristic for a facilitator; however, often, there are several team members that are shy, reserved, or quiet during the discussions. This may be a result of their personality or their belief that they have nothing to offer to the process and are only there because their supervisor required their attendance. These individuals may not be engineers, may feel a bit intimidated by all the engineers and managers in the room, and may not have the confidence to speak up. Those experienced in the PFMA process realize that these individuals often contribute some of the most critical and insightful information during the PFMA workshop. These are the people who operate the facility day in and day out. They are the ones who know when the scripted message does not match the actual protocol used in the field. They could possess one bit of information that could prevent a dam safety emergency. Therefore, it is important for the facilitator to motivate these individuals to participate and play an active role in the discussion. This can often be done by asking them direct questions about their role in the project and emphasizing the importance of what they contribute to the overall understanding and safety of the project.
- *Referee.* It is sometimes necessary for a facilitator to act as a referee during a discussion in order to successfully resolve differing opinions and uncertainties about certain aspects of the project. These differing opinions can result from a lack of understanding of the project or issue being presented and, in some cases, could be someone attempting to manipulate or adversely influence the process. Depending upon the circumstances, it is possible that a team member is a major decision maker that does not want to spend money and will make every effort to convince the team that the PFM is not credible and a problem does not exist when it clearly does exist, or there is sufficient uncertainty to require additional investigation or research before making a final determination. In other cases, it may be the opposite, where a regional manager may need work for the staff and will try to convince the team that a PFM is credible or there is enough uncertainty to justify a recommended action, when the majority of the team and evidence suggests the PFM is not credible or so unlikely that no additional information is required. There could be any variation of these two extremes on the team. Therefore, it is critical for the facilitator to keep everyone on the same path of fact finding and sticking to the knowns. If unknowns are discovered during the discussion, additional studies or analyses may be in order to clearly identify whether the proposed PFM is credible.

It is important to understand that if the facilitator, working with the assembled PFMA team, does not accomplish the goals of the PFMA – identifying and obtaining a clear understanding of each dam’s site-specific PFMs – the PFMA may be required to be supplemented or redone entirely.

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17-4.4 Collection of Background Information

The team leader, working in conjunction with the facilitator, FERC dam safety professional, and other project staff, collects and gathers for review, all background information on the project. The data and information are collected in a centralized location for reading by the core team members and would also need to be available during the PFMA session. The general rule is: **collect all information on the project**. If there is a question about the need to collect certain material, the facilitator and owner should discuss this in advance.

If the STID has been properly assembled and maintained in accordance with Chapter 15 of the FERC Engineering Guidelines, this step will require far less effort than collecting the data from separate files on an ad hoc basis.

The types of material which should be collected (if available) include but are not limited to the items listed below:

- Any FERC or state agency construction inspection reports (these have been found to be extremely useful, particularly if the original construction predates the Federal Power Act).
- Current or most recent dam safety engineering analyses, including stability and stress analyses.
- The most recent monitoring and instrumentation data along with the historic records of monitoring data. Large scale, easily readable, plots of monitoring data over the life of the dam have proven extremely valuable and should be available at the PFMA session. (The licensee or consultant should also provide verification that the instrumentation is properly functioning.).
- The most recent surveys for each of the project structures (i.e. horizontal and vertical survey data). A detailed survey of the crest of all structures including dam crest surface elevations and service and emergency spillway crest elevations to confirm the freeboard assumed in the discussions. The elevations of the ground surface that could result in overflow around the structures should also be considered. Also, the project datum should be stated (i.e., conversion of project records to NGVD).
- Current hydrologic studies and the associated flood routings, dam breach, inundation studies, and consequence analyses.
- The current Emergency Action Plan and any Sudden Failure Assessment.
- The most up-to-date aerial photographs of the dam, other project structures (spillway(s), dike(s), etc.), reservoir, and downstream areas that could potentially be impacted by failure of the project structures.

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- Original and subsequent modification design and construction reports, other supporting design or construction reports (foundation reports, exploration reports, etc.), as-built drawings, and photographs.
- Boring logs, field testing results, and laboratory testing results.
- Any underwater inspection reports and preferably the underwater inspection that was conducted as part of the most recent Part 12D inspection.
- Recent and historic meteorological (<https://www.ncdc.noaa.gov/data-access>) and pertinent river records from project or nearby dam or gage records (<http://waterdata.usgs.gov/nwis>).
- Operation records (particularly historic) of primary and secondary (e.g. fuse plugs) spillway discharge rating curves, mechanism and response times for gate opening (e.g., stanchion gates, bulkheads, flashboards, gates) and problems (e.g., ice, debris).
- The most recent seismic loading parameters that have been prepared for the site and print records of recent seismic activity (<http://earthquake.usgs.gov/>); and
- Any dam safety incident reports.

(Note: Basic demographic, seismic, meteorological and/or stream flow data should be reviewed to ensure that previous findings or assumptions related to potential failure mode hazards or consequences are up to date. Hence, recent data and information should be brought to the session or generated at the session as necessary. This will ensure that the PFMA report is an accurate representation of the likely PFMs and consequences based on the best information that was available on the date the PFMA was conducted.)

A listing of the data available for review and considered in the PFMA should be prepared for use by the core team in reviewing the materials and included in the PFMA report documentation. Team members are to review all of the above information searching for site specific conditions or situations that would lead to failure, as defined above.

If not already available, the owner should establish a means to retain and archive all the information collected for the PFMA. Again, already having a comprehensive STID that fulfills the requirements of Chapter 15 of the FERC Engineering Guidelines should reduce the effort associated with this task.

An advance review package on the dam should be prepared for all participants – this package should consist of material already prepared that provides an overview of the dam and its performance. The purpose of an advance package is twofold: to give the facilitator familiarity with the dam prior to the site review and to refresh knowledge of the dam and stimulate “potential failure mode thinking” by all participants prior to the

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PFMA session. The previous Part 12D Report, the most recent FERC dam safety inspection report, and the STID provide a good “advance package document” to give to the facilitator and the core team (and any other proposed participants) for familiarization with the project prior to the site review. The advance review package should be sent to site review participants prior to their travel to the site.

17-4.5 Comprehensive Review of Background Material

Review of the project information should be performed prior to performing the site visit and review. The review of the project information can be performed prior to the team gathering at the site, provided the project information is delivered to the project team members in advance or the information review can be performed at the site or other project location. There are advantages for the team members having the project information in advance of the site visit so team members can become familiar with the project documents and information. Likewise, there are advantages to having a dedicated time set aside in a group setting for efficiency in sharing the collected data and to provide a “captive” condition to ensure that the material is reviewed by all the core team members. Being together also allows for collaboration on items that may need clarification by the entire group.

It is highly recommended that the team gather together in one location and review the project information. This review of the material should take place at a convenient location considering the location of the site, data, and where the PFMA session will take place. The background material should preferably be in the same as room as the PFMA session in order to facilitate finding reference material during the PFMA session.

17-4.6 Site Review of the Dam and Project

Typically, the PFMA team is first assembled at the time of the site review. This is a good occasion for the facilitator to review the basic concept of the PFMA process and the objectives of the site review and ask if there are any questions. These guidelines lay out what is to be accomplished in the PFMA and although the core team has likely read them, the licensee’s operating staff probably is less familiar with the process. Therefore, it is helpful to have a quick review of the process to make sure everyone is on board. Likewise, if the core team gathers to do the review of the project information, it is appropriate for the facilitator to have a quick discussion of the plan and objectives of the review.

Prior to the PFMA session, a site inspection should be performed. At a minimum, the owner’s personnel and core team should participate in the site inspections; however, other PFMA participants could also attend. During the inspection the participants should be “thinking” about PFMs and looking for evidence of potential changes from the observations and results from prior inspections. The basic purposes of this site review are:

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1. to let those participating on the PFMA team, who have not seen the site, see it;
2. to have the team “think/see” PFMs in the field; and
3. to discuss the site and operations with site personnel in their own environment. Owners may find it valuable to include all or most of the employees that they plan to have participate in the PFMA also participate in the site review.

17-4.7 Conduct the Potential Failure Mode Analysis Session

17-4.7.1 General

A description of the PFMA session is given below. It is important for the facilitator to involve all participants in the discussions and give everyone an opportunity to provide their knowledge, understanding and views on the PFMs, consequences and possible risk reduction actions / measures.

Just as discussed for the site review, at the outset of the PFMA session, the facilitator should give some introductory remarks about the PFMA session goals, objectives, and process, and should discuss with the entire team that the product of the exercise is not a decision document but rather an informational resource document, developed from the combined input of the team, that is intended for use and reference for many years.

17-4.7.2 Group Dynamics

PFMA sessions are typically multi-day meetings attended by a variety of individuals and professionals with varying perspectives and understanding of the project. Such meetings can be subject to a number of factors that can compromise the judgment and decision-making of the PFMA team, due largely to subconscious cognitive processes and group dynamics, which can result in team members aligning their views too readily in order to preserve group harmony rather than engaging in sufficiently thorough critical, and constructive discussion and debate.

Bias and heuristics are important concepts to be aware of in conducting a PFMA. Bias is a tendency, trend, inclination, feeling, or opinion, especially one that is preconceived or unreasoned. They can be systematic errors that one makes in specified circumstances. A heuristic is a simple procedure that helps find adequate, though often imperfect, answers to difficult questions – a kind of a mental and often unconscious shortcut. Both bias and heuristics can have a dramatic and negative influence in the identification and evaluation of PFMs. These must be recognized, and to the extent possible, the facilitator must strive to minimize their impacts. Vick (2002) describes many of these in detail. Some common bias and heuristics are included in Appendix B (adapted from Kahneman, 2011).

Sometimes during the PFMA session the team may stumble along one or more of the situations listed below. The PFMA facilitator must recognize when this is occurring and redirect the group toward a more positive direction.

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- A dominant individual may drive the team into their way of thinking by overwhelming them with filibustering or other techniques that eventually drive the entire team into thinking the way they do. It takes a fairly strong facilitator to deal with this, and usually requires emphasizing and bringing out the opposing point of view as well as drawing others into the conversation.
- People may not say what they actually believe or think for fear of appearing unknowledgeable and will tend to go along with the rest of the group even though they have important input. This requires the facilitator to draw out their opinions by directing questions specifically at these individuals that are best suited to address the particular topic being discussed.
- A contrary individual may have valuable information even though their approach to communication may be difficult or challenging to the rest of the group. This information and these opinions should not be quickly dismissed without due consideration.
- The group gets tired due to the duration and rigors of the meeting and people agree just to get it done. The facilitator is not immune to this trap. If it is obvious that proper attention is not being paid to something, it is important to stop, take a break, and discuss ways to invest proper time for the evaluation. This may even require postponing the completion of the PFMA for a few days, like over a weekend.

Improving the quality of subjective judgment and decisions towards rationality can be accomplished through training in the cognitive nature of subjective thinking. Facilitators, in particular, require such training to guide the PFMA team in directions that ensures rational subjective judgment and rational subjective decision-making during the process of identifying and evaluating PFMs.

17-4.7.3 Project Summary and Overview

As discussed earlier, it's critical to provide all the documentation to all team members prior to the workshop. It is important for the owner's representative to prepare a presentation for the team that summarizes all of the important information of the project. This presentation should be one of the first items on the PFMA agenda. It should be appropriate for the complexity of the project and consider including the following items:

- Summary of project features and key project information,
- Overview of regional and site geology (including summary of site investigations),
- Summary of original design,
- Summary of construction with an emphasis on construction issues or other elements of construction that could influence the performance of the project,

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- Summary of significant modifications to the project since it was completed,
- Summary of operational performance,
- Summary and interpretation of instrumentation data and understanding of dam performance under all postulated loading conditions,
- Findings of significant engineering analyses,
- Summary of design flood and seismic studies,
- Summary of the standard operation of the project, and
- Summary of potential life loss and other consequence estimates.

For large, complex projects this presentation may require several hours. For smaller projects less than an hour may be adequate. The length and depth of information should be scalable to the size of the project and the dam safety concerns associated with it.

At the conclusion of the presentations the team should discuss the adequacy of the project documentation provided for the PFMA and determine if any deficiencies exist for specific project features or components in being able to identify and evaluate PFMs. The team should determine if sufficient information exists to adequately perform the PFMA for the project and document the team's findings regarding the adequacy or deficiency(ies) in project documentation.

17-4.7.4 Project Components and System Understanding

Dams are engineered systems and significant thought must be put into the details surrounding the interactions between the various features of a particular facility. Prior to identifying project PFMs, a complete understanding of the physical project features, components, and elements and the interactions, relationships, and dependencies of those physical elements in a systems context must be undertaken and developed. This understanding must include the identification of potential backup systems and redundancies as well as operational protocols, standing operating procedures, lines of communication, feedback, and authorities and responsibilities of project personnel. Organizational culture of the dam owner and operator and the human factors and influences on operations and decision-making must also be understood and incorporated into the project and system understanding.

Only after this assessment and understanding has been completed can the project team begin the process of comprehensively identifying, describing, and evaluating PFMs for the project.

17-4.7.5 Identification of Potential Failure Modes

An adequate job of identifying PFMs can be performed only after all relevant background information for a dam is diligently collected and thoroughly reviewed. This

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includes information related to geology, design, analysis, construction, flood and seismic loading, operations, and performance monitoring. Photographs, particularly those taken during construction or unusual events, are often vital to identifying vulnerabilities.

It is important to include, but also think beyond, traditional analyses when identifying PFMs. Some of the greatest risks for uncontrolled reservoir release and operational issues may be due to operational problems or PFMs that do not lend themselves to standard engineering calculations. Therefore, it is also important to have operational staff involved with the process.

The first step in identifying PFMs is to have a brainstorming session where the team attempts to determine every possible way that the dam could fail (resulting in an uncontrolled release of water, failure to perform the intended function, or significant loss of operational control). This also includes PFMs associated with operational failures of the mechanical and electrical portions of the project that do not result in an uncontrolled release of water or failure of the dam, but economically impact the project. This could include items such as failure of a turbine, pumps, gates, or similar items that prevent them from generating power or providing irrigation or municipal water supplies. This should be done for each loading condition (normal, flood, seismic, and other (ice, reservoir sedimentation, etc.)).

Brainstorming is intended to be a group creativity technique in which participants are able to think more freely and spontaneously suggest ideas in a non-judgmental environment. Evaluation or criticism of ideas generated should be put on hold until after all ideas have been identified. By suspending judgment, it is hoped that participants will be more open and less encumbered to generate new ideas, including perhaps more unusual ideas.

In order not to be biased or constrained by previously identified PFMs, **the brainstorming session should NOT use lists of previously identified PFMs.** Although this information will be considered after the brainstorming session is complete, this approach forces the team to be creative and to think critically about the different ways failure may occur. Only after the brainstorming session is complete should lists of previously identified PFMs be reviewed to see if PFMs may have been missed in the brainstorming session and to see where there is duplication of PFMs between efforts.

The brainstorming session must be structured and methodical to prevent the possible oversight of a PFM. Consider the possibilities for failure by loading condition (static reservoir, hydrologic, seismic, ice, debris impact, and any other loading relevant to the site) for each component of the project (main dam, spillway, gates, dikes, outlet works, power plant, etc.). Typically, it is recommended to start with the static loading condition since it is generally considered to be the simplest loading condition for most to understand, it defines the loading most are familiar with seeing on a day-to-day basis, and the frequency of loading condition is more straight-forward.

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For example, one place to start with an embankment dam would be to brainstorm all possible static PFMs associated with internal erosion (piping) through the embankment. Once the team has completed that focused part of the project, they would proceed to the next focused part of the project, such as internal erosion through the foundation of the embankment. This focused approach would be completed on each aspect of the project and under the different loading conditions. This helps prevent missing an important component, failure mechanism, or pathway of the project.

The facilitator elicits ‘candidate’ PFMs from the team members, based on their understanding of the vulnerabilities of the dam and project from the data review and field conditions.

Consider how an uncontrolled release of the reservoir or a dam breach could occur. Also consider total system operation aspects (communication and response [i.e., personnel, remote telemetry], system functionality and interrelationships, facility access, weather conditions, equipment) with respect to the possibility of their contribution to development of a potential failure mode/failure scenario.

As each ‘candidate’ PFM is identified, a short description of the failure mode is recorded on a flip chart, white board, computer, or by some other method to distinguish it from other similar PFMs. Sometimes this preliminary or developmental discussion of the initial ‘candidate’ PFM suggestion may lead to two or more separate or related PFMs that are then identified separately. At this stage the description of the PFM is typically limited in detail so that the group can understand the location, general pathway, and failure mechanism of the PFM so as to distinguish it from other similar PFMs. Typically, the detailed description of the PFM and overall failure sequence is discussed after the brainstorming session is completed.

Once brainstorming is complete, the team should consider other PFMs from other prior reports that were not identified in the brainstorming.

If past PFMA reports (or higher level risk studies such as a Level 3 or Level 4 risk analyses, as defined by Chapter 2 of the FERC Risk-Informed Decision Making Risk Guidelines) have done an adequate job of identifying and describing the PFMs and no new factors are apparent that would change the past write-ups, little to no revision may be needed in identifying and developing PFMs, except for any brainstormed PFMs that were not previously identified. However, a careful review of all PFMs and their descriptions is needed to ascertain that the past findings are in fact still applicable.

In reviewing PFM descriptions from past PFMA reports and other engineering studies, it is important to ask the following questions:

1. Are the PFMs sufficiently detailed?
2. Is the case for each PFM adequately made?

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3. Has new information become available either through investigation, performance, operation, methodology changes, etc., that would revise or update the PFMs?

The following suggestions are provided to help more easily identify missing or incomplete PFMs:

- Separate identified PFMs by individual structure (e.g., main dam, auxiliary dike, spillway, outlet works, powerhouse, etc.) and loading condition (static, seismic, and hydrologic). Recognize that different loading conditions may activate the same failure mechanism and failure pathway. For example, if an internal erosion (piping), stability, or landslide PFM exists as a PFM under normal or static loading, it may be activated by unusual loading such as flooding or earthquake shaking. Thus, it may be a PFM under all three loading conditions.
- Within the above categories, group similar-type PFMs together (e.g., internal erosion PFMs, overtopping PFMs, gate PFMs, etc.). There may be different PFM pathways that need to be considered depending on the site conditions. For example, internal erosion through the embankment, internal erosion from the embankment into the foundation, internal erosion through the foundation; or overtopping of the main embankment leading to erosion of the embankment, overtopping (outflanking) of the embankment leading to erosion of the abutment materials; etc.

Depending upon the size of the project, the brainstorming session could take a few hours to more than a day. It could also result in tens or more than a hundred brainstormed PFMs, also dependent upon the size and complexity of the facility. A list of commonly considered mechanisms and pathways to consider when identifying PFMs is included in Appendix C and could be used to identify missing PFMs after the brainstorming session. **Do not use the list as a reference to guide the brainstorming session.**

PFMs should be identified independent of previously assigned PFM categories (Category I through IV) as defined in previous versions of Chapter 14 of the FERC Engineering Guidelines. Other items and topics included as part of ‘Other Considerations’ or ‘considered but not developed’ in previous PFMA documents should also be carefully evaluated to consider their possible merits as candidate PFMs. Section 4.7.8 of this Guideline discusses a procedure for evaluating PFMs, including a discussion of standardized terminology that replaces the previous PFM categories.

PFMs related to acts of terrorism are not considered. However, the PFMA process may be applicable in assisting a licensee in evaluating the vulnerability and risk associated with acts of terrorism.

Additional considerations in the identification of PFMs are included in Appendix D.

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The result of this effort of identifying PFMs is a list of candidate PFMs by project component and loading condition. An example summary table is shown in Table 1. From this list each PFM is described and discussed in more detail and are screened as described in the following sections.

17-4.7.6 Description of Potential Failure Modes

In order for the team to have an adequate understanding of the PFMs, each PFM must be described in detail. A PFM is a detailed description of a sequence of events, commencing with an initiating condition, progressing in a step-by-step manner, until a negative event occurs. It cannot be emphasized enough, **it is important to develop the PFM description fully, from initiation through step-by-step progression to breach and uncontrolled release or to an unsatisfactory outcome.** There are three parts to the description:

- **The initiator.** This is the loading or physical condition that leads to initiation of the PFM. For example, this could include increases in reservoir due to flooding (perhaps exacerbated by a debris-plugged spillway), strong earthquake ground shaking, malfunction of a gate or equipment, deterioration of project features, an increase in uplift, or a decrease in strength.
- **Failure progression.** This includes the step-by-step development of conditions that lead to the breach and uncontrolled release of the reservoir or an unsatisfactory performance or outcome. The location where the failure is most likely to occur should also be highlighted. For example, this might include the path through which soils will be transported in an internal erosion situation, the location of overtopping in a flood, or anticipated failure surfaces in a sliding situation.
- **The resulting impacts.** The method and expected magnitude of the ‘failure’ (breach or uncontrolled release of the reservoir or other adverse consequence) is also part of the description. This would include how rapid and how large the expected breach would be, and the breach mechanism. For example, the ultimate breach from an internal erosion failure mechanism adjacent to an outlet conduit might result from progressive sloughing and unraveling of the downstream slope as a result of flows undercutting and eroding the toe of the dam, until the reservoir is breached, at which point rapid erosion of the embankment remnant ensues, cutting a breach to the base of the conduit.

During the development of a PFM description, it should be kept in mind that it is assumed there is a 100-percent chance of each step occurring as you move to the next step in the progression of events. **Only upon completion of the detailed description of the PFM is there a discussion regarding the likelihood of the PFM developing.** There is a tendency by many to make a determination of how likely the PFM is to occur

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when developing the step-by-step progress. This mindset must be avoided in order to adequately develop a PFM. However, there are always exceptions which prevent the entire process from becoming a prescriptive process and make it more of a rational thinking process.

As the team develops the step-by-step progression of a PFM, there are often points in the progression where there are numerous paths that could be taken to complete the development of the PFM. For example, seepage through an embankment can take many different paths, but a single path must be selected in order to fully develop the PFM. In cases like this, discussion is typically required for the team to decide which path is the most likely to occur. It is sometimes easy to determine which direction is the most likely, but there are instances where a significant amount of discussion is required to make a decision. It is important to document each option at each fork in the pathway, as it represents a separate PFM. Some facilitators will have the note taker create a separate list that captures the different paths the PFM could take in order to allow for discussion later. This list is sometimes referred to as a “parking lot” to keep the ideas until later in the workshop to ensure nothing important was missed.

A common misconception is there is no need to separate all of the PFMs out individually and many of them can be “lumped” together. Some people claim that it has been easier to “lump” multiple failure mode pathways or multiple loading considerations into a single PFM rather than developing multiple individual PFMs. Unfortunately, this thinking has the potential to miss a critical element or elements in identifying potential vulnerabilities. The most important reason to individually identify and evaluate each PFM is that when the team is trying to mentally track several different thoughts or branches of a PFM at one time, it is typical that some get confused about the exact path being discussed and discuss incorrect information about an element of the PFM. In some cases, this may not be significant, but it is not always possible to know what could be missing without having that unique discussion for each PFM. It’s typical that once the discussion is held, many of the PFMs are very similar making it easy to document individually. It is also possible that once the discussion is held and it is found that different branches of a PFM result in identical consequences, it may be acceptable to lump some of them together. Creating sketches and drawings of each PFM pathway greatly assists in keeping this clear to all team members.

Visual aids are also very useful during the development of the PFM. This can consist of items as simple as a plan view of the project posted on the wall, photos of the project in the area of concern, or a sketch on a white board or flip chart. This is particularly useful when drawn by the individual who initially suggests the PFM being discussed. For example, it is often very beneficial to have visual aids to draw the actual path of internal erosion PFMs to assist the team in an understanding of the actual requirements for the PFM to fully develop. This concept is also applicable to most PFMs when attempting to

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determine which failure mechanism is being discussed. It is highly recommended that these sketches be included in the final PFMA report.

Other considerations include:

- The location(s) where PFMs are most likely to develop are included in the description. “Foundation liquefaction” is not an adequate failure mode description. A better description would read something like, “liquefaction of a continuous saturated loose sand layer in the dam foundation identified in borings between stations 2+50 and 5+50 that leads to a flow slide of the downstream slope, loss of freeboard, and overtopping erosion failure of the dam.”
- Any time the discharge capacity of a spillway or outlet gate exceeds the safe downstream channel capacity or could impact recreationists, PFMs associated with collapse or misoperation of the gates should be considered.
- If a landslide appears to pose a threat to the safety of the dam, whether from an embankment integrity concern or a reservoir seiche wave, it should be listed as a PFM. If a slide poses an operational hazard or could injure workers or recreationists, it is not a dam safety failure mode, but should be discussed.

The influence of human and organizational factors, where appropriate, should also be considered and included in the description of PFMs.

Some example considerations in describing PFMs are included in Appendix E.

As PFMs are described and developed, they should be:

- Well-described, for the reasons discussed above;
- Comprehensive, in that all the ways that failure of the structure could occur are identified (there are no missing PFMs); and
- Mutually exclusive. Separate, distinct PFMs are identified for each individual PFM pathway. Separate PFMs should be identified when any one of the following conditions are met:
 - Failure mode location/pathway is different,
 - Loading condition/initiating event is different,
 - Likelihood of failure is different,
 - Monitoring for PFM is different,
 - Breach location and geometry is different,
 - Consequences are different, or
 - Risk reduction actions are different.

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At the conclusion of this step in the PFMA process, each PFM should have a complete description of the proposed failure process from initiation to failure and should have a plan view and cross section depicting the failure mode pathway.

The nature of the breach (or other failure condition) is defined and the potential adverse consequences of failure are discussed. The PFM should be developed so that each step in the failure mechanism from the loading condition to the final failure condition is sufficiently defined so that the DSSMP can be developed to detect a developing failure as soon in the process as possible.

To aid in describing each PFM (as well as subsequent steps in the PFMA process), a PFM template is provided in Appendix F. This template, or one very similar to it, shall be completed for each identified PFM. Following this template will ensure a consistent framework for documenting each PFM and that all applicable information for each PFM will be captured.

17-4.7.7 Adverse and Favorable Evaluation Factors

All the data, information, factors and conditions that suggest the ways that the PFM is more likely or less likely to occur (adverse factors and favorable factors) are noted.

The following discussion in this section is excerpted from Best Practices in Dam and Levee Risk Analysis (BOR/USACE, 2018). After the team has completely described a PFM, it is then evaluated by listing the adverse factors that make the failure mode “more likely”, and the favorable factors that make the failure mode “less likely”. These are based on the team’s understanding of the facility and background material. The facilitator captures these in bullet form on a flip chart or the note taker/recorded captures these in a computer file (template). However, these must also be fleshed out in the documentation so that someone picking up the report in the future will understand what the team was thinking. It is the facilitator’s job to review the report and ensure that this happens.

As an example, consider an internal erosion PFM. A list of adverse and favorable factors might look like the following. Regular text shows how they might be captured on the flip chart or computer file (template) during the PFMA workshop, while text in italics indicates how they would be fleshed out in the report.

Adverse or “More Likely” Factors:

- The gravel transition zones do not meet *modern “no erosion” filter criteria relative to the core base soil.*
- The gravel transition zone may be internally unstable, *leading to erosion of the finer fraction through the coarser fraction and even worse filter compatibility with the core.*

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- The reservoir has never filled to the top of joint use; *it has only been within 9 feet of this level; most dam failures occur at reservoir levels reached for the first time, which may occur here for a 50 to 100-year snowpack.*
- The core can sustain a roof or pipe; *the material was well compacted (to 100 percent of laboratory maximum) and contains some plasticity (average PI~11).*
- There is a seepage gradient *from the core into the downstream gravel transition zone, as evidenced by the hydraulic piezometers installed during original construction (and since abandoned).*

Favorable or “Less Likely” Factors:

- Very little seepage is seen downstream, *the weir at the downstream toe, which captures most of the seepage through the dam, records about 10 gal/min at high reservoir when there is no preceding precipitation, indicating the core is impermeable; this level of flow is unlikely to initiate erosion.*
- The core material is well compacted *(to 100 percent of laboratory maximum) and has some plasticity (average PI~11), both of which reduce its susceptibility to erosion.*
- There are no known or suspected defects in the core where erosion could initiate; *benches in the excavation profile that could cause cracking are above the joint use elevation.*
- If erosion of the core initiates, the gravel transition zone may plug off before complete breach occurs, *according to the criteria for “some erosion” or “excessive erosion” by Foster and Fell (ASCE J. Geotech. and Geoenv. Engr., Vol. 127, No. 4, May 2001).*

All of this information is captured by the note taker to facilitate documenting the suggestions. A flip chart or using the PFM template on a computer with projector to record the PFM information can be used. The use of a computer can assist in recording and organizing the details which makes it possible to efficiently complete the PFMA report. When a computer is used to record the session, a person other than a core team member should take the notes to assure the core team members can actively participate in the discussions. The note taker should be an experienced dam engineer.

The consequences of failure and the circumstances surrounding a failure (advance warning, detection possibilities, impact of the failure, etc.) should be discussed for each PFM since these factors play a role in assessing the significance of the PFM. Experience has shown that it is necessary, valuable, and instructive to specifically raise the topic of “consequences” as part of the PFMA and brainstorm site-specific factors and PFM

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consequence-related factors (in the event they have been overlooked during the technical discussion of the PFM).

When each site-specific PFM is identified, the nature of the breach / uncontrolled release of the reservoir or unintended consequence that may occur is discussed and the range of failure scenarios and consequences that may result are identified. The emergency action plan response to potential failure scenarios is examined and any concerns with the plan are identified.

17-4.7.8 Screening of Potential Failure Modes

The identification of PFMs often results in a long list of candidate PFMs. In order to provide value and direction, this list of candidate PFMs must be sorted and prioritized and distinctions made between those PFMs that need further effort or study versus those PFMs that need less attention versus those PFMs that need no further effort. The process of sorting PFMs is termed screening. Screening of PFMs can (and typically does) occur throughout the development of the PFM process (i.e., identification (after initial brainstorming), description, and discussion of adverse and favorable factors). Screening can occur at any point in the PFM process (after brainstorming has been completed) when sufficient information on the PFM has been identified and discussed to properly justify the screening of the PFM. Each PFM must be screened using the following factors and in the order they are provided:

1. Is the PFM physically possible?
2. Does the PFM lead to failure (uncontrolled release of the reservoir or result in potentially significant adverse consequences due to the inability to function or functioning in an impaired or compromised fashion)?
3. Is the PFM so remote as to not be a dam safety concern? (i.e., no additional efforts are typically warranted – no studies or risk reduction considerations are needed.)
4. Is the PFM in progress or imminent?

This PFM screening process is shown on Figure 1. The screening of each candidate PFM should follow this process and will result in the grouping of candidate PFMs by disposition.

The first two factors or questions in the PFM screening process are intended to screen out candidate PFMs that don't lead to failure (as defined in this chapter of the Engineering Guidelines) or result in a significant consequence. So, if the answer to questions 1 or 2 is no, then the candidate PFM does not meet the definition of a potential failure mode. These candidate PFMs are ruled out and the justification for why they are no longer considered PFMs is documented in the report.

Example justifications for ruled out PFMs include:

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- Internal erosion (piping) through the auxiliary dike under normal loading. This candidate PFM was identified and ruled out as a PFM because it is not physically possible to occur. The normal reservoir water surface is lower than the upstream toe of the dike. The dike embankment never retains the reservoir under normal loading.
- Failure of the radial gate under seismic loading. This candidate PFM was identified and ruled out as a PFM because it does not lead to an uncontrolled release of the reservoir and does not result in significant adverse consequences. The normal reservoir water surface is below the top of the concrete ogee section and water under normal loading is never on the upstream surface of the gate. Failure of the gate under seismic loading would not release the reservoir. (Note: Under certain circumstances this PFM might end up not being ruled out if you consider the possible consequences that could result due to the time to repair the gate and if it would be required for use prior to being repaired.)
- Liquefaction of the foundation soils under seismic loading. This candidate PFM was identified and ruled out as a PFM after it was discovered from the construction records that all the foundation soil material was excavated to bedrock prior to construction of the embankment. No foundation soils exist below the embankment, therefore this PFM is not physically possible.

In some cases, it may not be possible to determine if the PFM is physically possible due to insufficient information. In that case additional information gathering, investigations, studies, etc. may be necessary to further evaluate the PFM. Increased monitoring may be an appropriate interim risk management activity while information is being collected.

The third screening factor is intended to separate out those PFMs that are considered negligible as defined below. So, if the answer to question 3 is yes, then the candidate PFM is considered to be clearly negligible and the PFM is excluded from further consideration because even though the PFM may be physically possible, it is clearly so remote that the likelihood of failure is negligible.

So remote as to be considered negligible:

- Less likely than unlikely or very unlikely
- The likelihood of the PFM leading to failure is so minute so as not to be considered credible
- In quantitative terms, an annual frequency less than 1:10,000,000
- Confidently would not plot on a Level 2 risk matrix

The justification for the PFM is documented in the report. In most cases monitoring is likely not warranted for these PFMs. Just because a PFM is clearly negligible does not mean that it should not be re-evaluated under each subsequent PFMA. Additional

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methods or information may have come to light since the last review that could indicate a closer look is warranted.

The following is an example justification, “The chance of a major rain storm occurring in the upstream basin at a time when freezing temperatures at the site prevent the spillway gates from opening is considered to be extremely remote, since temperatures in the drainage basin are consistently much lower than those at the dam. Although concerns were expressed regarding this issue in the Eighth Part 12D Report, the team decided that dam overtopping erosion resulting from this condition is so remote as to be considered negligible.”

Additional example justifications are provided in Appendix G.

Candidate PFMs that are not considered ‘ruled out’, ‘insufficient information’, or ‘clearly negligible’ PFMs are considered credible PFMs. These PFMs are further subdivided by the final PFM screening factor by evaluating if the credible PFM is in progress or imminent. If the PFM has initiated and is in progress or is imminent, then urgent or emergency actions may be warranted. These PFMs are considered ‘urgent’ PFMs. Increased monitoring or other interim risk reduction actions may be warranted while further studies and engineering evaluations are undergoing to evaluate this PFM.

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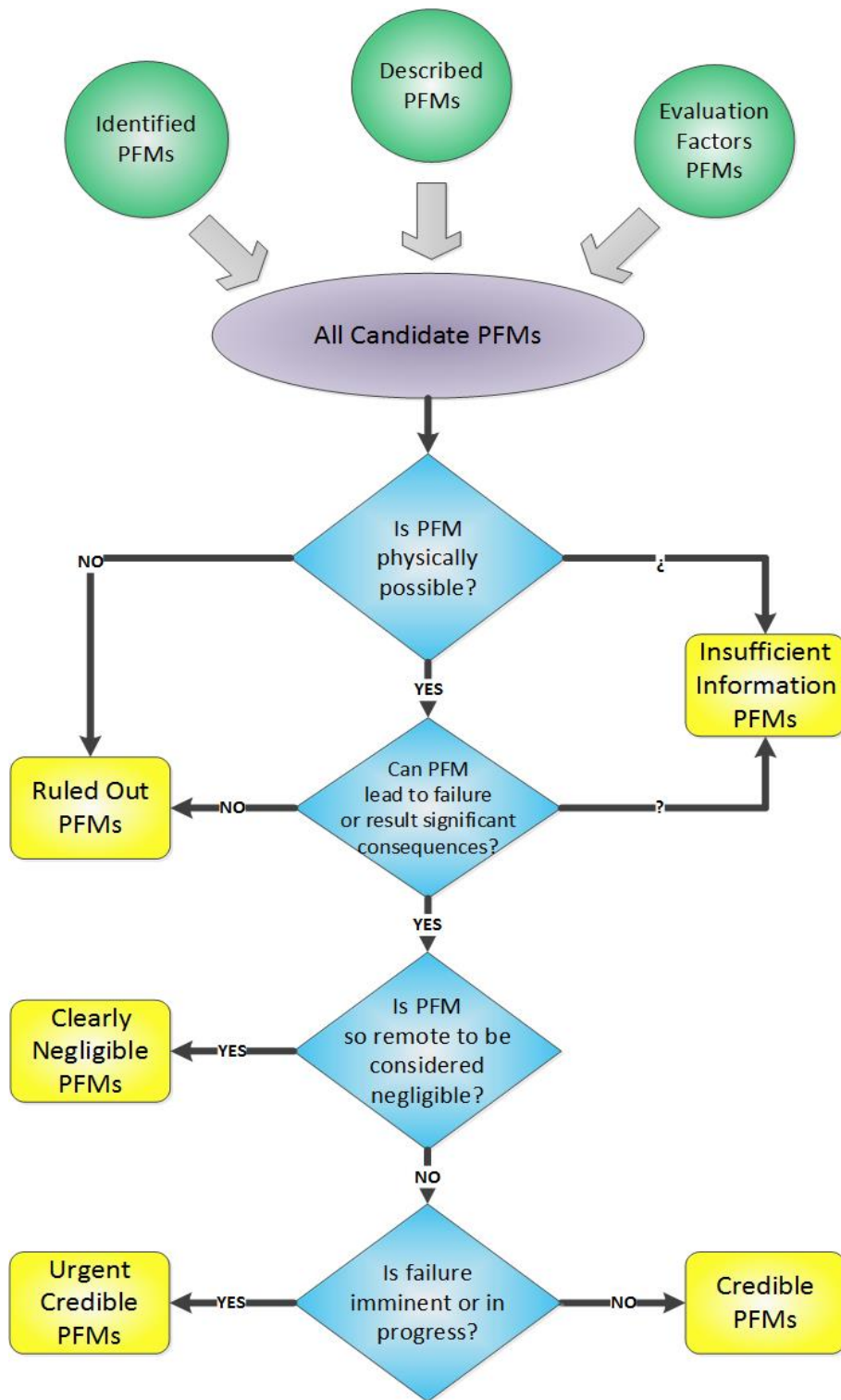


Figure 1: Potential Failure Mode Screening Process

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17-4.7.9 Disposition of Potential Failure Modes

A summary of the disposition (urgent, credible, clearly negligible, etc.) of all the PFMs evaluated during the PFMA shall be compiled into a table. The PFMA team should review the disposition of the PFMs to verify the proper disposition or revise to a proper disposition. The following are typical ‘next steps’ for each of the standard PFM dispositions:

Urgent: Urgent PFMs should be carried forward into the identification of potential dam safety management activities (discussed in the next section) to identify potential immediate risk reduction measures and follow-up activities. Within seven days of identifying an urgent PFM in a PFMA session the licensee must contact the appropriate FERC Regional Office to discuss the development of a plan and schedule to address the urgent PFM.

Credible: If the PFMA is not conducted as part of a risk analysis, then carry the PFM forward to identify and document potential dam safety management activities. If the PFMA is conducted as part of a risk analysis, then the credible PFM is carried into the risk analysis and a risk estimate is developed. After the risk has been estimated (semi-quantitatively or quantitatively), then the PFM is carried forward to identify and document potential dam safety management activities.

Insufficient information: These PFMs are carried forward to identify and document potential dam safety management activities with a focus on potential follow-up activities that could better define and evaluate the PFM.

Clearly Negligible: For clearly negligible PFMs, ensure the written justification of the disposition is proper and appropriately documented. Typically, no further action is required for these PFMs (i.e., not carried forward to identify potential dam safety management activities). In some cases, monitoring or inspection actions may be identified and documented as a means to continue to exclude the PFM from further study.

Ruled out: For ruled out PFMs, ensure the written justification of the disposition is proper and appropriately documented. Typically, no further action is required.

17-4.7.10 Potential Dam Safety Management Activities**17-4.7.10.1 General**

After PFMs have been screened, potential dam safety management activities should be discussed and documented for each urgent, credible, and insufficient information PFMs. These dam safety management activities include:

- Potential Risk Reduction Measures,

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- Inspections,
- Surveillance and Monitoring,
- Emergency Action Plan,
- Follow-up Studies, and
- Other.

Each of these are discussed in more detail in the following sections.

17-4.7.10.2 Potential Risk Reduction Measures

Potential risk reduction measures should be considered and documented for each credible PFM. These risk reduction measures should consider both temporary (interim) or permanent measures as well as structural and non-structural measures. Examples of interim non-structural measures include:

- Reservoir restrictions or change in reservoir operations.
- Stockpiling emergency materials, e.g., rock, sand, sand bags, emergency bulkheads, lighting plants, or other operating equipment, etc.
- Improved and/or increased inspection and monitoring to detect evidence of worsening conditions to provide an earlier warning.
- Identify instrumentation/monitoring “triggers” or threshold pools that would initiate more urgent monitoring or emergency response.
- Installation of early warning systems.

Examples of interim and permanent structural measures include:

- Isolate problem area (e.g., cofferdam around problem monolith(s) or other project feature).
- Improve seepage collection system.
- Lower the spillway crest to aid in prevention of failure.
- Increase spillway capacity/construct another spillway.
- Strengthen weak areas (e.g., upstream or downstream blanket to cut off/slow seepage; install tie-backs/anchors; and install additional buttresses).
- Construct stability berm.
- Increase dam height or construct parapet wall.
- Increase outlet discharge capability such as by installing temporary siphon(s).

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- Increase erosion protection where necessary.

17-4.7.10.3 Inspections

The results of the PFM discussions should provide additional information and insights to the routine and special dam safety inspections. In performing dam safety inspections, the inspection should include a focused observation and evaluation that addresses each significant PFM with an emphasis on the observations/ information that would support or refute early detection of the potential failure mode.

The PFM discussions should also inform such factors as:

- Frequency of inspections
 - Is the annual inspection frequency adequate to capture observations needed to determine if a PFM is active or not?
 - If not, what frequency is needed?
- When inspections should be performed
 - Time of the year (winter when ice loading is greatest?)
 - Event (beginning of irrigation season?)
 - Reservoir elevation stage/duration (when reservoir fills above a certain elevation? Or when the reservoir has been full for more than 3 months?)
- Technical discipline experts accompanying on inspection
 - Structural engineer or gate expert
 - Mechanical, electrical, or controls engineer
 - Geotechnical engineer
 - Engineering geologist
 - Others
- Need for special inspections
 - Confined space of tunnels, adits, manholes, etc.
 - Gate inspection
 - Rope access
 - Underwater
 - Other

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As is the case with any dam safety inspection, what you don't see may be as important as what you do see. The absence of or significant change of previously-observed conditions should be noted just as the presence of a new condition. For example:

- Seepage not present when it has been historically observed for similar reservoir elevations.
- Not being able to observe seepage exit location due to vegetation obscuring the exit location or the exit (based on the PFM description) is located in a submerged part of the tailrace.

17-4.7.10.4 Surveillance and Monitoring

Each credible PFM shall be reviewed to determine whether current visual surveillance or instrument monitoring contained in the project Dam Safety Surveillance and Monitoring Plan (DSSMP) is adequate to detect the onset of the potential failure mode or the onset of conditions that may contribute to or "allow" development of the PFM. Any relevant comments relating historic and current performance indicators to identified PFMs should also be captured. To facilitate development of DSSMPs, the PFMA team should include any comments and discussions on these items as appropriate for each credible PFM identified:

1. The type and frequency of inspections (visual surveillance requirements) should be evaluated to address the identified PFMs. This item may include the recommendation of developing customized checklists for the dam. (The nature and content of the checklist, if recommended, is developed by the owner. The checklist should identify specific visual clues that may indicate a suspected PFM has activated, and the checklist should provide instructions as to what step(s) should be taken once a clue is observed).
2. The current instrumentation and visual surveillance program should be critiqued. It should be determined if the existing instrumentation is operating properly and that the readings can be relied upon. In some cases, instruments may be obsolete and serve no purpose in monitoring for the development of a PFM. In other cases, additional instrumentation or visual surveillance may be needed to monitor for a potential failure mode development.
3. Reporting requirements should be reviewed. Action limits may need to be established for some of the instruments and procedures developed for reporting variations in instrumentation readings. As a minimum, annual engineering review, evaluation and reporting of the instrumentation data is required.
4. In some cases additional analyses or investigations may be required to fully evaluate the appropriate surveillance and monitoring activities for a particular

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PFM. The PFMA team should identify what information, analyses, or investigations might be needed to accomplish this effort.

5. If enhancements to the monitoring or visual surveillance are identified by the PFMA process then priorities for improvement in the DSSMP should be discussed, and appropriate recommendations and schedules provided in the Findings and Recommendations Section of the report.

The following questions should be considered in providing PFM-specific monitoring factors:

- For each PFM what would be an indicator of this PFM actually occurring?
 - (You want to catch it at the earliest possible opportunity so action can be taken.)
- Where would I look for signs?
- What would I use to help me detect it?

The PFM pathway should be evaluated from the initiation location to the breach location to determine possible locations for detection that the PFM is active or to monitor the conditions that might initiate the PFM.

In evaluating existing instrumentation in support of evaluating PFMs, the following questions should be considered:

- Does the existing instrumentation and monitoring plan adequately capture this PFM?
 - Right location?
 - Right equipment?
 - Right frequency of reading?
 - Sufficiently reliable (i.e., no history of large gaps in data)?
- If not, what type and location of instrumentation is needed to detect PFM?

Keep in mind the following:

- Existing instruments might not be in the location to monitor/detect PFM.
- Existing instruments might not be installed at the correct depth to monitor/detect PFM.
- There might not be enough or correct spacing of instruments to monitor/detect PFM.

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- Existing instruments might not be currently measured at proper time or frequency to monitor/detect PFM.
- A malfunctioning instrument may not be able to monitor/detect the PFM.

Surveillance and monitoring opportunities should also be considered for clearly negligible, urgent, and insufficient information PFMs where surveillance and monitoring activities are determined to be of benefit.

Additional surveillance and monitoring information can be found in Chapter 9 of the FERC Engineering Guidelines.

17-4.7.10.5 Emergency Action Plan

Each credible PFM shall be reviewed to determine if specific or unique concerns exist that could potentially affect breach assumptions, inundation findings, or other items that potentially impact the time available for warning, notification, or evacuation. Items that impact breach development time, breach dimensions, warning time, inundation characteristics, etc. must be considered and documented.

17-4.7.10.6 Follow-up Studies

Each credible PFM shall be reviewed to determine if specific follow-up studies could be considered in better evaluating the significance of the PFM. Follow-up studies should be identified that are aimed to provide additional information and analyses to reduce the uncertainties identified for each PFM. As much as possible, specific information or analyses should be identified and documented to focus the follow-up studies. The team should consider what specific additional information would reduce the uncertainty and increase the confidence in evaluating the disposition of the PFM. For example, suggested follow-up studies might include:

- Gather additional samples of embankment zone 1 and 2 and perform gradation analysis on the samples. Perform filter compatibility analyses of these materials to assist in the evaluation of internal erosion.
- Perform a structural analysis of the spillway piers to evaluate their stability and predict their performance under seismic loads up to and including a 1:50,000 event.
- Investigate potential alternatives to supply back-up power to the spillway gate hoists.
- Evaluate the potential effectiveness of installing an early warning system for a failure of the saddle dam.

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Follow-up studies should also be identified for ‘insufficient information’ PFMs. Specific information or studies should be identified that would provide the information needed to adequately evaluate whether the PFM is credible or not.

17-4.7.10.7 Other Information

Any other pertinent information for each PFM should also be captured that may not relate to the sections described above. This may include information the licensee or dam owner may want to identify or track for their use.

17-4.7.11 Close-out Activities

At the end of the PFMA session, the facilitator should ask the participants to reflect on what they learned during the PFMA process. After a short break for the team members to collect their thoughts, the facilitator should ask the participants to state what were the Major Findings and Understandings (MFU) they gained during the PFMA session. Typically, this is done by going around the room and asking each participant to provide a MFU and then starting again with the first person until all participants have had the opportunity to express their findings. MFUs may relate directly to a PFM or may reflect a more general understanding about the dam or the PFMA process.

If any MFU describes a serious dam safety issue, this should be immediately brought to the attention of the FERC-D2SI Regional Office.

The “Major Findings and Understandings” should be discussed and documented at the end of the session. The items noted during the session are typically abbreviated and should accurately reflect what the individual participants stated as their major finding or understanding gained during the session. Where the MFU relates to a PFM, a brief discussion (3 to 5 sentences) relating the MFU to the PFM should be prepared and included with the MFU. Appendix H provides an example of a write up of major findings and understandings resulting from a PFMA.

17-4.8 Documentation of the Potential Failure Mode Analysis

For the knowledge gained, information obtained, and results achieved in the PFMA to be effectively used, the documentation of the work must:

- Be done promptly;
- Be definitive in describing the identified PFM;
- Be complete in recording factors considered relative to the viability of each PFM considered;
- Discuss possible risk reduction actions identified relative to each credible PFM (e.g., surveillance and/or monitoring, investigations, remediation activities); and

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- Clearly relay the major findings and understandings achieved as a result of the process.

Depending on the purpose of the PFMA, a separate, stand-alone PFMA report may be required, or when the PFMA is performed as part of a risk analysis, the PFMA portion of the work can be summarized in a separate chapter(s) of the risk analysis report. An example of a completed PFM write-up using the PFM template is included in Appendix I.

However it is documented, the PFMA document must include a description of each PFM considered and referencing key adverse/likely and positive/not likely factors, identifying any suggested visual surveillance or instrumental monitoring, describing consequences of potential failure and site-specific conditions or factors related to consequences and noting any potential actions identified (information inquiries, investigations, analyses or risk reduction opportunities). The PFM should be presented pictorially whenever possible. The write up should include a brief statement as to the adequacy of the project documentation and overall quality of the data that formed the basis of the PFMA. If prepared technical presentations of new material, not contained in the record documents, were made by consultants during the course of the PFMA, their presentation(s) should be documented in, or appended to, the PFMA report.

Appendix J provides an example outline for documenting the PFMA as a stand-alone document. This outline is designed to take advantage of the information collected on the PFM template or flip charts during the PFMA session in order to make the documentation process simple, fast and effective. The report should also include a summary table of credible PFMs, similar to Table 2.

Preparation of a listing of the documents gathered by the owner for review, in advance of the review, has been found to serve as a valuable tool for the reviewers to use to assure that they have seen all the materials collected and should be included in the PFMA report.

All reference material available and used by the team in the PFMA is recorded and key items of data and information are included in an appendix to the PFMA report for ready reference. Photos of past conditions or photos of current conditions, elucidating key information about a PFM, are highly recommended for inclusion in the body or appendix of the PFMA report. The PFMA appendix should be concise.

It is not the intent of the PFMA appendix to include all of the reports and documents that comprise the “background material” that was read and used in the discussions. However, often a key paragraph, photograph, test results or other documentation is found in a document that elucidates whether or not a PFM is more or less likely, and it is valuable to include that specific information in the PFMA appendix. (e.g. photographs may show planar joints, or shotcrete treatment of the foundation, or shear keys; statements might be made by a Board of Consultants about the condition of

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the filter material, tests results might provide definitive information that counters what has been stated in opinions/observations in construction reports; erosion or the lack of it may have been documented following a flood). These specific pages, photos, quotations or data that provide direct support to the “likely” or “not likely” aspects of a PFM should be reproduced and included in the appendix to the PFMA report.

The report should state whether the findings are a consensus of the team. If not a consensus, the differences of opinion and reasons therefore should be documented in the report findings.

The report should include an assessment of the overall adequacy, completeness and relevance of background data that was furnished for the PFMA, identify any discrepancies, inaccuracies, or deficiencies in the records, and determine if adequate information was provided to conduct the PFMA. The report should document any potential shortcomings in the PFMA due to lack of sufficient data for consideration of specific PFMs.

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17-5 POTENTIAL FAILURE MODE ANALYSIS PROVISIONS**17-5.1 General**

Unless otherwise provided in the FERC Engineering Guidelines, the time frame for completing the documentation of the PFMA is provided in the Table below. A notable exception to this schedule is when the PFMA is completed by the Part 12D Independent Consultant Team, in which case the revised PFMA report is typically submitted in conjunction with the Part 12D Report.

Action	Schedule
Prepare draft of PFMA report and submit for PFMA team review	Within 30 days of the PFMA session
Draft PFMA report review complete	Within 60 days of the PFMA session
Revised PFMA report prepared and submitted to FERC-RO	Within 90 days of the PFMA session

When a PFMA is performed in conjunction with a risk analysis, the documentation of the PFMA should follow the requirements of the documentation of the risk analysis. Refer to Chapter 18 of the FERC Engineering Guidelines for more information.

17-5.2 Updating a Potential Failure Mode Analysis

It is possible that new information could come to light in the interim between the regularly scheduled PFMAs. In this case, the licensee would prepare a supplemental PFM description and provide it for distribution to the STID holders as described above. In this way, the PFMA report as maintained in Section 1 of the STID is a living document that will document the progression and variety of analyses and professional opinions that went into the current updated/appended PFMA report findings.

It is important to retain the PFMA report as prepared so that the findings, discussions and thought processes of the PFMA session are retained for future evaluations.

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Table 1: Notur Dam - Summary of Candidate Potential Failure Modes

PFM #	Structure/Feature	Loading Condition	Failure Mechanism	PFM Description	Disposition
ND-MD-N-IE-01	Main Dam	Normal	Internal Erosion	Concentrated leak erosion of embankment materials along left spillway training wall resulting in erosion of embankment materials and uncontrolled release of reservoir.	Clearly Negligible
ND-MD-N-IE-02	Main Dam	Normal	Internal Erosion	Concentrated leak erosion of poorly compacted zone 1 core material into and through downstream shell materials	Clearly Negligible
ND-MD-N-IE-03	Main Dam	Normal	Internal Erosion	Concentrated leak erosion along transverse cracks due to differential settlement of the embankment caused by soft foundation soils	Credible
ND-MD-N-IE-04	Main Dam	Normal	Internal Erosion	Concentrated leak erosion along transverse cracks due to differential settlement caused by abrupt foundation step in the left abutment	Credible
ND-MD-N-IE-05	Main Dam	Normal	Internal Erosion	Backward erosion piping of embankment materials into a defect in the toe drain pipe	Credible
ND-MD-N-IE-06	Main Dam	Normal	Internal Erosion	Backward erosion piping of Zone 1 core materials into void space in foundation open work gravels downstream of core trench.	Credible
ND-MD-N-IE-07	Main Dam	Normal	Internal Erosion	Backward erosion piping of continuous foundation sand layer in lower left abutment.	Credible
ND-MD-N-SS-01	Main Dam	Normal	Slope Stability	Weak layers within the embankment that may have resulted from original construction causes slope stability failure and uncontrolled release of reservoir.	Clearly Negligible
ND-MD-N-SS-02	Main Dam	Normal	Slope Stability	Toe drains clog/become ineffective, causing a rise in the phreatic surface that result in progressive slope failure, breaching of the crest, overtopping, and uncontrolled release of reservoir.	Credible
ND-MD-N-E-01	Main Dam	Normal	Erosion	Upstream wave action due to high winds causes significant erosion of the embankment upstream slope, leading to eventual breaching of the crest. This allows flow through the embankment, erosion of the embankment and eventual uncontrolled release of reservoir.	Clearly Negligible
ND-MD-F-O-01	Main Dam	Flood	Overtopping	Low areas at the left and right ends of the embankment crest are overtopped during a high flow event causing massive erosion, embankment failure, and uncontrolled release of reservoir.	Credible
ND-MD-F-E-01	Main Dam	Flood	Erosion	Upstream wave action due to high winds causes significant erosion of the embankment upstream slope, leading to eventual breaching of the crest. This allows flow through the embankment, erosion of the embankment and eventual uncontrolled release of reservoir.	Clearly Negligible
ND-MD-F-IE-01	Main Dam	Flood	Internal Erosion	Concentrated leak erosion of embankment materials along left spillway training wall resulting in erosion of embankment materials and uncontrolled release of reservoir.	Credible
ND-MD-F-IE-02	Main Dam	Flood	Internal Erosion	Concentrated leak erosion of poorly compacted zone 1 core material into and through downstream shell materials	Clearly Negligible
ND-MD-F-IE-03	Main Dam	Flood	Internal Erosion	Concentrated leak erosion along transverse cracks due to differential settlement of the embankment caused by soft foundation soils	Credible
ND-MD-F-IE-04	Main Dam	Flood	Internal Erosion	Concentrated leak erosion along transverse cracks due to differential settlement caused by abrupt foundation step in the left abutment	Credible
ND-MD-F-IE-05	Main Dam	Flood	Internal Erosion	Backward erosion piping of embankment materials into a defect in the toe drain pipe	Credible
ND-MD-F-IE-06	Main Dam	Flood	Internal Erosion	Backward erosion piping of Zone 1 core materials into void space in foundation open work gravels downstream of core trench.	Clearly Negligible
ND-MD-F-IE-07	Main Dam	Flood	Internal Erosion	Backward erosion piping of continuous foundation sand layer in lower left abutment.	Clearly Negligible
ND-MD-F-IE-08	Main Dam	Flood	Internal Erosion	Concentrated leak erosion occurs in upper part of zone 1 core above normal pool elevation due to transverse cracking.	Credible
ND-MD-F-SS-01	Main Dam	Flood	Slope Stability	Weak layers within the embankment that may have resulted from original construction causes slope stability failure and uncontrolled release of reservoir.	Clearly Negligible
ND-MD-F-SS-02	Main Dam	Flood	Slope Stability	High phreatic surface in the embankment leads to instability of the downstream embankment slope.	Credible
ND-MD-EQ-LQ-01	Main Dam	Seismic	Liquefaction	Liquefaction of the low density foundation sand occurs resulting in slope failure and uncontrolled release of the reservoir.	Clearly Negligible
ND-MD-EQ-IE-01	Main Dam	Seismic	Internal Erosion	Concentrated leak erosion occurs in zone 1 core due to seismically-induced transverse cracking.	Credible
ND-SS-F-SS-01	Service Spillway	Flood	Sliding Stability	The spillway gate structure fails by sliding on a weak layer in the foundation	Credible
ND-SS-F-SF-01	Service Spillway	Flood	Structural Failure	Plugging of spillway underdrains lead to increased uplift pressures resulting in failure of the concrete slab. The failed slab leads to erosion of the foundation materials and headcutting toward the crest structure. The erosion continues and undermines the crest structure resulting in sliding or overturning of the structure and release of the reservoir.	Credible
ND-SS-F-SF-02	Service Spillway	Flood	Structural Failure	Stagnation pressures at offset transverse spillway construction joints overcomes resisting forces and fails concrete spillway slab. The failed slab leads to erosion of the foundation materials and headcutting toward the crest structure. The erosion continues and undermines the crest structure resulting in sliding or overturning of the structure and release of the reservoir.	Clearly Negligible
ND-SS-F-E-01	Service Spillway	Flood	Erosion	Overtopping of spillway chute walls leads to erosion of wall backfill and adjacent embankment materials. Continued erosion leads to overturning of spillway walls and continued erosion of embankment materials. Unchecked, the erosion leads to destabilization of the embankment and failure resulting in loss of the reservoir.	Clearly Negligible
ND-SS-F-GF-01	Service Spillway	Flood	Gate Failure	One or more spillway gates cannot be opened, resulting in overtopping of the embankment, erosion, embankment failure and uncontrolled release of reservoir.	Credible
ND-SS-F-GF-02	Service Spillway	Flood	Gate Failure	Debris (logs, bogs, ice flows) clogs one or more spillway gates opening during high flows, resulting in inability to pass flood flows, causing overtopping of embankment, massive erosion, failure and uncontrolled release of reservoir.	Credible
ND-SS-F-GF-03	Service Spillway	Flood	Gate Failure	Loss of power during a high flow event prevents operation of gates, resulting in overtopping failure and uncontrolled release of reservoir.	Credible
ND-SS-F-GF-04	Service Spillway	Flood	Gate Failure	Spillway gates become overstressed resulting in structural failure (buckling) and loss of gate resulting in uncontrolled release of the reservoir	Clearly Negligible

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PFM #	Structure/ Feature	Loading Condition	Failure Mechanism	PFM Description	Disposition
ND-SS-F-O-01	Service Spillway	Flood	Other	Loss of communication during flood event results in delayed response or non-response to site, resulting in embankment overtopping failure and uncontrolled release of reservoir.	Credible
ND-SS-F-O-02	Service Spillway	Flood	Other	Lack of resources to respond during the PMF (or other large flood) results in inability to attain full discharge capacity, resulting in overtopping of the main dam, failure, and uncontrolled release of reservoir.	Credible
ND-SS-EQ-SF-01	Service Spillway	Seismic	Structural Failure	Transverse shaking results in overstressing of spillway piers, cracking of the concrete, loss of strength, and failure of the piers resulting in uncontrolled release of the reservoir.	Clearly Negligible
ND-SS-EQ-SF-02	Service Spillway	Seismic	Structural Failure	The spillway training walls become overstressed and fail, causing erosion and failure of the adjacent embankment, resulting in uncontrolled release of reservoir.	Clearly Negligible
ND-SS-EQ-GF-02	Service Spillway	Seismic	Gate Failure	Spillway gates become overstressed resulting in structural failure (buckling) and loss of gate resulting in uncontrolled release of the reservoir	Credible
ND-ES-F-E-01	Emergency Spillway	Flood	Erosion	Flows over the emergency spillway erode the soil and rock chute floor and headcut upstream to the crest structure. The crest structure is undermined and fails by sliding or overturning and leads to a breach of the reservoir.	Credible
ND-OW-N-GF-01	Outlet Works	Normal	Gate Failure	An outlet gate fails in the open position resulting in uncontrolled release of reservoir.	Credible
ND-OW-F-GF-01	Outlet Works	Flood	Gate Failure	An outlet gate fails in the open position resulting in uncontrolled release of reservoir.	Credible
ND-OW-F-E-01	Outlet Works	Flood	Erosion	Large releases through the outlet works results in deep scour of the plunge pool. The depth of erosion daylight a highly permeable and erodible silty sand layer in the foundation. High foundation pressures initiate backward erosion piping. Unobserved, erosion continues and advances upstream. A thick overlying foundation clay forms a roof and internal erosion continues until the reservoir is reached and results in an uncontrolled release of the reservoir through an enlarged piping channel in the foundation.	Ruled-Out
ND-RR-N-SS-01	Reservoir Rim	Normal	Slope Stability	Landslide on reservoir rim fails into the reservoir resulting in a wave(s) that overtop the embankment and erode the crest and downstream slope resulting in breach of the reservoir.	Ruled-Out
ND-RR-F-SS-01	Reservoir Rim	Flood	Slope Stability	Landslide on reservoir rim fails into the reservoir resulting in a wave(s) that overtop the embankment and erode the crest and downstream slope resulting in breach of the reservoir.	Credible
ND-RR-EQ-SS-01	Reservoir Rim	Seismic	Slope Stability	Landslide on reservoir rim fails into the reservoir resulting in a wave(s) that overtop the embankment and erode the crest and downstream slope resulting in breach of the reservoir.	Ruled-Out

Notes:

- The organization of this table by feature, loading condition, and failure mechanism, in that order, is just one way organizing this information. Some have found that organizing this information by feature, failure mechanism, and then loading condition is also helpful.
- The PFM number identification is just one suggested example. In the example, the PFM numbering uses the following designation:
ND-MD-N-IE-01, where
ND – abbreviation for the dam name (this is helpful if the owner has more than one dam in their inventory)
MD – abbreviation for the feature, MD = main dam, SS = service spillway, RR = reservoir rim, etc.
N – abbreviation for loading condition, N = normal load, F = flood load, EQ = seismic load
SS – abbreviation for failure mechanism, IE = internal erosion, SS = slope stability, GF = gate failure, etc.
01 - the number designation used in series

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Table 2: Notur Dam - Summary of Credible Potential Failure Modes

PFM #	Structure/ Feature	Loading Condition	Failure Mechanism	PFM Description	Inspection Opportunities	Monitoring Opportunities	Potential Risk Reduction Measures	Other
ND-MD-N-IE-03	Main Dam	Normal	Internal Erosion	Concentrated leak erosion along transverse cracks due to differential settlement of the embankment caused by soft foundation soils	Look for potential transverse cracks and seepage between sta 7+30 and 10+20 where soft foundation soils are present	Weir No. 2 and right toe drain pipe discharge collect seepage flows from this area.	Lower reservoir Construct filter Construct barrier wall	
ND-MD-N-IE-04	Main Dam	Normal	Internal Erosion	Concentrated leak erosion along transverse cracks due to differential settlement caused by abrupt foundation step in the left abutment	Look for potential transverse cracks and seepage near sta 2+30 on left abutment in vicinity of abrupt foundation step	No additional instrumentation required at this time.	Lower reservoir Construct filter Construct barrier wall	
ND-MD-N-IE-05	Main Dam	Normal	Internal Erosion	Backward erosion piping of embankment materials into a defect in the toe drain pipe	Continue to inspect and measure toe drain discharges	Consider performing a video inspection of toe drain pipes.	Repair damaged toe drain pipe	
ND-MD-N-IE-06	Main Dam	Normal	Internal Erosion	Backward erosion piping of Zone 1 core materials into void space in foundation open work gravels downstream of core trench.	Likely no direct opportunity for visual inspection of this PFM since material would be hidden in subsurface materials. Look for depressions on downstream slope of embankment for progression of failure mode.	Monitor piezometers in vicinity for changes in water levels.		
ND-MD-N-IE-07	Main Dam	Normal	Internal Erosion	Backward erosion piping of continuous foundation sand layer in lower left abutment.	Inspect lower left abutment groin for signs of seepage and transport of fine sandy materials.	Consider installing piezometers in foundation sand layer to monitor changes in phreatic surface.	Lower reservoir Construct filter	
ND-MD-N-SS-02	Main Dam	Normal	Slope Stability	Toe drains clog/become ineffective, causing a rise in the phreatic surface that result in progressive slope failure, breaching of the crest, overtopping, and uncontrolled release of reservoir.	Inspect toe drain outfalls for changes in quantity. Check for signs of slope instability on downstream slope.	Periodic video inspection of toe drains to determine condition. Measure downstream piezometers for changes in pressure.		
ND-MD-F-O-01	Main Dam	Flood	Overtopping	Low areas at the left and right ends of the embankment crest are overtopped during a high flow event causing massive erosion, embankment failure, and uncontrolled release of reservoir.	Inspect areas for adequacy of erosion protection and vegetation control.	Periodic survey of crest elevations.	Place sand bags Construct parapet wall	Once overtopped, erosion of embankment is expected to be very fast.
ND-MD-F-IE-01	Main Dam	Flood	Internal Erosion	Concentrated leak erosion of embankment materials along left spillway training wall resulting in erosion of embankment materials and uncontrolled release of reservoir.	Increase frequency of inspection when reservoir rises above elev. 498	Consider constructing a drainage channel to convey seepage downstream of the contact and installing a seepage weir to measure seepage	Construct filter	
ND-MD-F-IE-03	Main Dam	Flood	Internal Erosion	Concentrated leak erosion along transverse cracks due to differential settlement of the embankment caused by soft foundation soils	Similar to ND-MD-N-IE-03	Similar to ND-MD-N-IE-03	Similar to ND-MD-N-IE-03	
ND-MD-F-IE-04	Main Dam	Flood	Internal Erosion	Concentrated leak erosion along transverse cracks due to differential settlement caused by abrupt foundation step in the left abutment	Similar to ND-MD-N-IE-04	Similar to ND-MD-N-IE-04	Similar to ND-MD-N-IE-04	
ND-MD-F-IE-05	Main Dam	Flood	Internal Erosion	Backward erosion piping of embankment materials into a defect in the toe drain pipe	Similar to ND-MD-N-IE-05	Similar to ND-MD-N-IE-05	Similar to ND-MD-N-IE-05	

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PFM #	Structure/ Feature	Loading Condition	Failure Mechanism	PFM Description	Inspection Opportunities	Monitoring Opportunities	Potential Risk Reduction Measures	Other
ND-MD-F-IE-08	Main Dam	Flood	Internal Erosion	Concentrated leak erosion occurs in upper part of zone 1 core above normal pool elevation due to transverse cracking.	Increase frequency of inspection when reservoir rises above elev. 498		Lower reservoir Construct filter Construct barrier wall	
ND-MD-F-SS-02	Main Dam	Flood	Slope Stability	High phreatic surface in the embankment leads to instability of the downstream embankment slope.	Inspect downstream slope for signs of instability (cracking, buldges, offsets, etc.)	Continue to monitor existing piezometers in the downstream slope of the embankment. Continue to monitor survey points installed along dam crest and downstream slope of embankment. Consider installing additional piezometers in critical areas not currently covered by existing piezometers.	Lower reservoir Construct stability berm Provide additional drainage	
ND-MD-EQ-IE-01	Main Dam	Seismic	Internal Erosion	Concentrated leak erosion occurs in zone 1 core due to seismically-induced transverse cracking.	Continue post-seismic inspections until reservoir is lowered	Monitor piezometers after the seismic event.	Lower reservoir after seismic event	
ND-SS-F-SS-01	Service Spillway	Flood	Sliding Stability	The spillway gate structure fails by sliding on a weak layer in the foundation.	Inspect gate structure for signs of distress and offset	Continue to monitor structural survey points regularly	Consider post-tensioned anchoring the gate structure	
ND-SS-F-SF-01	Service Spillway	Flood	Structural Failure	Plugging of spillway underdrains lead to increased uplift pressures resulting in failure of the concrete slab. The failed slab leads to erosion of the foundation materials and headcutting toward the crest structure. The erosion continues and undermines the crest structure resulting in sliding or overturning of the structure and release of the reservoir.	Continue to inspect condition of spillway underdrains, including measuring drain flows	Consider installing piezometers below chute slab to monitor uplift.	Consider additional drainage or anchoring provisions.	
ND-SS-F-GF-01	Service Spillway	Flood	Gate Failure	One or more spillway gates cannot be opened, resulting in overtopping of the embankment, erosion, embankment failure and uncontrolled release of reservoir.	Continue monthly, annual, and 10-year inspection program of gates, mechanical, and electrical equipment for signs of distress.	Continue gate exercise program. Continue to monitor load tests.	Consider short-term and long-term replacement of gate features. Document gate maintenance and operating procedures. Consider acquiring backup replacement parts of critical components.	
ND-SS-F-GF-02	Service Spillway	Flood	Gate Failure	Debris (logs, bogs, ice flows) clogs one or more spillway gates opening during high flows, resulting in inability to pass flood flows, causing overtopping of embankment, erosion, failure and uncontrolled release of reservoir.	Continue daily, weekly, and monthly monitoring program of reservoir for signs of debris.		Consider installing a more robust debris barrier.	Consider further studies to better estimate debris loading under various flood loads.
ND-SS-F-GF-03	Service Spillway	Flood	Gate Failure	Loss of power during a high flow event prevents operation of gates, resulting in overtopping failure and uncontrolled release of reservoir.	Continue daily, weekly, and monthly inspection and testing of power supplies	Continue weekly, monthly, and annual maintenance and repair plans.	Document gate operating procedures for all available power supplies. Consider acquiring backup replacement parts of critical power components. Consider establishing additional redundant local backup power supply.	

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PFM #	Structure/ Feature	Loading Condition	Failure Mechanism	PFM Description	Inspection Opportunities	Monitoring Opportunities	Potential Risk Reduction Measures	Other
ND-SS-F-O-01	Service Spillway	Flood	Other	Loss of communication during flood event results in delayed response or non-response to site, resulting in embankment overtopping failure and uncontrolled release of reservoir.			Document communication plans and strategies for extreme events (flood, earthquake, etc.) Develop contingency plans and training of back-up personnel.	Consider a functional test of back-up communication equipment and protocols.
ND-SS-F-O-02	Service Spillway	Flood	Other	Lack of resources to respond during the PMF (or other large flood) results in inability to attain full discharge capacity, resulting in overtopping of the main dam, failure, and uncontrolled release of reservoir.			Consider evaluating staffing plan for extreme events. Consider training of back-up personnel. Establish a communication alert plan when forecast indicates high precipitation and runoff is expected.	
ND-SS-EQ-GF-02	Service Spillway	Seismic	Gate Failure	Spillway gates become overstressed resulting in structural failure (buckling) and loss of gate resulting in uncontrolled release of the reservoir	Continue monthly, annual, and 10-year inspection program of gates, mechanical, and electrical equipment for signs of distress.	Continue gate exercise program. Continue to monitor load tests.	Consider short-term and long-term replacement of gate features. Document gate maintenance and operating procedures. Consider acquiring backup replacement parts of critical components.	
ND-ES-F-E-01	Emergency Spillway	Flood	Erosion	Flows over the emergency spillway erode the soil and rock chute floor and headcut upstream to the crest structure. The crest structure is undermined and fails by sliding or overturning and leads to a breach of the reservoir.	Inspect condition of emergency spillway after all flows.	Perform baseline LiDAR survey of emergency spillway chute and downstream channel. Perform subsequent surveys after significant flow to compare to baseline.	Consider providing erosion protection to vulnerable (weaker) materials	Perform geologic mapping of chute and downstream channel and assess scour potential.
ND-OW-N-GF-01	Outlet Works	Normal	Gate Failure	An outlet gate fails in the open position resulting in uncontrolled release of reservoir.	Continue monthly, annual, and 10-year inspection program of gates, mechanical, and electrical equipment for signs of distress.	Continue gate exercise program.	Consider short-term and long-term replacement of gate features. Document gate maintenance and operating procedures. Consider acquiring backup replacement parts of critical components.	
ND-OW-F-GF-01	Outlet Works	Flood	Gate Failure	An outlet gate fails in the open position resulting in uncontrolled release of reservoir.	Similar to ND-0W-N-GF-01	Similar to ND-0W-N-GF-01	Similar to ND-0W-N-GF-01	
ND-RR-F-SS-01	Reservoir Rim	Flood	Slope Stability	Landslide on reservoir rim fails into the reservoir resulting in a wave(s) that overtop the embankment and erodes the crest and downstream slope resulting in breach of the reservoir.	Perform annual inspection of landslides within the reservoir rim	Consider installing monitoring equipment (survey and piezometers) on critical landslides and monitor with telemetry.	Consider installing an early warning system to notify of significant landslide movement.	Consider developing a landslide inventory map and hazard assessment of landslides within the reservoir.

APPENDIX 17-A: INFLUENCE OF HUMAN FACTORS

Appendix J of the Independent Forensic Team Report, Oroville Dam Spillway Incident, January 5, 2018 provides some excellent background on what the term ‘human factors’ involves, describes the human factor framework, and highlights some higher-level human factors that contributed to the incident. Select passages and text from that Appendix are summarized and reproduced in the sections below.

All tables and figures from "Human Factors in the Oroville Dam Spillway Incident", ASDSO Webinar by Irfan Alvi, Alvi Associates, Inc., August 2018.

1.0 BACKGROUND ON HUMAN FACTORS

The field of “human factors” considers how and why systems meet or do not meet performance expectations, with an emphasis on understanding and prevention of incidents and failures (including major incidents). The systems considered in human factors work typically include both human and physical aspects, and are sometimes referred to as “sociotechnical” systems.

The range of human factors which may be considered spans scales of individuals, groups, organizations, industries, and the broader social, economic, and political context. Accordingly, human factors involves application of social science and draws on knowledge from fields such as psychology, social psychology, sociology, cultural anthropology, management, economics, political science, and history. At the same time, because human factors approaches are often applied to physical systems, such as dams, specialist knowledge of these physical systems is also necessary. As a result, human factors is a highly interdisciplinary field.

The field of human factors has evolved and grown during the past few decades, and a variety of frameworks have been developed. These frameworks generally have overlapping aspects, but with some variety in their assumptions and the aspects they emphasize. Therefore, each framework has particular strengths and limitations. The literature on human factors is very extensive, and references [1 through 25] are a selected sample of the literature, which describe many human factors frameworks.

Human factors approaches have been extensively applied in fields such as aviation, nuclear power, chemical processing, and health care. The application of human factors approaches specifically to civil infrastructure, particularly dam safety, is more recent, with most of this work having occurred during the past decade. References [26 through 45] describe some of this work, with an emphasis on applications to dams.

2.0 HUMAN FACTORS FRAMEWORK

Additional information on general human factors framework can be found in the following references [35, 39, 40, 41, 42, and 45].

2.1 Key Observations and Assumptions

The human factors framework is based on the following observations regarding past failures of dams and other systems:

- Failures are typically preceded by interactions of physical and human factors which begin years or decades prior to the failure [7].
- The interactions among physical and human factors are often not simple and linear. Instead, they may be complex and involve nonlinear relationships, feedback loops, causes having multiple effects, effects having multiple causes, and a lack of distinct “root causes” or dominant contributing factors [5, 9, 14, 16, and 20].
- Interactions among physical and human factors usually generate “warning signs” which are not recognized, or not sufficiently acted upon, prior to failures [25].
- Physical processes deterministically follow physical laws, with no possibility of physical “mistakes.” Therefore, failures – in the sense of human intentions not being fulfilled – are fundamentally due to human factors, as a result of human efforts individually and collectively “falling short” in various ways. A story of why a failure happened therefore cannot be complete without reference to contributing human factors [7].
- A natural tendency is for systems to move towards disorder and failure, in line with the concept of increasing entropy in physics. Therefore, systems such as dams are typically not inherently “safe” [6], and continual human effort is needed to maintain order and prevent failure [3, 15, and 21].
- Systems such as dams, including the people involved in designing, building, operating, and managing them, tend to conservatively have numerous “barriers” which must be overcome for failures to occur [3 and 11]. This generally makes failures unlikely and results in very low overall failure rates. However, when dealing with a large number of systems, such as the approximately 90,000 dams in the United States, it can be expected that “unlikely” failures will sometimes occur, due to physical and human factors “lining up” in an adverse way that overcomes all barriers [3].

With these observations in mind, the propensity towards failure can be viewed as being determined by the balance of human factors which contribute to failure (“demand”) versus those which contribute to safety (“capacity”). Thus, applying a standard

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engineering metaphor, failure results when human factors demand on the system exceeds capacity, and safety results when capacity exceeds demand.

2.2 Primary Drivers of Failure

The human factors contributing to safety “demand,” and therefore the potential for failure, can generally be placed into three categories of primary drivers of failure:

- Pressure from non-safety goals [20] such as delivering water, generating power, reducing cost, meeting schedules, building and maintaining relationships, personal goals, and political goals.
- Human fallibility and limitations associated with misperception, faulty memory, ambiguity and vagueness in use of language, incompleteness of information, lack of knowledge, lack of expertise, unreliability of intuition, inaccuracy of models [46], cognitive biases operating subconsciously at the individual level [47 through 50] and group level [50 and 51], use of heuristic shortcuts [48], emotions, and fatigue.
- Complexity resulting from multiple system components having interactions which may involve nonlinearities, feedback loops, network effects, etc. Such interactions can result in large effects from small causes, including “tipping points” when thresholds are reached, and they make complex systems difficult to model, predict, and control [5, 20, and 52]. Complexity generally exacerbates the effects of human fallibility and limitations.

Pressure from non-safety goals	Human fallibility and limitations	Complexity
<ul style="list-style-type: none"> • Delivering water • Generating power • Reducing costs • Meeting schedules • Building and maintaining relationships • Personal goals • Political goals 	<ul style="list-style-type: none"> • Misperception and faulty memory • Ambiguity and vagueness in use of language • Limited information and knowledge • Limited skill and expertise • Cognitive biases and heuristics at individual and group levels • Unreliability of intuition and inaccuracy of models • Effects of emotions and fatigue 	<ul style="list-style-type: none"> • Large number of interacting system components • Interactions involving nonlinearities, feedback loops, and network effects • Large effects from small causes, including “tipping points” • Difficulties in system modeling, prediction, and control • Exacerbation of human fallibility and limitations

2.3 Human Error

The primary drivers of failure lead to various types of “human errors,” which can include categories such as “slips” (actions committed inadvertently), “lapses” (inadvertent inactions), and “mistakes” (intended actions with unintended outcomes, due to errors in

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thinking) [1 and 2]. In the context of dam safety, mistakes are the most common type of human errors that contribute to failures. “Violations” are also sometimes classified as a category of human errors, and involve situations in which there is deliberate non-compliance with rules and procedures, usually because the rules or procedures are viewed as unworkable in practice [1].

In general, with all categories of human errors, judgments regarding what constitutes “error” are usually made in retrospect and are subject to the pitfalls of hindsight bias (the tendency to overestimate how predictable an event was after the event has already occurred) and fundamental attribution bias (the tendency to attribute undesirable outcomes of others to them personally, while attributing our own undesirable outcomes to situational factors) [14]. Care must therefore be taken in forensic investigations to avoid readily assigning “blame” [53]. Instead, investigators must put themselves in the shoes of the people whose decisions and actions are being evaluated, recognizing that they faced pressures from their situational contexts, were inherently fallible and limited, and did not have the benefit of clear foresight when they made their decisions and took their actions [14]. Moreover, it must be recognized that factors beyond the control of an individual or group can sometimes result in generally “good” decisions and actions having undesirable outcomes, and generally “bad” decisions and actions sometimes having desirable outcomes; the role of “luck” cannot be entirely eliminated [54].

Based on these considerations, identification of “human errors” is not a sufficient endpoint for a forensic investigation, and assigning blame to individuals is often unreasonable and counterproductive [14]. Instead, identified human errors should be treated as prompts to investigate further and delve deeper, to understand the situational and contextual factors which contributed to those human errors [10, 13, 14, and 17]. That is the approach the IFT endeavored to take for this investigation.

2.4 Risk Management

With the above caveats regarding “human errors” in mind, human errors and the underlying primary drivers of failure noted in Section 2.2 often lead to inadequate risk management. There are three specific types of inadequacy in risk management due to human errors:

- Ignorance involves being insufficiently aware of risks. This may be due to aspects of human fallibility and limitations such as lack of information, inaccurate information, lack of knowledge and expertise, and unreliable intuition. Complexity can also contribute to ignorance.
- Complacency involves being sufficiently aware of risks, but being overly risk tolerant. This may be due to aspects of human fallibility and limitations such as fatigue, emotions, indifference, and optimism bias (“it won’t happen to me”). Pressure from non-safety goals can also contribute to complacency.

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- Overconfidence involves being sufficiently aware of risks, but overestimating ability to deal with them. This may be due to aspects of human fallibility and limitations such as inherent overconfidence bias, which results in overestimating knowledge, capabilities, and performance [48 to 50].

Effect	Definition	Drivers
Ignorance	Insufficiently aware of risks	<ul style="list-style-type: none"> • Human fallibility and limitations (perception, memory, information, knowledge, expertise, intuition, models, language, confirmation bias) • Complexity
Complacency	Sufficiently aware of risks, but overly risk tolerant	<ul style="list-style-type: none"> • Human fallibility and limitations (fatigue, emotions, indifference, optimism bias) • Pressure from non-safety goals
Overconfidence	Sufficiently aware of risks, but overestimate ability to manage them	<ul style="list-style-type: none"> • Human fallibility and limitations (overconfidence bias, pride)

2.5 Safety Culture

Counterbalancing the drivers of failure described in Sections 2.2 through 2.4, the human factors contributing to system capacity for safety generally emanate from what is referred to as “safety culture” [8]. While this term is sometimes interpreted as applying specifically to worker safety and prevention of injuries on the job, the concept of safety culture is much more general and refers to safety of any system, including dams.

The general idea of safety culture is that individuals at all levels of an organization place high value on safety, which leads to a humble and vigilant attitude with respect to preventing failure [25]. For such a safety culture to be developed and maintained in an organization, the senior leadership of the organization must visibly give priority to safety, including allocating the resources and accepting the tradeoffs needed to achieve safety.

2.6 Best Practices

Experience in dam safety shows that strong safety cultures naturally lead to implementation of numerous “best practices” for dam safety risk management, with the understanding that these best practices need to be continually challenged, and, therefore, they evolve as the industry learns and improves. As a corollary, dam incidents and failures are typically preceded by long-term cumulative neglect of numerous accepted best practices. These best practices can be organized into two categories: general design and construction features of dam projects, and general organizational and professional practices.

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Best practices for general design and construction features of dam projects include the following:

- Specific design and construction best practices: Generally-accepted best practices for specific aspects of design and construction should be identified and applied.
- Design conservatism: Designs should be sufficiently conservative and provide factors of safety commensurate with uncertainties and risks. To the extent possible, designs should also preferably provide physical redundancy, robustness, and resilience, as well as failure modes which generate warning signs.
- Design customization: Designs should be customized to suit features of project sites. This involves “scenario planning” during design to be ready to handle situations which may potentially be encountered during construction, testing during construction to verify that design assumptions and intent are met, and design adaptation during construction to address observed conditions.
- Budget and schedule contingencies: Provisions should be made for accommodating reasonable contingencies when establishing design and construction budgets and schedules.
- Best practices for general organizational and professional practices, which encompass all project phases and tasks, include the following:
- Resources and resilience: Sufficient budget and staffing resources should be provided, so that systems and people are not stretched to their limits, thereby increasing error and failure rates [20]. The organization should also be resilient, in the sense of having sufficient internal diversity and adaptive capability to provide a broad and flexible repertoire of possible responses to cope with the potential challenges faced by the organization [12].
- Humility, learning, and expertise: Individuals and organizations should humbly recognize the limitations of their knowledge and skills, engage in continuing education and training, learn from study of past incidents and failures, and collaboratively draw on expertise, wherever it may be found, rather than simply deferring to authority based on position in a hierarchy [25].
- Cognitive diversity: Teams should have cognitively diverse membership, to bring in diversity of perspectives, education, training, experience, information, knowledge, models, skills, problem-solving methods, and heuristics [51 and 55]. With effective team leadership, structure, and group dynamics, cognitively diverse teams can avoid problems such as groupthink and can outperform more homogeneous teams of the “best” people. (Groupthink is a phenomenon in which deliberation, judgment, and decision-making of a group and its members are compromised due to the social tendency of group members to seek harmony and coherence).

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- **Decision-making authority:** Decision-making authority should be commensurate with responsibilities and expertise, rather than this authority being contravened by organizational structure [25]. This is particularly the case for safety personnel, who should be selected for their positions based on having relevant experience, vigilance, caution, humility, inquisitiveness, skepticism, discipline, meticulousness, communication ability, and assertiveness.
- **System modeling:** Appropriate system models should be developed, with a full range of PFMs identified, and emergency action plans developed accordingly. For actively operated systems, such as large hydropower dams, these failure modes should include operational failure modes, and it may be appropriate to explicitly account for interactions of physical and human factors in the system models. Where models are implemented through software, the software should be carefully developed, validated, and used [17].
- **Checklists:** Checklists should be used to reduce the incidence of human errors, especially for tasks which are relatively recurrent, such as inspections [56]. Checklists should be customized for each situation, clear and unambiguous, focused on items which are important but prone to being missed, prepared at a level of detail appropriate for the time available to use the checklist, and regularly updated based on experience. Recognizing that checklists are most effective for prevention of slips, lapses, and violations, but somewhat less effective for prevention of mistakes (see Section 2.3), checklists should be used to supplement, not replace, situation-specific attentive observation and critical thinking.
- **Information management:** Information management should involve thorough, well organized, and readily accessed documentation; open and collaborative information sharing within and across organizations; and not being dismissive of dissenting voices. This will enable surfacing and synthesis of fragmentary information to help “connect the dots” and better understand system behavior [23 and 25].
- **Warning signs:** There should be vigilant monitoring to detect “warning signs” that a system is headed towards failure, while there is still a “window of recovery” available [25]. This monitoring should be conducted at regular intervals, after unusual events, and also during apparent “quiet periods.” Once potential warning signs are detected, there should be prompt and appropriate investigative follow up, verification of that follow up, thorough documentation of observations and findings so that emerging patterns can be discerned and evaluated, and prompt implementation of any needed remedial actions. As a heuristic to help judge whether a potential warning sign warrants action, “simulated hindsight” can be used: fast-forward into the future, imagine that failure has occurred, and ask whether ignoring the potential warning was justifiable; if not, take the potential warning sign seriously.

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- Standards: High professional, ethical, legal, and regulatory standards should be maintained – especially when lives are at stake.

In summary, organizations which have the capacity to handle demands on safety from various drivers of failure have a strong safety culture and diligently implement numerous best practices. Such organizations are mindful, cautious, humble, oriented towards learning and improving, resiliently adaptive, and maintain high professional and ethical standards. They vigilantly search for and promptly address warning signs before problems grow too large, and they make effective use of available information, expertise, resources, and management tools to properly balance safety against other organizational goals.

Organizational & Professional Best Practices

- Did the owner and regulators have sufficient budget and staff resources?
- Did dam/spillway models adequately reflect a full range of failure modes, including operational failure modes?
- Did people involved in the spillways humbly recognize the limits of their expertise, engaged in continuing education, learn from past incidents and failures, and adequately draw on the expertise available in their organizations?
- Were checklists used to help reduce errors for recurrent tasks such as inspections?
- Did teams involved in the spillways have cognitive diversity and effective group dynamics?
- Were the information management systems of the owner and regulators adequate to ensure that people involved with the spillways had the right information available when they needed it?
- Was dam safety decision-making authority commensurate with responsibilities and expertise? Did safety personnel have appropriate expertise and temperament for their roles?
- Did the people involved with the spillways vigilantly monitor for warning signs and then properly investigate them, with good documentation?
- Were high professional, ethical, legal, and regulatory standards maintained?

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APPENDIX 17-B: COMMON BIAS AND HEURISTICS

Some common heuristics and biases include (adapted from Kahneman, 2011):

- **Affect Heuristic** – Judgments and decisions made by consulting one’s emotions without consideration of the applicable information. (How do I feel about it?)
- **Anchoring Effect** – Occurs when one considers a particular value for an unknown quantity before developing an estimate for that quantity. Estimates then stay close to the initial number one considered. Any number that you are asked to consider as a possible solution prior to an estimate will induce an anchoring effect. Adjustment is a deliberate attempt to find reasons to move away from the anchor. Adjustments almost always end prematurely.
- **Availability Heuristic** – The process of judging frequency by the ease with which instances come to mind.
- **Certainty Effect** – Outcomes that are almost certain are given less weight than their probability justifies.
- **Confirmation Bias** – People seek data that are likely to be compatible with the beliefs they currently hold. They favor uncritical acceptance of suggestions and exaggeration of the likelihood of extreme and improbable events.
- **Conjunctive Fallacy** – Occurs when one judges a conjunction of two events more probable than one of the events by itself.
- **Halo Effect** - A common bias that plays a large role in shaping our view of people and situations. The tendency to like (or dislike) everything about a person or situation – including things you have not observed. Increases the weight of first impressions (people, situations, information) sometimes to the point that subsequent information is wasted or ignored.
- **Hindsight Bias** – The inability to reconstruct past beliefs will cause one to underestimate the extent to which you were surprised by past events.
- **Intuitive Predictions** – These predictions are generally biased and tend to be overconfident and overly extreme. Individuals have not learned to identify the situations in which their intuition will betray them. The unrecognized limits of professional skill help explain why experts are often overconfident. Whether professionals have a chance to develop intuitive experience depends essentially on the quality and speed of feedback, as well as on sufficient experience to practice.
- **Narrative Fallacy** - Flawed stories of the past shape our views of the world and our expectations (predictions) for the future. We constantly fool ourselves by constructing flimsy accounts of the past and believing they are true.
- **Optimistic Bias** – Everything is always good. Only see the favorable side of the argument.

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- **Outcome Bias** – Are influenced by the planned result or past results.
- **Planning Fallacy** – Overly optimistic forecasts of the outcome of projects. Unrealistically close to the best-case scenario (planning and cost estimating).
- **Plausibility vs Probability** - They are not equal, but some folks treat them as though they are.
- **Possibility Effect** – Causes highly unlikely outcomes to be weighted disproportionately more than they deserve.
- **Probability Neglect** – The amount of concern is not adequately sensitive to the probability of harm. You are imagining the numerator and ignoring the denominator. An example – your teenager is late getting home.
- **Probability of the Rare Event** - People overestimate the probability of rare events and overweight unlikely events.
- **Subjective Confidence** - Unrecognized limits of professional skill can lead to overconfidence in experts. The main obstacle is that subjective confidence is determined by the coherence of the story one has constructed, not on the quality and amount of information it supports. “A compelling narrative fosters an illusion of inevitability.” “Organizations that take the word of overconfident experts can expect costly consequences.”
- **The ‘Law of Small Numbers’** – A general bias that favors certainty over doubt. People are not adequately sensitive to sample size.

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APPENDIX 17-C: LIST OF COMMON POTENTIAL FAILURE MODES

NOTE: *This list is not meant to represent a comprehensive list of all the ways a dam or appurtenant structure could fail. Each project is unique and requires a separate, detailed review of the project records and an understanding of the project operation and performance in order to identify appropriate potential failure modes for that particular project. The information presented in this appendix should only be used to stimulate thought and discussion after the completion of the brainstorming session and should not be copied verbatim into PFM titles, descriptions, etc.*

Embankment DamsNormal/Static Loading

Backward erosion piping (BEP)

- Piping of embankment materials
- Piping of embankment materials into the foundation
- Piping, blowout and heave of foundation materials
- Piping of materials into drains/conduits

Concentrated leak erosion (CLE)

- Through cracks/defects in core
- Along contact with concrete structures
- Along conduits/penetrations
- Along bedrock contact

Contact erosion

- Erosion of fine particles from flow in an adjacent coarse layer within the foundation
- Erosion of fine particles from flow in an adjacent coarse layer between the embankment and the foundation

Suffusion (Internal instability)

- Erosion of fine matrix materials in a well graded or gap graded material in the embankment
- Erosion of fine matrix materials in a well graded or gap graded material in the foundation

Static slope instability of embankment

Static slope instability of foundation/abutments

Slope instability under rapid drawdown

Wave erosion of upstream slope

Runoff erosion/gullying of downstream slope

Landslide-induced wave leading to overtopping and erosion

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Volcanic flow/air fall displacing reservoir contents leading to overtopping and erosion

Hydrologic/Flood Loading

Normal/Static Loading PFMs with added hydrologic loads

Internal erosion of embankment above core

Embankment overtopping and erosion

Embankment overtopping and erosion with wind and wave run up

Abutment outflanking and erosion

Structural failure/erosion of parapet wall foundation

Seismic/Earthquake Loading

Normal/Static Loading PFMs with added seismic loads

Liquefaction of embankment soils leading to overtopping and erosion

Liquefaction of foundation soils leading to overtopping and erosion

Deformation of embankment/foundation soils leading to overtopping and erosion

Deformation of embankment/foundation soils leading to cracking of the embankment and internal erosion

Fault offset in foundation leads to cracking and internal erosion

Seiche wave overtops embankment leading to erosion

Concrete-faced Rockfill Dam

Deformation and cracking of facing slab leads to internal erosion of embankment materials

Downstream slope failure resulting from piping of fine portion of “dirty” rockfill resulting in sinkhole development.

Failure of facing slab waterstops leads to internal erosion of embankment materials

Sliding instability of concrete plinth

(See Embankment Dam PFMs for additional PFMs)

Concrete Gravity and Arch Dams

Normal/Static and Hydrologic/Flood Loading

Concentrated leak erosion along foundation contact

Internal erosion through foundation/abutment materials

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Static sliding instability along lift joints/base
Static sliding instability through foundation/abutments
Sliding instability due to abnormal loads (silt and ice)

AAR/ASR leads to cracking of dam and loss of strength
Freeze/thaw deterioration leads to loss of section and overstressing of concrete

Overtopping leading to erosion of abutment/foundation materials
Overtopping of dam crest creates negative pressures and induces vibrations that lead to cracking and failure

Landslide-induced wave leading to overtopping and erosion

Seismic/Earthquake Loading

Normal/Static and Hydrologic/Flood Loading PFMs with added seismic loads

Fault offset in foundation leads to cracking of dam/erosion of foundation materials

Concrete Buttress Dams

Sliding instability of buttress at contact
Sliding instability of buttress through the foundation
Deterioration of buttresses (freeze-thaw, ASR/AAR, corrosion of reinforcement) leads to structural collapse

Overstressing of upstream slab due to excessive loading (e.g., flood surcharge)

Seismic instability and loss of lateral support of buttresses in cross canyon direction

Fault offset in foundation leads to cracking of dam/erosion of foundation materials

Spillway Structures

Normal/Static and Hydrologic/Flood Loading

Erosion/scour of soil/rock channels

Concentrated leak erosion along foundation contact
Internal erosion of spillway wall backfill
Internal erosion through foundation materials

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Static sliding stability of crest structure along base
 Static sliding stability of crest structure through foundation
 Global sliding stability of spillway structure
 Overturning of crest structure

Stagnation pressure causes jacking of spillway chute slab that leads to erosion
 Uplift of spillway chute slabs/inadequate anchoring causes jacking of slab that leads to erosion
 Stagnation pressure causes loss of material below chute slab, collapse of slab, and erosion
 Overtopping of spillway chute/basin walls leads to erosion
 Cavitation damage induced failure leads to erosion
 Erosion and failure of stilling basin
 Uplift and sliding of stilling basin

Debris plugging of approach channel/crest structure leading to overtopping and erosion

Seismic/Earthquake Loading

Seismic failure of pier(s)
 Seismic failure of spillway walls
 Seismic failure of spillway bridge
 Foundation liquefaction/deformation of spillway

Outlet Works

Debris plugging/landslide at intake leads to inability to release flood waters and premature overtopping and erosion
 Cavitation of outlet pipe leads to erosion and uncontrolled release of reservoir
 Coating damage/corrosion of outlet pipe leads to erosion and uncontrolled release of reservoir
 Rockfall/lining damage in gate chamber/downstream tunnel damages outlet pipe/control gates and leads to erosion and uncontrolled release of reservoir
 Seismic failure of outlet tower leads to inability to close outlet gates and leads to uncontrolled release of the reservoir

Gates (spillway and outlet works) and Stoplogs

Structural failure of gate (applies to members and connections)
 (Trunnion friction; corrosion; fatigue; excess demand such as hydrologic or seismic loading or impact from debris/barges/etc.)
 Inability to operate gates due to:
 Loss of power (electrical supply, transmission)

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Failure or inoperability of mechanical components (failure of winches, hoists, hydraulics, chains, ropes, etc.; failure of platforms atop which any of the aforementioned equipment rests; etc.)

Binding within piers or gate slots (e.g., accumulation of ice along seals, expansion of concrete due to AAR/ASR, lateral deflection caused by a seismic event, etc.)

Loss of access to dam/gates

Slope instability/rockfall damages gates/spillway structure

Operational/procedural errors, SCADA errors, and human error

Flashboards

Flashboards trigger before intended (e.g., at a lower pool elevation), resulting in unexpected high flows, due to excessive loading (e.g., seismic, ice, etc.) or degradation

Flashboards do not trigger when intended, with a reduced discharge/increased pool elevation and resulting effects on other project components (e.g., overtopping), due to:

Overdesign of intended-to-fail components (e.g., diameter or strength exceeding specifications)

Unauthorized modification of flashboards, including the installation of redundant restraining mechanisms (e.g., securing trippable components with ropes, chains, etc.)

Penstocks

Slope creep/landslide displaces penstock leading to rupture and uncontrolled release

Leakage from penstock saturates foundation materials, leading to loss of support, rupture, and uncontrolled release

Cavitation damage causes loss of section, overstressing and rupture of penstock, and uncontrolled release of reservoir

Coating damage/corrosion causes loss of section, overstressing and rupture of penstock, and uncontrolled release of reservoir

Rockfall or other debris impact ruptures penstock and leads to uncontrolled release of reservoir

Seismic failure of penstock supports leads to uncontrolled release of reservoir

Rapid closure of gate/valve causes excessive transient pressure (water hammer), overstressing and rupture of penstock, and uncontrolled release of reservoir

Rapid closure of intake or obstruction of air vents causes a vacuum, collapse of penstock, and loss of discharge capacity and/or uncontrolled release of reservoir

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APPENDIX 17-D: ADDITIONAL CONSIDERATIONS IN IDENTIFYING POTENTIAL FAILURE MODES

A list of issues related to potential failure modes that have been identified in some past PFMAs is provided below (adapted from *Bureau of Reclamation, Comprehensive Review Guidelines, Section XVII – Potential Failure Modes and Risk Analysis, 2016*). It is not an exhaustive list, nor have the descriptions been fleshed out to the extent needed for complete documentation. This must be done on a case-by-case basis. However, the list provides some ideas to consider in helping to identify potential pathways and contributing factors that could lead to identifying and developing a PFM.

Overtopping Considerations

- Discharge capacity is reduced during flooding by flows that take out power plant transformers (eliminating the ability to generate and discharge through the units), power supplies to gates, or access to open gates, leading to premature overtopping.
- High tailwater floods the power plant and leads to loss of release capacity through the units, resulting in premature overtopping.
- Loss of power or communications due to lightning, earthquake shaking, or other causes leads to gate misoperation, and overtopping or life-threatening downstream releases.
- Binding of gates (possibly due to ASR concrete expansion) or mechanical failure can lead to inability to open gates and premature overtopping.
- Spillway discharge capacity is reduced when the reservoir rises to levels not envisioned in the original design and impinges on the bottom of open gates, transitioning from free flow to orifice flow, leading to premature overtopping.
- Faulty instrumentation could indicate reservoir levels and flows are within normal ranges, but dangerous inflows, outflows, or water levels are developing.
- Overtopping of concrete dams may be acceptable; however, the quality of the rock on which the flows impinge must be evaluated.
- Careful attention must be paid to the flood routings. In some cases the dam crest may be lower than assumed or shown on the drawings, crest elevations may vary between reservoir impounding structures, or the elevation of a single structure may vary (for example due to camber), creating a flow concentration possibility.
- A “fuse plug” may be relied on for flood routings that indicate the dam will not be overtopped. In such cases, the design and construction of the fuse plug should be reviewed to ensure it will perform as intended.

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- Some reservoirs produce debris during flood events that could plug spillway gates and lead to premature overtopping. Log booms may or may not be able to sustain the debris load; they should be evaluated also.
- Spillways can fail to perform as anticipated due to overtopping of spillway walls, jacking of chute slabs due to “stagnation” pressures, cavitation, or erosion of deteriorated materials. The resulting erosion can headcut upstream and breach the reservoir. Defensive measures for these scenarios should be reviewed.

Stability Considerations

- In some cases, no engineering geology or rock mechanics evaluation has been performed for a concrete dam, and the rock is pronounced to be “good” due to its hardness, even though adversely oriented joints, faults, shears, foliation planes, or bedding planes can be observed in construction photos and downstream of the dam. Foundation instability could occur under a change in loading conditions.
- Two-dimensional analyses can sometimes indicate a potential problem when three-dimensional effects will result in a stable condition (for example, a narrow concrete gravity section wedged between a solid rock wall and massive spillway section, with a keyed joint).

Seismic Considerations

- Large spillway gates could release life-threatening flows, if they failed under normal operating conditions. Buckling of radial gate arms under operation (pin friction) or seismic loading may be an important consideration. Deterioration due to lack of maintenance can be a contributing factor.
- Spillway piers are designed to carry loads in the upstream-downstream direction; cross canyon seismic loading could produce high moments about the weak axis. Moment failure of a pier could result in the loss of two adjacent gates.
- Liquefaction of loose foundation or embankment soils can lead to deformation and loss of freeboard, perhaps leading to overtopping, or otherwise possibly leading to cracking and subsequent seepage erosion through the cracks.
- Seismic soil-structure interaction between an embankment and spillway wall can lead to wall failure or separation at the contact and seepage erosion through the gap.
- “Kinks” or changes in slope on a concrete gravity dam can lead to stress concentrations during seismic loading, cracking through the structure, and sliding failure. Post-earthquake analyses are helpful in evaluating this condition.

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- Shake table model studies on concrete arch dams indicate the most likely seismic failure mode is horizontal cracking near the center of the structure, diagonal cracking parallel to the abutments, and rotation of concrete blocks isolated by the “semi-circular” cracking downstream.
- Large landslides may fail quickly into a reservoir creating a wave that overtops and erodes the dam. Landslides can create a debris dam in a canyon downstream of a dam that will subsequently overtop due to dam releases and send a life-threatening wall of water downstream. Landslides can also disrupt the abutment of a dam, leading to cracking and internal erosion (in the case of an embankment dam), or abutment instability and structural distress (in the case of a concrete dam).
- Fault offset within the foundation of an embankment dam can lead to cracking and internal erosion, or in the case of a concrete dam cracking and structural distress.

Operational Considerations

In recent years, several dam failures have been attributed to operational failures, such as the failure of Taum Sauk Dam in Missouri in 2005. These can result from equipment, instrumentation, control systems (including both hardware and software), or processes failing to do what they were intended to do. This, in turn, can lead to uncontrolled reservoir release or inability to get people out of harm’s way. Examples of these types of failure modes include (with some repetition of the above list for emphasis):

- Failure of a log boom allows reservoir debris to drift into and plug the spillway, resulting in premature overtopping of the dam.
- Gates fail to operate as intended resulting in premature overtopping of the dam. This could result from mechanical or electrical failure, control system failure, or failure of the decision process for opening the gates.
- Gates open inadvertently sending life-threatening uncontrolled releases downstream. This could result from control system failure, operator error, or in the case of drum gates (which drop to release the reservoir), mechanical failure. Position sensors or limit switches could fail, resulting in gate openings greater than intended.
- Inability to warn and evacuate people in advance of life-threatening downstream flows. This could result from inability to detect the flows or a breakdown in the communication process to get people out of harm’s way; for example power and phone lines may be cut by a large earthquake or flood.
- Loss of access to operate key equipment during a flood leads to overtopping of the dam or other uncontrolled releases.

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- Loss of release capacity leads to overtopping of the dam. For example, if releases through the power plant are a major component of the release capacity and the switchyard is taken out during a flood or earthquake, that release capacity will be lost.
- Mechanical equipment failure due to changes in operation without a corresponding change in maintenance. For example, if river re-operation requires frequent gate opening to enhance fisheries without a corresponding increase in the frequency of gate lubrication, component failure could occur when the gate is needed to pass a flood, but cannot be opened resulting in premature dam overtopping.
- Overfilling off-stream storage leads to overtopping and failure of the dam. This could happen due to faulty instrumentation, control system issues, or operator error.
- The SOP operating rule curves require operating gates that will flood out people downstream; there may be a reluctance to open the gates resulting in a delay and increased chance for overtopping the dam.
- In the case of remote operations, communications are lost along with the ability to operate the gates as needed during flooding, leading to premature overtopping; or a loss of communications leads to inadvertent opening of gates and premature releases of life-threatening flows.

Internal Erosion Considerations

Internal erosion failure modes can be quite varied. Certain conditions make an embankment more susceptible to these potential failure modes.

- Seepage occurring from an unprotected/unfiltered exit could lead to internal erosion through the dam or foundation. In some cases the flows may be measured by flumes, which cannot trap and detect sediments in the seepage flow. In other cases, seepage, if occurring, cannot be observed due to vegetation, tailwater, or an unfiltered blanket at the toe that dried up the area.
- The rock foundation beneath the core of an embankment dam contains open joints that were not treated with slush grout or dental concrete, leading to the possibility of internal erosion of the embankment into the foundation. A similar concern exists if the embankment core material was placed directly against foundation soils that may not be filter compatible.
- In some cases, incidents related to internal erosion and sinkholes have developed in the past, but are buried in the archives. A careful review could identify significant potential internal erosion paths.

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- Internal erosion of material into under-drain systems can leave a void adjacent to or beneath a conduit or structure. This provides an unfiltered exit (into the void) closer to the reservoir than would otherwise exist and increases the average gradient. This can be especially problematic in low plasticity soils.
- Internal erosion of material from beneath concrete dams founded on alluvial soils can lead to a rapid draining of the reservoir beneath the dam and life-threatening downstream flows.

The following conditions may lead to an increased likelihood of a flaw existing through the dam (including considerations for conduits through the dam):

- Wide benches or “stair steps” in the upper to middle portion of the abutment profile can lead to transverse cracking from differential settlement.
- Steep abutments near the top of the dam can also lead to transverse cracking from differential settlement.
- Very steep abutments and a narrow valley can lead to “arching” of the soil across the valley leading to a reduction in vertical confining stress within the dam and increased potential for cracking due to hydraulic fracturing (i.e. pore pressures exceed confining stress).
- Differential settlement between the shell and the core (if deformability of the materials differ) can lead to “dragging and transverse shearing” of the core. However, more typically, this type of differential settlement leads to longitudinal cracks at the interface between the two materials.
- Different foundation conditions (deformability) across the profile can lead to differential settlement and cracking of the dam core.
- Low-density fine-grained loess soils or weakly cemented “desert” soils present within the foundation may collapse upon wetting, leading to differential settlement or hydraulic fracturing through the low density material, and transverse cracking through the embankment.
- Desiccation of the embankment material can lead to transverse cracking through the upper part of the core.
- Excessive settlements as a percentage of the dam height (i.e. more than about 4 percent during construction or about 1 percent at 10 years post-construction) increases the chances of transverse cracking.
- An irregular foundation contact surface, possibly with overhanging rock features, or sloppy or loose foundation soil conditions upon embankment placement can lead to inadequate compaction and a pervious channel along the dam-foundation contact.

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- Poor core density due to lack of formal compaction, lack of compaction control, or excessively thick compacted layers can result in pervious layers through the core.
- Seasonal shut-downs or placement in freezing weather can lead to a pervious layer through the core if not properly treated (i.e. frozen material and desiccation cracking was not removed and the surface thoroughly scarified with good moisture control upon re-compaction). In the event that post-shutdown construction results in lower modulus material in comparison to the underlying embankment, differential settlement of the overlying embankment can lead to transverse cracking in that portion.
- The presence of a conduit through the core of a dam creates a potential high permeability pathway due to the potential for inadequate density or compaction, especially if one or more of the following conditions are also present:
 - A round conduit with no concrete encasement where it is difficult to get good compaction on the under-side.
 - The presence of seepage cutoff collars which are difficult to get good compaction around and against.
 - Cracks or open joints in the conduit, or corrugated metal pipe which is subject to corrosion deterioration and through-going holes, into which embankment core material can be washed.
 - Steep and narrow trench into which the conduit was placed, which makes compaction difficult and creates the potential for arching of soil across the trench, leaving a low density zone susceptible to hydraulic fracturing.
- If a spillway passes through the embankment such that the core is compacted against the spillway wall, difficulties in compacting against the wall (especially if vertical or counterforted), and settlement away from the wall parallel to the abutment, can potentially lead to a high permeability zone or small gap adjacent to the wall.
- For composite concrete/embankment dams, vertical faces, overhangs, and changes in slopes of the concrete section (against which the embankment core is compacted) can lead to higher permeability seepage paths, especially if post-construction embankment settlements are large.
- Direct observations such as observed transverse cracks in the crest of the dam, or concentrated seepage, or wet areas on the downstream face of the dam adjacent to an outlet works conduit or spillway wall, could be indications that flaw may extend through the dam.
- Evidence of sinkholes or depressions (especially along the alignment of a penetrating outlet works conduit) could be indications that material has moved by means of seepage flows.

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The following conditions may indicate an increased likelihood of internal erosion through the foundation, or from the embankment into the foundation:

- A low permeability confining layer at the toe of the dam beneath which high artesian pressures exist, which increases the chance of blowout.
- Sand boils observed in the channel downstream of the dam which could be indications of material movement associated with a foundation seepage path, especially if material is moving out away from the boils.
- Open joints, seams, faults, shears, bedding planes, solution features, or other discontinuities in the rock foundation at the contact with the dam core into which core material can erode, especially if the following also apply:
 - There was no or questionable foundation surface treatment performed during construction in the way of dental concrete or slush grout.
 - The effectiveness of foundation grouting is questionable due to grout holes being parallel to open discontinuities, use of thin grout mixes, widely-spaced holes with uncertain closure, uncaulked surface leaks during grouting, and/or little pore-pressure drop across the grout curtain as measured by piezometers.
 - The discontinuities are open, or perhaps filled with erodible silty or sandy material. Wider discontinuities are more problematic than narrow ones.
 - The discontinuities trend upstream to downstream across the foundation, providing a pathway for reservoir seepage.
- Poor clean-up at the core-foundation rock surface can lead to a low density or erodible pathway at the contact.
- Ridges and valleys formed by excavation along geologic features (e.g. tilted bedding planes forming an irregular surface) that trend upstream to downstream, into which compaction is difficult, can lead to low density pathways near the dam-rock contact.
- Embankment core material placed against the downstream slope of a cutoff trench cut into pervious gravels with no intervening filter leaves an interface through which core material can be eroded.
- A narrow steep-walled cutoff trench forms a location where arching of core material placed into the trench can lead to a low density zone in the core susceptible to transverse hydraulic fracturing. This can be problematic if there is a pathway downstream through which the core material can erode.
- Highly permeable foundation materials exist which can transmit significant flow capable of eroding material at the base of the dam and carrying it downstream.

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**APPENDIX 17-E: EXAMPLE CONSIDERATIONS IN DESCRIBING
POTENTIAL FAILURE MODES**

The following are some brief examples of some considerations in developing and describing potential failure modes. The examples are intended to illustrate the kinds of engineering evaluation and judgment needed to properly identify and develop potential failure modes.

Operational Related Potential Failure Mode

The design flood was routed through Dam A by a hydrologic engineering consulting firm using the traditional means and assumptions and the capacities for the facilities provided by the owner. The dam was found to pass a sizeable portion of the probable maximum flood using the main spillway gates and the emergency spillways, thus there was concern for the hydrologic deficiency but not great concern. However, examination at the site for potential failure modes revealed a significant potential for an overtopping failure mode due to the following factors:

- The emergency spillway bays were fronted by arch rings designed to be blasted away if the emergency spillway was needed. Discussions with the owner revealed that use of the emergency spillway in such a manner was highly improbable. This was due to the potential liability from such an action (a sizeable town is located just a mile or so downstream) and also due to the physical arrangement of the dynamite ports on the top of the spillway bays (it was likely that these would be underwater by the time a decision to use them was made). Further there were no plans or procedures in place to do the blasting.
- The first location for overtopping of the structure was immediately above the transformer yard. Overflow at this location would have resulted in loss of capability to pass flow through the turbines and while this flow was not relied on in the routing, the early shut off would have exacerbated the overtopping situation.
- Drawings were located for the emergency spillway, which was referred to as a “fuse plug” spillway but this fuse plug actually had to be excavated by a dozer before it was functional. Operators at the site did not know the location of the spillway limits and had no procedures or equipment to initiate this spillway.
- Design crest elevations indicated that the concrete structures would be overtopped prior to the embankment structures. However, examination of survey data, settlement records and settlement projections (along with the physical location of the monuments relative to the crests) revealed that the low point for the project was currently an earthen saddle dam.

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Internal Erosion Related Potential Failure Mode

The following potential failure mode was highlighted because the specific conditions at Dikes 1 and 2 are such that this potential failure mode is physically possible and is one of the most significant potential failure modes definable at this site. Failure of the dikes poses a high hazard, and diligence in monitoring for development of this potential failure mode is warranted.

Potential Failure Mode 1 - Dikes 1 and 2 – Internal Erosion

During site investigation the foundation of these dikes was found to contain joints much more open than anticipated based on pre-construction investigations. These joints provide a potential path for subsurface erosion of the Zone 1 material leading to an unprotected exit downstream of the dam. Although grouting was performed following construction (during the first filling of the reservoir) and the seepage levels were reduced, the fundamental potential failure mode remains). The presence of 4 to 5 ft³/s of seepage, which occurred during first filling, from a dike of moderate height and length attests to the possibility of open joints in the foundation capable of carrying adequate flow to result in erosion, and transport of eroded material downstream. The specific potential failure mode paths and the factors relative to the likelihood for the development of this potential failure mode are as follows:

Potential failure mode paths - there are two primary potential paths for internal erosion to take place through the foundation jointing and two of lesser likelihood. These are:

- Flow through the dike embankment across the Zone 1/foundation interface. This could result in the Zone 1 materials eroding and being carried through the open joints to an unprotected exit downstream. (Failure would result if internal erosion through the Zone 1 materials reached the reservoir source. An ever increasing flow potential could then progressively enlarge the flow channel downstream of the point of erosion initiation in the core to an extent large enough to carry continually increasing flows).
- Flow under the foundation attacking the base of the Zone 1 material and removing it by seepage erosion through the foundation jointing

The other two potential flow paths leading to an internal erosion failure are (1) internal erosion of the Zone 1 through the foundation alluvium, and (2) seepage erosion of the foundation alluvium exiting through the open joints in the rock. These are considered to be of significantly lesser likelihood.

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APPENDIX 17-F: PFM TEMPLATE

Dam Name	
PFM Information	
Structure	
Loading Condition	
PFM Failure Type	
Location(s)	
PFM Source	
PFM Source Date	
PFM Description	
PFM No.	
PFM Title	
PFM Description	
PFM Classification	<input type="checkbox"/> Ruled Out <input type="checkbox"/> Clearly Negligible <input type="checkbox"/> Insufficient Info <input type="checkbox"/> Credible <input type="checkbox"/> Urgent Credible
Classification Justification	
PFM Sketch(s)	
Additional Supporting Information (if needed)	
Performance Monitoring Information	
Evaluation Factors	
Adverse (More Likely)	Favorable (Less Likely)
Consequences	
Life Safety Consequences	
Consequence Description	
Other Consequences	
Consequence Description	

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Potential Interim Risk Reduction Measures/ Potential Dam Safety Management Actions	
Potential Risk Reduction Measures	
Inspections Actions	
Surveillance and Monitoring	
EAP	
Follow up Studies	
Others	
Other Notes/Comments	

APPENDIX 17-G: EXAMPLES OF CLEARLY NEGLIGIBLE POTENTIAL FAILURE MODES

The following sections provide examples of potential failure modes that were considered clearly negligible and were excluded from further consideration because they were deemed so remote to be considered non-credible (adapted from *USACE Periodic Assessment Guidance, Appendix A Excluded Potential Failure Modes, 2014*).

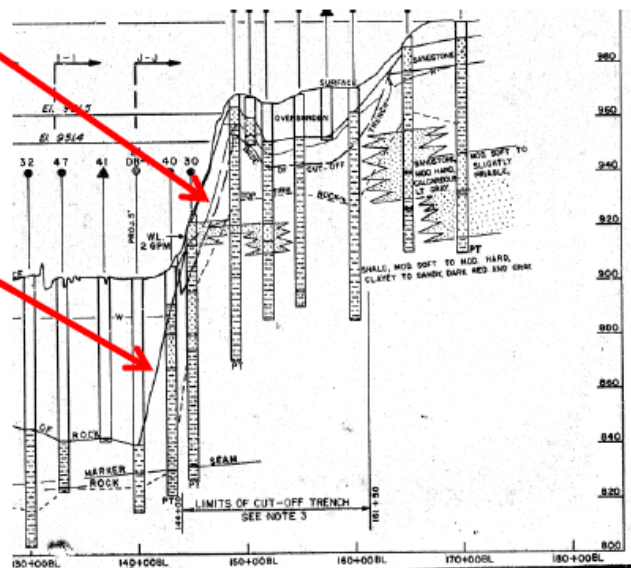
G.1 Examples of Embankment Potential Failure Modes due to Transverse Cracking

PFM ##: Concentrated leak erosion (scour) in a transverse crack in the embankment near station 147+00

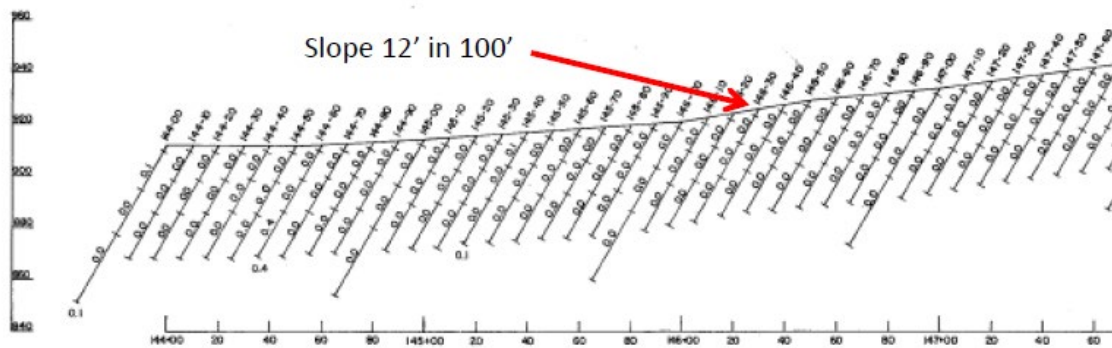
There is an approximately 50-foot rise in the bedrock surface over about 300 feet in the vicinity of Sta. 140+00 that appears very steep on the section drawn along centerline but the scale on this drawing is very exaggerated. This corresponds to an average angle of about 7.5 degrees from horizontal which is considered to be a relatively gentle slope. See the figures below for more explanation. Therefore, the likelihood of transverse cracking in the embankment due to differential settlement due to a steep abutment profile is considered remote.

Note that this slope which appears steep was a gentle slope in cutoff trench (12' in 100'). See figure below for slope drawn to scale.

Exaggerated slope.
Actual difference is
50 feet in 300 ft.



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PFM ##: Concentrated leak erosion (scour) in the embankment due to desiccation cracking at the crest

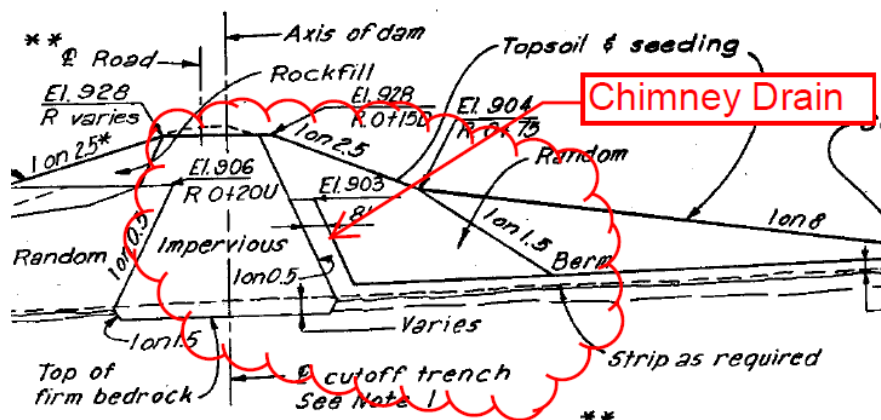
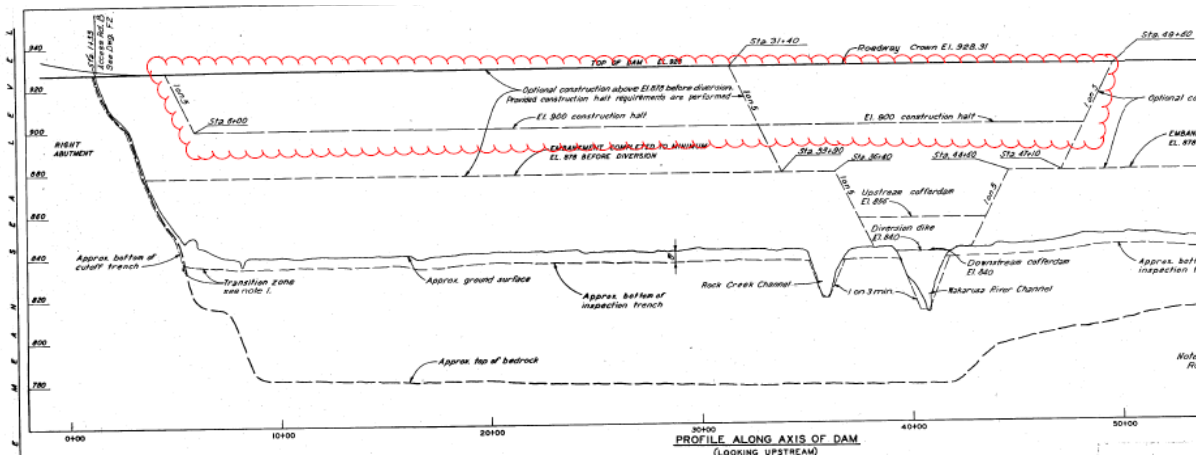
No cracking has been observed in the paved crest. A 20-foot-deep crack would extend to el. 975 ft NGVD, which corresponds to a reservoir level with an ACE of about 1/2,000. The top of the impervious fill (core) is at el. 988 ft NGVD. The impervious core is overlain by about 4.5 feet of random fill which is overlain by a pavement section containing 24 inches of select fill and 6 inches of Class I aggregate base and double-bituminous surfacing. The average liquid limits of the impervious and random fills are about 38 and 31, respectively, which are not susceptible to desiccation cracking.

G.2 Examples of Embankment Potential Failure Modes due to Staged Construction Interfaces

PFM ##: Concentrated leak erosion (scour) at a staged construction interface (construction halt at el. 900 ft NGVD)

A 6-month construction halt was enforced when the embankment placement reached el. 900 ft NGVD. Construction documentation indicates good construction practices and adequate quality control for subgrade preparation prior to fill resumption of fill placement. The likelihood of a continuous, upstream to downstream poor lift bond, disturbed zone, or poorly compacted zone is remote. An 8-foot-thick, inclined pervious drain (filter) extends up to el. 903 ft NGVD and provides defensive measures against this potential failure mode.

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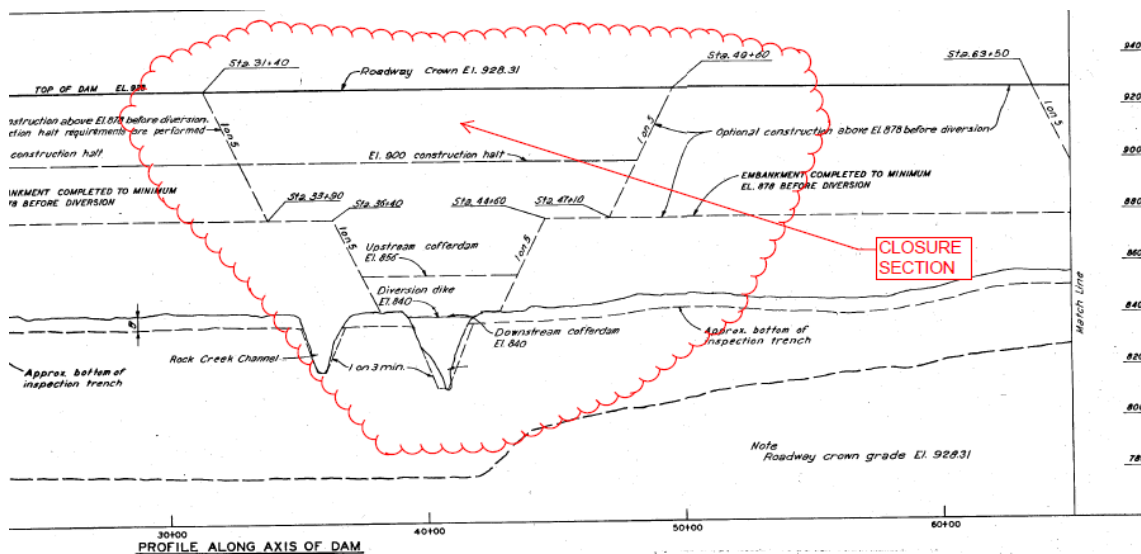
PFM ##: Concentrated leak erosion (scour) at a staged construction interface (unscheduled construction halt at el. 912 ft NGVD)

A construction halt was ordered when the embankment placement reached el. 912 ft NGVD due to increasing pore pressures in the lower embankment. Construction documentation indicates good construction practices and adequate quality control for subgrade preparation prior to fill placement. The likelihood of a continuous, upstream to downstream poor lift bond, disturbed zone, or poorly compacted zone is remote. An unfiltered exit exists at the elevation of the unscheduled construction halt because the top of the inclined pervious drain (filter) is el. 903 ft NGVD. Since a large flood with an estimated annual chance exceedance less than about 1/18,000 is required to reach the elevation of the unscheduled construction halt and the likelihood of a continuous flaw/defect is remote, this potential failure mode is considered clearly negligible and was excluded from further consideration.

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PFM ##: Concentrated leak erosion (scour) at the river closure section (crest stations 31+40 to 49+60)

The embankment slopes of the initial phase at the river closure section were 5H:1V. Construction documentation indicates good construction practices and adequate quality control for subgrade preparation prior to fill placement. The likelihood of a continuous, upstream to downstream poor lift bond, disturbed zone, or poorly compacted zone is remote. An 8-foot-thick, inclined pervious drain (filter) provides defensive measures against this potential failure mode below to el. 903 ft NGVD. The closure section interface daylight on the downstream slope, and no evidence of seepage, leakage, or settlement has been observed in this area.

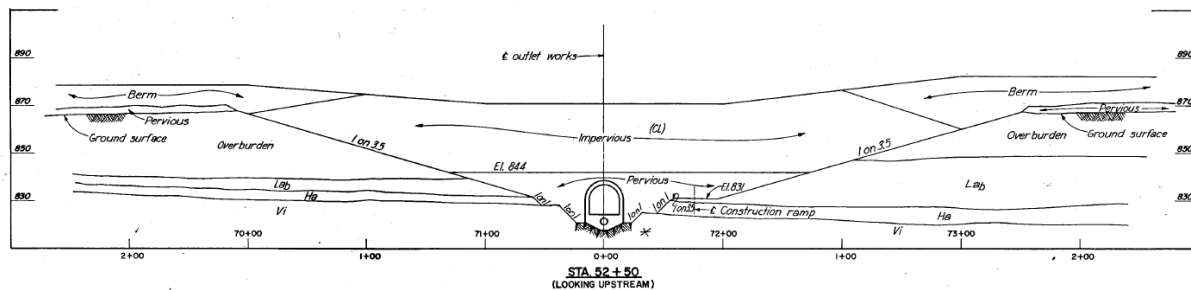
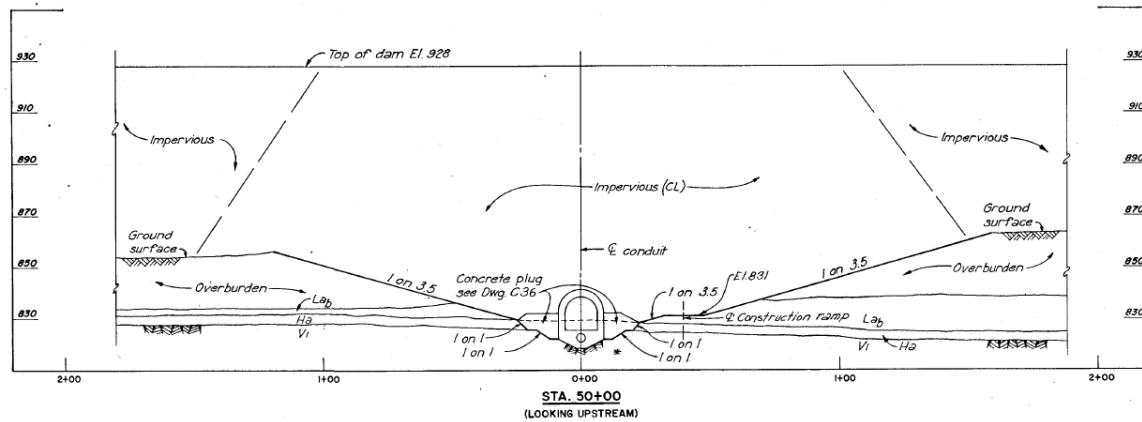


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G.3 Examples of Embankment Potential Failure Modes Related to a Buried Conduit

PFM ##: Concentrated leak erosion (scour) in the embankment adjacent to the conduit due to poor compaction

The conduit is founded on moderately hard sandstone. A series of concrete collars are located at the monolith joints upstream of the dam centerline. Defensive measures against internal erosion in the embankment adjacent to the conduit consist of a lean concrete plug placed along conduit between stations 49+76 to 50+26 (dam centerline at station 50+00) and pervious (filter) materials surrounding the conduit from the lean concrete plug to the downstream toe. The lean concrete plug was placed to the top of the Parkdale Limestone (about el. 825 to 830 ft NGVD), and the top of the pervious fill surrounding the conduit is at el. 844 ft NGVD. Therefore, the likelihood of a continuous flaw/defect in the embankment with an unfiltered exit is remote.



PFM ##: Concentrated leak erosion (scour) in the embankment adjacent to the conduit

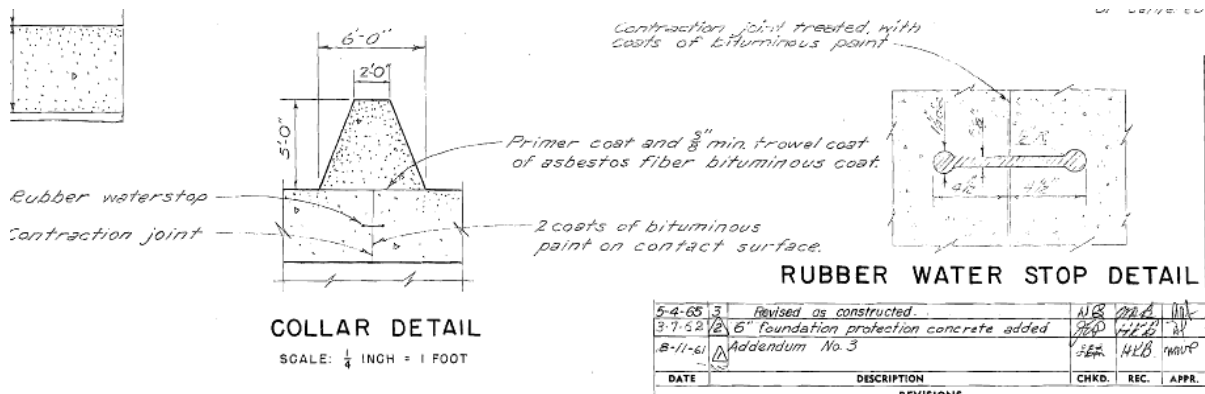
A 3-foot-wide chimney filter is located 120 feet downstream of the axis that extends up to conservation pool of el. 951.4 feet, or at least 40 feet above the crown. A 3-foot-thick blanket filter/drain extends from the chimney to filter-compatible bedding material at the embankment's downstream toe alongside the stilling basin. The width of the base of the excavation adjacent to the conduit was a minimum of 6 feet. The firm rock in which the

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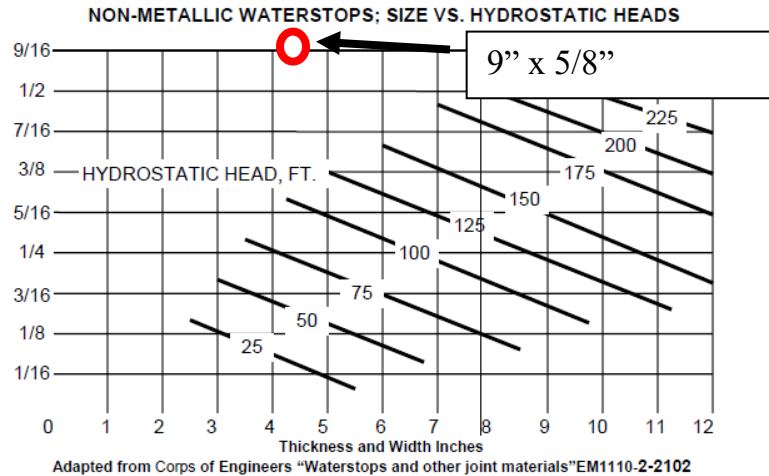
excavation was made was sloped at 1H:2V, and the overlying weathered rock materials were sloped at 1H:1V. Seep rings are located upstream of the dam centerline (Sta. 20+00) at Sta. 19+40.5 and 19+80.5. The details of the filter and general design layout appear to provide adequate defense against this potential failure mode.

PFM ##: Concentrated leak erosion (scour) of the embankment into an open defect in the conduit

There are no known joint openings in the conduit. A recent inspection report (2006) indicated that there are only leaks near the ends of the conduit where the conduit joins adjacent structures (the intake tower and the stilling basin training walls). These leaks are clear and calcified. The conduit is founded on rock which was protected during construction by a 6-inch-thick concrete protection layer. The conduit does not exhibit any signs of settlement which would allow joints to open. There are 5/8-inch-thick dumbbell waterstops present at each monolith joint as shown below. The 5/8-inch-thick waterstops are capable of withstanding over 200 feet of hydrostatic head as shown below. The head difference on the conduit at the PMF is approximately 95 feet: PMF of el. 1315 ft NGVD minus el. 1220 ft NGVD at the base of the conduit. Therefore this potential failure mode is considered so remote as to be considered clearly negligible and was excluded from further consideration.



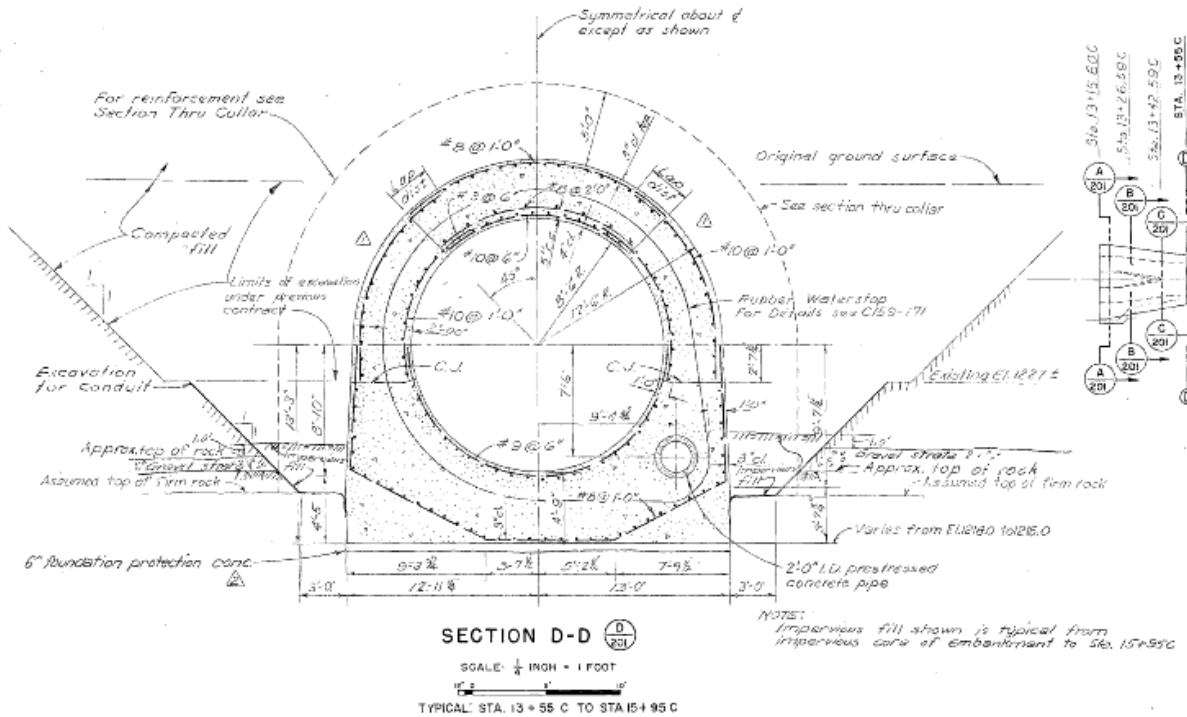
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PFM ##: Concentrated leak erosion (scour) of the embankment adjacent to the conduit due to leakage out of a joint resulting from pressurized conduit flow

There are no known joint openings in the conduit. The latest inspection indicates that there are only leaks near the ends of the conduit where the conduit joints adjacent structures (the intake tower and the stilling basin training walls). These leaks are clear and calcified. There are 5/8-thick-thick dumbbell waterstops present at each monolith joint. The 5/8-inch-thick waterstops are capable of withstanding over 200 feet of head as shown above for PFM XX. Tailwater would not be high enough to create pressurized flow in the conduit until flows exceed el. 1306 ft NGVD (an ACE of 1/300) occurred. The conduit would be pressurized for 3 days for the PMF (el. 1315 ft NGVD) event under normal operations. The conduit is 4 feet thick with two layers of reinforcement as shown below. The likelihood of an open defect in the conduit in conjunction with sufficient, sustained pressurized flow to initiate erosion along the conduit is considered so remote.

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PFM ##: Concentrated leak erosion (scour) of the embankment into/along the conduit at failed water stops

A 3-foot-wide filter is located 120 feet downstream of the axis that extends up to the conservation pool of el. 951.4 ft NGVD, or at least 40 feet above the crown of the conduit. A 3-foot-thick filter/blanket drain extends to filter-compatible bedding material at the embankment's downstream toe. During the site visit on 21 June 2007 with the reservoir at el. 949.84 feet, joint leakage was observed at the joint between Monoliths No. 11 and 12 and some locations upstream. This joint is located approximately 30 feet upstream of the impervious core and 150 feet upstream of the filter that surrounds the conduit. This historical photograph was taken from an older inspection report shows similar minor leakage from a defect further upstream. The filter/drain system appears well-designed and constructed to defend against defects in the core materials adjacent to the conduit.

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G.4 Examples of Embankment Potential Failure Modes due to Slope Instability

PFM ##: Slope instability leading to crest deformation and overtopping erosion

The embankment side slopes are 2.5H:1V above about el. 903 ft NGVD, while the slope of the berms flanking the impervious and random fill zones is 8H:1V. At the conduit section, the embankment is steeper at 5H:1V upstream and 6H:1V downstream. The steeped section near the conduit is short such that stress arching could be transmitted to the berm sections. Another consideration is that the conduit joints are tight, indicating little to no deep-seated lateral deformation has occurred since construction. Calculated factors of safety for sliding stability using conservative input parameters are over 3.5. Available freeboard during normal pool is 28 feet. The likelihood of slope instability with large crest deformations that would result in release of the reservoir is considered so remote as to be considered negligible. This potential failure mode was considered clearly negligible.

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G.5 Examples of Embankment Potential Failure Modes due to an Earthquake***PFM ##: Overtopping due to crest deformation caused by earthquake***

With the reservoir at conservation pool of el. 951.4 ft NGVD, there is 44 feet of freeboard when the reservoir depth is about 51 feet. The width of the dam at this elevation is over 350 feet. Deformations on the order of 40 percent or more of the embankment height which would cause overtopping were judged to be remote. The embankment consists of a homogenous, well-compacted earth fill, and the core has an average liquid limit of 38 and was compacted on average to over 100 percent of the maximum dry density at a 0.6 percent above optimum moisture content. The alluvium in the foundation can be characterized as either CL, SM, or SC soils (i.e., high fines content), and field SPT N-values were typically greater than 15 bf. The dam has many defensive design measures to protect against failure in the event of earthquake shaking including ample freeboard to allow for settlement or slumping, wide-plastic core, chimney and blanket filter to lower pore pressures in the downstream slope, and very flat slopes with high static factors of safety against sliding.

PFM ##: Slope instability due to an earthquake leading to crest deformation and overtopping erosion

An earthquake case was considered during the original design for embankment stability assuming a pseudostatic coefficient of 0.1. The factors of safety ranged from 0.9 to 1.1. The critical earthquake failure surfaces were sliding on the base of the clay overburden overlying the Pauline shale (near el. 780 ft NGVD). While the factors of safety approach a limit state, the shear strength characterization using consolidated-undrained strengths (Q-tests) was very conservative and based on preconstruction testing as applied to load cases for rapid loading during construction. The existing foundation strengths below the completed embankment after dissipation of excess pore pressures would be considerably higher. The foundation clay shear strength, which predominantly impacts the factor of safety, used cohesion of 0.65 tsf. Using a simplified undrained strength approach with a conservative c/p ratio (cohesion/effective stress) of 0.25, the current clay shear strength at el. 780 ft NGVD would vary from about 1.0 tsf near the embankment toe to greater than 2.0 tsf near the centerline.

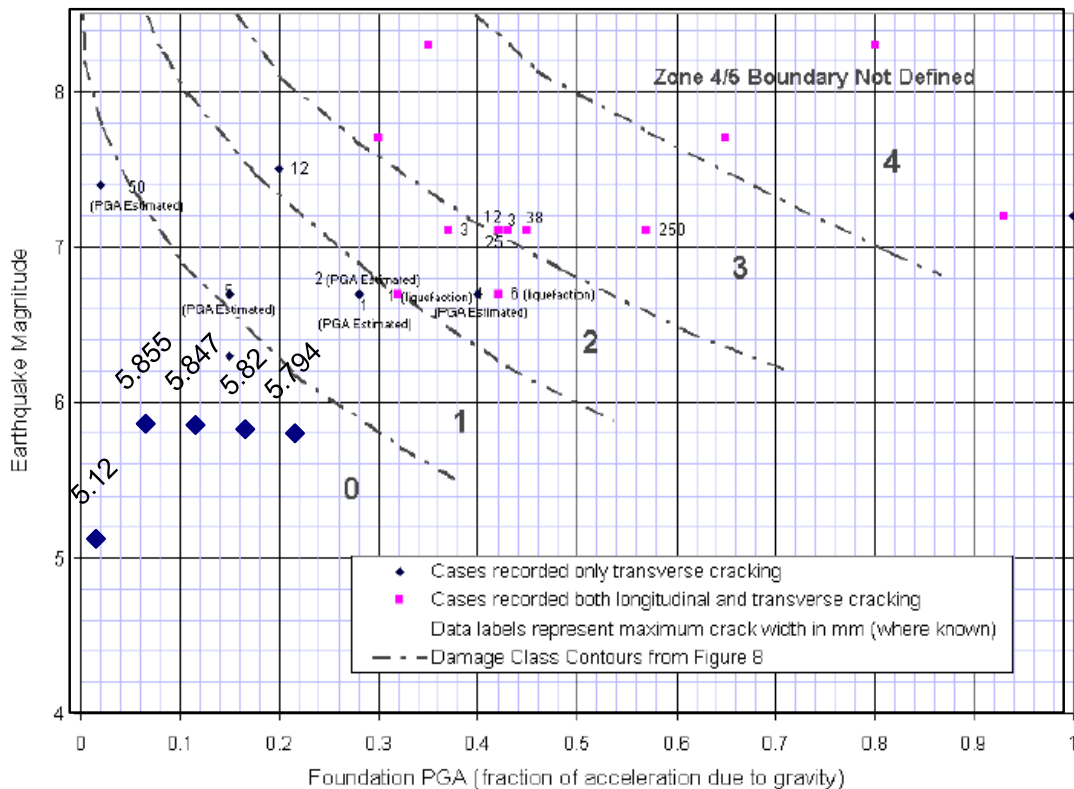
The peak ground acceleration (PGA) for the Maximum Credible Earthquake (MCE) was estimated to be 0.135g, and the USGS (2008) indicates a PGA of 0.14g corresponds to an earthquake with an AEP of 1/10,000. The multi-purpose pool of el. 875.5 ft NGVD provides about 51 feet of freeboard. The dam foundation consists of about 65 feet of lean and fat clays, underlain by a 0 to 6 feet of basal clayey sand and gravel, underlain by clay-shale bedrock. The embankment side slopes are 2.5H:1V above about el. 903 ft NGVD, while the slope of the berms flanking the impervious and random fill zones is generally 8H:1V. At the conduit section, the embankment is steeper at 5H:1V upstream

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and 6H:1V downstream. The likelihood of a large earthquake and slope instability with large crest deformations in conjunction with a large storm approaching the PMF is remote.

PFM ##: Concentrated leak erosion (scour) in a transverse crack in the embankment due to an earthquake

The cross-valley foundation profile is relatively uniform (As-Built 12.34597). The slopes of the right and left abutment rock are relatively flat at about 17 degrees and 18 degrees, respectively. The ground motions at this site are very low. The peak ground acceleration (PGA) for an earthquake with an AEP of 1/ 10,000 is approximately 0.22g. Based on incidences of transverse cracking in earthfill dams compiled by Pells and Fell (2002, 2003), the likelihood of cracking is remote (Damage Class 0 – no or slight) for PGA values less than 0.3g and the expected M_w of less than 5.9 from the USGS 2002 Banded Deaggregation tool, as shown below.

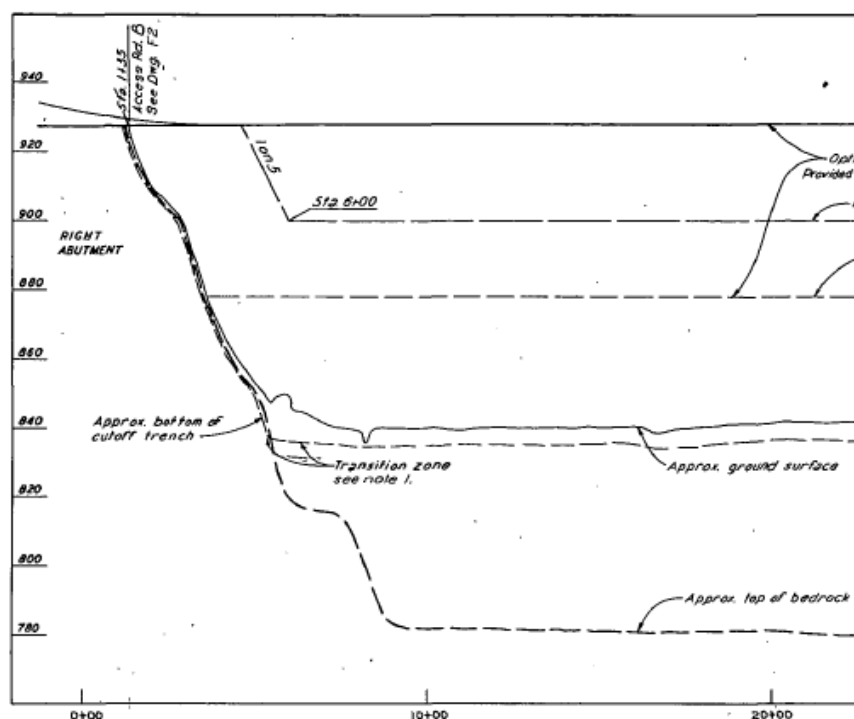


PFM ##: Concentrated leak erosion (scour) in a transverse crack in the embankment due to an earthquake between stations 6+00 and 8+00 (bench in right abutment profile)

The peak ground acceleration (PGA) for the Maximum Credible Earthquake (MCE) was estimated to be 0.135g, and the USGS (2008) indicates a PGA of 0.14g corresponds to an

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earthquake with an AEP of 1/10,000. The dam foundation consists of about 65 feet of lean and fat clays, underlain by a 0 to 6 feet of basal clayey sand and gravel, underlain by clay-shale bedrock. The measured settlement is discussed under PFM XX. The embankment materials consist of similar deformability characteristics with a plasticity index generally greater than 15. An approximately 100-foot-long bench is located in the right abutment at about el. 815 ft NGVD, or about 113 feet below the design crest elevation. An 8-foot-thick, inclined pervious drain (filter) provides defensive measures against this potential failure mode up to el. 903 ft NGVD (ACE of about 1/1,600). The multi-purpose pool of el. 875.5 ft NGVD provides about 51 feet of freeboard. The likelihood of a large earthquake in conjunction with a large storm approaching the PMF is remote.



PFM ##: Seiche caused by earthquake

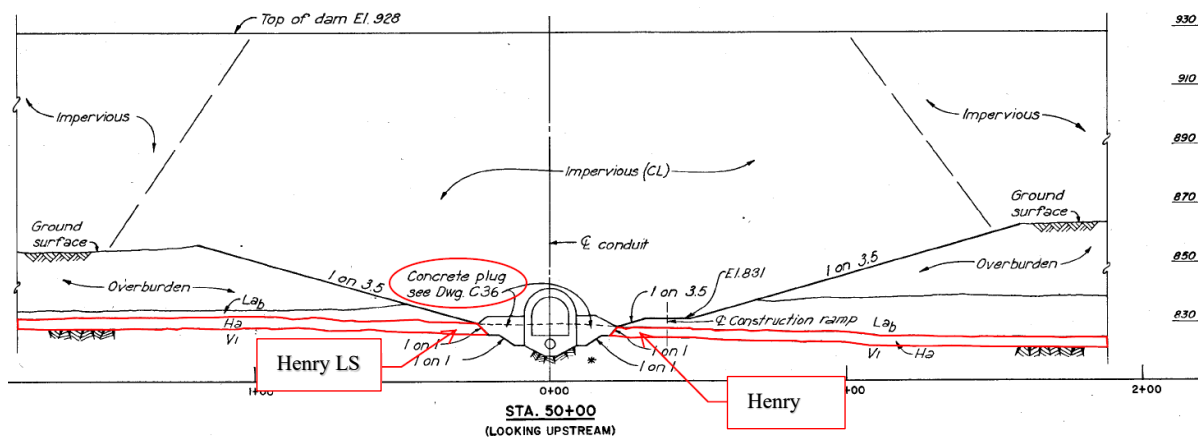
Significant instability to cause a seiche due to an earthquake was judged to be remote because the topography around the reservoir rim is relatively flat, and the foundation bedding is typically horizontal.

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G.6 Example of Foundation Potential Failure Modes

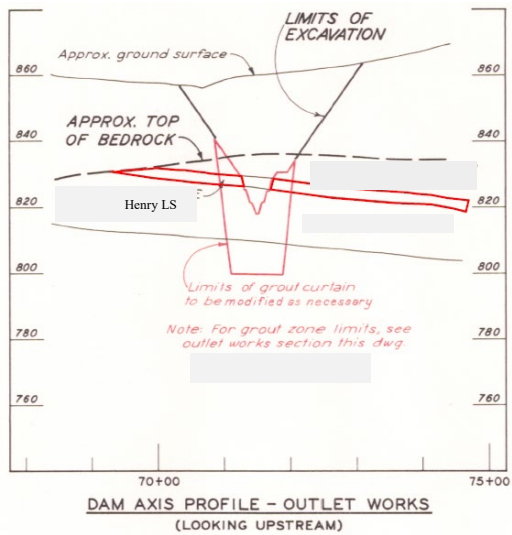
PFM ##: Internal erosion into or along an open rock defect in the Henry Limestone in the outlet works foundation

The Henry Limestone was exposed in the outlet works excavation. The outlet works foundation was grouted at the dam centerline with the relatively small grout takes in the Henry Limestone. The 2.5- to 5-foot-thick formation is not known to have widened joints or solution features capable of accepting large quantities of material. A lean concrete plug was placed along conduit between stations 49+76 to 50+26 (dam centerline at station 50+00) to the top of the Henry Limestone (about el. 825 to 830 ft NGVD). Therefore, the limestone is not in contact with the embankment at the right abutment so erosion of the embankment into any open rock defects is not possible.



Portion of concrete plug along conduit
(outlet works station 50+00 and dam station 71+50)

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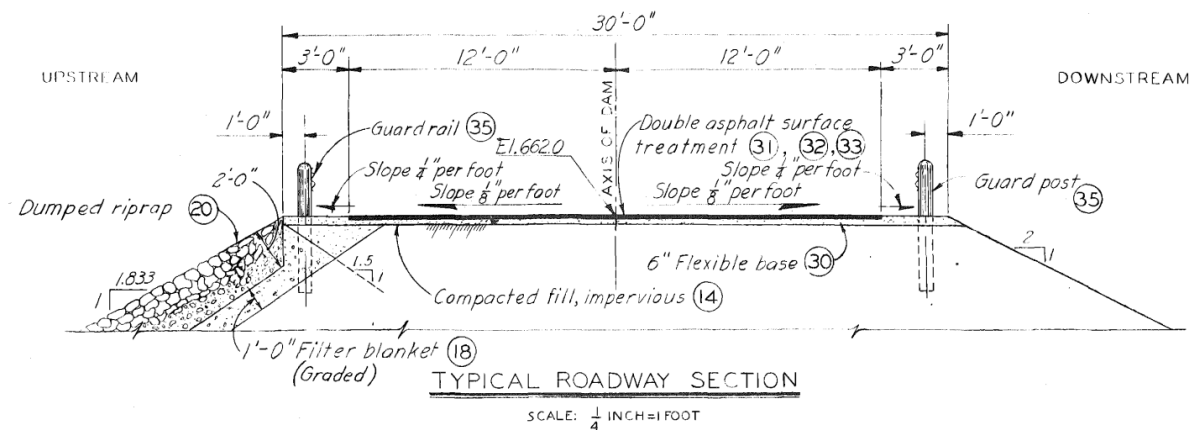
G.7 Overtopping and Overwash Erosion Potential Failure Modes

PFM ##: Overtopping erosion of the embankment

The lowest actual crest elevation of el. 663.04 ft-NAVD88, and the estimated PMF elevation is el. 658.58 ft-NAVD88. According to a 1982 study, the estimated all-direction wind setup is 0.09 foot resulting in 4.37 feet of freeboard. The combined maximum water surface elevation and wind setup do not overtop the dam. Therefore, this potential failure mode is clearly negligible.

PFM ##: Overwash erosion of the embankment

The lowest actual crest elevation of el. 663.04 ft-NAVD88, and the estimated PMF elevation is el. 658.58 ft-NAVD88. According to a 1982 study, the total increase in maximum water surface elevation is 4.71 feet based on an estimated all-direction wind setup of 0.09-foot and wave run-up of 4.62 feet. At the PMF with an ACE of approximately 1/100,000, sustained wind/wave action intermittently overtops the dam by 0.25-foot for approximately 6 hours. Only waves exceeding 4.37 feet will overtop the dam. The embankment consists of impervious fill, primarily classified as CL type soil (lean clay) with some CH type soil (fat clay). The downstream slope consists of mowed grass, and the asphalt-paved FM Road 23371 runs along the crest of the dam. Guard rails and posts are located on both sides of the road. The likelihood of overwash erosion leading to dam breach is considered remote because of the very shallow overtopping depth and relatively short duration of overtopping of the paved crest and grassed downstream slope. Therefore, the potential failure mode was considered clearly negligible and excluded from further consideration.

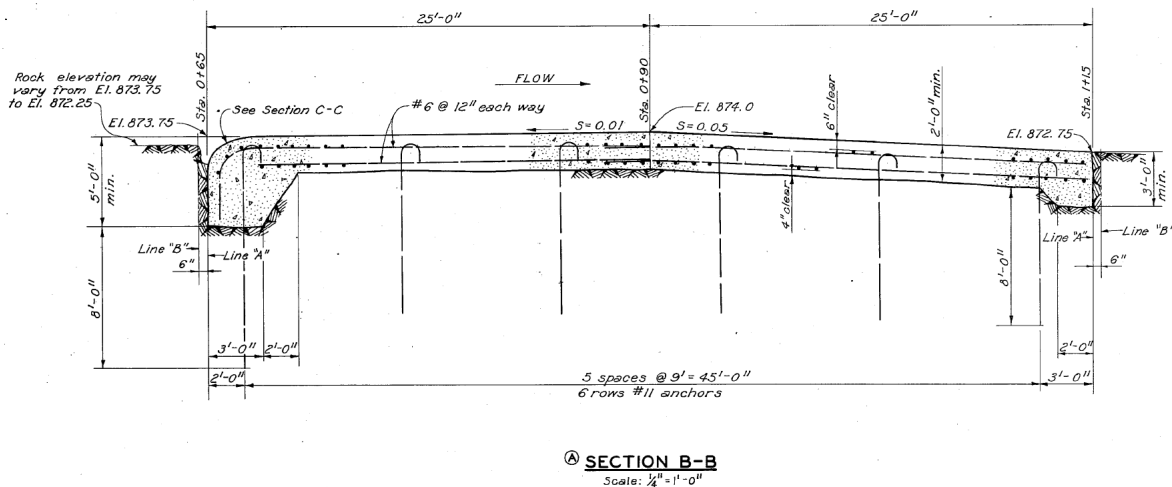


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G.8 Examples of Spillway Erosion Potential Failure Modes

PFM ##: Spillway erosion

The uncontrolled spillway was excavated in dolomite and is not lined. The crest elevation of the spillway is el. 874 ft NGVD, which corresponds to an ACE of about 1/150. The exit chute is approximately 700 feet long at a 5 percent slope. It terminates near the head of an existing ravine. The spillway has a 2-foot-thick, reinforced-concrete control sill with a turndown thickness of 5 feet upstream and 3 feet downstream that is anchored 7 feet into bedrock. The spillway channel is excavated in durable rock with approximately 8-foot joint sets. It is expected that the weathered rock would be stripped quickly, but erosion would then slow once the more durable underlying rock was exposed. The erosion mechanism would likely consist of plucking; however, headcut migration to the control sill is considered very unlikely due to the size of the joint sets and the length of the erosion path. The expected duration of flow through the spillway is about 3 days, and the maximum water depth over the spillway channel is about 1.9 feet. The likelihood of eroding approximately 700 feet of competent rock and removing a portion of the control sill during the relatively short duration of the PMF is so remote and is considered to be clearly negligible.

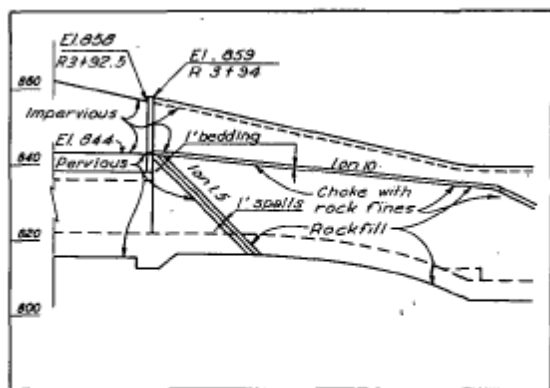


Spillway Control Sill Detail (As-Built Drawings)

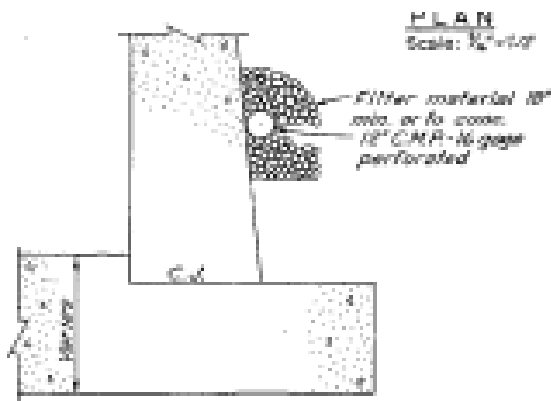
G.9 Examples of Stilling Basin Potential Failure Modes

PFM ##: *Failure of the stilling basin stilling basin walls leading that progressively erodes the toe leading to overtopping erosion*

The stilling basin walls are backfilled with rockfill from the bottom of the stilling basin floor (el. 806.25 ft NGVD) up to the top of the stilling basin wall el. (841 ft NGVD). The rockfill is drained by a 12-inch-diameter, perforated CMP near the base of the wall. This CMP connects to a wall drain in the stilling basin. The CMP has not been inspected since installation. During a flood, it is very likely that there will be water in the stilling basin and behind the stilling basin which would result in equalized pressures on the wall. Instability of the stilling basin walls is very unlikely. Progressive erosion of the embankment toe leading to overtopping erosion would take considerable time given the relatively flat embankment slopes and the plasticity of the embankment materials. Therefore, several events must occur in series to cause failure, and the likelihood of those events is so remote and is considered clearly negligible.



STILLING BASIN BACKFILL DETAIL
Not to Scale

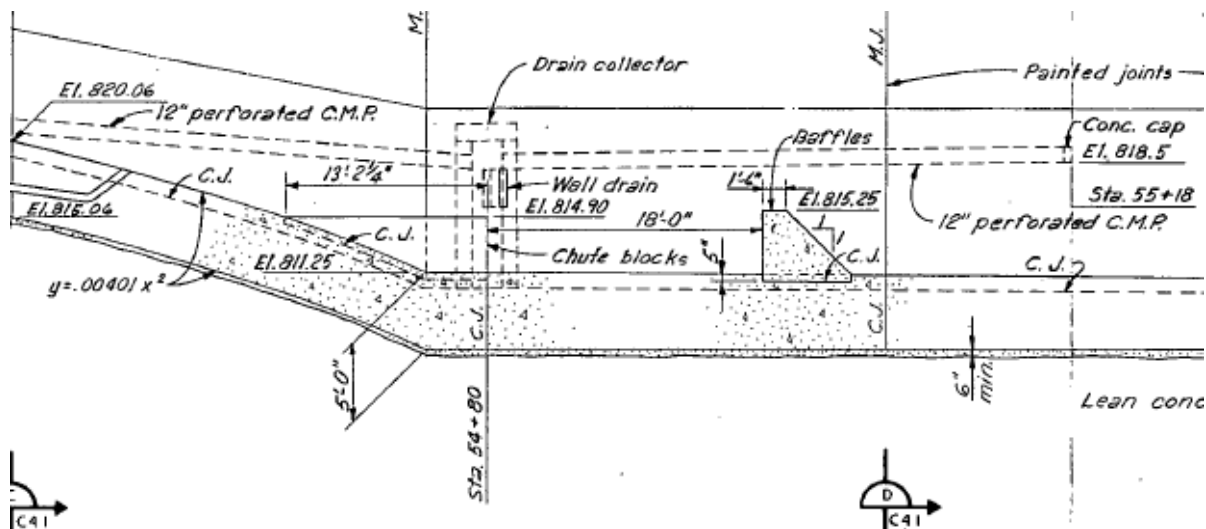


WALL DRAIN DETAIL
Not to Scale

PLAN
Scale: 1/4" = 1'-0"

Filter material 18" mesh or finer
12" CMP - 16 gauge perforated

RECORD DF
DECEMBER 1981



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PFM ##: Overtopping of the stilling basin stilling basin walls that progressively erodes the toe leading to overtopping erosion

The training walls of the stilling basin are backfilled with rockfill from the bottom of the stilling basin floor (el. 806.25 ft NGVD) up to the top of the stilling basin wall (el. 841 ft NGVD). Progressive erosion of the embankment toe leading to overtopping erosion would take considerable time given the relatively flat embankment slopes and the plasticity of the embankment materials. Therefore, several events must occur in series to cause failure, and the likelihood of those events is so remote and considered clearly negligible.

G.10 Example of Intake Tower Potential Failure Modes due to an Earthquake***PFM ##: Failure of intake tower during earthquake leading to internal erosion of the embankment into conduit***

Seismic loading was not considered in the design of any of the structural features. According to the USGS (2008), peak ground acceleration (PGA) for the Maximum Credible Earthquake (MCE) was estimated to be 0.135g, and the USGS (2008) indicates a PGA of 0.14g corresponds to an earthquake with an AEP of 1/10,000. According to the foundation report, the intake tower is founded on moderately hard sandstone. Several events must occur in series to cause failure due to internal erosion, and the likelihood of those events is so remote. This potential failure mode was considered clearly negligible.

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G.11 Examples of Gate-related Potential Failure Modes***PFM ##: Uncontrolled release from the service gates due to stainless steel roller chain binding in the slot with the gate in the open position***

Inspection reports indicated that roller chains have experienced cracking of the rollers and failure of the roller keeper rings. Failure of a roller or keeper ring could result in failure of the roller chain. Failure of the roller chain has been reported to result in jammed gates at other projects. Recent inspection reports indicated that the roller chains and gates have been rehabilitated. The project has two service gates and one emergency gate that is designed to close under flow. The downstream channel capacity is 3,000 cfs, and the maximum release from one gate exceeds the channel capacity. According to the reservoir control manual, the gates are either closed or releasing minimum flow up to a pool elevation 1289 NGVD. Operation permits the increase of flows beyond minimum flow up to a pool elevation of 1290 ft NGVD. At el. 1290 ft NGVD, releases are required to increase above 4000 cfs. If the pool rises above el. 1294 ft NGVD, the operation manual requires the gates to open to full open. The gates are designed to be full open with spillway release. In order for this failure mode to result in significant consequences, the roller chains would need to break in the full open position during a high pool event. The gates are either not opened for lower pool events or are fully open during major flooding events already.

PFM ##: Overtopping erosion of the embankment due to the service gates failing to open to pass flow

Inspection reports indicate that roller chains have experienced cracking of the rollers and failure of the roller keeper rings. Failure of a roller or keeper ring could result in failure of the roller chain. Failure of the roller chain has been reported to result in jammed gates at other projects. Recent inspection reports indicated that the roller chains and gates have been rehabilitated. The project has two service gates and one emergency gate that are designed to close under flow. According to the reservoir operations manual, the gates are either closed or releasing minimum flow up to a pool elevation of 1289 ft NGVD. Operation permits the increase of flows beyond minimum flow up to a pool elevation of el. 1290 ft NGVD. At el. 1290 ft NGVD, releases are required to increase above 4000 cfs. Conduit capacity is 12,700 cfs total with both gates open. If the pool rises above el. 1294 ft NGVD, the operation manual requires the gates to open to full open in order to release the required 10,000 cfs. With one gate closed, the conduit could still release approximately 6,000 cfs from the open gate. This would permit the system to function between el. 1290 and 1294 ft NGVD. The gates are designed to be full open with spillway release. The gates are either not opened for lower pool events, or full open during major flooding events already. With limited release capacity of 6,000 cfs due to a jammed closed gate, overtopping would still not occur, therefore this potential failure mode was considered clearly negligible.

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PFM ##: Uncontrolled release from the service gates due to loss of a hoist and inability to prevent flow caused by an earthquake

While it is possible that release from a single gate could exceed downstream channel capacity, the gates are closed or only minimally open at pool elevations below 1289 feet NVGD 29. Releases at this elevation will exceed the downstream channel capacity. However, prescribed gate operations do not require additional opening (from minimal) of the gates until reaching this elevation and therefore the non-breach consequences will have already occurred at that point. The ground motions are relatively low (i.e., PGA of 0.22g for an AEP of 1/10,000), and the likelihood of ground motions large enough to cause the loss of a hoist is also low.

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APPENDIX 17-H: MAJOR FINDINGS AND UNDERSTANDINGS – EXAMPLE WRITE UP

Given below is an example write up of the Major Findings and Understandings gained from a Potential Failure Mode Analysis for a project consisting of a main concrete dam incorporating a power station and two auxiliary embankment dams. Although this was an actual study and presents the actual findings, the names of the dams and the river in the example are not the real names.

- Currently in the event of a very large flood on the Blue River, approaching the PMF, overtopping failure of Auxiliary Dam 1 is the main point of vulnerability at the project. This is because the crest of Auxiliary Dam 1 is at a lower elevation than is the crest of Auxiliary Dam 2. In the event of Auxiliary Dam 1 failure, peak discharges downstream would nearly triple (from about 1900 m³/s at failure to 5700 m³/s at breach) and the consequences of failure of Auxiliary Dam 1 would be high (life loss potential and large economic losses). On the other hand if Auxiliary Dam 2 were to be established at a lower elevation than Auxiliary Dam 1 and thus allowed to fail from overtopping the effects and consequences of overtopping failure would be significantly less. Auxiliary Dam 2 failure peak discharges downstream are estimated to only be slightly larger than flows resulting from the PMF (from about 2100 m³/s at PMF to 2400 m³/s at breach). Several measures to achieve overtopping failure risk reduction are identified in the report and the best alternative should be selected after an appropriate risk management evaluation. However, the Potential Failure Mode Analysis team emphatically concluded that it is essential that as long as the potential for overtopping failure of the earthfill dams exists, Auxiliary Dam 2 should be established at a lower elevation than Auxiliary Dam 1.
- Dam failure as a result of internal erosion is a physically possibility at Auxiliary Dam 1 as the result of one or more potential flow paths. Although there is no unequivocal physical evidence that internal erosion has occurred or will occur in the future, the nature and relationship of the materials in the dam and foundation, the water level and piezometric observations, and the performance of the structure (observation of surface seepage and a depression at the toe) allow for this possibility. Further the surveillance and instrumentation have not been extensive enough to rule out the possibility that internal erosion episodes (turbid water or particle transport) have occurred, and even if they had been transport of material could occur subsurface and thus not be amenable to observation. The consequences of a “sunny day” internal erosion failure of Auxiliary Dam 1 would be high with a greater life loss potential due to the possible lack of advance warning. From the standpoint of the Potential Failure Mode Analysis Team, awareness of this potential internal erosion condition is a key finding of the study as this potential failure mode is the most significant structural vulnerability found at the project. Several risk reduction measures, both structural and non-structural

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were identified and should be considered in the risk management evaluation of the project.

- A potential foundation failure mode identified for the Main Dam was the only PFM of significance identified for this structure. Although, this foundation potential failure mode is considered physically possible it is highly probable that a foundation stability analysis would show that the factor of safety against failure is quite high and thus risk reduction measures would not be required. Thus, the Potential Failure Mode Analysis team considers that analysis rather than consideration of remedial work is the appropriate initial course of action relative to this potential failure mode.

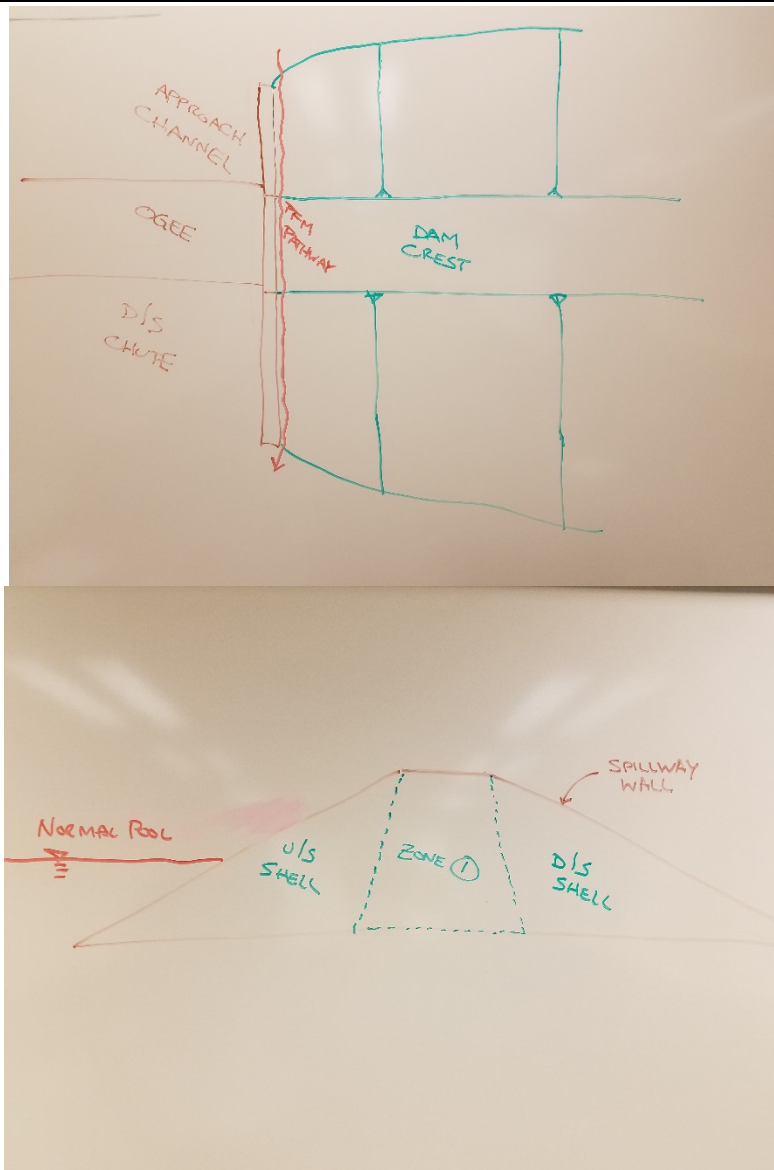
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APPENDIX 17-I: EXAMPLE COMPLETED PFM TEMPLATE

Thisis Notur Dam	
PFM Information	
Structure	Main Dam
Loading Condition	Normal
PFM Failure Type	Internal Erosion
Location(s)	Right abutment along left spillway training wall
PFM Source	2016 PFMA
PFM Source Date	December 2016
PFM Description	
PFM No.	TND-MD-N-IE-03
PFM Title	Concentrated leak erosion along left spillway training wall
PFM Description	With the reservoir at normal pool, concentrated leak erosion initiates along a crack between the zone 1 embankment and the left concrete spillway training wall. Hydraulic gradients are sufficient to initiate erosion of the finer zone 1 materials and transport them along the crack to the downstream toe of the embankment. No filter exists downstream along the flow path and erosion continues. Sufficient fines in the zone 1 hold the crack and sufficient fines in the upstream and downstream shells do not provide flow limiting and the erosion progresses. Detection of the increasing flows are obscured by the large downstream rockfill materials and the erosion progresses undetected. Intervention is unsuccessful and the flows erode an increasingly large channel along the contact and uncontrolled release of the reservoir results.
PFM Classification	<input type="checkbox"/> Ruled Out <input type="checkbox"/> Clearly Negligible <input type="checkbox"/> Insufficient Info <input checked="" type="checkbox"/> Credible <input type="checkbox"/> Urgent Credible
Classification Justification	This potential failure mode is considered credible. The presence of erodible materials within the embankment core, lack of a suitable downstream filter, and questionable construction control at this critical location all factor into this potential failure mode being credible.

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PFM Sketch(s)

**Additional Supporting Information (if needed)**

This PFM is also considered during flood loading conditions. See PFM No. TND-MD-F-IE-03.

Performance Monitoring Information

Little to no seepage is reported at this location. Typically the reservoir spends only a few weeks a year at the normal pool elevation. It is unclear from the records if any seepage or flow occurs at this location when the reservoir is high. No instrumentation is installed at this location to measure flows, settlements, or pressures.

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Evaluation Factors	
Adverse (More Likely)	Favorable (Less Likely)
No downstream filter	
Zone 1 core is considered moderately erodible due to lower plasticity	Core is considered not dispersive.
Hydraulic gradients are not high, but considered high enough to initiate erosion	Reservoir head is only about 10 feet
Presence of large nested rocks in rockfill downstream make detection very difficult	
Vegetation at contact can also obscure observations	
Limited to no information is available about how materials were placed and compacted at this location.	
It does not appear that the concrete spillway wall is battered at this location, therefore making compaction a bit more difficult.	
Consequences	
Life Safety Consequences	
Consequence Description	Breach dimensions would likely be limited and breach formation time could be longer, both of which could limit outflows from a breach at this location. Given that, limited inundation studies indicate that flow depths and velocities would be high enough in downstream population centers and dispersed populations downstream of the dam to result in some loss of human life.
Other Consequences	
Consequence Description	A number of residences, commercial structures, industrial structures, and agricultural facilities (livestock and crops) would be impacted. Critical infrastructure, including a regionally-important state highway bridge would likely be significantly damaged or destroyed.
Potential Interim Risk Reduction Measures/ Potential Dam Safety Management Actions	
Potential Risk Reduction Measures	Remove and keep vegetation along contact cut back to facilitate observation. Stockpile filter sand and sandy gravel that could act as a crack stopper or flow limiter should this PFM activate. Install a filter downstream of the zone 1 at this location.
Inspections Actions	Routinely inspect contact for the presence of a gap or crack between the spillway wall and the embankment. Provide photographic evidence. During higher reservoir levels, this area should be inspected at least daily to see if this PFM occurs.
Surveillance and Monitoring	Consider finding a way to install a weir to measure any seepage along the pathway.

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EAP	Initial flows would likely be limited due to at least some plasticity within the zone 1 and shell materials. Breach formation time should be many hours to fully develop.
Follow up Studies	Consider a focused trenching investigation to evaluate if a gap is present at this location and how deep the crack(s) go. Limited information indicates that the zone material is likely not dispersive; however, no dispersive testing has been performed. Obtain samples of the core material to investigate if the material is dispersive.
Others	
Other Notes/Comments	

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APPENDIX 17-J: GENERAL FORMAT FOR POTENTIAL FAILURE MODE ANALYSIS REPORTS

I. Introduction and Background

Purpose / description of study

List key members of the PFMA team including the facilitator(s), subject matter experts, and other participants. Provide dates and location(s) of the PFMA session.

List key reference documents.

II. Description of Dam and other Key Features

Provide a general description of the dam and project features. The description does not need to be to the same level of detail as the project description included in the Part 12D Report.

III. Major Findings and Understandings

List the Major Findings and Understandings (MFU) from the PFMA. Highlight important MFU's identified and discussed by the team.

IV. Potential Failure Modes Identified

A list of candidate potential failure modes should be provided.

Provide a discussion of the screening of the potential failure modes, including justifications for why potential failure modes were considered 'ruled out', 'clearly negligible', and 'insufficient information'.

For each credible potential failure mode identified there needs to be:

- A detailed description of the Potential Failure Mode and potential adverse consequence (scenario developed by the team [**including a sketch where applicable**] and a discussion of the potential adverse consequences of the formulated scenario.)
- A listing of factors that indicate the PFM is more likely or less likely to occur.

The potential dam safety management activities identified during the discussion of each potential failure mode should also be documented in the report.

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V. Summary and Conclusions

This section should include a review of the number of potential failure modes identified, any study-specific comments related to the potential modes of failure, and a summary of potential actions identified in the PFMA with respect to potential dam safety management activities.

Appendix to Report

Key supporting data and information and references, figures, sketches, photos made during field review showing key elements of dam and auxiliary features should be included along with any photos that show conditions leading to potential failure modes.

Note 1: The report of the PFMA session, although it will reside in and be appended to the STID, should be prepared as a standalone document.

Note 2: Use of tables to present Potential Failure Modes information

Tables may be an effective way to present the information related to each potential failure mode identified. However, it may not be possible to fully describe the potential failure mode in a table format. It is important to remember that the description of the potential failure mode must provide a complete understanding of the intent of the team to reviewers 5 to 25 years in the future. Thus, if tables are to be used then extra care must be taken by complete description in Section IV text to ensure that future reviewers obtain a full understanding of the team's meaning and intent. Tables may be used as a means to summarize or supplement a more complete written description of potential failure modes.

Document Content(s)

AD20-22-000 Draft Guideline Ch 17.PDF.....1-118