



OFFICE OF
INSPECTOR GENERAL
U.S. DEPARTMENT OF THE INTERIOR

August 7, 2015

Memorandum

To: Kristen J. Sarri
Principal Deputy Assistant Secretary for Policy, Management and Budget

From: Michael P. Colombo *[Signature]*
Western Regional Manager for Audits, Inspections, and Evaluations

Subject: Verification Review – Recommendations for the Report, “Bureau of Reclamation’s Safety of Dams: Emergency Preparedness” (WR-EV-BOR-0007-2011)
Report No. 2015-WR-076

The Office of Inspector General (OIG) has completed a verification review of the five recommendations presented in the subject report. Our objective was to determine whether the U.S. Department of the Interior (DOI) Bureau of Reclamation (USBR) implemented the recommendations as reported to the Office of Financial Management (PFM), Office of Policy, Management and Budget. PFM reported to OIG that it has closed the recommendations. We concur that all of the recommendations have been resolved and implemented.

Background

In our February 2012 report, “Bureau of Reclamation’s Safety of Dams: Emergency Preparedness,” we made five recommendations pertaining to—

- consistently documenting and tracking recommended corrective actions resulting from emergency action plan (EAP) exercises;
- verifying EAPs are exercised and documented;
- consistently documenting annual EAP reviews and communication drills;
- establishing a process of confirming the location, existence, and operability of equipment and materials listed as available in an EAP; and
- identifying and updating training requirements and tracking of training for dam personnel.

In a January 2012 memorandum to the OIG, USBR concurred with all five recommendations and provided target implementation dates of December 31, 2012, for Recommendations 1 through 4 and September 30, 2013, for Recommendation 5.

In October 2012, we referred the recommendations to the Assistant Secretary for Policy, Management and Budget for implementation tracking. At that time, we considered all five recommendations resolved, but not yet implemented. In March 2013, PFM reported to OIG that

USBR had taken the steps needed for PFM to consider Recommendations 1 through 4 implemented and closed. In addition, PFM reported in September 2013 that it considered Recommendation 5 implemented and closed.

Scope and Methodology

The scope of this review was limited to determining whether USBR implemented the recommendations we reported. To accomplish our objective, we reviewed PFM's documentation supporting its closure of our recommendations and USBR's documentation relating the steps it took to implement our recommendations.

We did not perform internal control testing, site visits, or conduct fieldwork to determine whether the underlying deficiencies that were initially identified have been corrected. As a result, this review was not conducted in accordance with Generally Accepted Government Auditing Standards, issued by the Comptroller General of the United States, or Quality Standards for Inspection and Evaluation issued by the Council of the Inspectors General on Integrity and Efficiency.

Results of Review

Our current review found that USBR has implemented the recommendations as indicated by PFM's closure notification.

Recommendation 1: Ensure that recommended corrective actions resulting from EAP exercises are consistently documented in the after action reports and entered into the [Dam Safety Information System (DSIS)] for implementation tracking and follow-up.

Action Taken: USBR implemented an EAP oversight program to evaluate the emergency preparedness of regional and area office EAP programs. In addition, USBR developed guidance to ensure that recommended corrective action resulting from EAP exercises are documented in an After Action Report (AAR) and entered into the DSIS for tracking and follow-up.

Recommendation 2: Verify that [National Critical Infrastructure] and [Major Mission Critical] dams' EAPs are exercised and documented as required in USBR's directives and standards.

Action Taken: As a part of its EAP oversight program, USBR reviewed the frequency of tabletop and functional exercises and ensured that exercises were documented in the DSIS. USBR has also updated and issued a temporary release of its directives and standards to modify the interval between EAP exercises from once every 3 years to once every 4 years.

Recommendation 3: Establish consistent documentation for annual EAP reviews and communication drills.

Action Taken: USBR developed guidance to ensure that EAP reviews and communication drills are completed on an annual basis and that such reviews are documented in the DSIS.

Recommendation 4: As part of the annual EAP reviews, establish a process of confirming the location, existence, and operability of equipment and materials listed as available in an EAP.

Action Taken: USBR developed guidance requiring annual EAP reviews to confirm the existence and condition of material, equipment, and equipment operability for dams with identified dam safety issues.

Recommendation 5: Identify and update training requirements and track training for dam personnel to ensure training needs are met.

Action Taken: USBR developed guidelines for emergency management training for dam personnel. The guidelines also outline requirements for training to be tracked in DOI Learn or subsequent versions of the employee training record management program.

Conclusion

We informed USBR officials of the results of this review on July 22, 2015.

cc: Olivia Ferriter, Deputy Assistant Secretary for Policy, Management and Budget
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