

A photograph of a dam with water flowing over it, overlaid with a blue gradient and yellow text. The dam is a concrete structure with a spillway on the left. The water is a deep blue color. The background shows a landscape with some trees and a clear sky. The text is centered and reads "Dam Safety in a Water Resource Environment".

Dam Safety in a Water Resource Environment

What is "Dam Safety"?

- A hassle to do an inspection once in a while
- Something that is somebody else's responsibility
- It has no influence on water resource management so we don't need to give any due attention
- When doing water resources management only optimise from water resources perspective









An aerial photograph of the Baldwin Hills in Los Angeles. The image shows a large, dark, jagged rock formation in the upper left quadrant. Below it, a large, rectangular, light-colored building with a flat roof is visible, surrounded by a parking lot and some smaller structures. The foreground is filled with dense, green, scrubby vegetation. The background shows a flat, open landscape under a clear sky.

Baldwin Hills

Definition of Dam Safety

- Dam safety is concerned with two closely related but different aspects:
 - The safety of the dam and appurtenant structures; and
 - The safety of the population, property & the environment in the vicinity of or downstream from the dam
- It spans the whole life cycle from planning to decommissioning
- It is an unfortunate fact that periodically dams do fail, sometimes causing extreme damage and loss of life downstream

Dams Safety

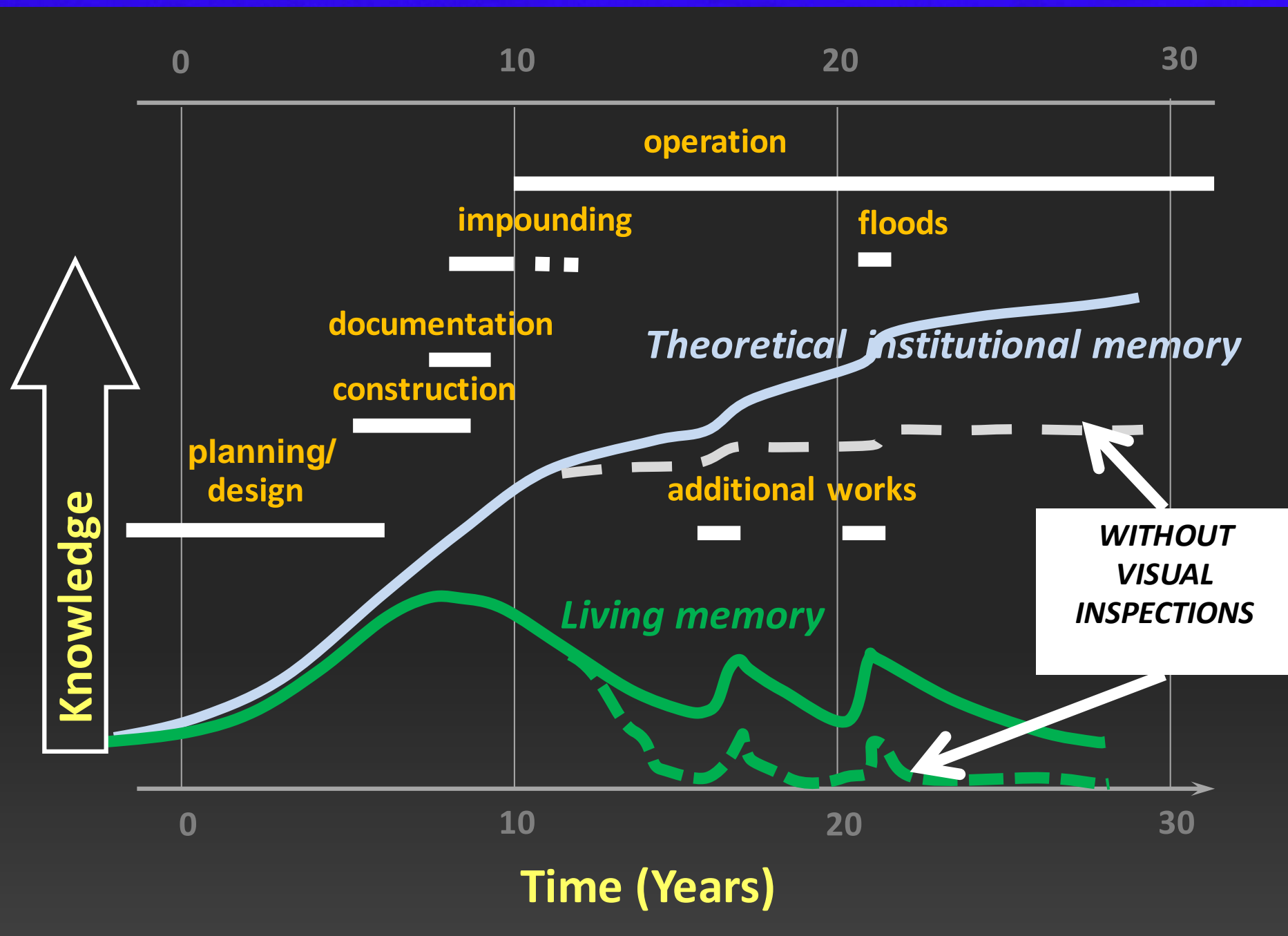
- Dams provide enormous benefits to society world wide
- However, the vital services that they provide can also be accompanied by serious hazards
- During the 1950's and 1960's there was growing international concern about the safety of dams

Safety Concerns Generally

- Originally dams were built in remote areas far removed from population centers
- This has changed in recent years
- As more and more people move in to vulnerable areas downstream of dams, concern about potential failure of dams becomes increasingly important

The Need for Considering Risk

- Engineering planning/design = process of making complicated decisions using all available data
- Because the data are always limited by time, budget or physical constraints, these decisions have to be made under uncertainty
- Dealing with uncertainty is such an intrinsic part of their work that many managers, planners and designers do not give this conscious consideration
- Some overlook the fact that the main part of their work is risk management



Knowledge

Time (Years)

operation

impounding

floods

documentation

construction

planning/
design

additional works

Living memory

Theoretical institutional memory

WITHOUT
VISUAL
INSPECTIONS

WHAT IS THE LIFESPAN OF A DAM?





THE CORPORATION OF THE CITY OF CARE TOWN

THIS THE LAST STONE OF THE DAM WAS LAID BY

HIS WORSHIP THE MAYOR

SIR JOHN WOODHEAD, J.P.

ON

THE FIRST DAY OF MAY 1897

BEING THE YEAR OF THE DIAMOND JUBILEE OF
HER MOST EXCELLENT MAJESTY QUEEN VICTORIA



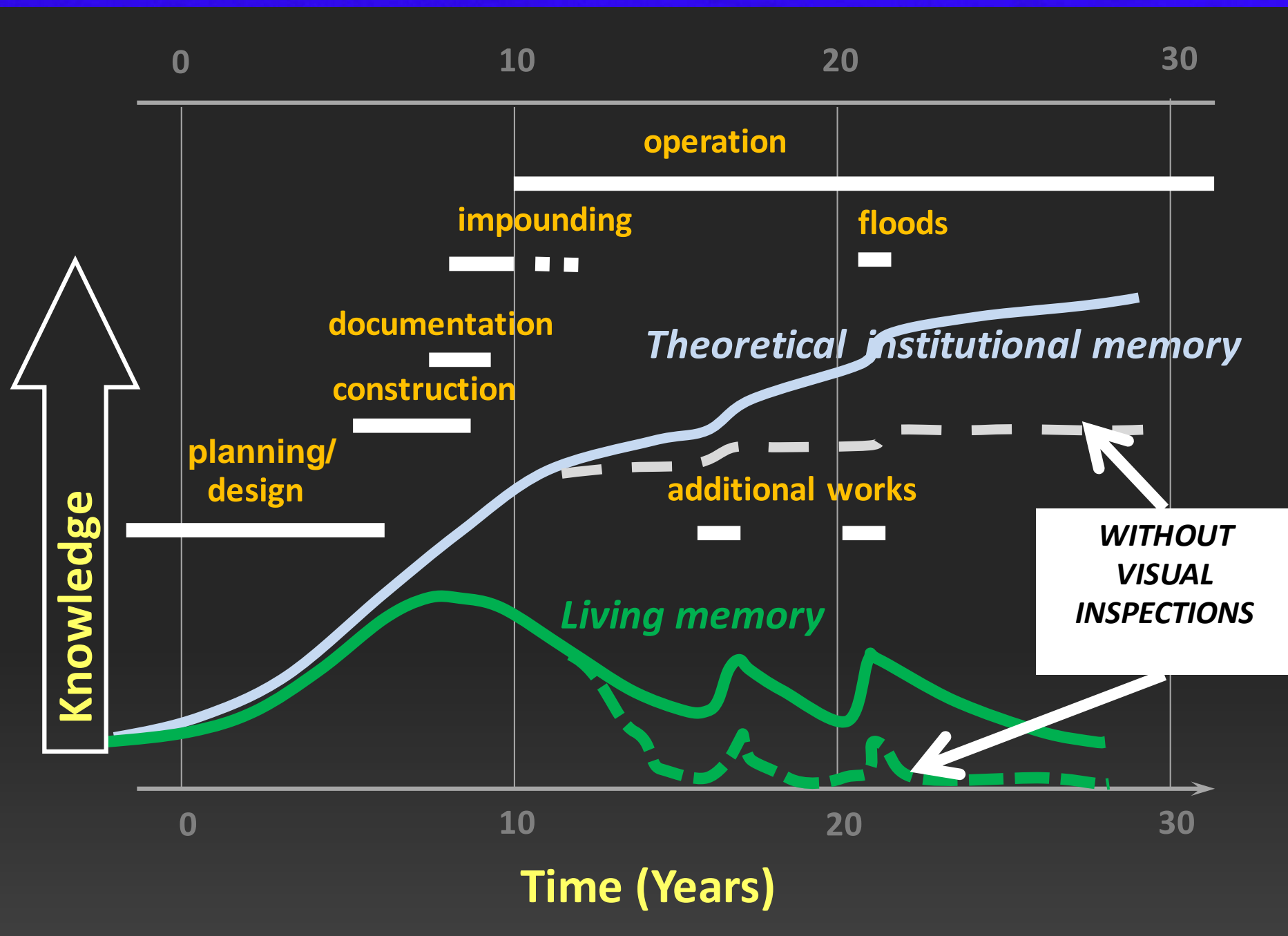












Key objectives

- Public & environment shall be protected from effects of dam failure = risks as low as reasonably practicable
- Due diligence exercised at all stages of dam's life cycle
- Dam safety management system implemented
- Include the management of environmental and socio-economic issues

Key objectives

- Dam Safety effort = potential consequences of dam failure
- Decisions be based on risk posed – life cycle
- Dam Safety = life cycle
- Document O&M (incl. surveillance)
- Operate, maintain & surveillance of dam = documented procedures
- Flow control equipment tested & capable of operation
- Regular safety review
- Use of qualified engineer/person/team

Key objectives

- Dam safe to handle loads
- Define components
- Identify hazards - internal & external
- PFMs identified
- Effective emergency management process documented & implemented & tested regularly

Dam safety consideration summary

- 1) Dam Safety Management: Responsibility & accountability of dam owner, regulatory authorities, dams engineers and operators
- 2) Risk Informed Decision Making: Establishes the design basis and level of care
- 3) Planning: Factors to be addressed in project planning
- 4) Investigations: Includes feasibility stages of investigations and design
- 5) Design: Concepts, hydrological, geological factors and stability
- 6) Construction: Construction contract management quality control
- 7) Commissioning: Safety issues in first filling and project commissioning
- 8) Records: Design and construction
- 9) Operations and Maintenance: Procedures for reservoir filling and operating strategies
- 10) Surveillance: Inspections, monitoring, assessment and reports
- 11) Safety Reviews: Potential failure modes analysis (PFMA), risk analysis
- 12) Dam Safety Emergency Planning: Preparedness and Response
- 13) Remedial Actions: Decision making and implementation
- 14) Environmental Issues: Factors affecting dam safety
- 15) Trans-boundary Considerations: Factors affecting dam safety

A photograph of a dam with a large breach in the center, surrounded by water and vegetation. The dam is a concrete structure with a large hole in the middle, and water is flowing through it. The surrounding area is green with trees and bushes. The sky is blue.

Dam Safety Regulation in South Africa: 32 years down the line

History

- Early attempts in 1970s unsuccessful - very little political support
- Visit to US, UK & Europe ⇒ in 1984 & promulgation of regulations in 1986
- Formation of regulator (Dam Safety Office) in 1986
- New Constitution in 1996
 - Human centred but also protection of environment
- New National Water Act 1998 - included environmental impact
- Update of regulations in 2012 - included environmental impact







NO LARGE DAM HAS
FAILED THAT WAS
DESIGNED OR BUILT
UNDER DAM SAFETY
LEGISLATION



Classification

- Size (height)

Size class	Maximum wall height (m) (from the river bed level to the highest point of the dam)
Small	< 12 m
Medium	≥ 12 m but < 30 m
Large	≥ 30 m

Classification

- Hazard potential

Hazard potential rating	Potential loss of life	Potential economic loss	Potential adverse impact on resource quality
Low	None	Minimal	Low
Significant	≤ 10	Significant	Significant
High	> 10	Great	Severe

Classification

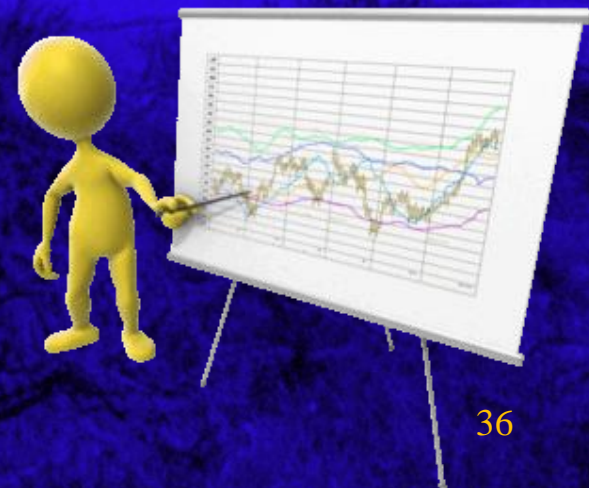
- Category classification

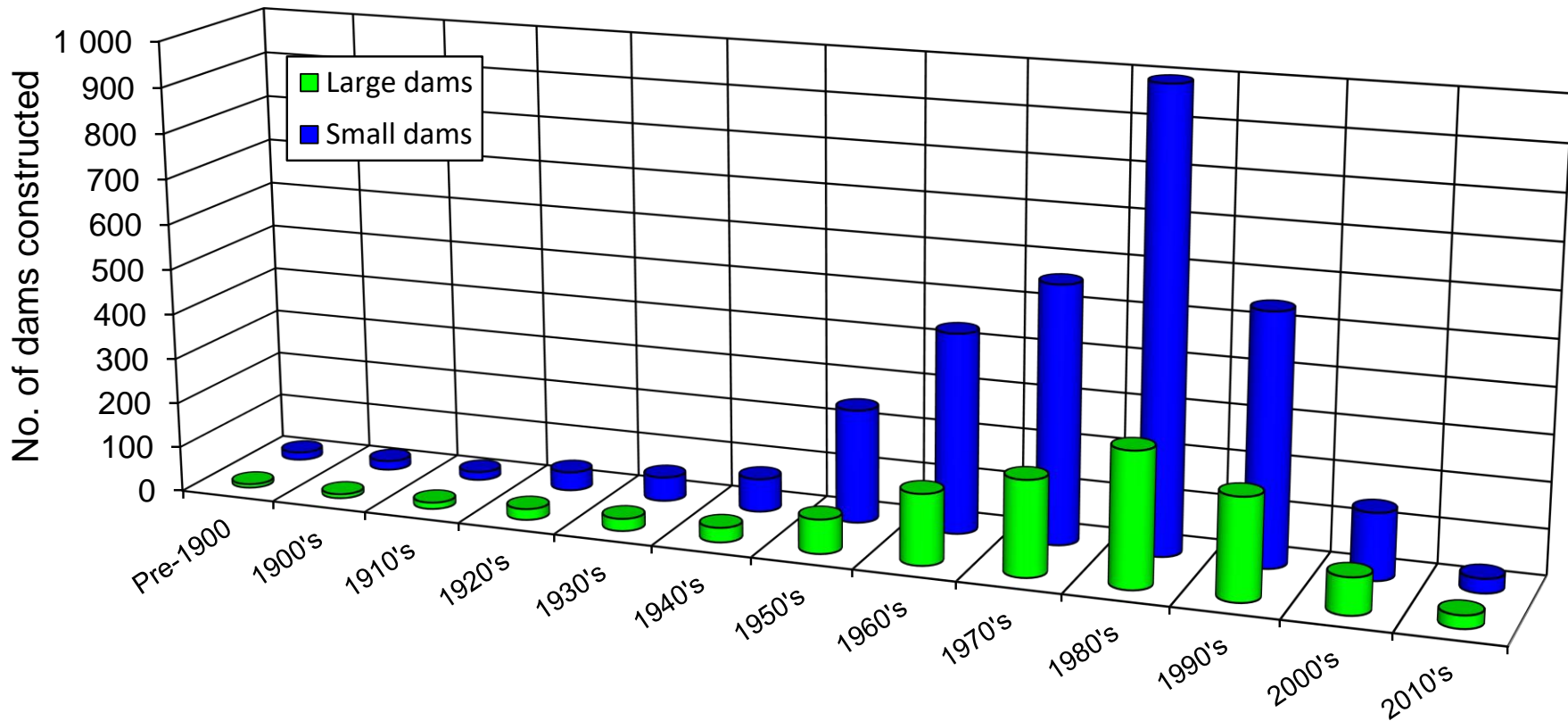
Size class	Hazard potential rating		
	Low	Significant	High
Small	Category 1	Category 2	Category 2
Medium	Category 2	Category 2	Category 3
Large	Category 3	Category 3	Category 3

Some important concepts

- Regulator = Dam Safety Office = important archive of existing info
- Use of Approved Professional Person (qualifications & experience)
 - Category 2 = APP
 - Category 3 = APP & professional team
 - APP approved each time for each task @ dam including construction
- Updates in 2012:
 - Consider impact on environment
 - Freeboard survey during each safety evaluation (previously based on existing info)
- Reporting of failures/incidents to the regulator
- Dirty water regulations
- Water use

DAM STATISTICS





Dam statistics

- Registered (Feb 2018)

- Total = 5 462

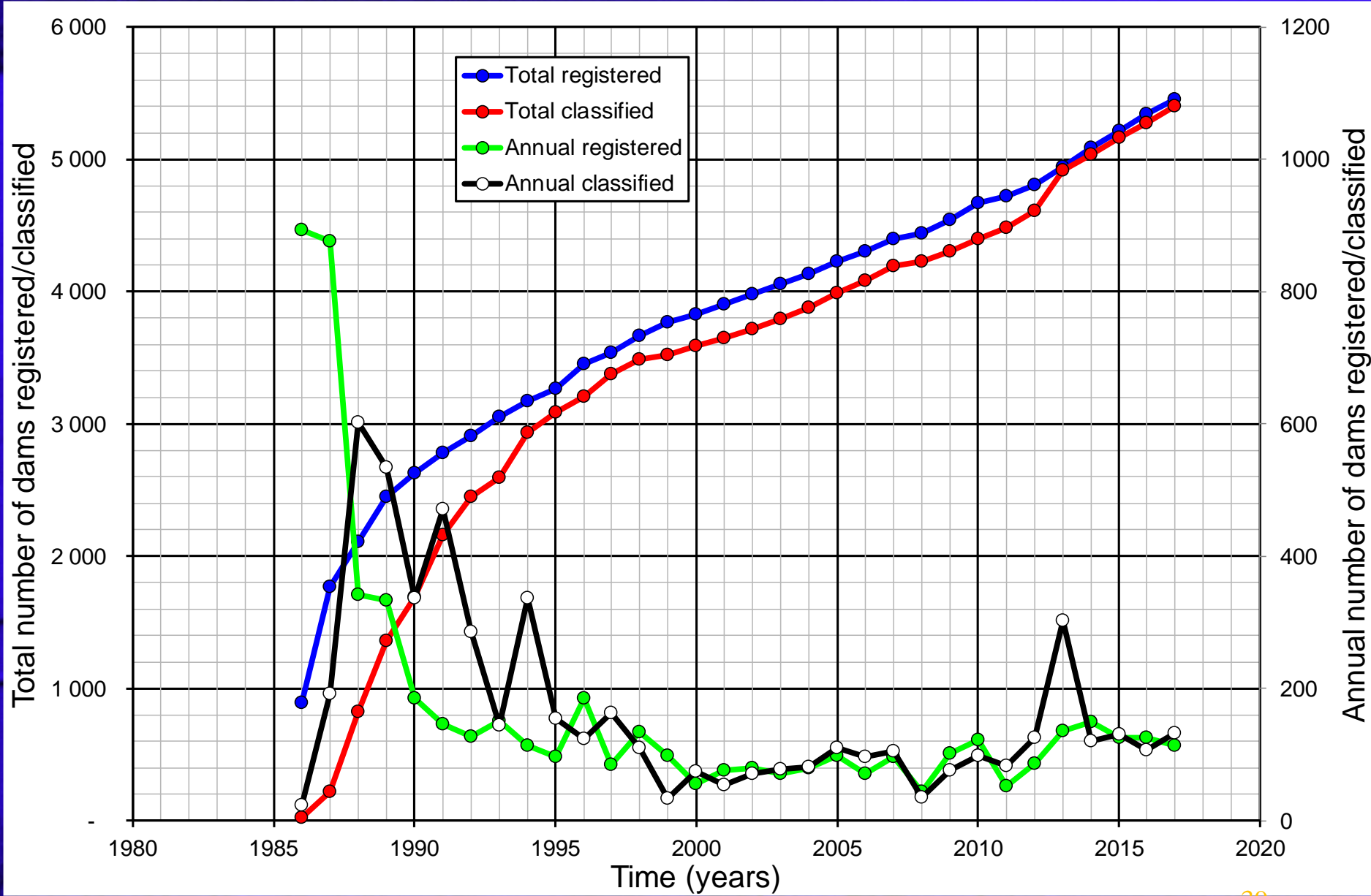
- Small dams = 4 616

- Large dams = 846

- Category 1 = 57.8%

- Category 2 = 36.6%

- Category 3 = 5.5%



Number of dams registered

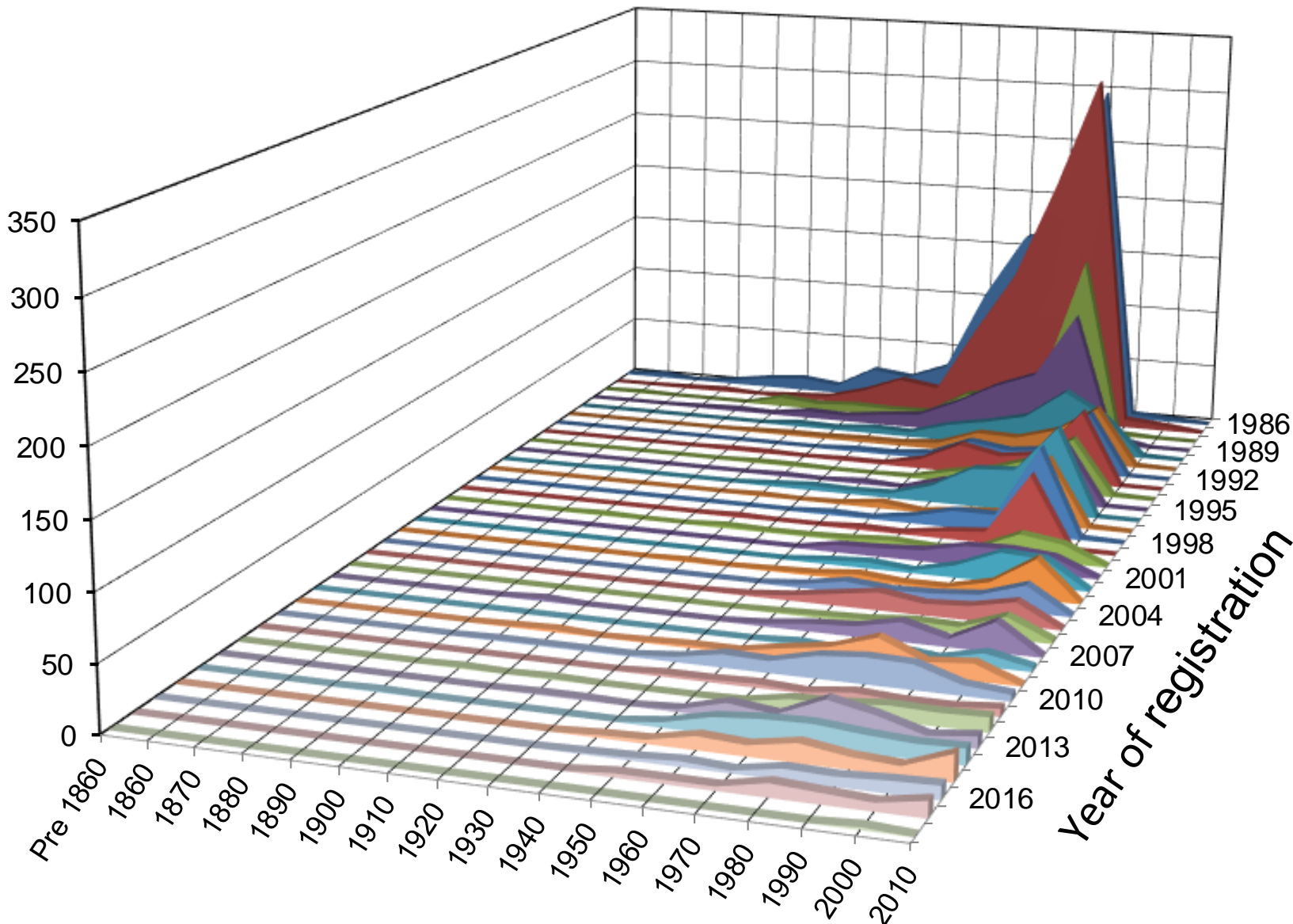
350
300
250
200
150
100
50
0

Pre 1860
1860
1870
1880
1890
1900
1910
1920
1930
1940
1950
1960
1970
1980
1990
2000
2010

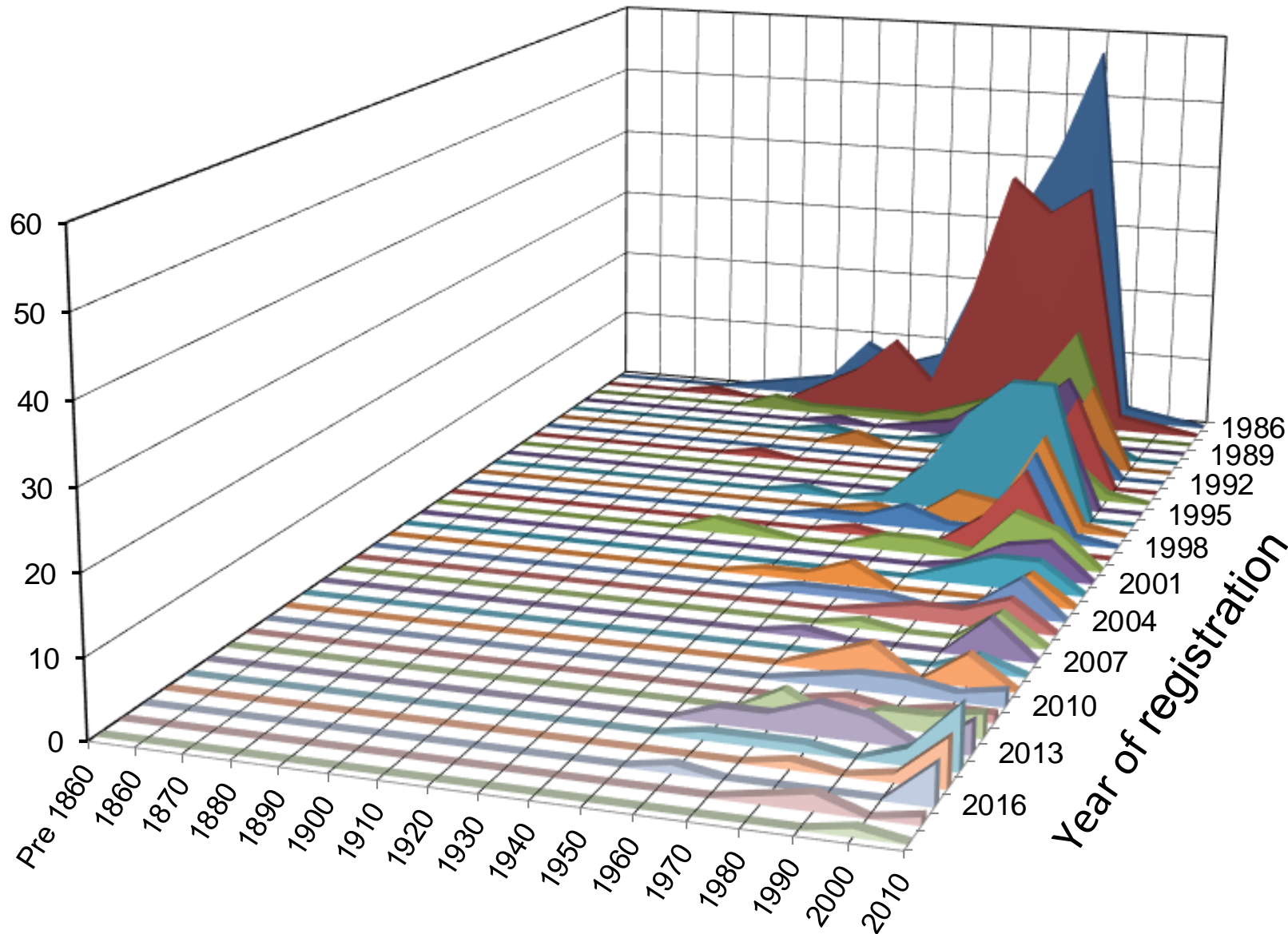
1986
1989
1992
1995
1998
2001
2004
2007
2010
2013
2016

Year of registration

Completion (starting year of decade)



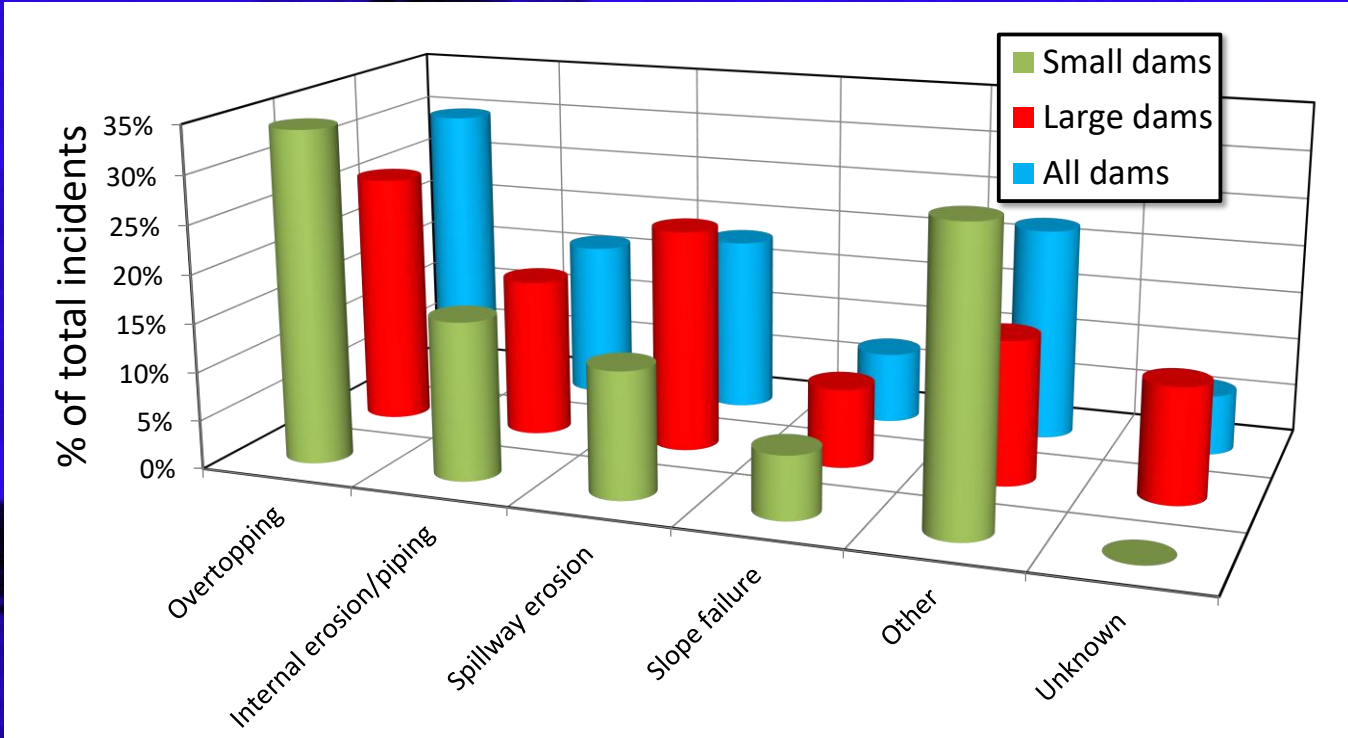
Number of dams registered



Completion (starting year of decade)

IT TAKES TIME TO
SUCCESSFULLY
IMPLEMENT DAM
SAFETY REGULATION





Dam safety without failure mechanisms?

Failure mechanisms without understanding dam materials?

Essential also in planning process



Failure mechanisms

A photograph of a dam with a large section of its concrete structure missing, illustrating a failure mechanism. The dam is a long, low wall with a flat top. A large section of the dam is missing, leaving a deep gap. The water level is high, and the sky is overcast. The foreground shows some vegetation and a fence.

- Internal erosion
- Structural
- Hydrologic
- Hydraulic
- Seismic
- Operational
- Other

Failure mechanisms

- Internal erosion
- Structural
 - Concrete gravity dams failures
 - Concrete arch dam failures
 - Concrete buttress dam failures
- Hydrologic
 - Overtopping
- Hydraulic
 - Failure due to erosion of rock
 - Failure due to overtopping of spillway walls and stilling basins
 - Stagnation Pressure Failure of Spillway Chutes
 - Cavitation Damage Induced Failure of Spillways
- Seismic
 - Failure of embankment dams during to seismic loads
 - Seismic failure of retaining walls
- Operational
- Other
 - Landslide failures and incidents
 - Trunnion Friction Radial Gate Failure
 - Drum Gate Failures

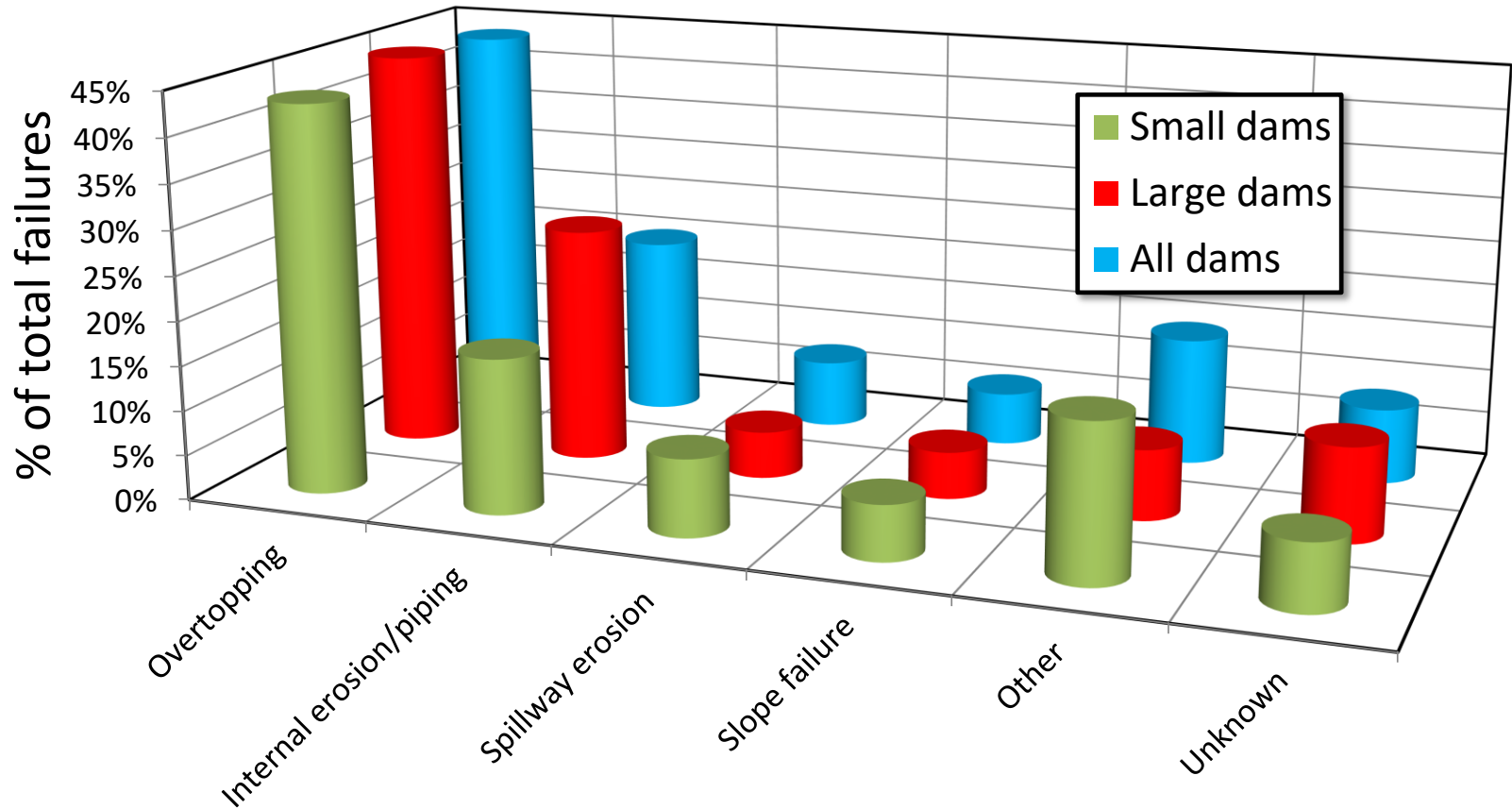
Overtopping



A photograph showing a dam structure with a significant breach in its spillway. The water level is high, and the structure appears to be failing. The text is overlaid on the image.

Overtopping failure = spillway
capacity is NOT sufficient

South Africa - 2016



ONLY EMBANKMENT FAILURES

Nzhelele Dam, South Africa, 2014



Nzhelele Dam, South Africa, 2000



Construction issues

- Make sure dam is built to designed levels
- Spillway built to the correct dimensions
- **PROPER As-Built drawings**

Spitskop Dam, South Africa 1988



Bellair Dam, South Africa 2003



An aerial photograph of a large dam structure with a spillway. The dam is a long, low concrete wall with several rectangular openings. To the left of the dam is a large reservoir. The surrounding landscape is flat and appears to be a dry or semi-arid region. The text "Risk of gated spillways" is overlaid in the center of the image.

Risk of gated spillways

Gated spillway requirements

- Proper design
- Proper operation
 - Human inputs
 - Mechanical/electrical efficiency
- Proper maintenance
- Risk much higher than uncontrolled spillway
- Non compliance \Rightarrow incident or failure

Hardap Dam









Hardap Dam

- Asphalt concrete faced rockfill embankments with centrally located controlled ogee concrete gravity spillway: 35.9 m high
- Completed in 1963
- 4 radial gates: 11.1 m high x 11.6 m wide

Radial gate power sources

- National grid
- Standby generator



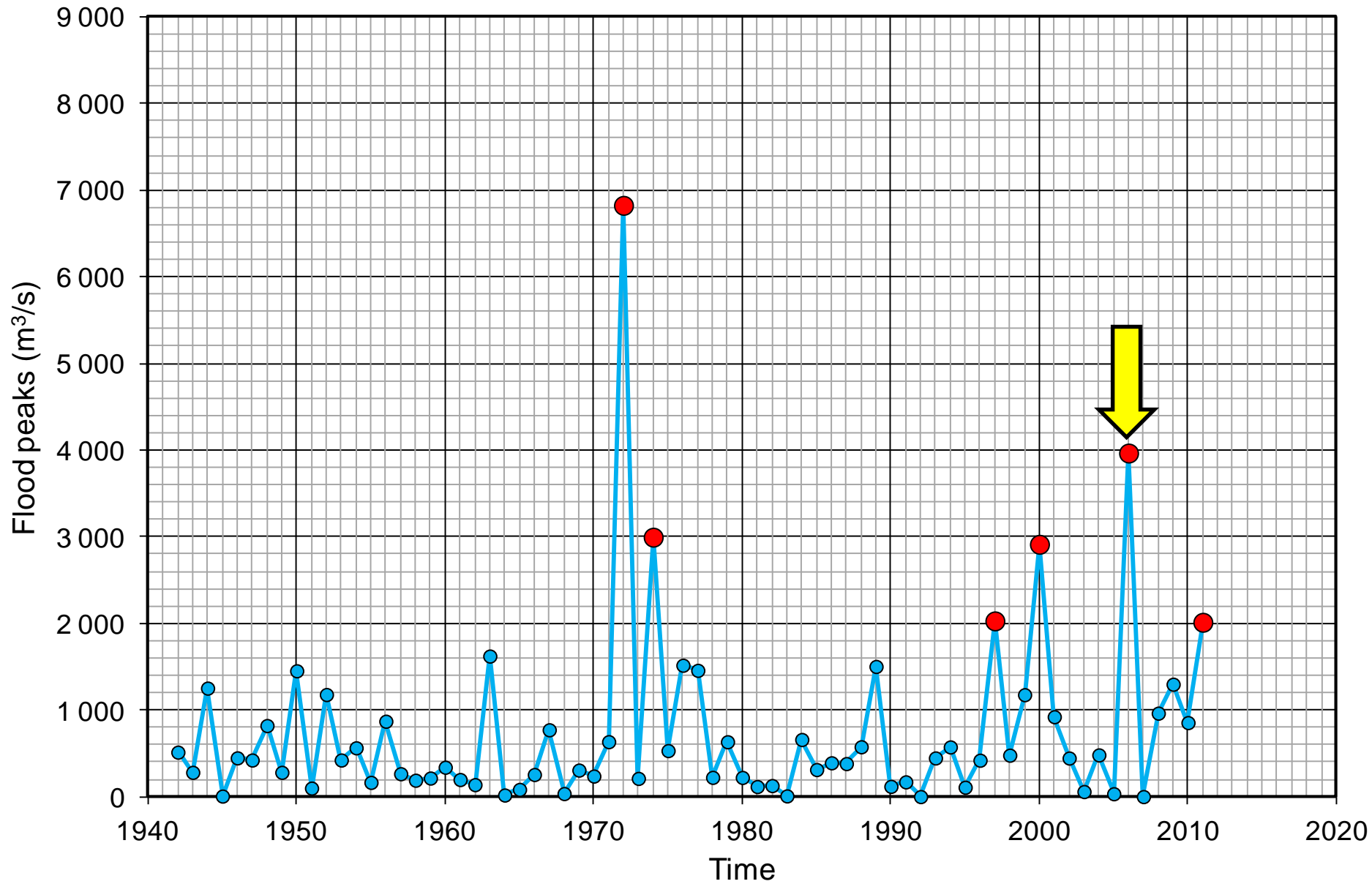


Radial gate power sources

- National grid
- Standby generator
- Small mobile generator operated at gates

An aerial photograph of a coastal area. In the upper left, a large, dark, irregularly shaped structure is situated in the water. In the lower left, a smaller, rectangular structure is visible on the shore. The foreground is dominated by dense, low-lying vegetation. The text "February 2006" is overlaid in the center of the image.

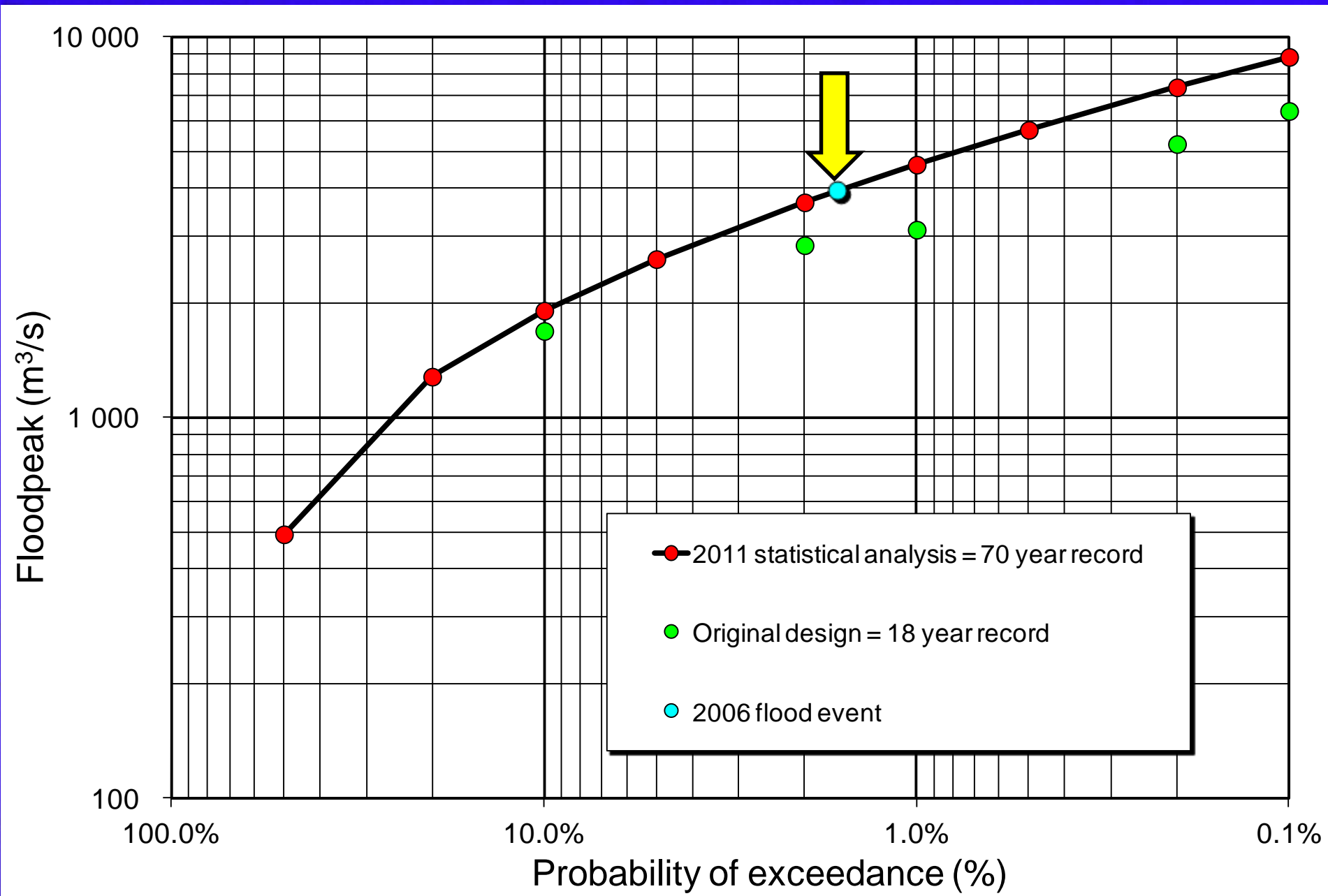
February 2006

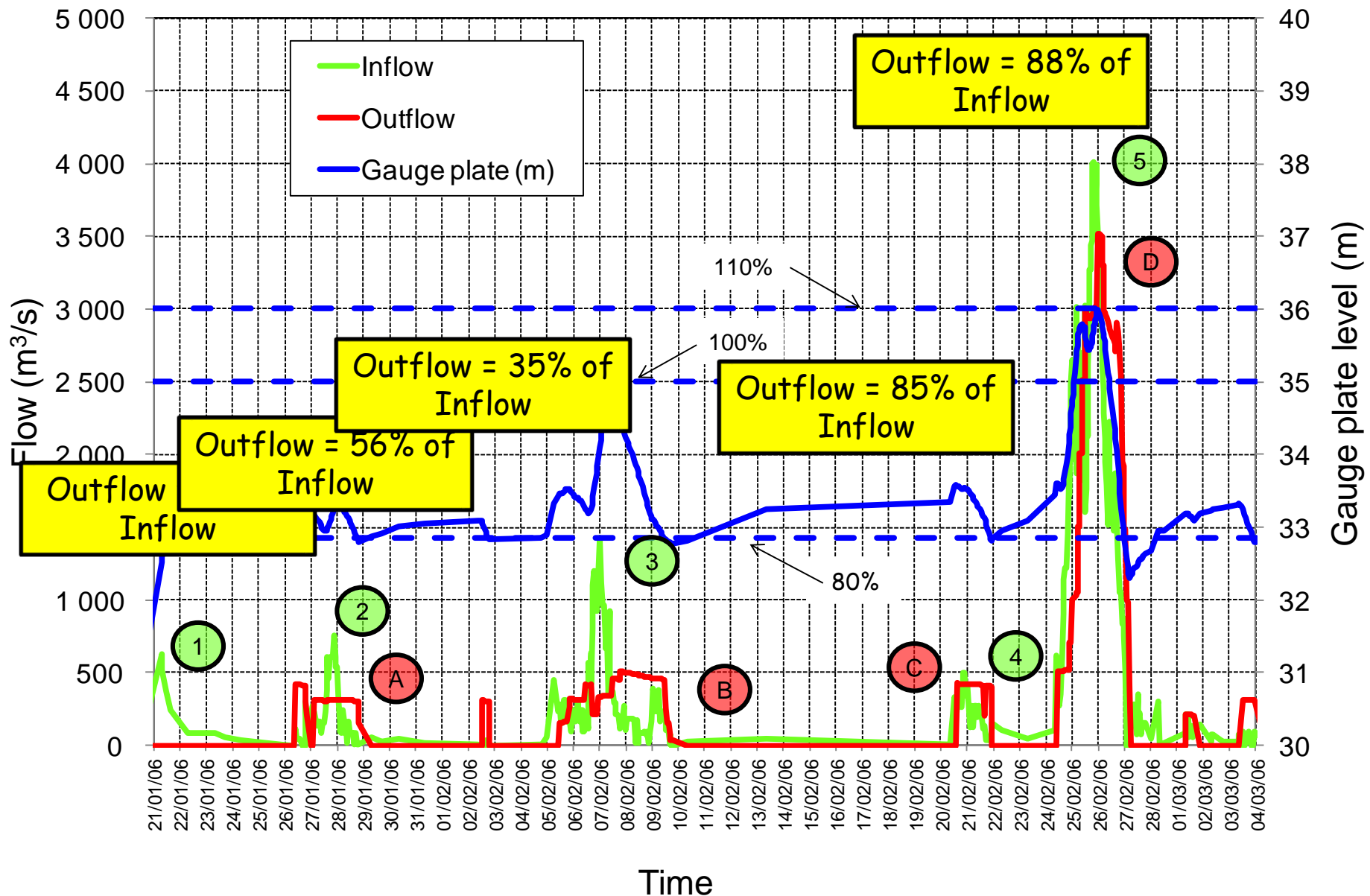


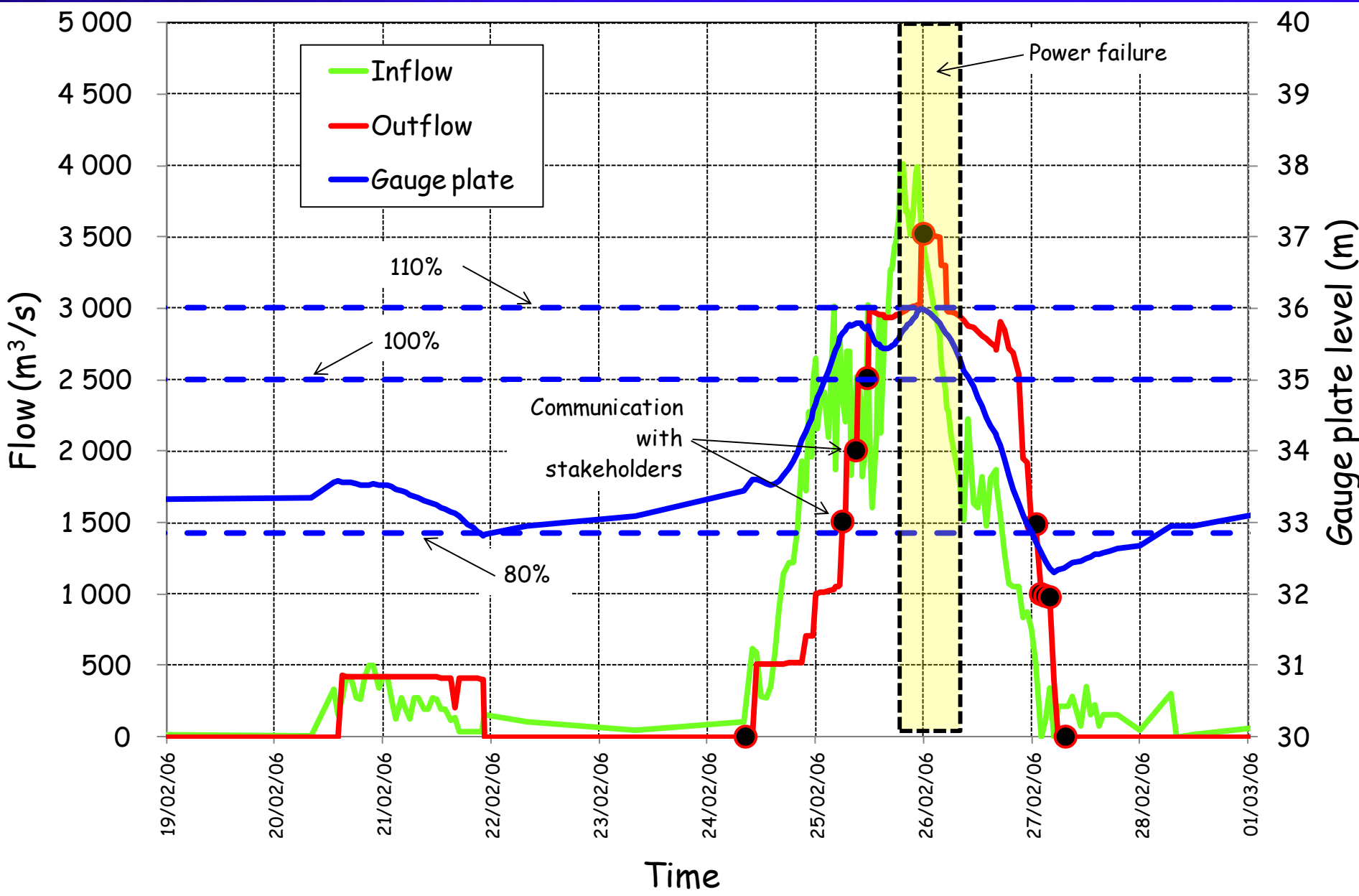


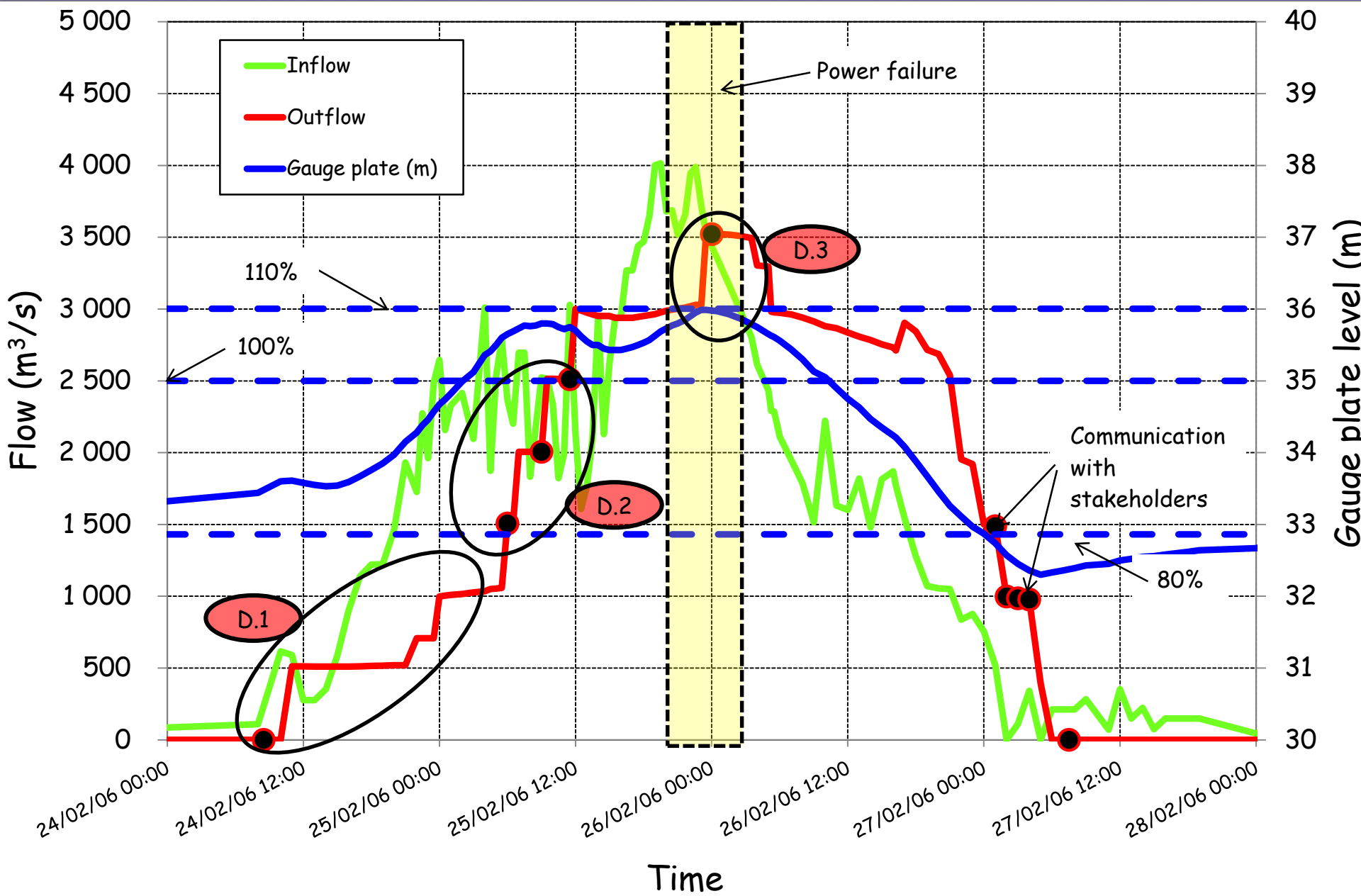


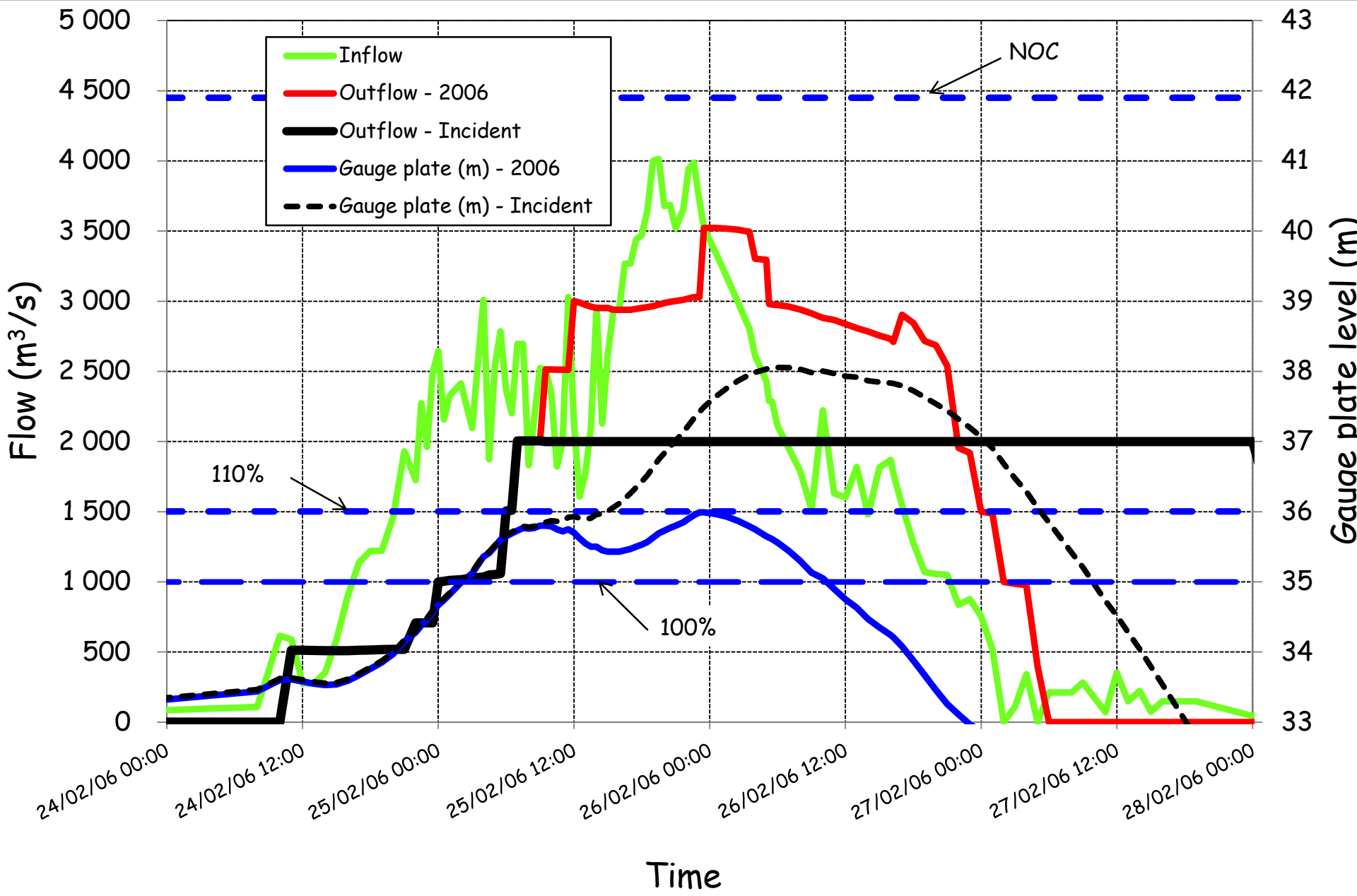


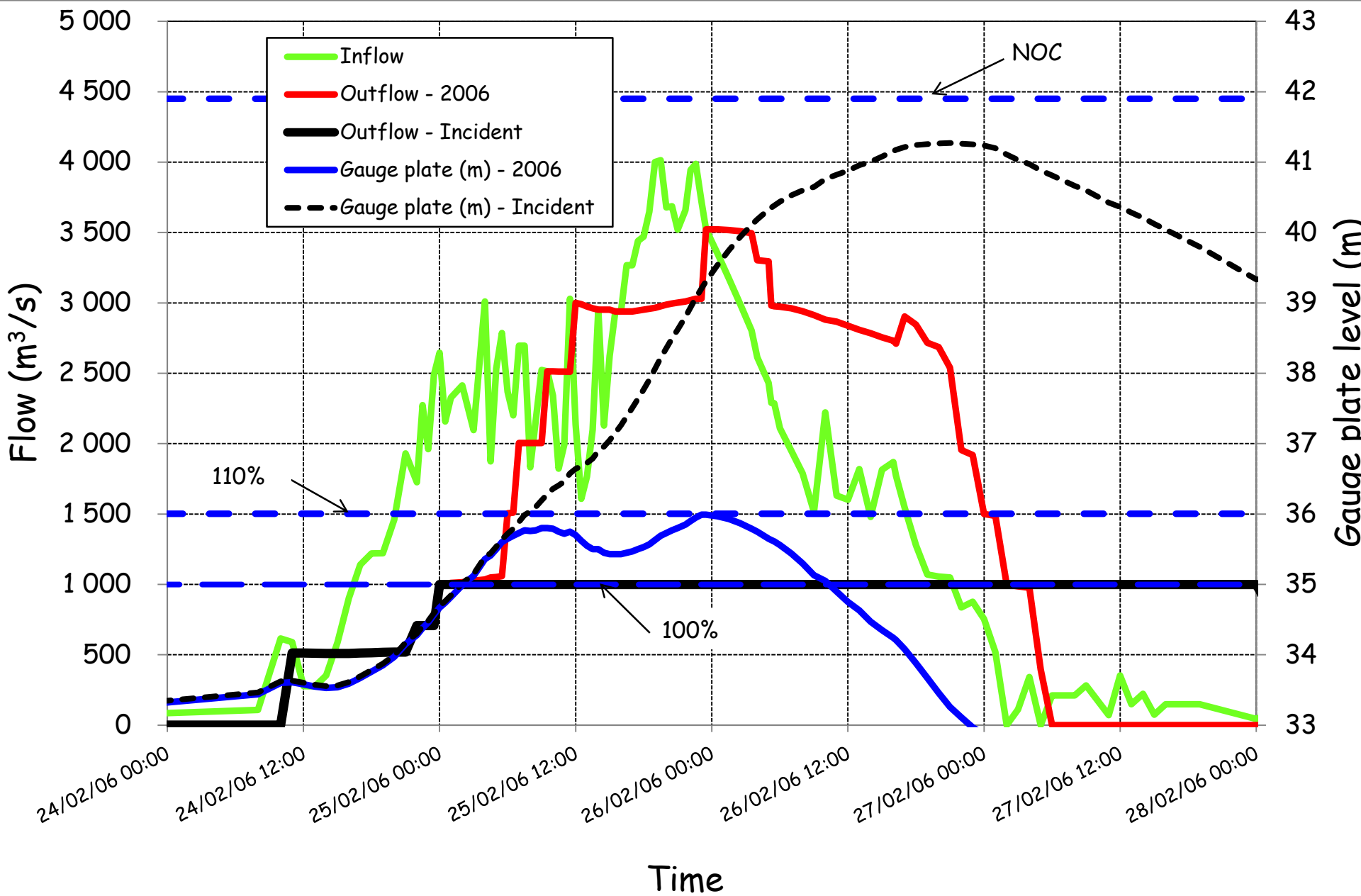


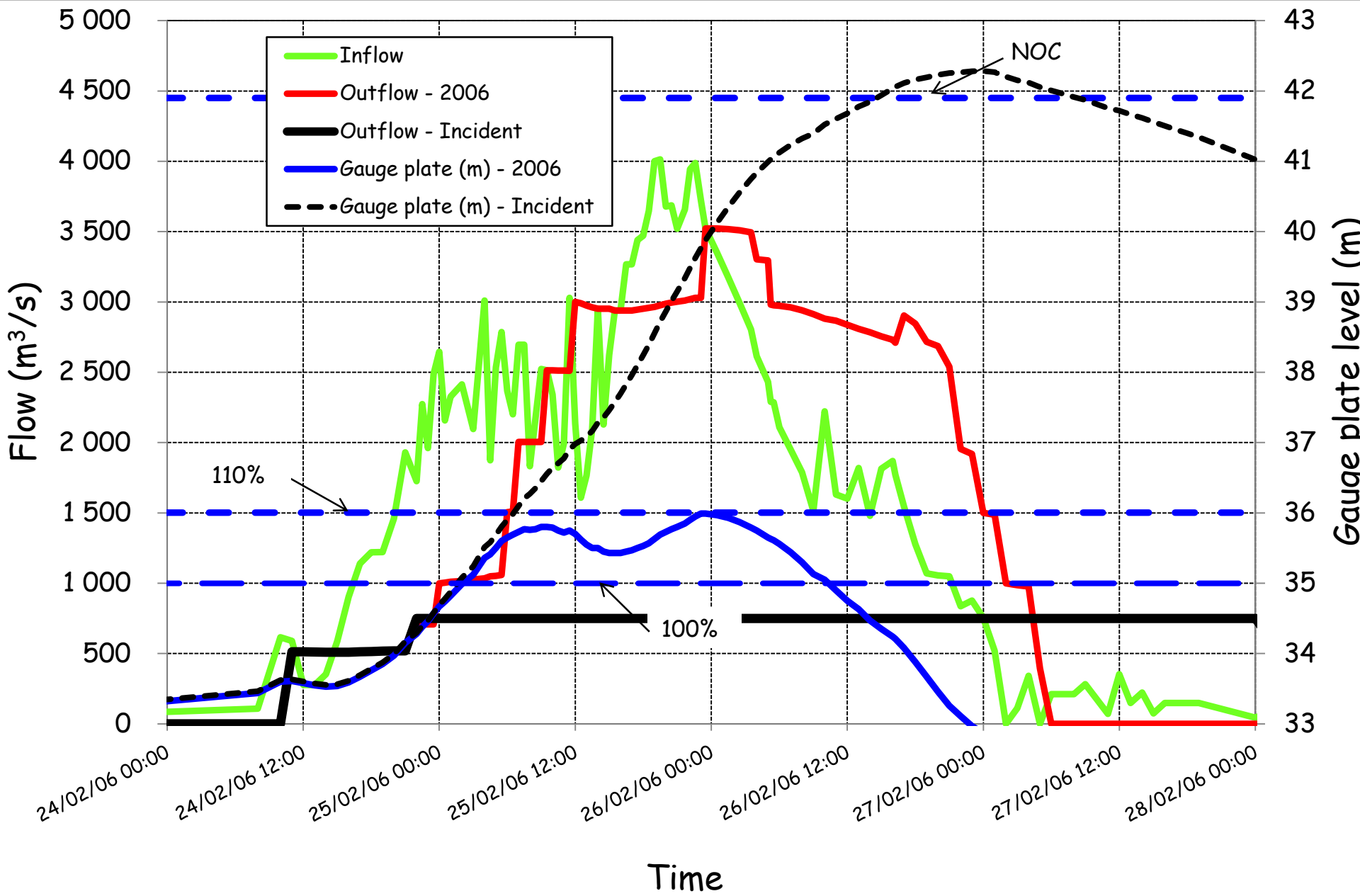


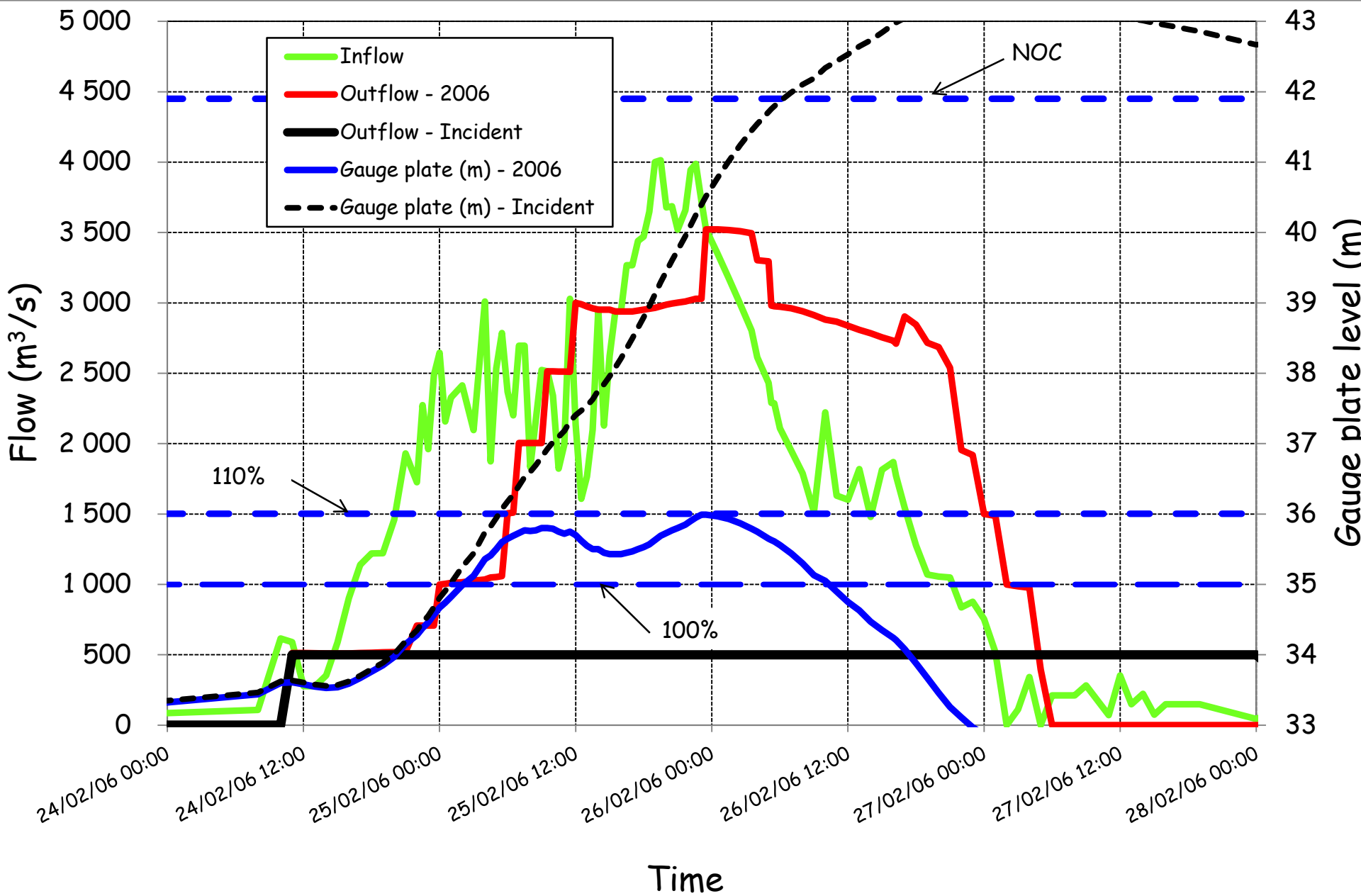








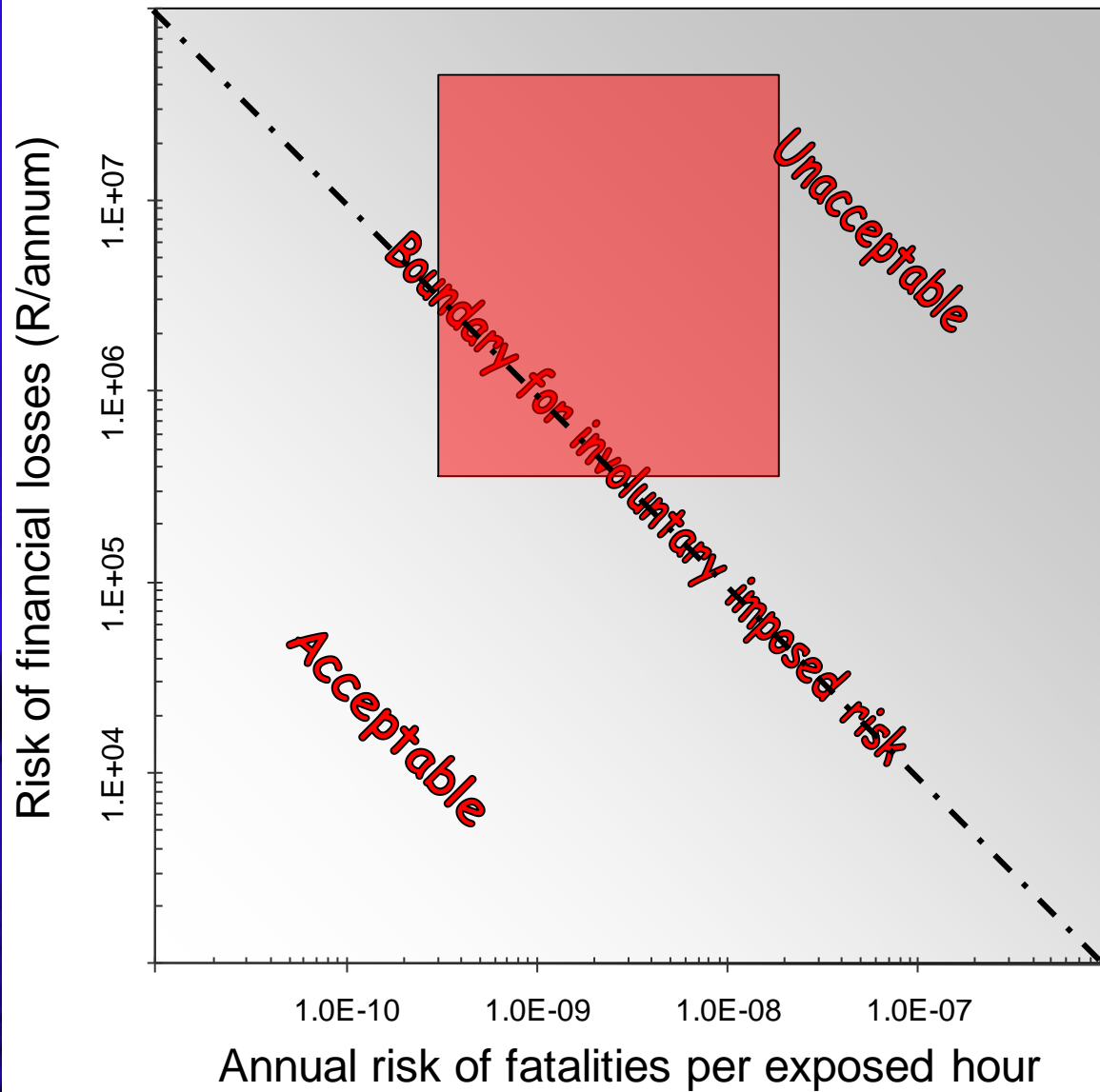




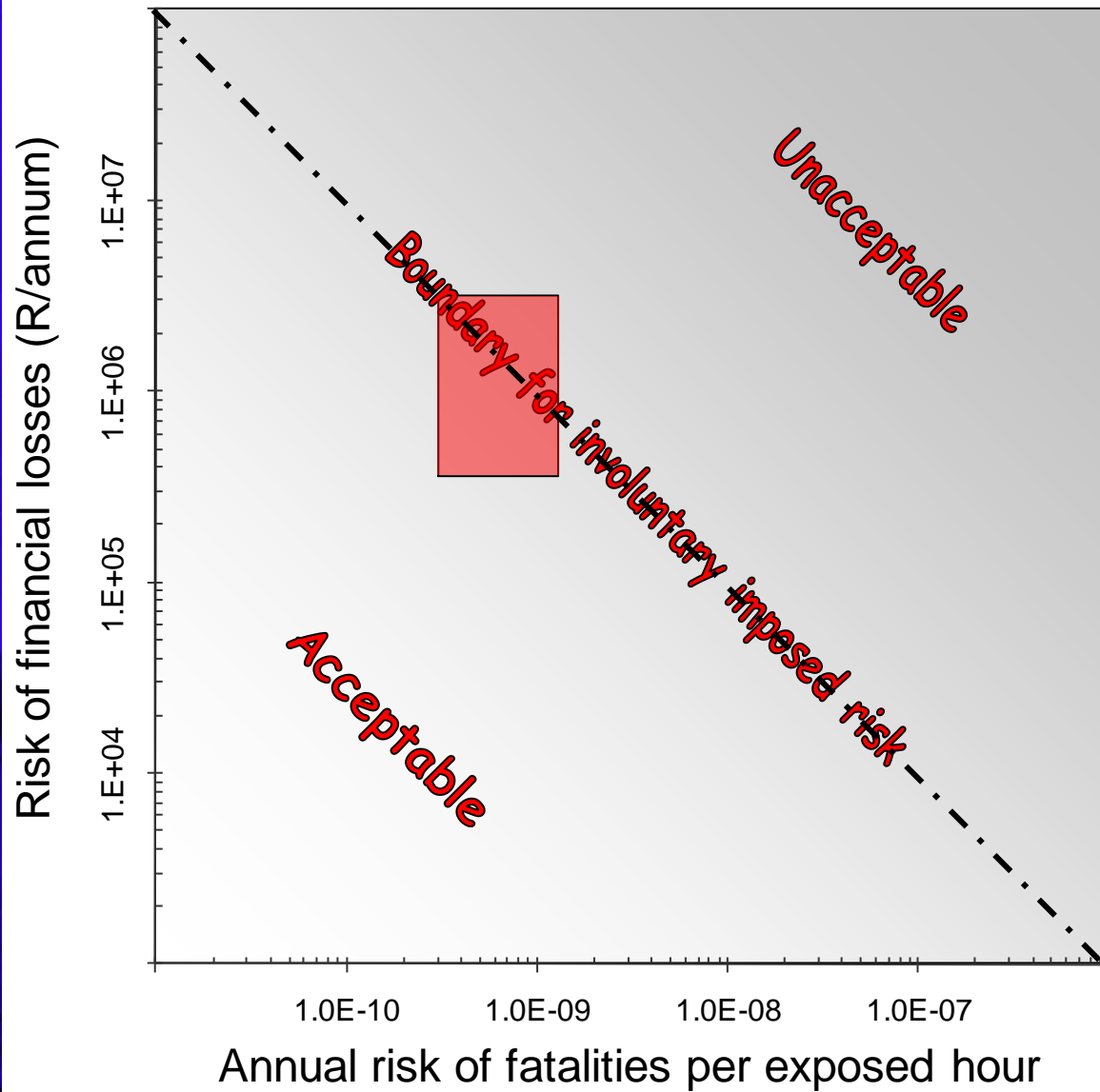
An aerial photograph of a coastal area. In the foreground, there is a large, rectangular concrete structure, possibly a dam or a breakwater, extending into the water. To the right of this structure, there is a smaller, rectangular building with a flat roof. The water is a deep blue, and the sky is a lighter blue. The background shows a distant shoreline with some vegetation and buildings.

Human impact on risk

Risk level



Risk level



Conclusions

- Importance of:
 - On site, properly trained and well informed personnel
 - Redundancy

An aerial photograph of the Bospoort Dam, a large concrete structure with multiple spillways, situated in a semi-arid landscape. The dam is surrounded by sparse, dry vegetation and a few scattered buildings. The sky is clear and blue. The text "Bospoort Dam" is overlaid in the center of the image in a yellow, sans-serif font.

Bospoort Dam



8/4/2004

Image © 2013 DigitalGlobe

Google earth

249 m



2004

Imagery Date: 8/4/2004 25°33'42.78" S 27°20'52.78" E elev 1085 m eye alt 2.16 km



2006 8 16

Bospoort Dam

- Concrete gravity: 23 m high
- 3 embankments
- Completed in 1933 as buttress concrete gravity
- 1953: Raised into concrete gravity
- 1969: Raised with 12 radial crest gates + anchored by post tensioned anchors

Radial gate power sources

- National grid
- Small mobile generator operated at gates



An aerial photograph of a coastal area. In the upper left, a large, dark, irregularly shaped structure, possibly a pier or breakwater, extends into the water. In the lower left, a smaller, rectangular structure is situated on the shore. The foreground is dominated by dense, dark vegetation. The text "December 2004" is overlaid in the center of the image.

December 2004





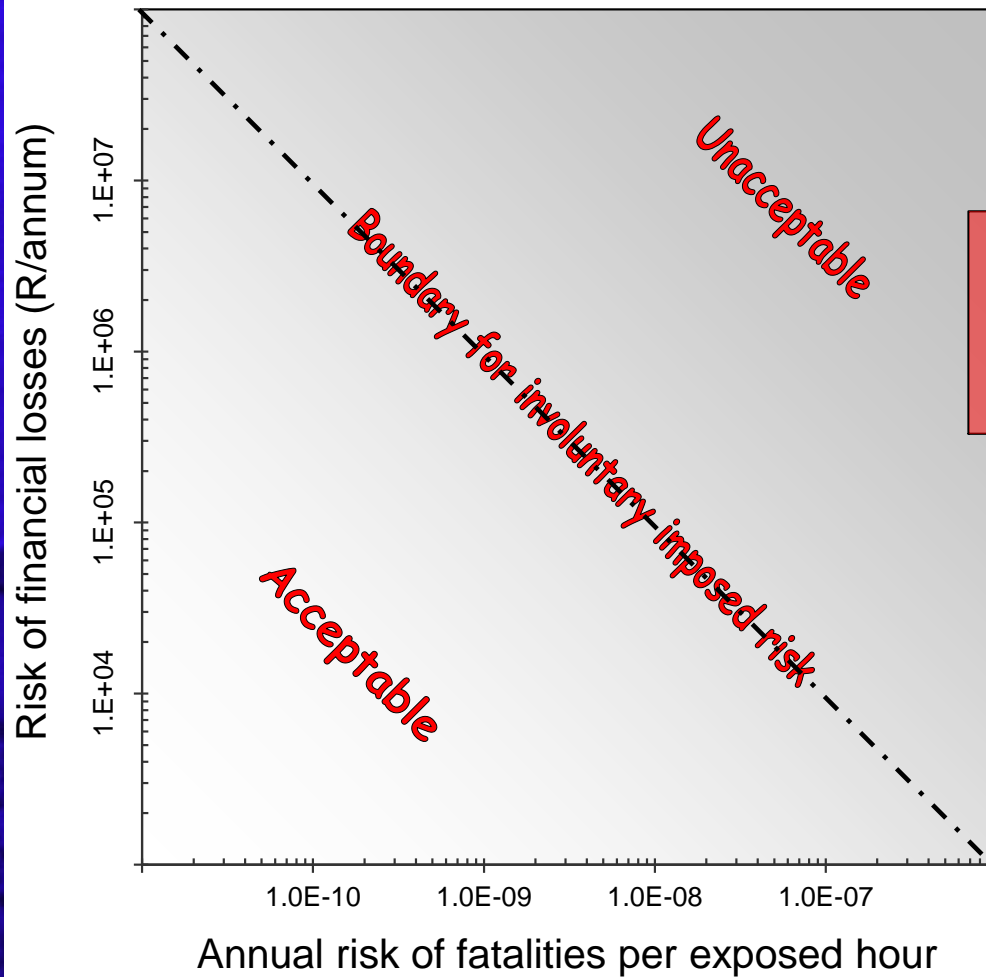


Issues

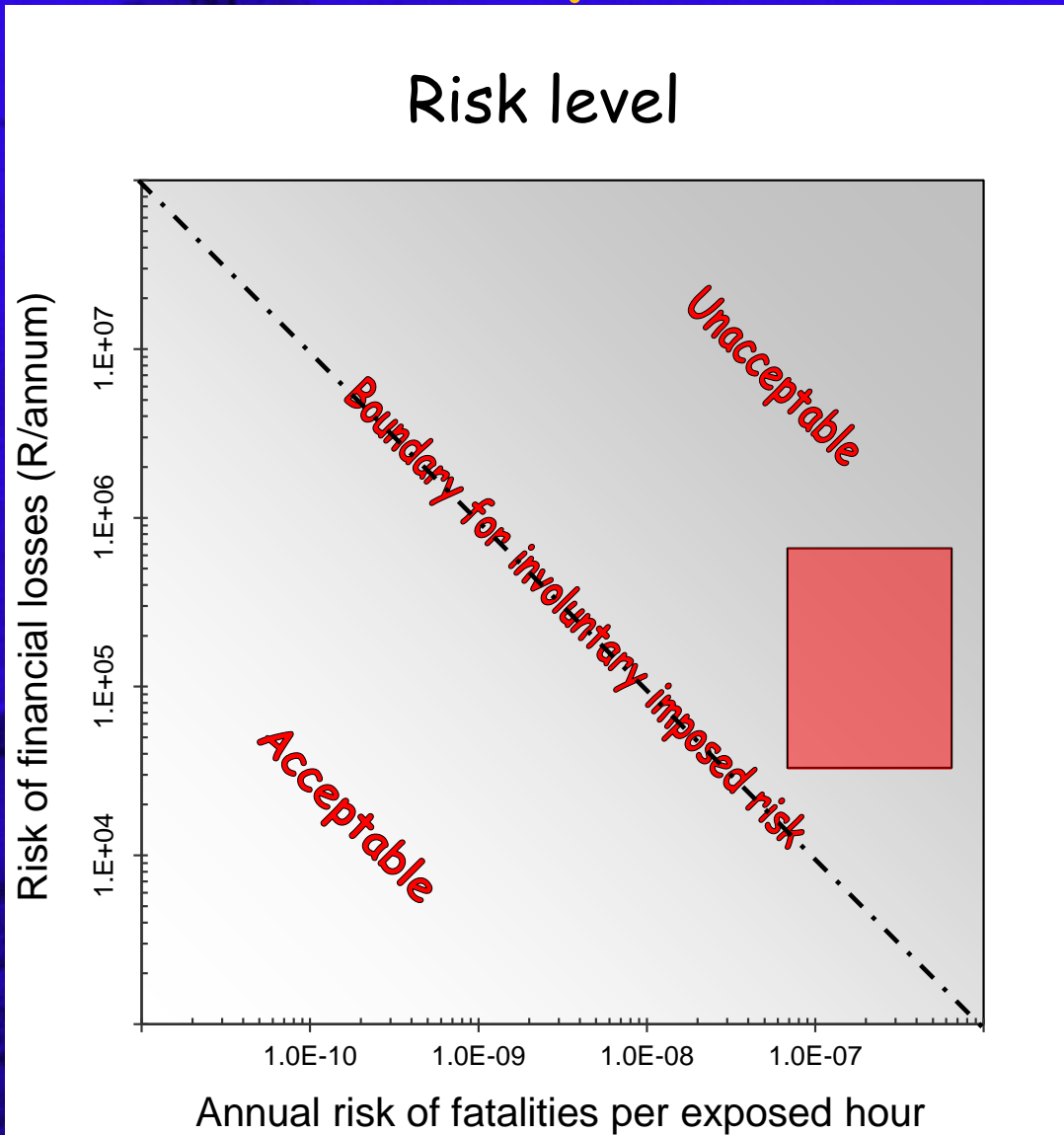
- Operator not stationed @ dam (30 km away)
- Power cable stolen
- Backup generator not functioning
- 5 out of 12 gates' cables completely corroded
- Water spilling over gates

2004

Risk level



Normal operation



8/4/2004

Image © 2013 DigitalGlobe

Google earth

249 m



2004

Imagery Date: 8/4/2004 25°33'42.78" S 27°20'52.78" E elev 1085 m eye alt 2.16 km

10/7/2012

Image © 2013 DigitalGlobe

Google earth

249 m



2004

Imagery Date: 10/7/2012 25°33'42.78" S 27°20'52.78" E elev 1085 m eye alt 2.16 km

10/7/2012

Image © 2013 DigitalGlobe

Google earth

2004

Imagery Date: 10/7/2012 25°33'42.78" S 27°20'52.78" E elev 1085 m eye alt 2.16 km





10/7/2012

Image © 2013 DigitalGlobe

Google earth

2004

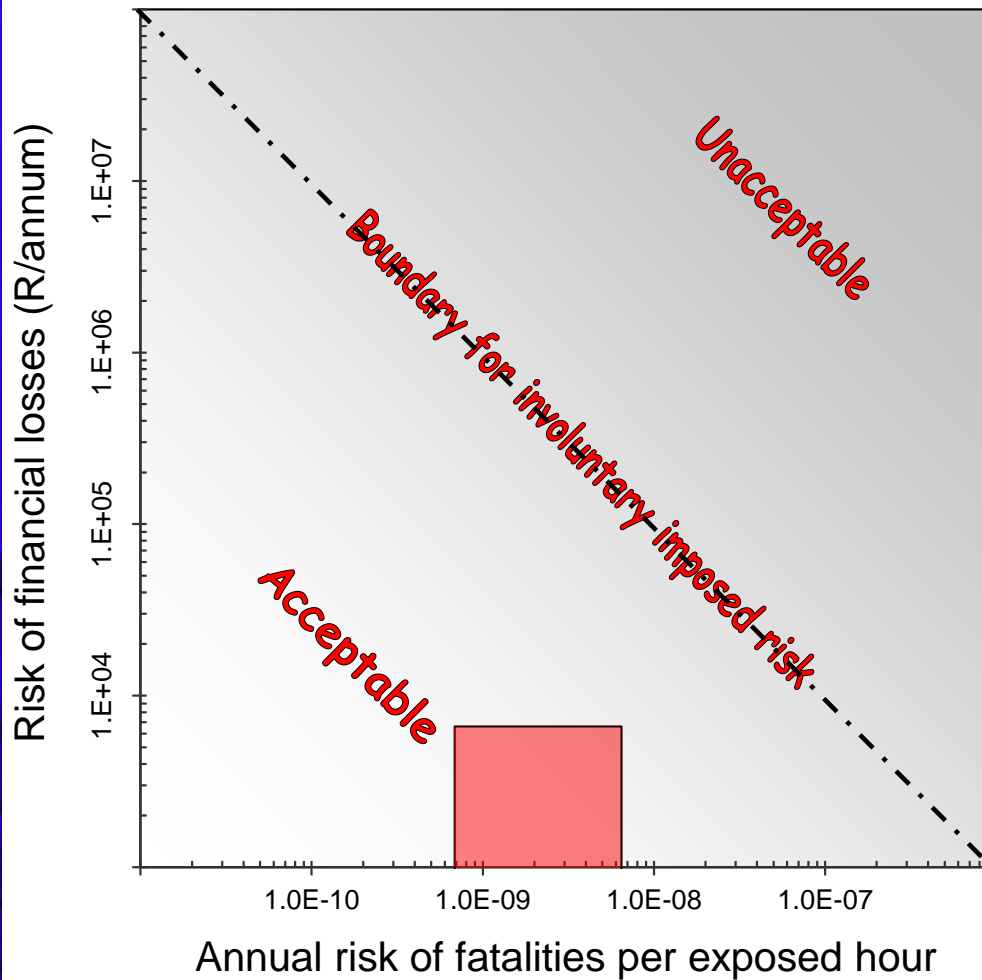
Imagery Date: 10/7/2012 25°33'42.78" S 27°20'52.78" E elev 1085 m eye alt 2.16 km





Rehabilitated

Risk level



Conclusions

- Failure waiting to happen
- Lack of:
 - On site personnel
 - Redundancy
 - Maintenance

An aerial photograph of the Lake Arthur Dam. In the foreground, a large concrete spillway structure with several rectangular openings is visible. The water flows through these openings. In the background, the main dam structure is visible, consisting of a long concrete wall with a central spillway. The surrounding area is a mix of water and land with some vegetation.

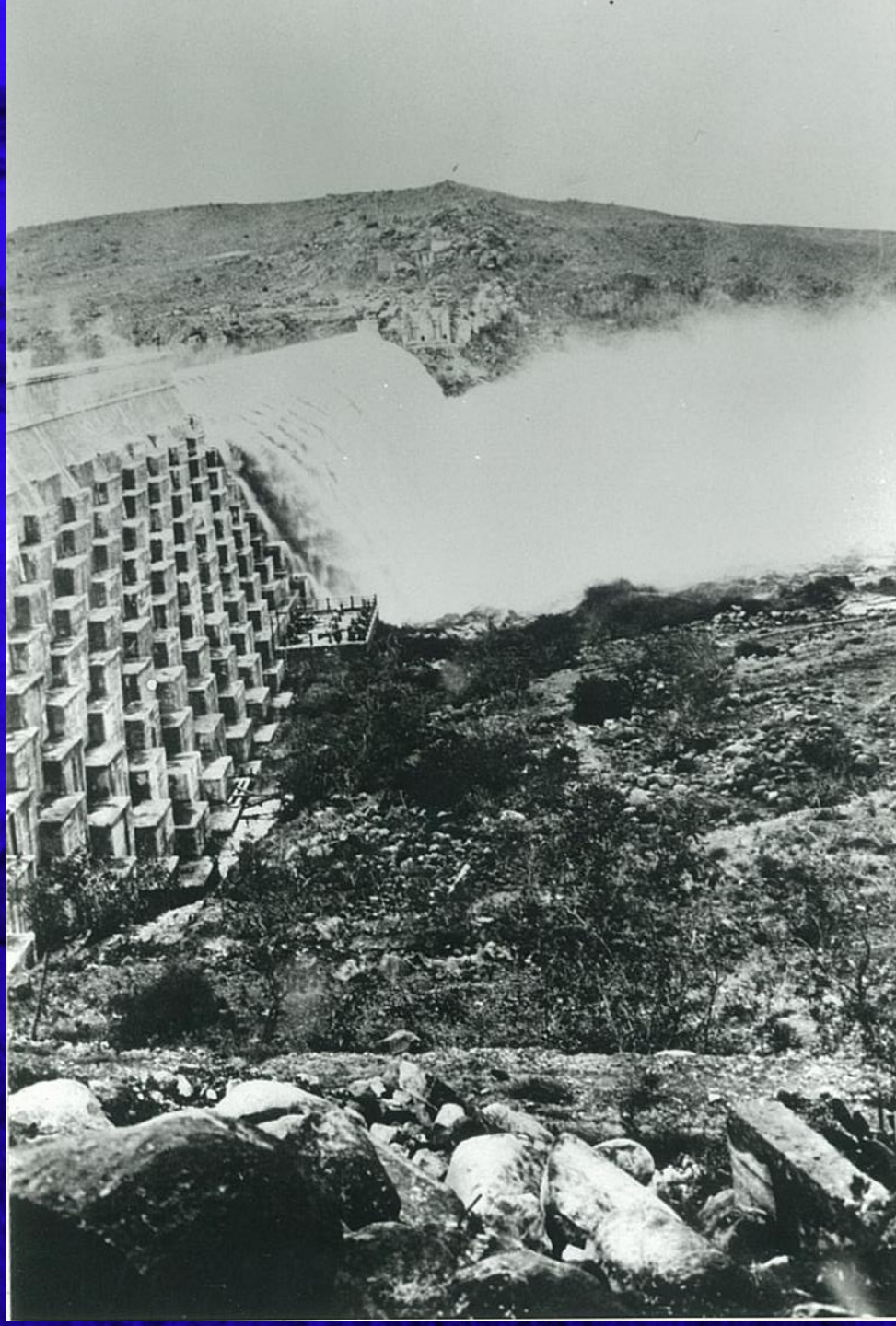
Lake Arthur Dam





Lake Arthur Dam

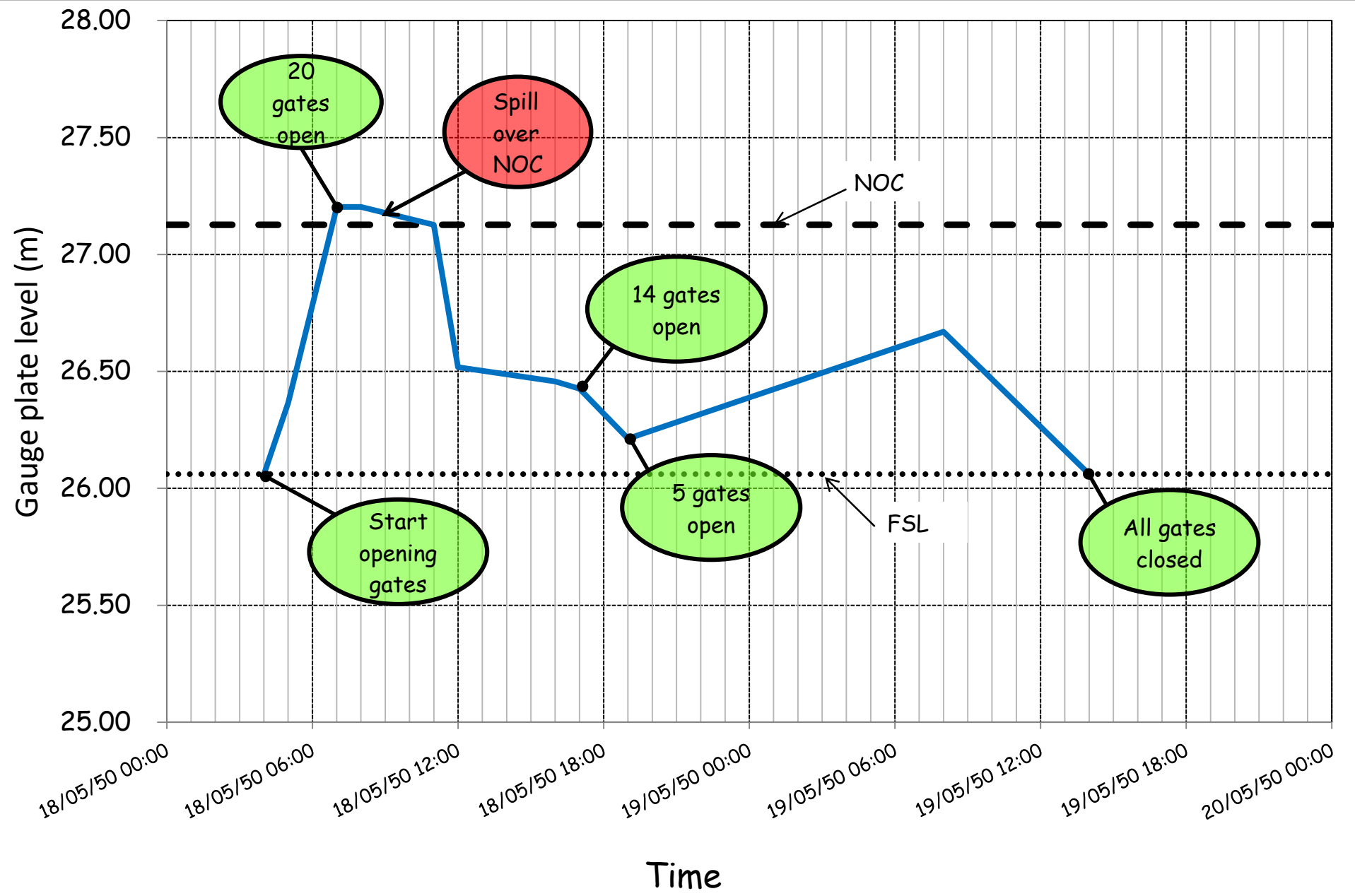
- Concrete gravity: 33.7 m high
- Completed in 1924
- 1939: 66 roller (sluice) gates on spillway crest - lifted by manually operated winch
- 1945: Gates extended by 0.9 m
- 2003: Gates removed





An aerial photograph showing a coastal settlement. In the foreground, there is a large, rectangular, light-colored structure, possibly a warehouse or a large building, with a dark rectangular opening on its side. To the right of this structure, there are several smaller buildings and a tall, thin tower or antenna. The middle ground is dominated by a large, flat, light-colored area, likely a beach or a cleared area, with some scattered structures and a small, dark, irregularly shaped structure in the upper left. The background shows a wide expanse of water meeting a flat horizon under a clear sky. The text "May 1950" is overlaid in the center of the image.

May 1950





Conclusions

- Fatal flaw in design - opening speed
- Lack of:
 - On site personnel
 - Redundancy
 - Maintenance

The bottom line

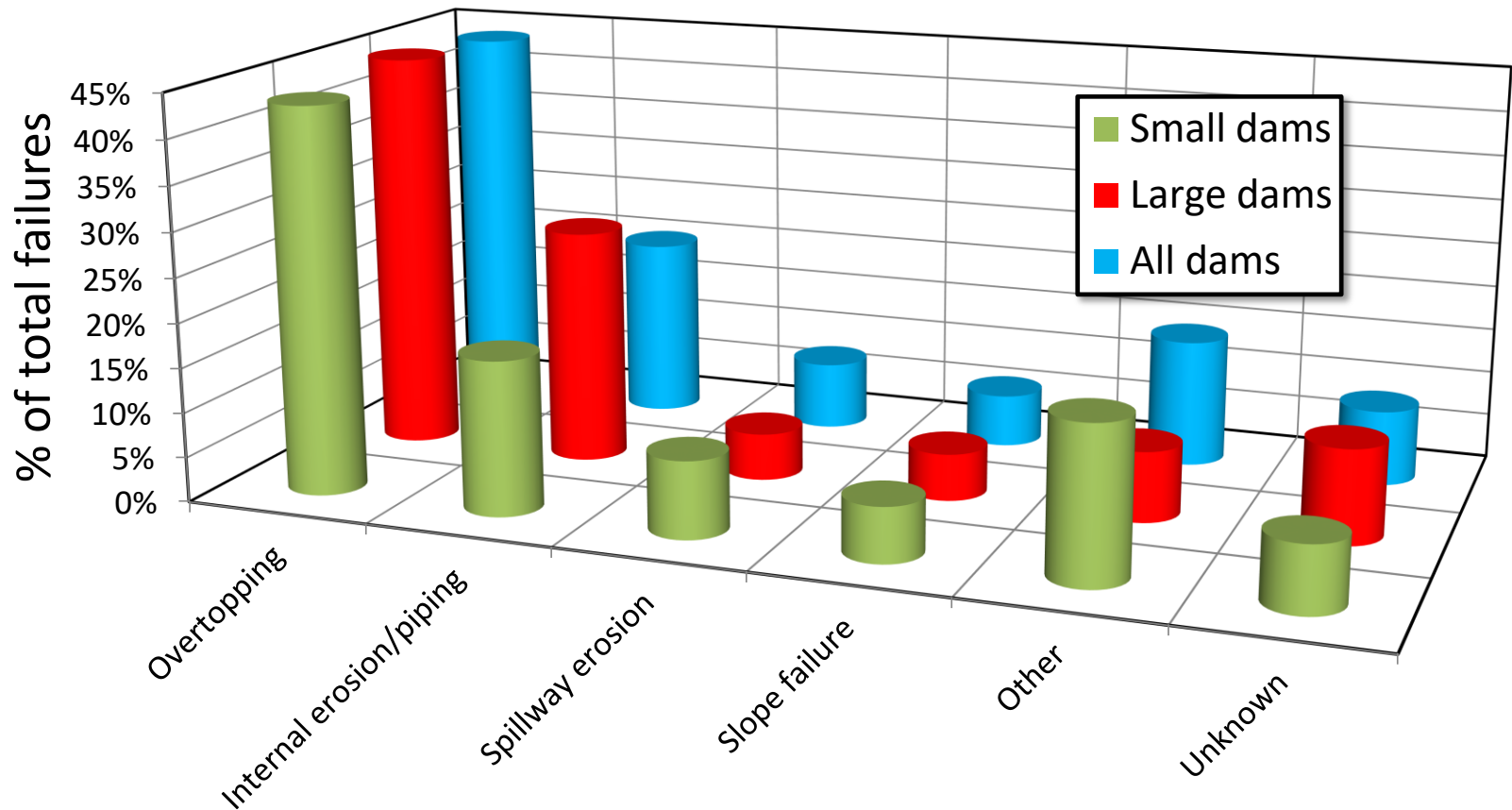
- Planning decisions = increased risk compared to uncontrolled spillways
- Increased risk by:
 - Inefficient design
 - Lack of proper operation and maintenance
 - The human factor

⇒ Incident



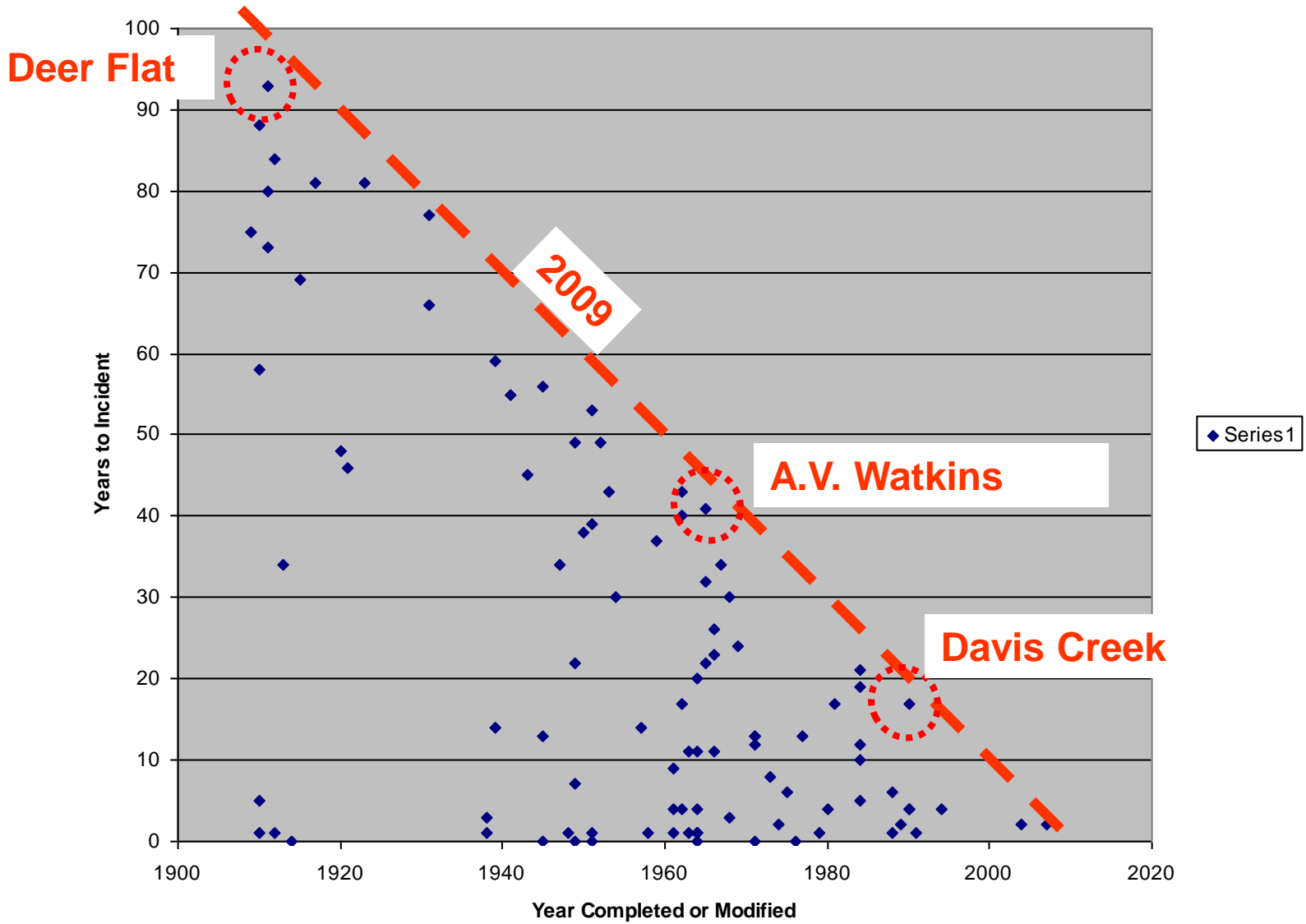
Internal erosion

South Africa - 2016

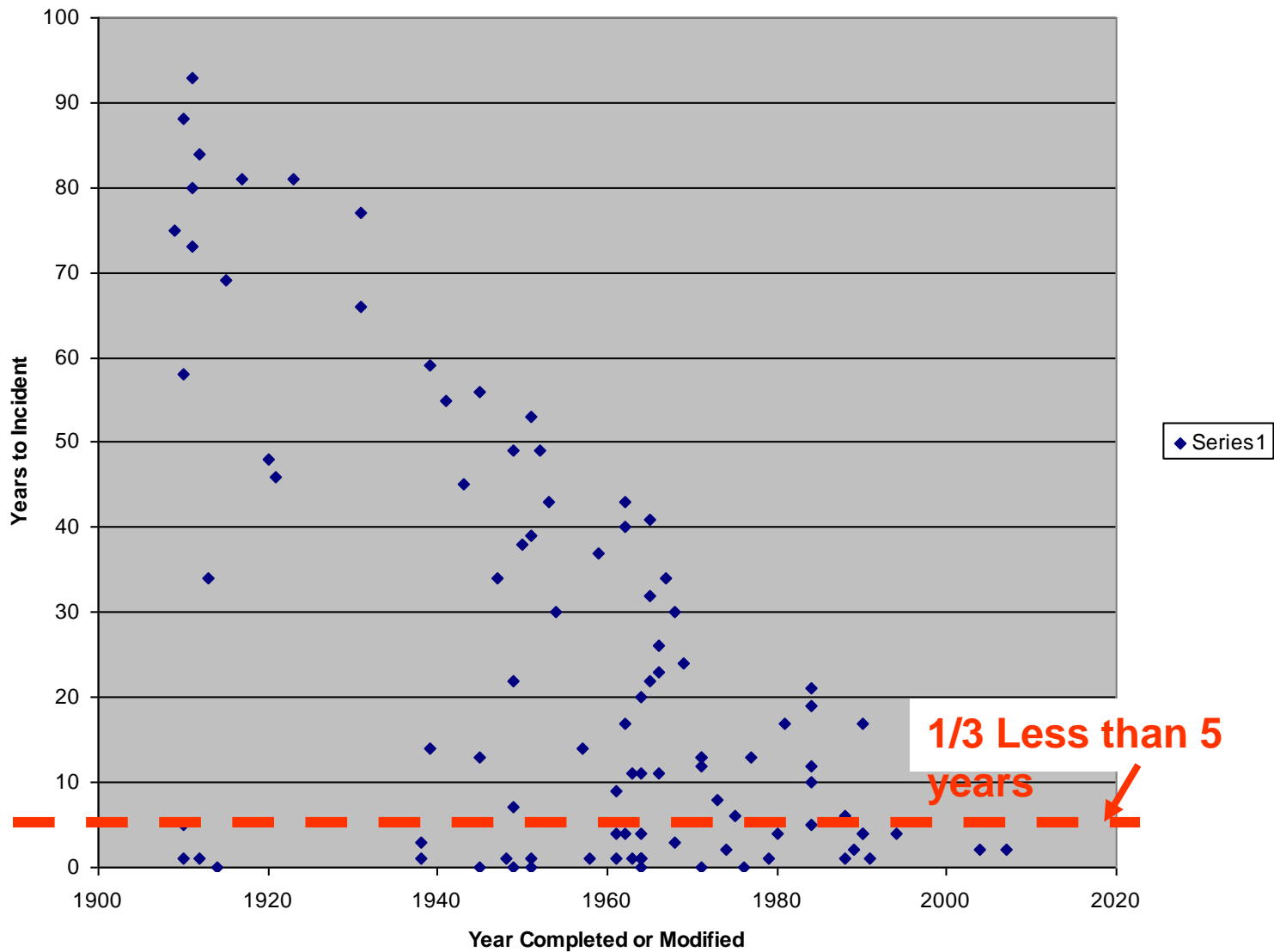


ONLY EMBANKMENT FAILURES

Internal Erosion Incident History



Internal Erosion Incident History



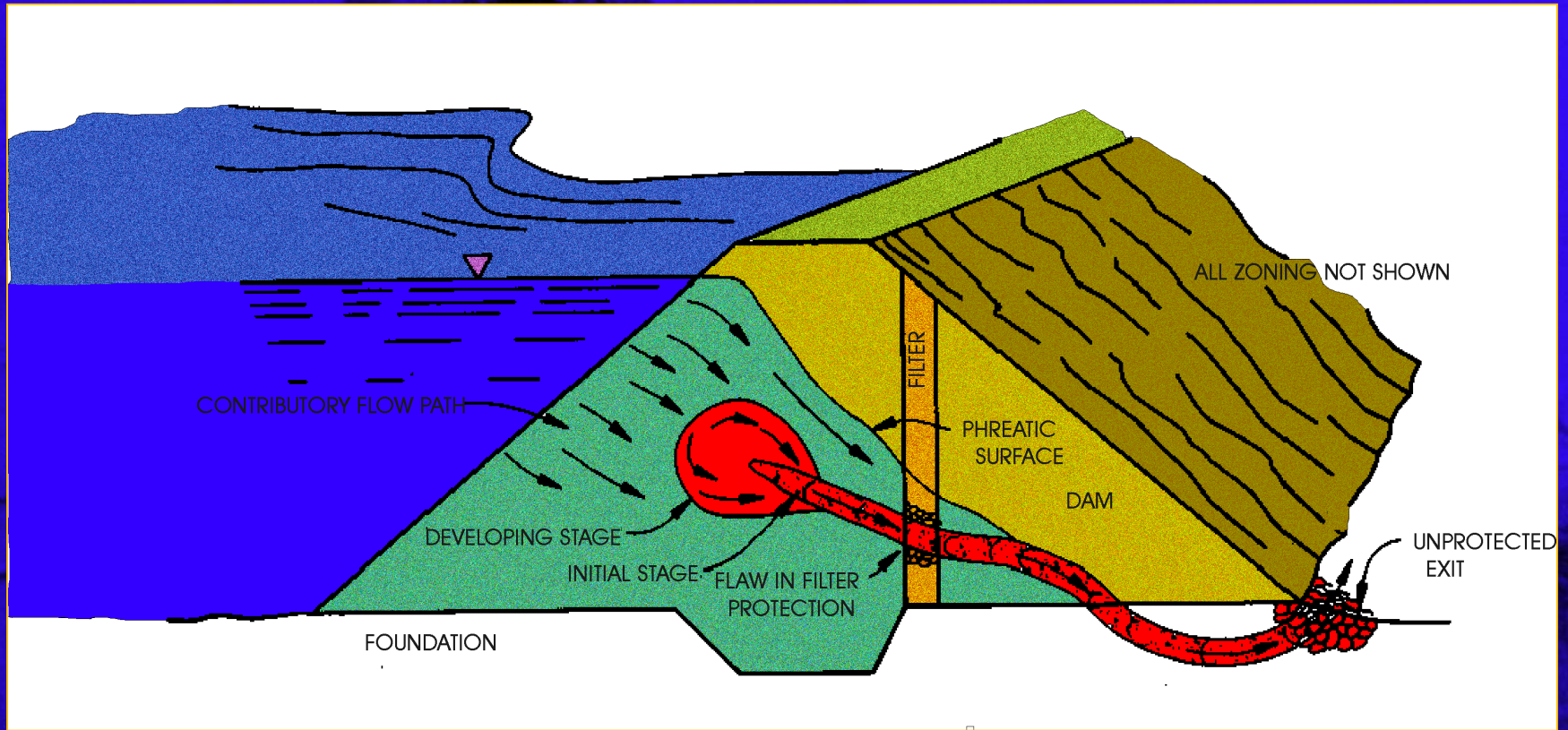
Internal Erosion Failure mechanisms

- Because internal erosion can occur during "normal" operations, it may pose higher risks to a dam than hydrologic (flood) and seismic (earthquake) loadings.
- "Piping" is a special type of internal erosion

Definitions

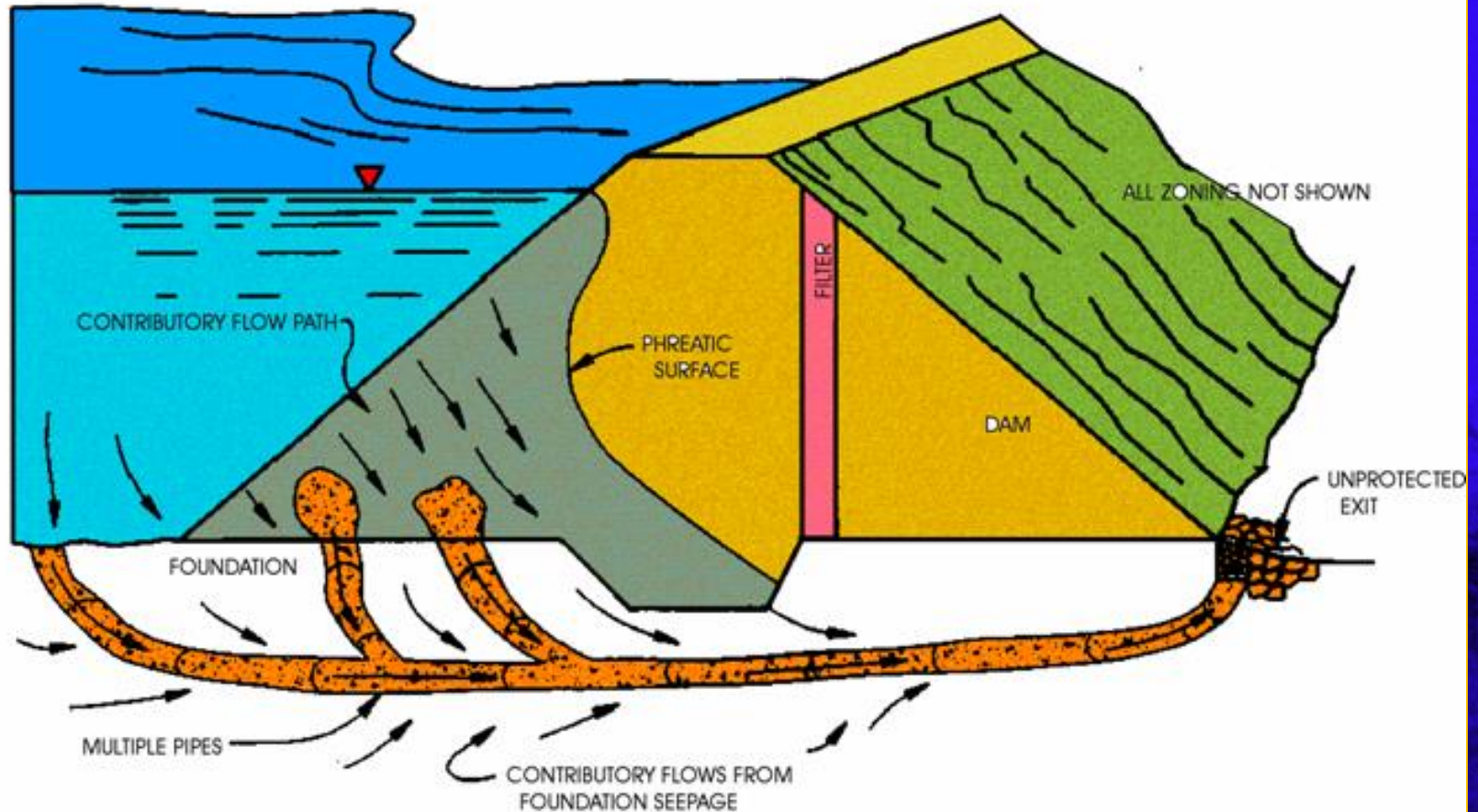
- Internal erosion occurs when soil particles within an embankment dam or its foundation are carried downstream by seepage flow.
- Internal erosion can initiate by:
 - Concentrated leak erosion
 - Backward erosion
 - Internal instability
 - Soil contact erosion

Erosion through the embankment



Erosion in/through the foundation

Responsible for about 2/3 of USBR Incidents











Google earth

Image © 2015 DigitalGlobe



300 m



Zoeknog dam failure introduction

Background

Owner:

Lebowa Homeland
Government

Construction embankment:

In-house Lebowa Homeland
Government

Construction concrete

Grinaker

Design and site supervision:

Eksteen, van der Walt and
Nissen

Basic Statistics

Height: 40 m

US slope: 2,5:1 upper part
4,0:1 lower down

DS slope: 2,0:1

Central clay core: 0,8:1

Chimney drain: Sand with
Geo-textile upstream Blanket

drain: Geotextile, sand,
gravel and geotextile

Geology: Weathered granites

In hindsight

Dispersiveness tests **only**
done prior to construction
and not during construction

AASHTO specifications
resulted in **drier than**
optimum PROCTER moisture
content

Homogeneous **constructed**
Blanket drain: **38mm**
aggregate sandwiched
between geotextiles

Zoeknog dam failure timeline

In hindsight (2)

Piezometers installed by Fil Filmatter (Kop-Kop) **Latter discovered that blanket drain (left of outlet tunnel) not on founding level but 5m higher (indicated as founding level on drawings)**

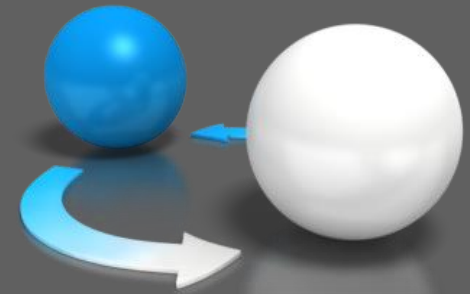
Several warnings on OMC: **Filmalter and DWA officials, (unofficially) pointed dubious OMC out**

Piezometer warning:

Impoundment started towards end of 1992

Filmalter warned that one of the piezometers installed on the left-hand side of the outlet work is recording high pressures

Piezometer warning ignored 10 Jan 1993



Zoeknog dam failure timeline

Jan 25 1993:

Dam failure early morning hours

Soon after midnight guard heard water running ...

Progressed from piping to dam empty in 6 hours.

No lives lost

Feb 2 & 4

Dam safety

First investigations:



Feb 12

Another investigation



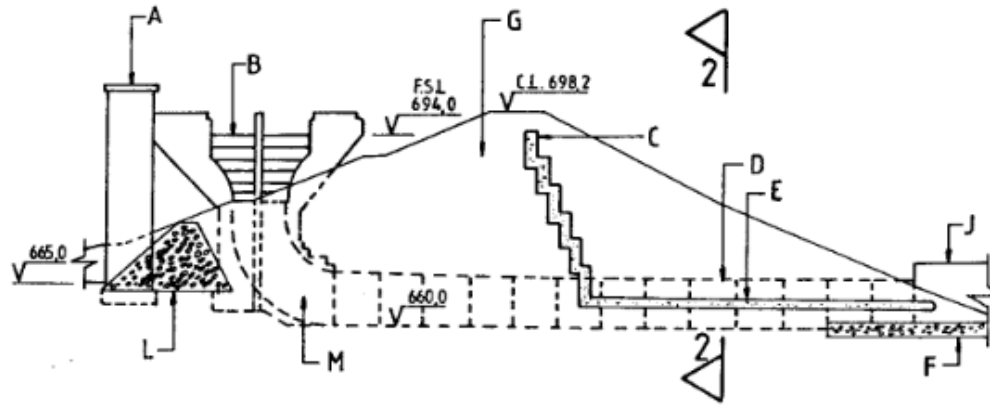


Fig. 1 (1-1)

Cross section of embankment adjacent to conduit

NOTATION

- A- INTAKE TOWER
- B- MORNING GLORY SPILLWAY
- C- CHIMNEY DRAIN
- D- CONDUIT
- E- BLANKET DRAIN
- F- STONE DRAIN
- G- EMBANKMENT FILL
- H- FOUNDATION LEVEL
- I- TRENCH FILLING
- J- TRAINING WALL
- K- ROCK EXCAVATION FACE
- L- ROCKFILL CONE
- M- SPILLWAY SHAFT

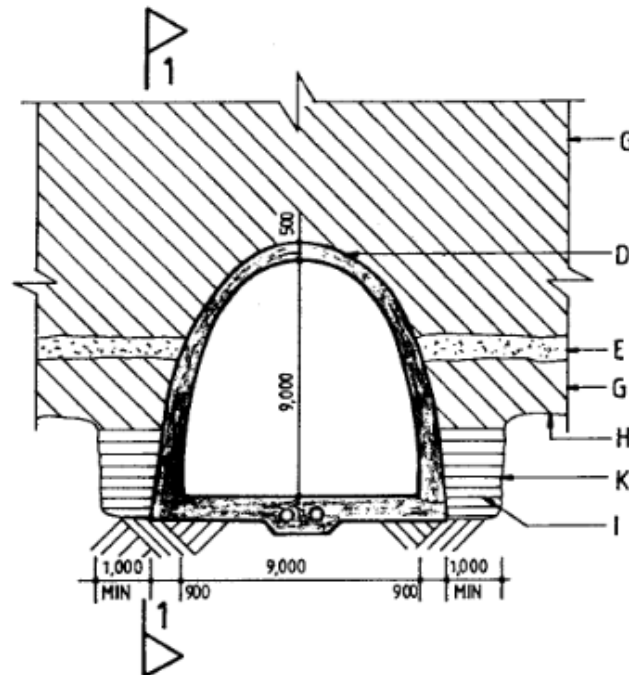


Fig. 2 (2-2)

Zoeknog Dam

- Importance of a diligent and experienced instrumentation installer
- Ignore monitoring results @ your own peril
 - Site supervision staff ignored potential failure mode indicated by piezometer results - was considered as a sensor failure



WALLY HOLMES DAM

Failure due to internal erosion caused by poor compaction.



WALLY HOLMES DAM

Note size of "pipe or tunnel" compared to height of the interested observer



Structural failures



- Concrete gravity dams failures
 - St Francis Dam, USA
 - Camara Dam, Brazil
- Concrete buttress dam failures
 - Gleno Dam, Italy
- Concrete arch dam failures
 - Malpasset Dam, France

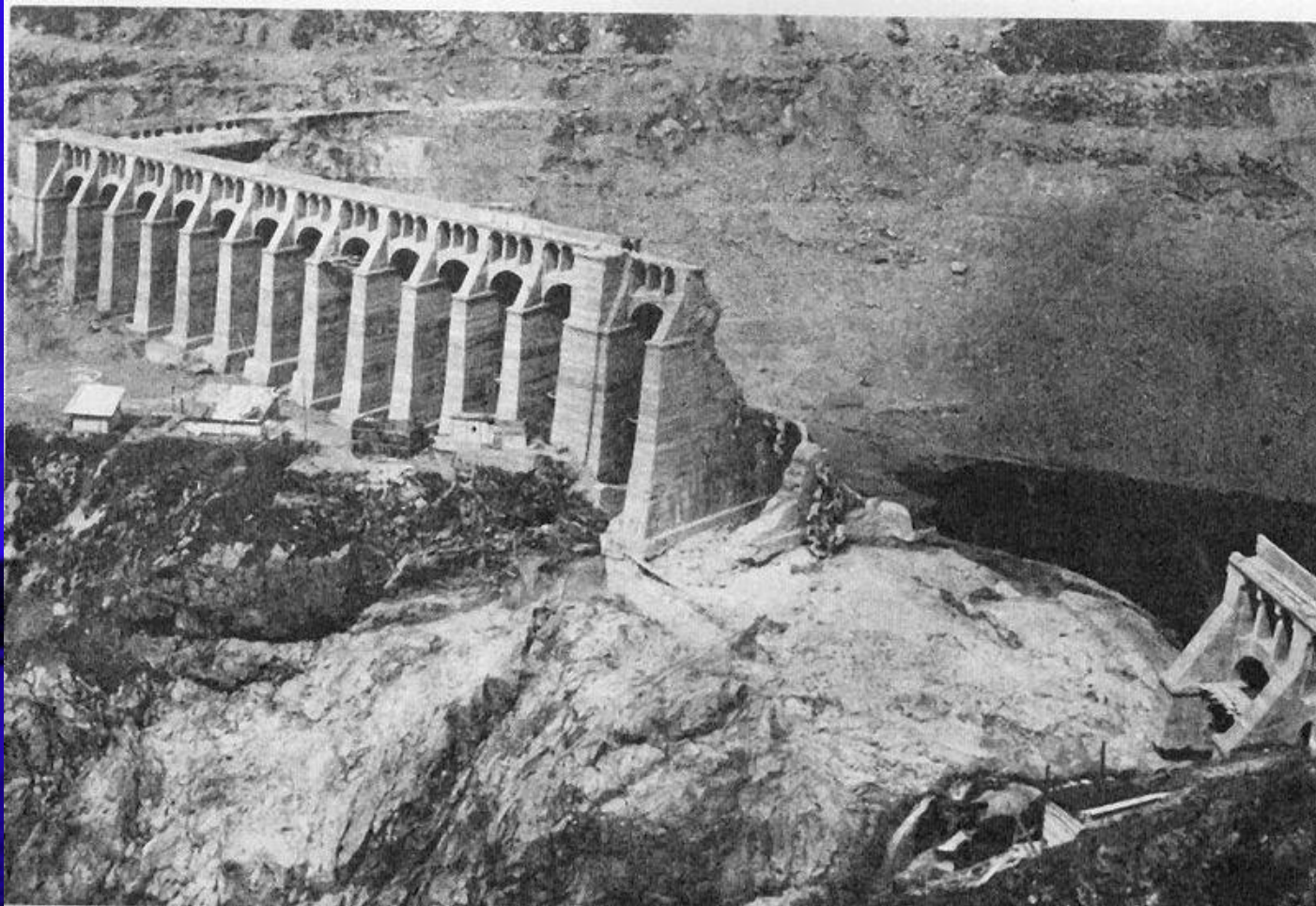
Gleno Dam, Italy



Gleno Dam, Italy

- 50 m high multiple concrete arch dam 213 m long
- Masonry gravity plug built in deep central valley gorge (use lime mortar instead of cement mortar)
- Original concrete gravity
- Changed to multiple arch but not approved
- 1923:
 - Failure of one of the buttresses leading to multiple arch failure
 - 356 fatalities

Gleno Dam, Italy

















Gleno Dam, Italy



- Change in design
- Iffy concrete quality
- Inappropriate material
 - Lime mortar for masonry section
- Settlement of masonry plug?

Hydraulic

- Failure due to erosion of rock
 - Kariba Dam, Zambia/Zimbabwe
- Failure due to overtopping of spillway walls and stilling basins
 - El Guapo Dam, Venezuela
- Stagnation Pressure Failure of Spillway Chutes
- Cavitation Damage Induced Failure of Spillways

El Guapo Dam, Venezuela



Is not a flip bucket but a hydraulic jump basin



Flow outside the
spillway chute

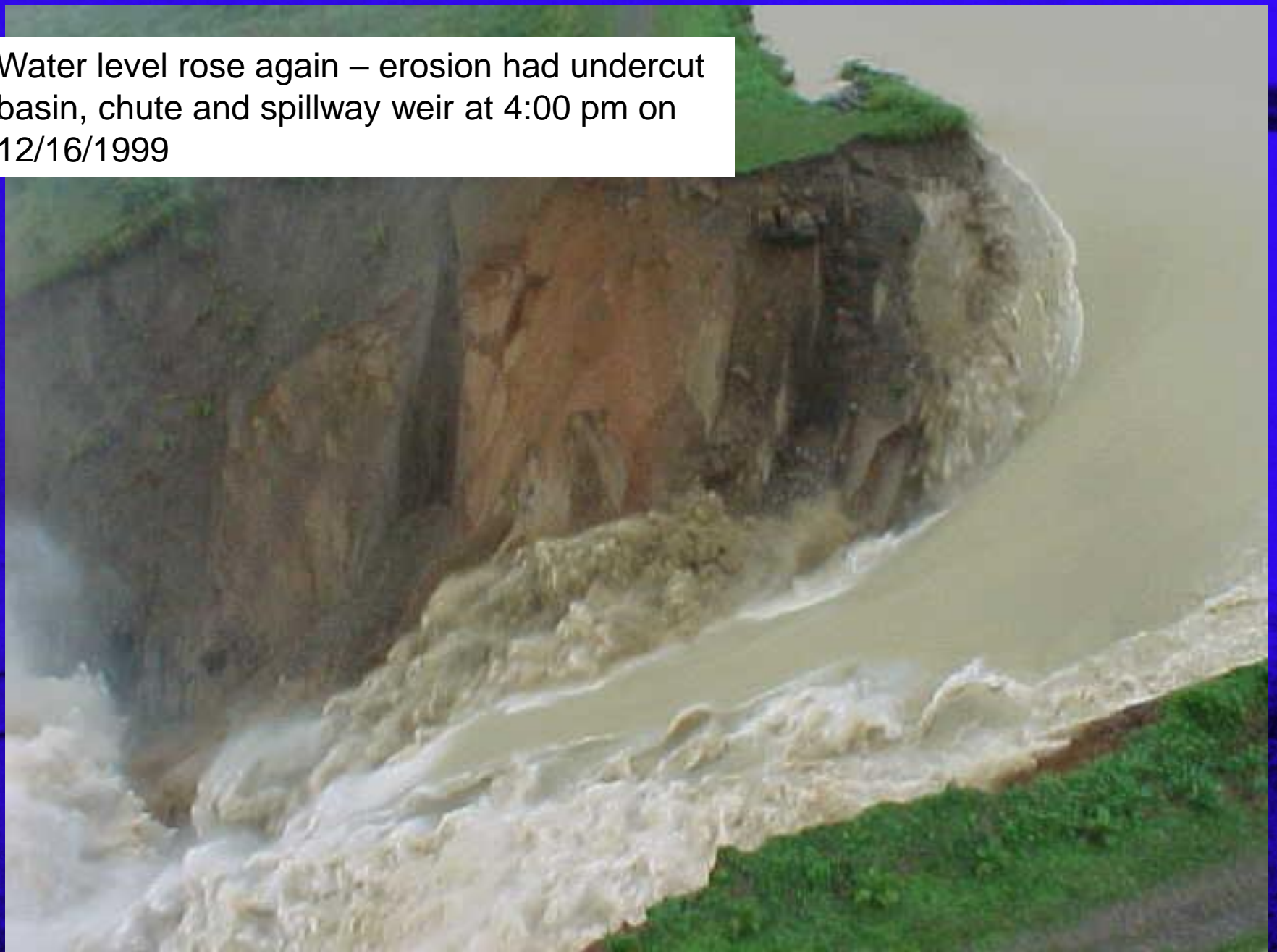
Walls Began to overflow at 1:15 am on
12/16/1999

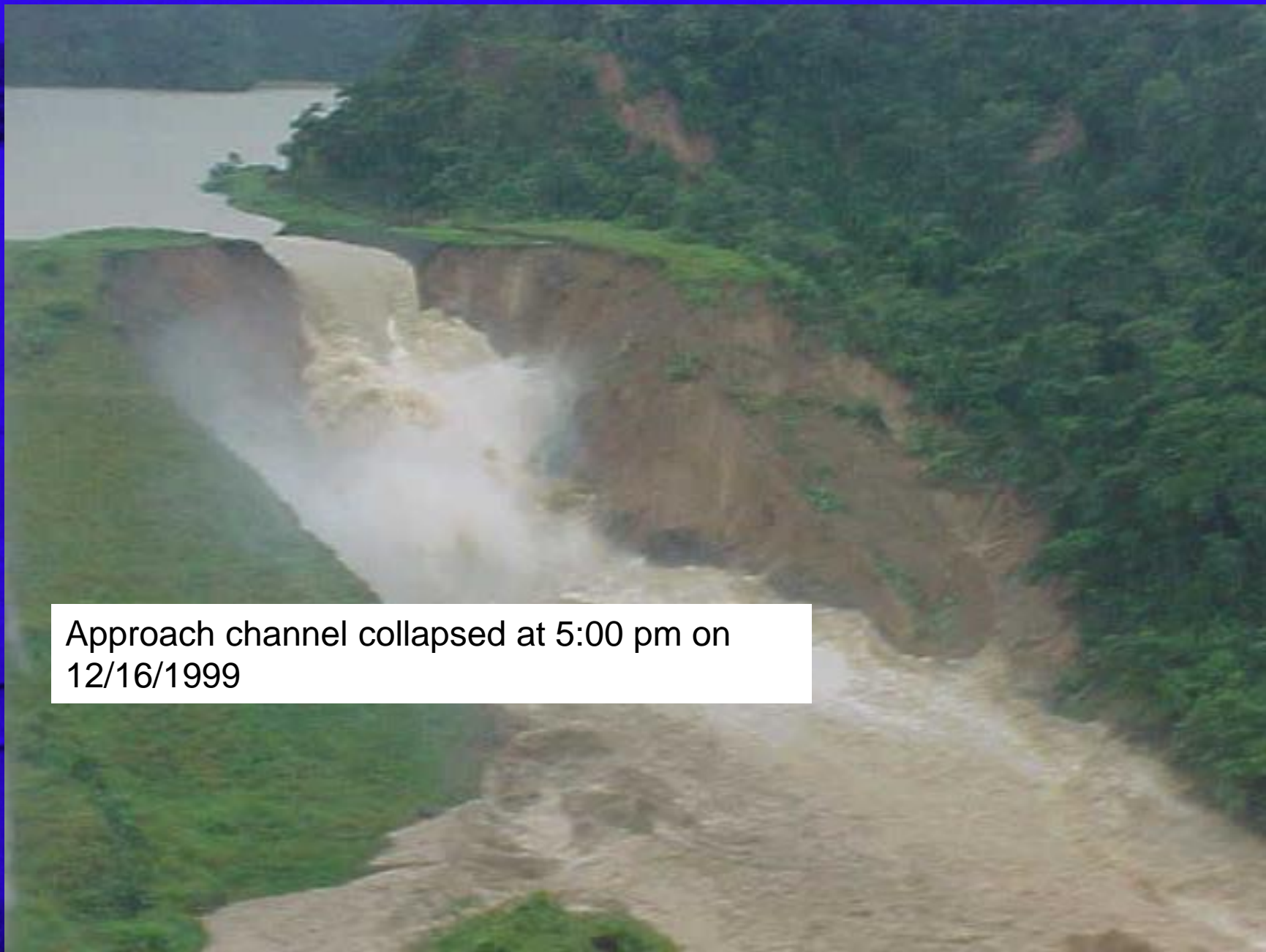


Water level behind dam decreased at 9:00 am
on 12/16/1999



Water level rose again – erosion had undercut basin, chute and spillway weir at 4:00 pm on 12/16/1999





Approach channel collapsed at 5:00 pm on
12/16/1999

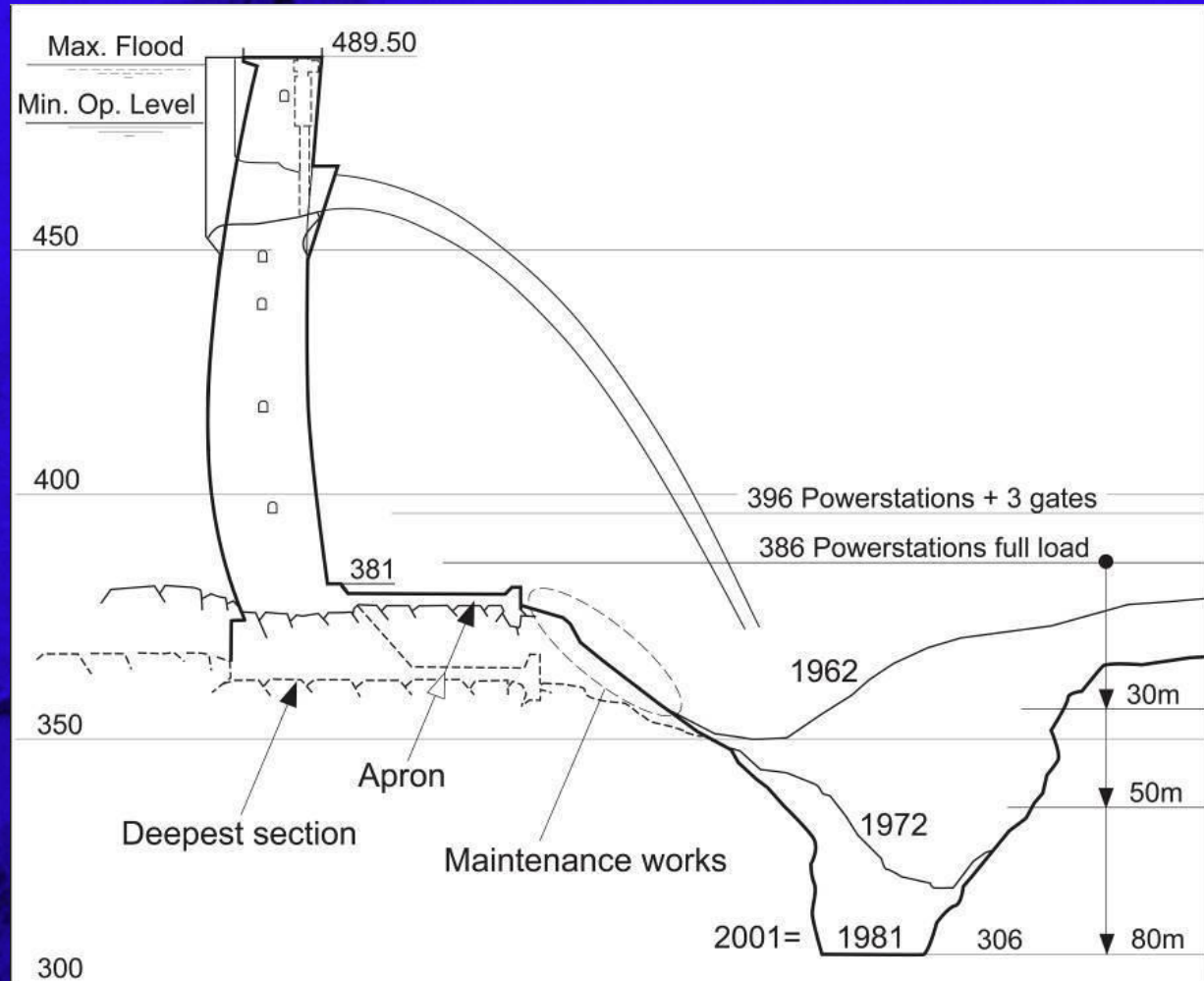
Flood wave reached 1st village at 6:00 pm on 12/16/1999 –
reservoir lowered 30 meters in 40 minutes



El Guapo Dam, Venezuela

- Built 1975 to 1980
- No proper hydrologic studies - based on similar basin
- Spillway system
 - Original uncontrolled ogee with downstream chute
 - Tunnel spillway added after chute wall overtopping during construction
- Failure in 1999

Kariba Dam, Zambia/Zimbabwe



Kariba Dam, Zambia/Zimbabwe

- 128 m high concrete arch
- Built between 1956 & 1959
- World's largest artificial lake
- Gated spillway sill = 33 m below crest
- Spillway use created 80 m deep eroded plunge pool over 20 years
- Geological feature (discontinuity) in the river section that was not picked up during planning and design
- Plans are abreast to deal with the issue

Oroville Dam



Oroville Dam



Operational failures

- Taum Sauk Dam, USA



Landslide failures

- Vajont Dam, Italy



Vajont Dam, Italy



Vajont Dam, Italy

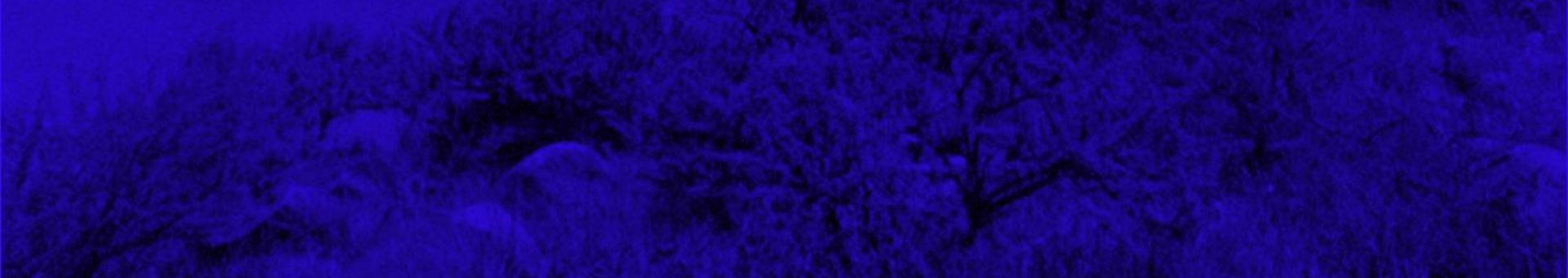
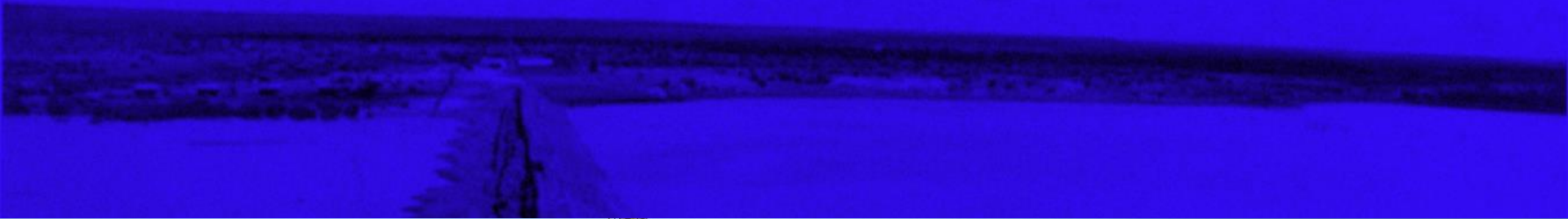
- 265 m high concrete arch dam
- Completed in 1960
- Left side reservoir foundation = steep slopes in bedded limestone with clay interbeds
- 1 month after completion & after heavy rain = first landslide = 700 000 m³ & 2 m wave
- Exploratory adits, piezometers & level of reservoir adjusted to limit slide movement
- 1963
 - Massive slide of 267 million m³
 - 100 m high over dam wall
 - 2 600 fatalities
 - Arch survived

Vajont Dam, Italy



Vajont Dam, Italy









Vajont Dam, Italy



- Dam abandoned
- Low strength clay layers between limestone beds
- Reservoir geology not fully understood

Folsom Dam



Shih-Kang Dam



An aerial photograph of a vast, flat, open landscape, possibly a coastal plain or a large field. In the foreground, there is a small, dark, rectangular structure, possibly a building or a shed. The ground is mostly light-colored, with some darker patches and sparse vegetation. In the distance, a dark, horizontal line marks the horizon. The overall scene is desolate and open.

Questions, Comments, or
Discussion

Thank you for your attention.