APPENDIX B: ASSESSMENT FORMS

Overview

This appendix compiles the field forms necessary to conduct the field susceptibility analysis. The field assessment uses a combination of relatively simple, but quantitative field, indicators as input parameters to a set of decision trees. The decision trees follow a logical progression and allow users to assign a classification of Low, Medium, High, or Very High susceptibility rating to the reach being assessed. Each stream reach is assessed independently in terms of its vertical and lateral susceptibility.

The susceptibility assessment consists of the following steps:

1. Determine the **Analysis Domain**
2. Conduct the initial **Office Assessment**
3. Rate the **Vertical Susceptibility** of the stream reach
4. Rate the **Horizontal Susceptibility** of the stream reach

The following forms and instructions provided to conduct these assessments include:

- Instruction on determining Analysis Domain
- Office Assessment Forms
  - Form 1: Initial Desktop Analysis
  - Form 2: Pebble Count
    - Example coverage and substrate sizing guidance
  - Form 3: Vertical Susceptibility Field Sheet
    - Checklist 1: Armoring Potential
    - Checklist 2: Grade Control
    - Probability of Incising/Braiding Diagram and Screening Index Threshold Calculations
    - Overall Vertical Susceptibility Decision Tree
  - Form 4: Lateral Susceptibility Field Sheet
  - Form 5: Sequence of Lateral Susceptibility Questions Option
  - Form 6: Probability of Mass Wasting Bank Failure

In order to complete the field assessment, the following items should be taken to the field:

- Additional forms and/or field book for sketches/notes
- Digital camera for photographic documentation
- Pocket rod and/or tape for some basic measurements and reference/scale in photographs
- Protractor (e.g., gravity-driven) for measuring bank angle
- Gravelometer (i.e., US SAH-97 half-phi template) for standardized pebble count

Analysis Domain

Prior to initiating the assessment, it is necessary to define the domain of analysis that will be covered. The maximum spatial unit for assigning a susceptibility rating is defined as a *ca.* 20 channel width 'reach' not to exceed 200 m. Before conducting the field screening, the analyst should identify the following attributes as part of the office analysis to estimate the maximum extent of the analysis domain for field refinement.

Begin by defining the points or zones along the channel reach(es) where changes in discharge or channel type are likely to occur (e.g., potential locations of outfalls or tributary inputs). Document any observed outfalls for final desktop synthesis and define the upstream and downstream extents of analysis as follows:

- **Downstream –** until reaching the closest of the following:
  - at least one reach downstream of the first grade-control point (but preferably the second downstream grade-control location)
  - tidal backwater/lentic waterbody
  - equal order tributary (Strahler 1952)[1]
  - a 2-fold increase in drainage area[2]

OR demonstrate sufficient flow attenuation through existing hydrologic modeling

- **Upstream –** extend the domain upstream for a distance equal to 20 channel widths OR to grade control in good condition – whichever comes first. Within that reach, identify hard points that could check headward migration, evidence that head cutting is active or could propagate unchecked upstream

Within the analysis domain there may be several reaches that should be assessed independently based on either length or change in physical characteristics. In more urban settings, segments may be logically divided by road crossings (Chin and Gregory, 2005), which may offer grade control, cause discontinuities in the conveyance of water or sediment, etc. In more rural settings, changes in valley/channel type, natural hard points, and tributary confluences may be more appropriate for delineating assessment reaches. In general, the following criteria should trigger delineation of a new reach and hence a separate susceptibility assessment:

- 200 m or ca. 20 bankfull widths – it is difficult to integrate over longer distances
- Distinct or abrupt change in grade or slope due to either natural or artificial features
- Distinct or abrupt change in dominant bed material or sediment conveyance
- Distinct or abrupt change in valley setting or confinement
- Distinct or abrupt change in channel type, bed form, or planform

Assessment Forms

Assessment Forms 1 - 6, beginning on the next page, have been collected for printing as a group.

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[1] In the absence of proximate downstream grade control or backwater, the confluence of an 'equal order tributary' should correspond to substantial increases in flow and channel capacity that should, in theory, correspond to significant flow attenuation; however, there is no scientific basis to assume that downstream channels of higher stream order are less susceptible than their upstream counterparts. This (practically-driven) guidance should not supersede the consideration of local conditions and sound judgment. Stakeholders may elect to use a more regionally-preferred guidance.

[2] An increase in drainage area greater than or equal to 100% would roughly correspond to the addition of an equal-order tributary (see above).

FORM 1: INITIAL DESKTOP ANALYSIS

Complete all shaded sections.

IF required at multiple locations, circle one of the following site types:

Applicant Site / Upstream Extent / Downstream Extent

Location: Latitude: ____________ Longitude: ____________

Description (river name, crossing streets, etc.): ____________

____

GIS Parameters: The International System of Units (SI) is used throughout the assessment as the field standard and for consistency with the broader scientific community. However, as the singular exception, US Customary units are used for contributing drainage area (A) and mean annual precipitation (P) to apply regional flow equations after the USGS. See SCCWRP Technical Report 607 for example measurements and "Screening Tool Data Entry.xls" for automated calculations.

Form 1 Table 1. Initial desktop analysis in GIS.

	Symbol	Variable	Description and Source	Value
Watershed properties (English units)	**A**	Area (mi^2)	Contributing drainage area to screening location via published Hydrologic Unit Codes (HUCs) and/or ≤ 30 m National Elevation Data (NED), USGS seamless server	
	P	Mean annual precipitation (in)	Area-weighted annual precipitation via USGS delineated polygons using records from 1900 to 1960 (which was more significant in hydrologic models than polygons delineated from shorter record lengths)	
Site properties (SI units)	**S_v**	Valley slope (m/m)	Valley slope at site via NED, measured over a relatively homogenous valley segment as dictated by hillslope configuration, tributary confluences, etc., over a distance of up to ~500 m or 10% of the main-channel length from site to drainage divide	
	W_v	Valley width (m)	Valley bottom width at site between natural valley walls as dictated by clear breaks in hillslope on NED raster, irrespective of potential armoring from floodplain encroachment, levees, etc. (imprecise measurements have negligible effect on rating in wide valleys where VWI is >> 2, as defined in lateral decision tree)	

Form 1 Tabl e 2. Simplif ied peak flo w, screening index, and valley width index. Values for this table should be calculated in the sequence shown in this table, using values from Form 1 Table 1.

Symbol	Dependent Variable	Equation	Required Units	Value
Q_{10cfs}	10-yr peak flow (ft^3/s)	$Q_{10cfs} = 18.2 * A^{0.87} * P^{0.77}$	A (mi^2) P (in)	
Q_{10}	10-yr peak flow (m^3/s)	$Q_{10} = 0.0283 * Q_{10cfs}$	Q_{10cfs} (ft^3/s)	
INDEX	10-yr screening index ($m^{1.5}/s^{0.5}$)	$INDEX = S_v * Q_{10}^{0.5}$	Sv (m/m) Q_{10} (m^3/s)	
W_{ref}	Reference width (m)	$W_{ref} = 6.99 * Q_{10}^{0.438}$	Q_{10} (m^3/s)	
VWI	Valley width index (m/m)	$VWI = W_v/W_{ref}$	W_v (m) W_{ref} (m)	

(Sheet 1 of 1)

FORM 2: PEBBLE COUNT

If it is necessary to estimate d_{50}, perform a pebble count, after Bunte and Abt (2001a,b), using a minimum of 100 particles and a standard half-phi template, or by measuring along the intermediate axis of each pebble. Use a grid and tape for equally spaced samples over systematic/complete transects across riffle sections (i.e., if the 100th particle is in the middle of a transect, complete the full transect before stopping the count; if more than 125 particles, record data near the bottom of Sheet 2 of 2). If the source of fines (sand/silt d <2 mm; see Form 2 Table 2 below) is less than ½ inch thick (approximately one finger width) at the sampling point, sample the coarser buried substrate; otherwise record observation of fines. Take photographs to support observations (Detailed instructions in Appendix A.3).

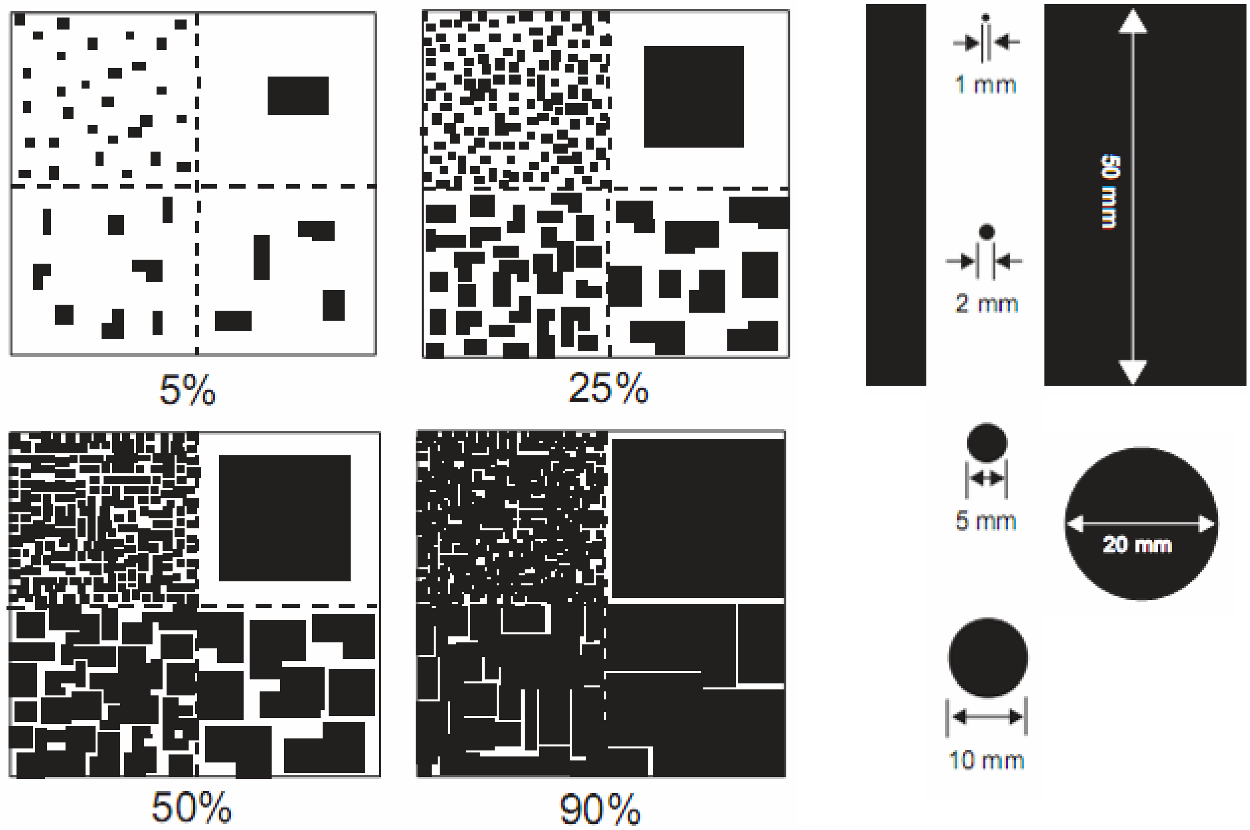
Form 2 Table 1. 100-pebble count tabulation for Vertical Susceptibility. Record station (Sta) and diameter (d) in millimeters.

#	Sta	d (mm)	#	Sta	d (mm)	#	Sta	d (mm)	#	Sta	d (mm)	#	Sta	d (mm)
1			26			51			76			101		
2			27			52			77			102		
3			28			53			78			103		
4			29			54			79			104		
5			30			55			80			105		
6			31			56			81			106		
7			32			57			82			107		
8			33			58			83			108		
9			34			59			84			109		
10			35			60			85			110		
11			36			61			86			111		
12			37			62			87			112		
13			38			63			88			113		
14			39			64			89			114		
15			40			65			90			115		
16			41			66			91			116		
17			42			67			92			117		
18			44			68			93			118		
19			44			69			94			119		
20			45			70			95			120		
21			46			71			96			121		
22			47			72			97			122		
23			48			73			98			123		
24			49			74			99			124		
25			50			75			100			125		

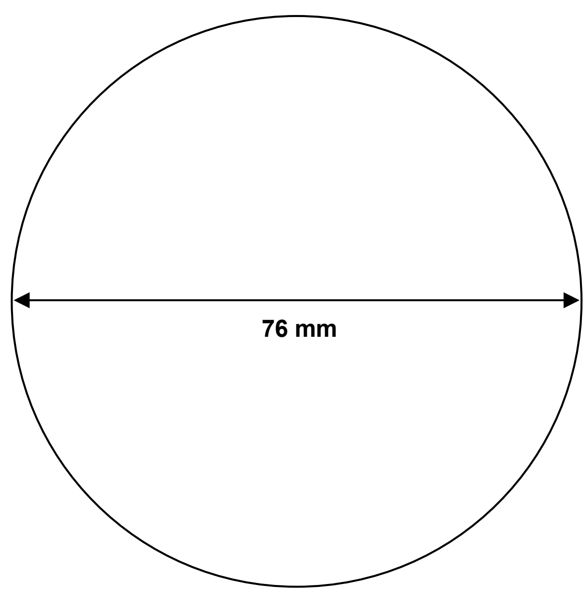
Form 2 Table 2. d_{50} for Screening Index Threshold.

Class Name	Diameter (mm)	Helpful Descriptions for Field Identification
Boulder	> 256	Difficult to lift by hand
Cobble	> 64	Typically able to lift
Gravel	> 2	Fits in one hand
Sand	> 0.0625	Can feel between fingers
Silt	> 0.004	Can feel with tongue
Clay	≤ 0.004	Can not feel individual particle

(Sheet 1 of 2)



Note: Each quadrant within each box contains the same total area covered using different sized objects.

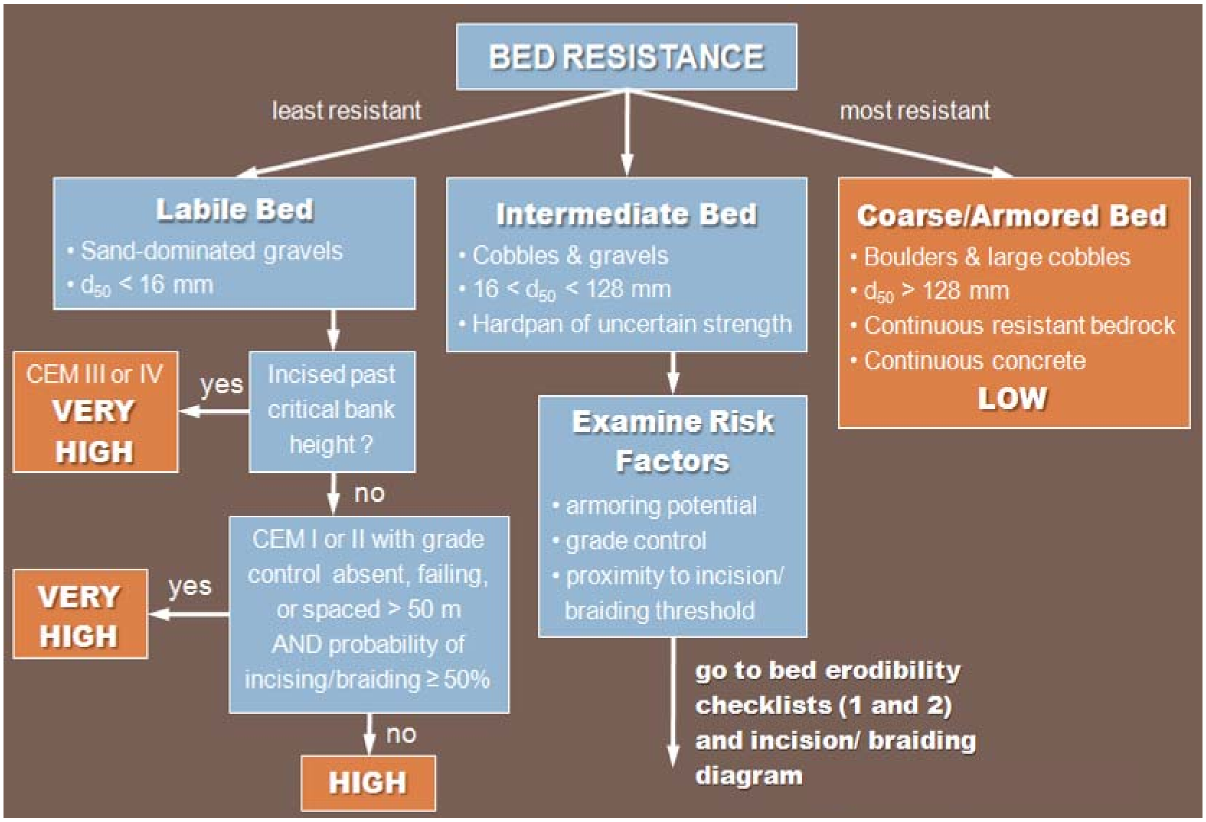


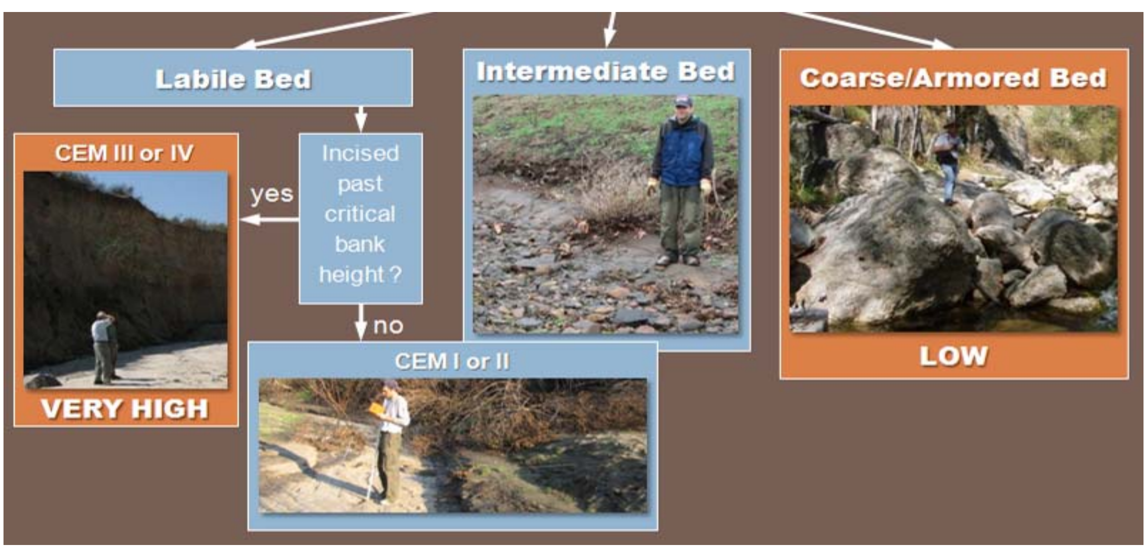
Form 2 Figure 1. Examples of % coverage by volume and substrate sizing adapted from *NRCS Field Book for Describing and Sampling Soils* (Schoeneberger *et al.* 2002) and Julien (1998).

(Sheet 2 of 2)

FORM 3: VERTICAL SUSCEPTIBILITY FIELD SHEET

Circle appropriate nodes/pathway for proposed site.





Form 3 Figure 1. Vertical Susceptibility photographic supplement to be used in conjunction with Form 3 Bed Resistance above.

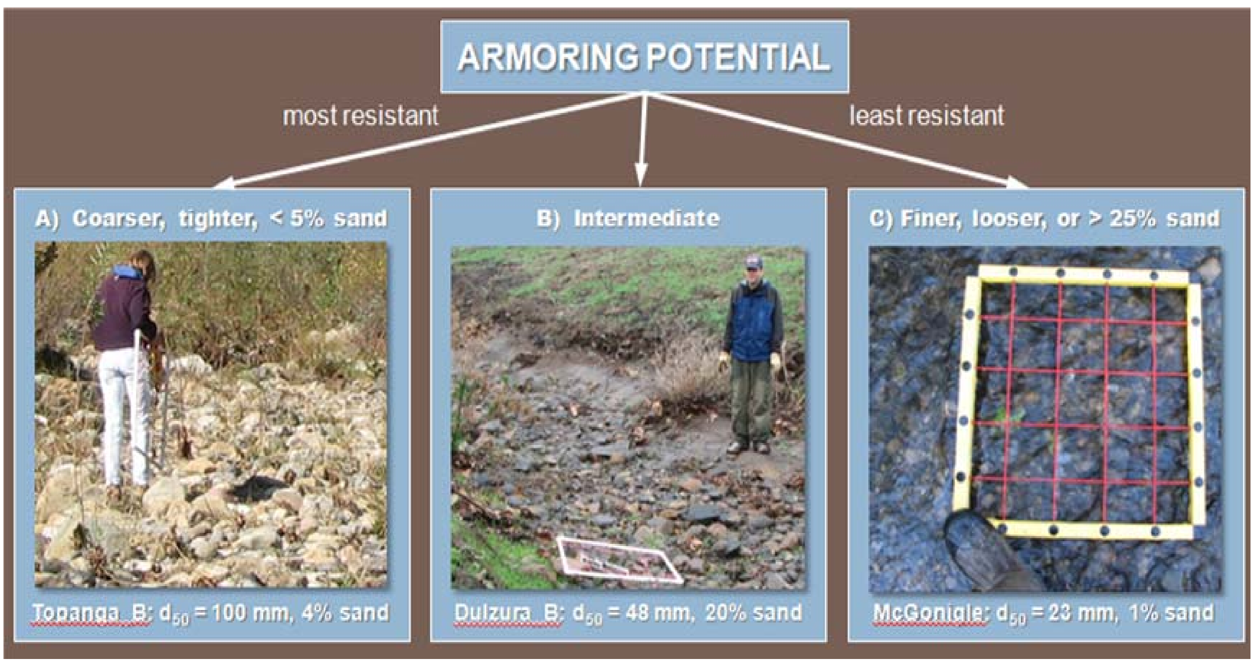
(Sheet 1 of 4)

Form 3 Support Materials

Form 3 Checklists 1 and 2, along with information recording in Form 3 Table 1, are intended to support the decisions pathways illustrated in Form 3 Overall Vertical Rating for Intermediate/Transitional Bed.

Form 3 Checklist 1: Armoring Potential

□	A	A mix of coarse gravels and cobbles that are tightly packed with <5% surface material of diameter <2 mm
□	B	Intermediate to A and C or hardpan of unknown resistance, spatial extent (longitudinal and depth), or unknown armoring potential due to surface veneer covering gravel or coarser layer encountered with probe
□	C	Gravels/cobbles that are loosely packed or >25% surface material of diameter <2 mm



Form 3 Figure 2. Armoring potential photographic supplement for assessing intermediate beds (16 < d_{50} < 128 mm) to be used i**n conjunction with Form 3 Checklist 1.**

(Sheet 2 of 4)

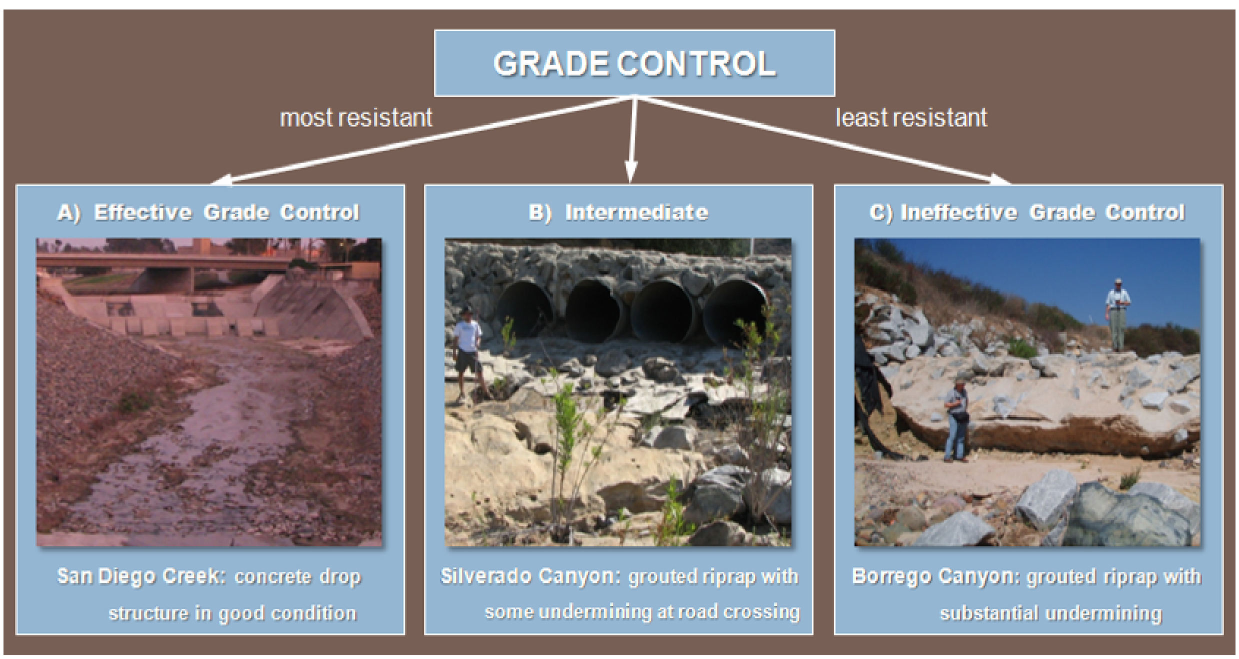
Form 3 Checklist 2: Grade Control

□ A Grade control is present with spacing <50 m or $2/S_v$ m

- No evidence of failure/ineffectiveness, e.g., no headcutting (>30 cm), no active mass wasting (analyst cannot say grade control sufficient if mass-wasting checklist indicates presence of bank failure), no exposed bridge pilings, no culverts/structures undermined
- Hard points in serviceable condition at decadal time scale, e.g., no apparent undermining, flanking, failing grout
- If geologic grade control, rock should be resistant igneous and/or metamorphic; For sedimentary/hardpan to be classified as 'grade control', it should be of demonstrable strength as indicated by field testing such as hammer test/borings and/or inspected by appropriate stakeholder

□ B Intermediate to A and C – artificial or geologic grade control present but spaced 2/Sv m to 4/Sv m or potential evidence of failure or hardpan of uncertain resistance

□ C Grade control absent, spaced >100 m or $>4/S_v$ m, or clear evidence of ineffectiveness

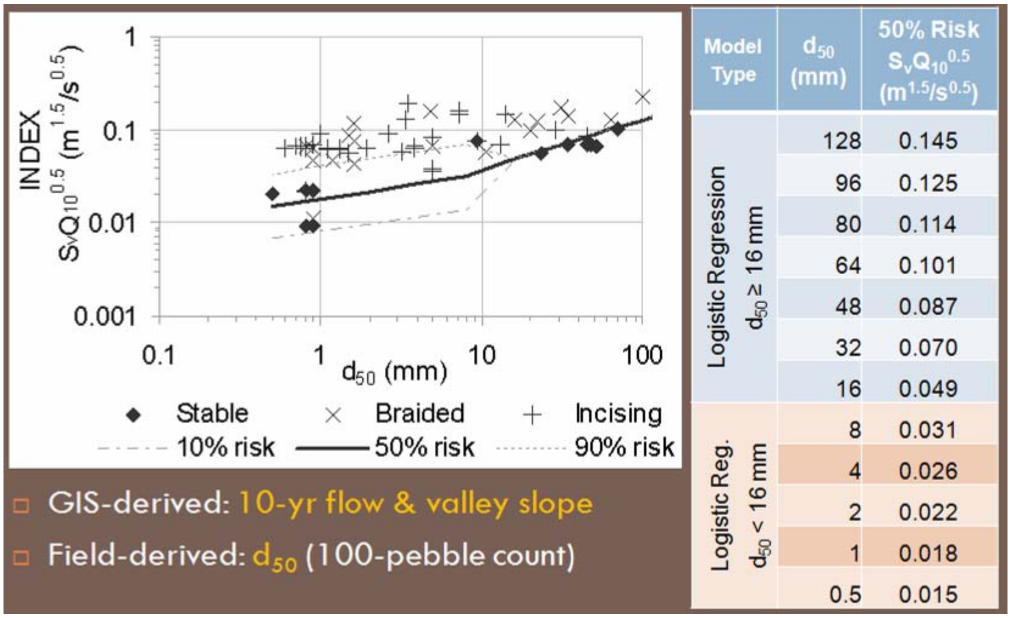


Form 3 Figure 3. Grade-control (condition) photographic supplement for assessing intermediate beds ($16 < d_{50} < 128$ mm) to be used in conjunction with Form 3 Checklist 2.

(Sheet 3 of 4)

Regionally-Calibrated Screening Index Threshold for Incising/Braiding

For transitional bed channels (d_{50} between 16 and 128 mm) or labile beds (channel not incised past critical bank height), use Form 3 Figure 3 to determine Screening Index Score and complete Form 3 Table 1.



Form 3 Figure 4. Probability of incising/braiding based on logistic regression of Screening Index and d_{50} to be used in conjunction with Form 3 Table 1.

Form 3 Table 1. Values for Screening Index Threshold (probability of incising/braiding) to be used in conjunction with Form 3 Figure 4 (above) to complete Form 3 Overall Vertical Rating for Intermediate/Transitional Bed (below).. Screening Index Score: A = <50% probability of incision for current Q_{10}, valley slope, and d_{50}; B = Hardpan/d_{50} indeterminate; and C = ≥50% probability of incising/braiding for current Q_{10}, valley slope, and d_{50}.

d_{50} (mm) *From Form 2*	**S_v*$Q_{10}^{0.5}$ ($m^{1.5}/s^{0.5}$)** *From Form 1*	**S_v*$Q_{10}^{0.5}$ ($m^{1.5}/s^{0.5}$)** *50% risk of incising/braiding from table in Form 3 Figure 3 above*	**Screening Index Score (A, B, C)**

Overall Vertical Rating for Intermediate/Transitional Bed

Calculate the overall Vertical Rating for Transitional Bed channels using the formula below. Numeric values for responses to Form 3 Checklists and Table 1 as follows: A = 3, B = 6, C = 9.

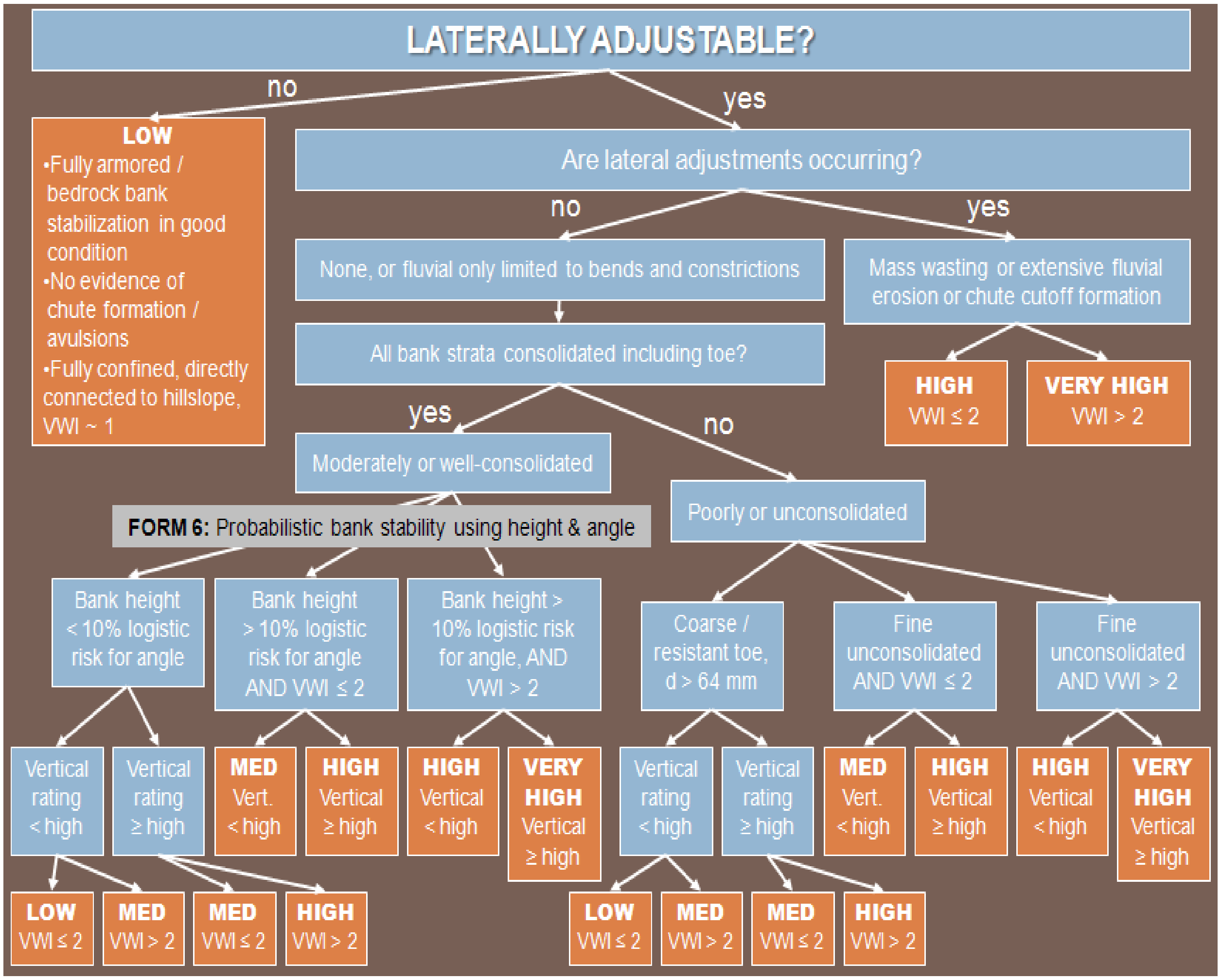
$$Vertical\ Rating = \sqrt{\left\{\left(\sqrt{armoring * grade\ control}\right) * screening\ index\ score\right\}}$$

Vertical Susceptibility based on Vertical Rating: <4.5 = LOW; 4.5 to 7 = MEDIUM; and >7 = HIGH.

(Sheet 4 of 4)

FORM 4: LATERAL SUSCEPTIBILTY FIELD SHEET

Circle appropriate nodes/pathway for proposed site
OR use sequence of questions provided in Form 5.



(Sheet 1 of 1)

FORM 5: SEQUENCE OF LATERAL SUSCEPTIBILITY QUESTIONS OPTION

Enter Lateral Susceptibility (Very High, High, Medium, Low) in shaded column.
Mass wasting and bank instability from Form 6, VWI from Form 4, and Vertical Rating from Form 3.

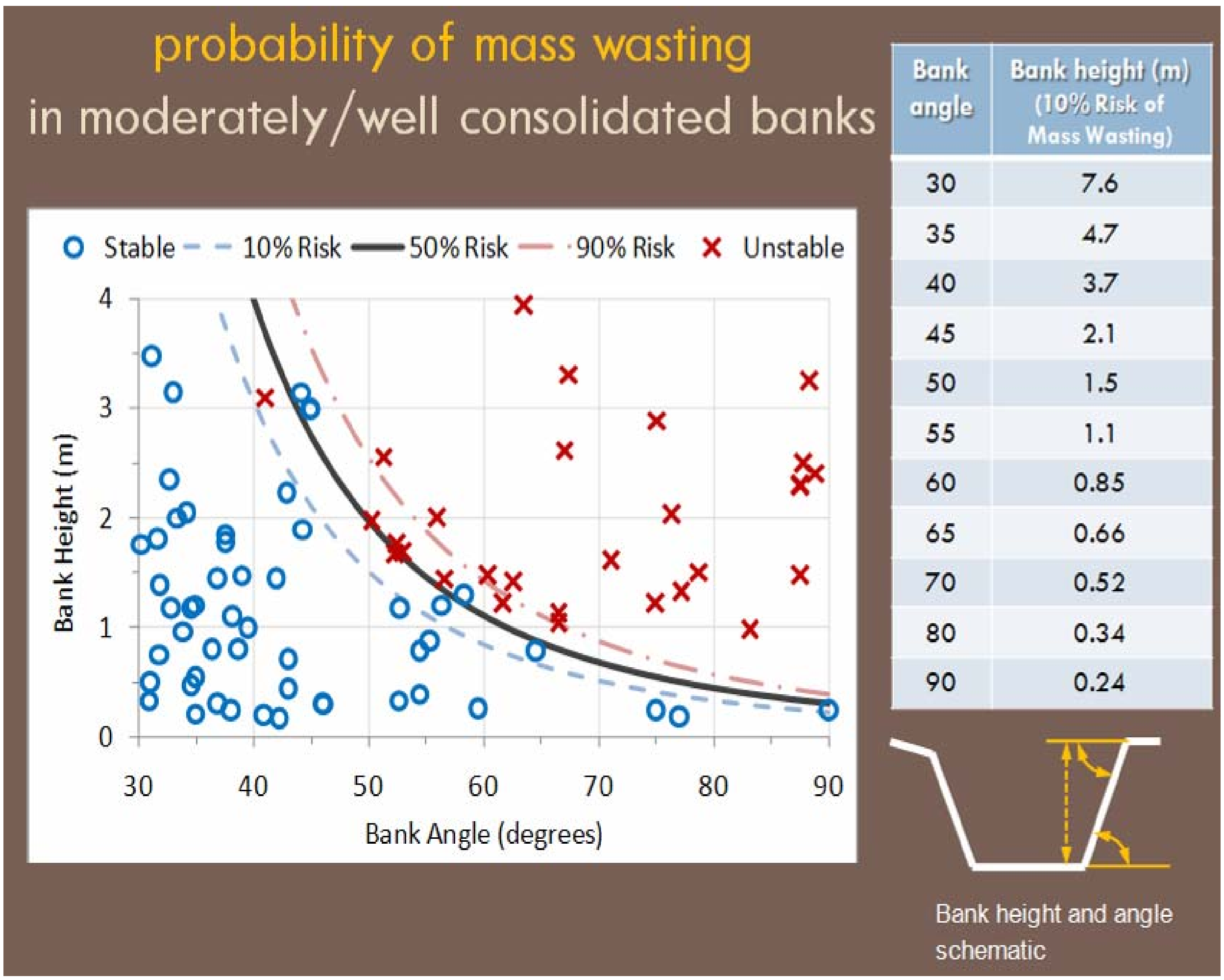
			Lateral Susceptibility
Channel fully confined with VWI ~1 – connected hillslopes OR fully-armored/engineered bed and banks in good condition?	If YES, then LOW		
If NO, Is there active **mass wasting** or extensive fluvial erosion (> 50% of bank length)?	If YES, VWI ≤ 2 = HIGH, VWI > 2 = VERY HIGH		
If NO, Are both banks consolidated?	If YES, How many risk factors present? **Risk Factors:** o Bank instability p > 10% o VWI > 2 o Vertical rating ≥ High	• All three = VERY HIGH • Two of three = HIGH • One of three = MEDIUM • None = LOW	
If NO, Are banks either consolidated or unconsolidated with coarse toe of d > 64 mm?	If YES, How many risk factors present? **Risk Factors:** o VWI > 2 o Vertical rating ≥ High	• Two = HIGH • One = MEDIUM • None = LOW	
If NO, At least one bank is unconsolidated with toe of d < 64 mm	How many risk factors present? **Risk Factors:** o VWI > 2 o Vertical rating ≥ High	• Two = VERY HIGH • One = HIGH • None = MEDIUM	

(Sheet 1 of 1)

FORM 6: PROBABILITY OF MASS WASTING BANK FAILURE

If mass wasting is not currently extensive and the banks are moderately- to well-consolidated, measure bank height and angle at several locations (i.e., at least three locations that capture the range of conditions present in the study reach) to estimate representative values for the reach. Use Form 6 Figure 1 below to determine if risk of bank failure is >10% and complete Form 6 Table 1. Support your results with photographs that include a protractor/rod/tape/person for scale.

	Bank Angle (degrees) *(from Field)*	**Bank Height (m)** *(from Field)*	**Corresponding Bank Height for 10% Risk of Mass Wasting (m)** *(from Form 6 Figure 1 below)*	**Bank Failure Risk** *(<10% Risk)* *(>10% Risk)*
Left Bank				
Right Bank				



Form 6 Figure 1. Probability Mass Wasting diagram, Bank Angle:Height/% Risk table, and Band Height:Angle schematic.

(Sheet 1 of 1)