Contents

Author Biographies xix

1 Introduction **1**
1.1 Deterministic Assessment 1
1.2 Risk Enhanced Deterministic Assessment 2
1.3 Quantitative Risk Assessment (QRA) 2
1.4 Simplified QRA 2

2 Terminology **4**
2.1 Types of Embankment Dams 4
2.2 Dam Engineering Terminology 4
2.2.1 General Dam Engineering 4
2.2.2 Internal Erosion and Piping 7
2.2.3 Earthquakes 10
2.2.4 Liquefaction and Related Phenomenon 11
2.3 Some Statistical Terminology 11

3 Description of and Assessment of Potential Failure Modes and Data Gaps **15**
3.1 The Most Important Potential Failure Modes for Embankment Dams 15
3.1.1 Introduction 15
3.1.2 Failure Resulting from Throughflow, Overtopping or Wave Overtopping of the Crest of the Dam 15
3.1.3 Slope Instability and Deformations Leading to Loss of Freeboard and Failure 18
3.1.4 Failure Resulting from Internal Erosion and Piping 20
3.1.5 Leakage PFMs for Concrete Face Rockfill Dams and Asphaltic Concrete Face Rockfill Dams (ACFD) 25
3.1.6 Concrete and Asphalt Core Embankment Dams 25
3.1.7 Slope Instability and Pre-Existing Landslides at Dam Sites 26
3.1.8 Reservoir Rim and Catchment Area Slopes 26
3.2 Assembly and Assessment of Available Data 27
3.3 Site Inspection 28
3.4 Potential Failure Modes Analysis 29
3.4.1 Introduction 29
3.4.2 Example of Description of the Potential Failure Mode 29
3.5 Assessment of Data Gaps and Additional Site Investigations 30
3.5.1 A Checklist of Information to Inform the Safety Assessment 30
3.5.2 Assessment of Data Gaps 33
3.6 ANCOLD (2022) Levels of Risk Analysis 33

4 Geotechnical Investigations of Existing Dams and Their Foundations **36**
4.1 Introduction 36
4.2 Geological, Engineering Geological and Geotechnical Models 38
4.2.1 Foundations of an Existing Dam 38
4.2.2 Existing Dam Embankment 39
4.3 Planning the Investigations 39
4.4 Geotechnical Site Investigation Methods and Their Application 40
4.4.1 Geological and Geomorphological Mapping 40
4.4.2 Test Pits and Trenches, Logging of Exposures 42
4.4.3 Drilling and Sampling Methods 45
4.4.4 Details of Drilling Methods 51
4.4.5 Drilling in the Core of Embankment Dams 57
4.4.6 Core Orientation 59
4.5 In Situ Testing 59
4.5.1 General Applicability 59
4.5.2 Cone Penetration Tests (CPTU, CPT, SCPTU) 60
4.5.3 Standard Penetration Test (SPT) 62
4.5.4 Vane Shear Test 62
4.5.5 Dilatometer Test (DMT) 62
4.5.6 In Situ Permeability Tests of Soils 62
4.5.7 In Situ Permeability Tests of Rock 63
4.5.8 Pressuremeters 67
4.6 Geophysical Methods 68
4.7 Borehole Imaging 71
4.8 Installation of Piezometers and Other Instruments into Existing Embankments 71
4.9 Laboratory Testing of Soil and Rock 73
4.9.1 Testing Soil 73
4.9.2 Testing Rock 73
4.9.3 Hole Erosion Tests 73
4.9.4 All Laboratory Tests 73

5 Hydrologic and Seismic Hazard Assessment **74**
5.1 Introduction 74
5.1.1 Hydrologic and Seismic Loads for Quantitative Risk-Based Assessments 74
5.1.2 Hydrologic and Seismic Loads for Deterministic Assessments 74
5.2 Assessment of Hydrologic and Seismic Hazard 77
5.3 Hydrologic Load and Partitioning of the Reservoir Levels 77
5.4 Earthquake Load Partitioning 79
5.5 Consideration of Earthquake Aftershocks 80

6 Estimating the Likelihood of Failure by Overtopping or Throughflow of the Embankment **83**
6.1 Introduction 83
6.1.1 Earthfill Embankments 83
6.1.2 Earthfill Embankments Which Have Rip-Rap Protection on the Downstream Slope 86
6.1.3 Earth and Rockfill Embankments 86
6.1.4 Structure of the Chapter 87

6.2 Overtopping Scenarios 87
6.2.1 Hydraulic Loading 87
6.2.2 Embankment Zoning 87
6.2.3 Crest Level 88
6.3 Characteristics of Wind-Generated Waves on the Reservoir, and Estimation of Wave Run-Up 88
6.3.1 Introduction 88
6.3.2 Fetch 88
6.3.3 Design Wind 89
6.3.4 Wave Height 90
6.3.5 Wave Length and Wave Period 91
6.3.6 Wave Run-Up from Eurotop (2018) 91
6.4 Estimation of the Flows Resulting from Overtopping, Wave Overtopping and Throughflow 94
6.4.1 Flows Resulting from Overtopping 94
6.4.2 Flows Resulting from Overtopping by Waves 96
6.4.3 Flows Resulting from Throughflow in Rockfill Over the Top of the Embankment Core 97
6.5 Failure by Overtopping and Wave Overtopping of Type Z1 Earthfill Embankments 102
6.5.1 Introduction 102
6.5.2 Database Method 102
6.5.3 Simplified QRA Method 106
6.5.4 Physically Based Numerical Modelling 108
6.5.5 Suggested Methods for Assessing Dam Safety for Overtopping Type Z1 Earthfill Embankments 109
6.6 Failure by Overtopping or Wave Overtopping of Type Z2 Earthfill Embankments with Rip-Rap Downstream Protection 113
6.6.1 Introduction 113
6.6.2 Khan and Ahmad (2011) 113
6.6.3 Frizell et al. (1998) 114
6.6.4 Peirson et al. (2008) 116
6.6.5 Importance of Bedding Layer 116
6.6.6 Suggested Methods for Assessing Dam Safety for Overtopping of Type Z2 Earthfill Embankments with Rip-Rap Downstream Protection 116
6.7 Failure by Overtopping or Wave Overtopping of Types Z3, Z5 and Z6 Embankments with Downstream Rockfill 119
6.7.1 Introduction 119
6.7.2 Deterministic Assessment for Types Z3, Z5 and Z6 Embankments 119
6.7.3 Assessment of Flow Conditions 120
6.7.4 Condition (A) All Overtopping Flow Enters the Rockfill and Emerges Lower Down on the Downstream Slope of the Rockfill 120
6.7.5 Condition (B) Overtopping Flow Partly Enters the Rockfill as in (A) and the Remainder Flows down the Surface of the Downstream Slope 123
6.7.6 Condition (C) All Flow down the Surface of the Downstream Slope 123
6.8 Failure by Throughflow in Rockfill over the Top of the Embankment Core 124
6.8.1 Engineering Assessment 124
6.8.2 Deterministic Assessment 124
6.8.3 Simplified QRA and Quantitative Risk Assessment 124
6.9 Overtopping and Wave Overtopping of Parapet and Wave Walls 125
6.10 Consideration of Detection, Intervention and Breach in Event Tree Analyses 126

7 Slope Instability and Deformations Leading to Loss of Freeboard and Overtopping **128**
7.1 Data Assembly and Assessment 128
7.1.1 Data Required to Assess Factors of Safety and Deformations 128
7.1.2 Engineering Embankment and Engineering Geology Models 129
7.2 Shear Strength of Clay Soils 130
7.2.1 Drained Strength—Definitions 130
7.2.2 Development of Drained Residual Strength ϕ'_R 132
7.2.3 Undrained Strength Conditions 133
7.2.4 Triaxial Testing for Drained Strength Parameters, Some Common Errors 134
7.2.5 Direct Shear Test 136
7.2.6 Ring Shear Test 138
7.2.7 Laboratory Testing for Undrained Strength 139
7.2.8 Undrained Strength from Cone Penetration (CPT) and Piezocone (CPTU) Tests 140
7.2.9 Undrained Shear Strengths from Vane Shear Tests 143
7.2.10 Estimation of the Undrained Strength of Overconsolidated Soils from OCR 143
7.2.11 Estimation of Undrained Strength from Effective Stress Shear Parameters 144
7.3 Assessment of Drained, Effective Stress Shear Strengths of Clay Soils 144
7.3.1 Peak, Residual or Fully Softened Strength? 144
7.3.2 Review of Laboratory Test Results 146
7.3.3 Selection of Effective Stress Design Parameters in Clay Soils 146
7.3.4 Shear Strength of Fissured Soils 148
7.4 Undrained, Total Stress Parameters for Clay Soils 151
7.4.1 Triaxial Compression, Extension or Direct Simple Shear Strength 151
7.4.2 Selection of Undrained Strength Design Parameters 152
7.4.3 Shear Strengths for Analysis of Stability under Reservoir Drawdown Conditions 153
7.4.4 Shear Strength of Partially Saturated Clay Soils 155
7.5 Shear Strength of Filters 157
7.6 Shear Strength of Rockfill 158
7.7 Shear Strength of Non-Plastic Soils in the Foundation 161
7.7.1 Methods Usually Adopted 161
7.7.2 Cone Penetration (CPT) and Piezocone (CPTU) Tests 162
7.8 Shear Strength of Bedding Crushed Seams and Potentially Low Strength Strata in the Foundation 162
7.8.1 Shear Strength of Clean Rock to Rock Contact 164
7.8.2 Shear Strength of Infilled Joints and Crushed Seams Showing Evidence of Previous Displacement 166
7.8.3 Shear Strength of Intact Rock Bridges 167
7.8.4 Weighted Average Shear Strength 167
7.8.5 The Need for Specialist Rock Mechanics and Engineering Geology Input 167
7.9 Estimation of Steady State Pore Pressures 167
7.9.1 Estimation from Piezometer Data 167
7.9.2 Estimation from Numerical Seepage Analyses 168
7.9.3 Pore Pressures under Flood Conditions 169

7.10 Drawdown Pore Pressures and the Analysis of Stability under Drawdown Conditions 170
7.10.1 Some General Issues 170
7.10.2 Estimation of Drawdown Pore Pressures, Excluding the Effects of Shear-Induced Pore Pressures 170
7.10.3 Allowance for the Effects of Shear-Induced Pore Pressures 172
7.11 Some Details of the Analysis of Factors of Safety for Normal Operation, Flood and Drawdown 172
7.11.1 Introduction 172
7.11.2 Some Common Problems 173
7.11.3 Some Detailed Issues for Drawdown Analyses 174
7.12 Assessment of Acceptable Factors of Safety 174
7.13 Review and Assessment of Deformations of the Dam during Operation 176
7.14 Assessing the Probability of Failure Resulting from Downstream Slope Instability 182
7.14.1 Introduction 182
7.14.2 Estimating the Probability of Initiation of Downstream Slope Instability (P_I) 184
7.14.3 Estimation of the Likelihood of Loss of Freeboard Given Slope Instability Has Initiated (P_{LFI}) 193
7.14.4 Estimation of the Probability of Not Detecting Slope Instability 193
7.14.5 Estimation of the Likelihood of Unsuccessful Intervention and Repair 199
7.14.6 Estimation of the Probability of Breach 201
7.15 Static Liquefaction and Its Potential to Lead to Large Deformations and Loss of Freeboard 201
7.15.1 What Is Static Liquefaction? 201
7.15.2 The Mechanics of Undrained Shear of Saturated Non-Plastic Sand and Silt Sand Soils 202
7.15.3 The Classification of Soils Which Are Subject to Static Liquefaction and Flow Sliding 204
7.15.4 Relative Density or Degree of Compaction of Soils Susceptible to Static Liquefaction and Flow Sliding 204
7.15.5 Estimation of the Large Strain Undrained Strength S_{us} in Soils Which Have Liquefied 208
7.15.6 Assessing the Likelihood a Dam May Fail as a Result of Static Liquefaction 209

8 Deformations of Embankment Dams under Seismic Loading and Assessment of the Likelihood of Loss of Freeboard 211
8.1 Introduction 211
8.2 Performance of Embankment Dams during Earthquakes 212
8.3 Database and Simplified Methods for Estimating Deformations under Earthquake Loading for Embankments Not Subject to Liquefaction 212
8.3.1 Introduction 212
8.3.2 Empirical Database Methods for Estimating Deformations under Earthquake Loading for Dams Not Subject to Liquefaction 213
8.3.3 Simplified Methods of Deformation Analysis for Dams Where Liquefaction and Significant Strain Weakening Does Not Occur 216
8.4 Numerical Methods for Estimating Deformations During and Post-Earthquake for Non-Liquefied and Liquefied Conditions 218
8.4.1 Total Stress Codes 218

8.4.2 Effective Stress Codes 218
8.4.3 Discussion 219
8.5 Pseudo-Static Method 220
8.6 Soils Susceptible to Liquefaction 221
8.6.1 Methods Based on Soil Classification and in Situ Moisture Content 221
8.6.2 Methods Based on CPT/CPTU Indices 223
8.6.3 Methods Based on Geology and Age of the Deposit 225
8.6.4 Discussion and Recommended Approach 225
8.7 The "Simplified Method" for Assessing Liquefaction Resistance of a Soil 226
8.7.1 Background to the Simplified Method 226
8.7.2 The Simplified Method—Outline 227
8.7.3 Evaluation of Cyclic Stress Ratio (CSR) 228
8.7.4 Evaluation of Cyclic Resistance Ratio for M7.5 Earthquakes ($CRR_{7.5}$) from the Standard Penetration Tests Using the Boulanger and Idriss (2012), Idriss and Boulanger (2008) Method 229
8.7.5 Evaluation of the Cyclic Resistance Ratio for M7.5 Earthquake ($CRR_{7.5}$) from Cone Penetration Tests Using the Boulanger and Idriss (2015a) Method 231
8.7.6 Evaluation of Cyclic Resistance Ratio for M7.5 Earthquake ($CRR_{7.5}$) from Shear Wave Velocity Using the Andrus and Stokoe (2000) and Rollins et al. (2022) Methods 233
8.7.7 Earthquake Magnitude Scaling Factors and Factor of Safety Against Liquefaction 235
8.7.8 Corrections for Overburden Stress and Static Shear Stress 236
8.7.9 Sloping Ground Correction Factor K_α 238
8.8 Liquefied Undrained Shear Strength 239
8.8.1 Some General Principles 239
8.8.2 Background to the Assessment of the Liquefied Shear Strength $S_{u(LIQ)}$ 240
8.8.3 Some Methods for Assessing the Strength of Liquefied Soils in the Embankment and Foundation 241
8.9 Methods for Assessing the Post-Earthquake Strength of Non-Liquefied Soils in the Embankment and Foundation 247
8.9.1 Saturated Potentially Liquefiable Non-Plastic Soils 247
8.9.2 Cyclic Softening in Clays and Plastic Silts 248
8.9.3 Plastic Soils in the Embankment and in the Foundation 248
8.9.4 Compacted Non-Plastic Soils 248
8.10 Data Assessment and Assessment of Liquefaction Potential 249
8.10.1 Site Investigations Requirements and Development of a Geotechnical Model of the Foundation 249
8.10.2 Analysis of Liquefaction Potential and Post-Earthquake Strengths 250
8.11 Post-Earthquake Stability and Deformation Analyses for Embankments Subject to Liquefaction 252
8.11.1 Post-Earthquake Stability Analysis 252
8.11.2 Deformation Analyses 252
8.12 Assessment of Dam Safety Resulting from Seismic Loading 254
8.12.1 Embankments Not Susceptible to Liquefaction 254
8.12.2 Embankments and/or Foundations Which Are Subject to Liquefaction 254

9 Internal Erosion and Piping—Concentrated Leak Erosion **257**
9.1 Introduction 257
9.2 Transverse Cracking in the Embankment Resulting from Differential Settlements 260
9.2.1 IM 1 Cracking Resulting from Cross Valley Differential Settlement 260
9.2.2 IM 3 Cracking and Hydraulic Fracture Resulting from Cross Valley Arching 270
9.2.3 IM 5 Cracking in the Upper and Lower Embankment Resulting from Differential Settlements in the Soil in the Foundation under the Core 273
9.2.4 IM 6 Likelihood of Transverse Cracking Due to Differential Settlements Resulting from Embankment Staging 276
9.2.5 IM 12 Cracking and Hydraulic Fracture at the Foundation Contact Due to Small-Scale Irregularities in the Foundation Profile under the Core 277
9.2.6 IM 4 Cracking Resulting from Cross Section Differential Settlement Due to Poorly Compacted Shoulders 279
9.2.7 IM 10 Hydraulic Fracture or Gap Resulting from Arching of the Core onto the Shoulders of the Embankment 283
9.2.8 IM 21 and IM 22 Crack or Gap Adjacent to a Spillway or Abutment Walls 284
9.2.9 IM 2 Crack or Gap Adjacent to a Cliff at the Upper Part of the Embankment Formed by Differential Settlement 290
9.2.10 IM 23 Crack or Gap at the Interface of Wrap-Around Connecting Embankment Dam to a Concrete Gravity Dam 291
9.3 Limiting Stresses and Strains Likely to Result in Transverse Cracking 291
9.3.1 Laboratory Tension Tests on Soils 292
9.3.2 Numerical Analyses of Buffalo and Red Willow Dams 293
9.3.3 Case Studies from the Literature and Unpublished Reports 298
9.3.4 Summary of the Data 305
9.4 The Use of Numerical Modelling to Assess the Likelihood of Transverse Cracking 306
9.5 IM 14 Transverse Cracking or Gap Resulting from Poorly Compacted Zone within the Core 308
9.5.1 Introduction 308
9.5.2 The Mechanics of Collapse Settlement of Poorly Compacted Soil 309
9.5.3 Mechanisms Which May Form a Continuous Gap or Crack 311
9.5.4 Estimation of the Likelihood and Thickness of a Continuous Gap or Crack Formed by Collapse Settlement 316
9.5.5 IM 15 Transverse Cracking or Continuous Flaw Resulting from Poorly Compacted Layer on the Core Foundation Contact 318
9.6 IM 18 and IM 20 Continuous Crack or Gap Associated with Conduits Embedded in the Embankment and Walls 318
9.6.1 IM 18 Transverse Crack or Gap Associated with Conduits 318
9.6.2 IM 20 Transverse Crack or Gap Associated with Poor Compaction Adjacent to a Spillway or Abutment Wall 322
9.7 IM 19A Erosion into a Non-Pressurised Conduit and IM 19B Leakage out of a Pressurised Conduit Leading to Erosion along the Conduit 322
9.7.1 IM 19A Erosion into a Non-Pressurised Conduit 322
9.7.2 IM 19B Erosion of Soil Resulting from Leakage out of a Pressurised Conduit 323
9.8 Cracking Resulting from Desiccation and Freezing 323
9.8.1 IM 7 and IM 8 Cracking Due to Desiccation 323

9.8.2 IM 16 Cracking or Continuous Flaw Due to Freezing and IM 17 Cracking or Flaw Resulting from Freezing on a Seasonal Shutdown Layer 327
9.9 IM 13 Transverse Cracking in the Upper Part of the Embankment Caused by Earthquake 330
9.10 IM 26 Persistent Crack in Plastic Soil in the Foundation 333
9.10.1 Overall Approach 333
9.10.2 Some Factors to Consider in Estimating the Likelihood of the Presence of a Persistent Crack 334
9.10.3 Critical Shear Stress of Foundation Soils and Weathered Rock 336
9.11 Estimation of the Width and Depth of Cracking 336
9.11.1 Cracking Resulting from Cross Valley Differential Settlements. IM 1, IM 5, IM 6 and IM 13 336
9.11.2 Widths of Cracking and Hydraulic Fracture Resulting from Arching. IM 3, IM 10, IM 12 and IM 30 338
9.11.3 Estimation of the Width of a Crack or Flaw Resulting from Poor Compaction in the Core. IM 14 339
9.11.4 Estimation of the Width and Depth of Gaps Formed at Walls and Cliffs. IM 2, 21 and 22 340
9.12 Assessment of Whether a Crack Will Close Resulting from Swell of the Soil on the Sides of the Crack 342
9.12.1 General Principles 342
9.12.2 Recommended Method 343
9.13 The Mechanics of Erosion in Concentrated Leaks 346
9.13.1 The Procedure for Assessing Whether Erosion Will Initiate 346
9.13.2 Estimation of Hydraulic Shear Stresses in Cylinders and Horizontal Gaps below Reservoir Level 347
9.13.3 Estimation of Hydraulic Shear Stresses in Vertical Cracks with No Downstream Filter or Transition 348
9.13.4 Estimation of Hydraulic Shear Stresses in Vertical Cracks with a Downstream Filter or Transition 358
9.13.5 Flows in Narrow Cracks in the Core or Foundation 368
9.13.6 Erosion Properties of Soils in the Core of Embankment Dams 369

10 Internal Erosion and Piping—Backward Erosion Piping, Suffusion and Global Backward Erosion 377
10.1 Description of Backward Erosion Piping, Suffusion and Global Backward Erosion 377
10.1.1 Backward Erosion Piping (BEP) 377
10.1.2 Suffusion 379
10.1.3 Global Backward Erosion 383
10.2 Screening Test of Susceptibility to BEP, Suffusion and GBE Based on Soil Classification 384
10.2.1 Typical Gradings for Soils Subject to Backward Erosion Piping (BEP), Suffusion and Global Backward Erosion (GBE) 384
10.2.2 Limits on the Plasticity of Soils Subject to BEP, Suffusion and GBE 386
10.2.3 Conclusions 389
10.3 IM 24—Assessment of the Probability of Initiation of Backward Erosion Piping in a Layer of Non-Plastic Soil or Soil with Plasticity Index ≤ 4 in the Foundation 390
10.3.1 Description of Method 390

10.3.2 Estimation of the Probability of Heave or Reaching the Critical Gradient (P_H) from Piezometer Data and/or Seepage Flow Net Models 391
10.4 IM 24 Estimating the Probability of Progression of Backward Erosion Piping, Given Initiation of Backward Erosion 394
10.4.1 Estimating the Probability (P_{roof}) of a "Roof" above the Soil Subject to Backward Erosion Piping 394
10.4.2 Estimating the Probability of Progression of Backward Erosion Where Heave or Reaching the Critical Gradient Is Predicted, or Sand Boils Have Been Observed (P_P) and There Is a Roof for the Pipe 395
10.4.3 Estimation of Parameters for Use in Estimation of the Critical Gradient for Progression of Backward Erosion Piping 399
10.4.4 Estimation of the Probability of Progression Given Initiation (P_{IP}) for This Reservoir Stage 399
10.5 Methods for Estimating the Likelihood of Progression of Backwards Erosion Piping 400
10.5.1 Sellmeijer and Co-Workers Model 400
10.5.2 Schmertmann Method 404
10.5.3 Modifications to the Schmertmann (2000) Method 411
10.5.4 Corrections to the Sellmeijer and Schmertmann Methods for Exit Conditions, Fines Content and Relative Density 417
10.5.5 Estimation of Parameters for Use in Estimation of the Critical Gradient for Progression of Backward Erosion 421
10.6 IM 25—Estimation of the Probability of Initiation and Progression of Suffusion or Global Backward Erosion in an Embankment (IM 25E) or in the Foundation (IM 25F) 426
10.6.1 Introduction 426
10.6.2 Overall Approach to Assessing the Behaviour of Non-Plastic Broadly Graded Silt Sand Gravel Soils 429
10.6.3 Method for Estimating the Probability the Grading of the Soil Is Subject to Suffusion and GBE and for Estimating the Amount of Erosion 430
10.6.4 Seepage Gradients at Which Suffusion and Global Backward Erosion Occur 433
10.6.5 Effect of Suffusion and Global Backward Erosion on the Properties of the Soil 434
10.6.6 Estimation of Seepage Flows Resulting from Suffusion or Global Backward Erosion 435
10.6.7 Estimation of the Amount of Settlement Resulting from Suffusion or Global Backward Erosion 436

11 Contact Erosion and Other Mechanisms of Erosion into Soil and Rock Foundations 437
11.1 Introduction 437
11.2 Contact Erosion in Soils 437
11.3 IM 28 Method for Predicting Initiation and Progression of Contact Erosion in Soils 439
11.3.1 Introduction 439
11.3.2 Estimation of the Probability (P_{SS}) of the Presence of Continuous Coarse Strata in Contact with Fine Stratum 439

11.3.3 Estimation of the Probability ($P_{Contact}$) of the Geometrical Condition for Contact Erosion Being Satisfied 439
11.3.4 Estimation of the Probability (P_{HC}) of the Hydraulic Conditions for Contact Erosion Being Satisfied 441
11.3.5 Estimation of the Probability Contact Erosion in Soil Will Initiate 442
11.4 IM 29 Contact Erosion into Open Defects in a Rock Foundation 442
11.4.1 Introduction 442
11.4.2 The Steps to Be Followed to Estimate the Probability of Initiation of Contact Erosion into Open Defects in the Foundation 443
11.4.3 Estimation of the Probability of a Persistent Pathway of Open Defects in the Rock Foundation (P_{CR}) 444
11.4.4 Estimation of the Probability That Treatment of the Embankment Cutoff Foundation Does Not Prevent Contact of the Core with Open Defects (P_{TI}) 448
11.4.5 Estimation of the Probability of Grouting Not Being Effective in Cutting Off Open or Infilled Defects (P_{GNE}) 449
11.4.6 Estimation of the Probability of Initiation of Contact Erosion (P_{IC}) 449
11.5 IM 30 Concentrated Leak Erosion Resulting from Hydraulic Fracture in a Narrow Cutoff Trench with Erosion into Open Joints in the Sides of the Cutoff Trench 453
11.5.1 The Mechanics of the Process 453
11.5.2 Estimation of the Probability of Concentrated Leak Erosion in a Narrow Cutoff Trench 454
11.6 IM 31 Global Backward Erosion or Suffusion of Soil in a Cutoff Trench into Open Joints or Coarse Soil in the Sides of the Cutoff Trench 456
11.6.1 Introduction 456
11.6.2 Estimation of the Probability of Global Backward Erosion or Suffusion into Open Defects or Coarse Soil in the Sides of the Cutoff Trench 456

12 Internal Erosion and Piping—Filters and Continuation of Internal Erosion 458
12.1 General Concepts and Overall Approach 458
12.1.1 Notation 459
12.2 Probability of Continuation for Internal Erosion in the Embankment 460
12.2.1 Assessment of the Relevant Scenario 460
12.2.2 Probability for Continuation—Scenario 1. Homogeneous Zoning 463
12.2.3 Probability for Continuation—Scenario 2. Zoned Embankment. No Filter or Transition 463
12.2.4 Probability for Continuation—Scenario 3. Zoned Embankment. Filter or Transition Zone Is Present Downstream of the Core 465
12.2.5 Estimate of Potential Leakage Flows for Some, Excessive and Continuing Erosion Filters 477
12.2.6 Probability for Continuation—Scenario 4. Internal Erosion into an Open Defect, Joint or Crack in the Foundation, in a Wall or Conduit 478
12.3 Probability of Continuation for Internal Erosion through the Foundation 479
12.3.1 Approach 479
12.3.2 Probability of a Filtered or Unfiltered Exit 479
12.4 Probability of Continuation for Internal Erosion of the Embankment at or into the Foundation 482
12.4.1 Erosion into Open Joints in a Rock Foundation 482
12.4.2 Erosion into Coarse-Grained Soil Foundation 483

13 Internal Erosion and Piping—Progression, Detection, Intervention and Repair, and Breach **484**
13.1 Introduction 484
13.2 Progression of Internal Erosion 484
13.2.1 Introduction 484
13.2.2 Probability of Forming a Roof (P_{ROOF}) 485
13.2.3 Probability of Crack Filling Action Not Being Effective (P_{NCF}) 486
13.2.4 Probability of Limitation of Flows Not Being Effective (P_{NFL}) 489
13.3 Probability of Detection, Intervention and Repair 491
13.3.1 General Principles 491
13.3.2 Some Information on the Rate of Internal Erosion and Piping for Concentrated Leak Erosion 492
13.3.3 Detection 494
13.3.4 Assessing the Likelihood of Intervention and Repair 498
13.3.5 Calculation of the Probability of Not Detecting and Not Intervening 498
13.4 Probability of Breach 499
13.4.1 Overall Approach for Estimating the Probability of Breach 499
13.4.2 Screening of Breach Mechanisms 501
13.4.3 Estimation of the Probability of Breach by Gross Enlargement 502
13.4.4 Estimation of the Probability of Breach by Slope Instability 505
13.4.5 Estimation of the Probability of Breach by Sloughing or Unravelling 509
13.4.6 Estimation of the Probability of Breach by Sinkhole Development 513

14 Quantitative Risk and Simplified QRA Approaches to Assessing the Safety of a Dam for Internal Erosion and Piping **517**
14.1 Introduction 517
14.2 General Process 518
14.3 Event Trees for Internal Erosion and Piping 518
14.4 Failure Modes Assessment and Screening 521
14.4.1 Failure Modes Assessment 521
14.4.2 Screening of Failure Modes and Initiating Mechanisms 521
14.5 Partitioning of Reservoir Levels and Seismic Loading 533
14.6 Assessment of Conditional Probabilities 533
14.6.1 General Approach 533
14.6.2 Estimating Conditional Probabilities 533
14.7 The Nature of Estimated Conditional Probabilities and Uncertainty 534
14.7.1 The Appendix A Methods Give "Best Estimate" Probabilities of Failure 534
14.7.2 Adjusting the Appendix A Best Estimates 535
14.7.3 Limitations of Appendix A and Chapters 12 and 13 Methods 536
14.7.4 Assessment of Probabilities of Failure for Failure Modes Which Are Not Covered by the Methods Described Here 536
14.8 Summarising (Making the Case) 537
14.9 Combining Probabilities 537
14.9.1 Basic Principles 537
14.9.2 Adding Probabilities for Hydrological and Seismic Loads 538
14.9.3 Development of System Response Curves 538
14.10 Simplified QRA Method for Estimating the Annual Probability of Failure by Internal Erosion and Piping 539

14.10.1 General Concepts 539
14.10.2 Simplification of the Event Trees 540
14.10.3 PFM to Be Considered 541
14.10.4 Loading Cases 542
14.10.5 Assessing the Likelihood of Continuation 543

15 Historical Database Screening Method for Assessing the Annual Probability of Failure Resulting from Internal Erosion and Piping 545
15.1 Conceptual Framework 545
15.2 Internal Erosion and Piping in the Embankment 548
15.3 Internal Erosion and Piping in the Foundation 548
15.3.1 Introduction 548
15.3.2 Recommended Method 551
15.4 Erosion of Foundation Soil into Open Defects in Rock or into Coarse Gravel 552
15.4.1 Description of the Potential Failure Mode 552
15.4.2 Recommended Method 553
15.5 Internal Erosion and Piping from the Embankment to the Foundation 556

16 Assessment of the Safety of Concrete Face Rockfill and Asphalt Face Embankment Dams 559
16.1 Introduction 559
16.2 Concrete Face Rockfill Dams (CFRD) 559
16.2.1 Historic Development of Concrete Face Rockfill Dams 559
16.2.2 CFRD General Arrangement as Described in ICOLD (1989, 2010) 560
16.2.3 Discussion on CFRD Zoning 562
16.2.4 Zone 2D Properties 563
16.2.5 Use of Gravel as Rockfill 568
16.2.6 Use of Low Permeability Rockfill 570
16.2.7 Side Slopes and Analysis of Slope Stability 572
16.2.8 Crest Wall 572
16.2.9 Plinth 573
16.2.10 Face Slab 575
16.2.11 Post-Construction Settlements 580
16.2.12 Joint Displacements and Leakage Rates 586
16.2.13 Additional Information 586
16.3 Assessing the Safety of Concrete Face Rockfill Dams 589
16.3.1 Introduction 589
16.3.2 Flood Overtopping 590
16.3.3 Deformations under Seismic Loads Leading to Loss of Freeboard 590
16.3.4 Slope Instability Leading to Loss of Freeboard—General Approach 590
16.3.5 Leak in the Face Slab or Joints, Leading to Slope Instability and Loss of Freeboard under Flood and Seismic Loads 591
16.3.6 Estimating Leakage Flows in Cracks in the Face Slab or Open Joints 598
16.4 Asphalt Face Dams (AFD) 604
16.4.1 Zoning and Design Features 604
16.4.2 Design Principles 609
16.4.3 Performance of Asphalt Face Dams 610
16.5 Assessing the Safety of Asphalt Face Dams 612
16.5.1 Introduction 612

16.5.2 Overtopping Failure 612
16.5.3 Slope Instability Leading to Loss of Freeboard 612
16.5.4 Deformations under Seismic Loads Leading to Loss of Freeboard 614
16.5.5 Failure Resulting from Internal Erosion and Piping 615
16.5.6 Assessment of the Likelihood of Cracks in the Asphalt Face 615

17 Assessing the Safety of Concrete and Asphaltic Concrete Core Embankment Dams 617
17.1 Concrete Core Earthfill Dams (CCED) 617
17.2 Asphaltic Concrete Core Embankment Dams (ACED) 620
17.2.1 Asphalt Concrete Core 620
17.2.2 Filter Zones 622
17.2.3 Transition Zones 623
17.2.4 Rockfill Shells 623
17.2.5 Plinth 624
17.3 Failure by Overtopping 625
17.4 Failure by Slope Instability Resulting from Defects in the Core under Normal Operating and Flood Conditions 625
17.4.1 Concrete Core Earthfill Dams 625
17.4.2 Asphaltic Concrete Core Embankment Dams 626
17.5 Failure by Slope Instability Resulting from Defects in the Core under Seismic Loads 628
17.5.1 Concrete Core Dams 628
17.5.2 Asphaltic Concrete Core Embankment Dams (AECD) 629
17.6 Failure by Internal Erosion and Piping 629
17.6.1 Deterministic 629
17.6.2 Quantitative and Semi-Quantitative 630

18 Dam Safety Assessment 631
18.1 Introduction 631
18.1.1 Deterministic 631
18.1.2 Risk Enhanced Deterministic 633
18.1.3 Quantitative Risk Assessment 634
18.1.4 Simplified QRA 634
18.1.5 Summaries 634
18.2 Estimation of Potential Life Loss 634
18.2.1 Approaches to Estimating PLL 637
18.2.2 Incremental Consequences 639
18.2.3 Estimation of Population at Risk (PAR) 639
18.2.4 Warning Time 640
18.2.5 Exposure Scenarios and Factors 640
18.3 RCEM Method for Estimating PLL 641
18.3.1 Summary of the Method 641
18.3.2 An Approximate Application of the RCEM Method for Use in Risk Enhanced and Deterministic Assessments 642
18.4 Estimation of Individual Risk 645
18.5 Deterministic and Risk Enhanced Deterministic Approaches to Assessing Dam Safety 645
18.5.1 Overtopping and Wave Overtopping Failure of the Embankment 645

18.5.2 Slope Instability Leading to Overtopping Failure 648
18.5.3 Failure Resulting from Internal Erosion and Piping 648
18.5.4 Failure Resulting from Loss of Freeboard under Seismic Loads 652
18.6 Tolerable Risk Criteria for Quantitative Risk Assessment Approach to Assessing Dam Safety 653
18.6.1 Introduction 653
18.6.2 Tolerable Societal Risk Criteria 654
18.6.3 Tolerable Individual Risk Criteria 659
18.7 Semi-Quantitative Tolerable Risk Criteria 661

19 Measures for Upgrading Dams to Reduce Risks 664
19.1 Introduction 664
19.2 Risk Reduction Strategy 664
19.3 Reducing Risks from Flood Overtopping 665
19.3.1 The General Principles 665
19.3.2 Raising of Embankment Dams to Reduce Risks from Overtopping 666
19.4 Upgrade Measures to Reduce the Risk from Slope Instability and Deformations Leading to Loss of Freeboard 671
19.4.1 Introduction 671
19.4.2 Some General Principles 673
19.4.3 A Case History—Cairn Curran Dam Upgrade 673
19.5 Upgrade Measures to Reduce the Risk Resulting from Seismic Loads and Liquefaction of the Foundations or Embankment 676
19.5.1 General Approaches 676
19.5.2 Upgrading of Embankment Dams Not Subject to Liquefaction 679
19.5.3 Upgrading of Embankment Dams Subject to Liquefaction 679
19.5.4 Examples of Treatment of Liquefiable Foundations 682
19.6 Examples of Dam Upgrades to Address Deficiencies in Internal Erosion and Piping Control 687
19.6.1 Upgrades to Reduce the Likelihood of Continuation of Erosion by Providing Filters and Cutoffs 687
19.6.2 Upgrades to Reduce the Likelihood of Breach 693
19.7 Measures to Mitigate the Likelihood of Backward Erosion Piping (BEP) 697
19.7.1 "Flood Fighting" 697
19.7.2 Long Term Measures to Reduce the Progression of Backward Erosion Piping 698
19.8 Some Issues Which Arise in Constructing Dam Upgrades 702
19.8.1 Managing Dam Safety Risks during Construction 702
19.8.2 Filters: Manufacture, Placement and Compaction 706

Appendix A: Methods for Estimating Conditional Probabilities of Transverse Cracking Leading to Concentrated Leak Erosion 711
Appendix B: Guidelines for Backfilling Investigation Drill Holes, Holes Resulting from Cone Penetration Tests, and Test Pits (ANCOLD, 2020) 745
Appendix C: Development of the Historical Database Screening Method for Assessing the Annual Probability of Failure Resulting from Internal Erosion and Piping 751
References 765
Index 785