



Arizona State Museum

THE UNIVERSITY OF ARIZONA®

PROCEDURES MANUAL
FOR
ARIZONA ANTIQUITIES ACT PERMITS,
RECORDS MANAGEMENT / REPOSITORY REQUIREMENTS, AND
ARCHAEOLOGICAL RECORDS ACCESS

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INTRODUCTION

This manual assembles information that archaeologists, paleontologists, and cultural resource land managers will need to obtain permits and perform work on state, county, or municipal land in the State of Arizona. The manual also covers the Arizona State Museum (ASM) records management and repository requirements and the use of the ASM Archaeological Records Office.

All state-permitted contractors will comply with the records management and repository requirements outlined in this manual when submitting survey documentation. All archaeologists and paleontologists who intend to obtain ASM site numbers and file site and survey records at ASM for authorized work done on federal, tribal, or private lands in Arizona will be issued a "Records Management and Repository Agreement."

A complete set of permit application forms, project registration forms, and a request for use of the ASM Archaeological Records Office is available from the ASM website under "Cultural Resource Services" at www.statemuseum.arizona.edu or they can be mailed on request. A copy (in .pdf format) of the State Historic Preservation Office's (SHPO's) *Standards for Conducting and Reporting Cultural Resource Surveys on State Lands* is also posted on the website. We encourage you to visit this website to download the standards and to obtain all the necessary forms.

Site cards and survey information will be submitted electronically using the AZSITE Entry Module. The AZSITE Entry Module and instructions for its installation can be found at: http://www.azsite.arizona.edu/support/file_downloads.htm. The completion of paper site cards is covered in a separate manual, the *Arizona State Museum Archaeological Site Recording Manual*, version 1.1, Dec. 1993, available on request.

This manual does not cover the ASM Collections Division requirements for submitting records and collections associated with testing, excavation, site monitoring, or surveys. Arrangements for such services must be made with the ASM curator of Collections (520-626-9109). Limited collection under a blanket permit has been suspended. Beginning with the 2003 permit cycle, the collection of any artifacts during survey or nonsite monitoring, **with one major exception** (see page 3, this manual), will obligate the permittee to pay curation fees (see fee schedule, page 2).

All permitted contractors and their employees are encouraged to read the Arizona Board of Regents (ABOR) rules, Chapter VIII, Sections 8-201 through 8-204, and the *Arizona Antiquities Act* (Arizona Revised Statutes [ARS] 41-841, *et seq.*). In the event of a discrepancy between this manual and the ABOR rules, the rules will prevail. **NOTICE:** *Arizona Antiquities Act* (AAA) permits are not required, are not valid, and will not be issued, for work on private, tribal, or federal lands. Under certain circumstances, a state permit might be required on lands other than state lands when a state agency provides state funding (for more information, call Nancy Pearson at 520-621-2096).

Because county and city cultural resource ordinances are written to protect the information contained in important prehistoric and historic sites, the collections and records from work required by these ordinances will be curated in a public repository that will provide access to these records and collections to authorized researchers. Before beginning archaeological work required by ordinance, the archaeologist should determine where the county or city wants collections and records to be curated. If the repository is ASM, the repository agreement and fees are handled as they would be for work done under a state permit. Please contact the ASM curator of Collections (520-626-9109) for information.

ASM CONTACTS ADDRESSES AND TELEPHONE NUMBERS

Where to get permits or records management agreements:

Contact: **Nancy E. Pearson**, Assistant Permits Administrator
(520) 621-2096, nepearso@email.arizona.edu

or: **Chris Cleary**, Site Records Administrative Assistant
(520) 621-4011, clearyc@email.arizona.edu

or write (mailing address): **Permits Office
Arizona State Museum
The University of Arizona
1013 East University
Tucson 85721-0026**

or visit (physical address): **ASM, South Building (Bldg 30)
by appointment only
open 10am - 3pm M-F**
(Across from the main ASM building)
1010 E. University Blvd.
Tucson 85721-0026

our website: www.statemuseum.arizona.edu

FAX number: Records Office FAX: (520) 621-4011
ASM FAX: (520) 621-2976

Send all correspondence to the Permits Office at the above mailing address.

Send site cards, reports, maps, and fees to the above address, **Attn: Chris Cleary**

Make all checks payable to **The University of Arizona**.

To request ASM site numbers or an archaeological records search:

Email (current record search
request form must be used) **Archaeological Records**
azsite@email.arizona.edu

To obtain an AAA permit application, or for further information:

Call or write: **Nancy E. Pearson**, Assistant Permits Administrator
(ASM mailing address) (520) 621-2096, nepearso@email.arizona.edu

For information on the AZSITE project:

Call or email: **Rick Karl**, AZSITE Data Base Administrator
(520) 621-1271, karlr@email.arizona.edu

GENERAL INFORMATION

A. Who must obtain permits:

Any organization, institution, corporation, or person entering onto state, county, or municipal land to conduct archaeological or paleontological survey, testing, excavation, or monitoring will apply for a permit from the director of the ASM. Reference: AAA, ARS §41-841, *et seq.*; and, ABOR rules 8-201 through 8-207 as authorized by ARS §15-1631.

B. Who must obtain records management/repository agreements:

Any organization, institution, corporation, or person with a federal or tribal antiquities permit or under contract with a private-property owner, who intends to obtain ASM site numbers, file site and survey records at ASM, or submit collections at ASM, must obtain a records management / repository agreement. This agreement entails the reporting requirements and fees.

C. Waivers of applicable fees:

Some government agencies have negotiated annual flat-rate fees with the ASM. Archaeologists employed by these agencies are exempt from fee payment. Archaeological subcontractors employed by these agencies are not exempt from the requirements.

Any qualified archaeologist or paleontologist may request a research fee waiver. To be considered, a project must be limited in scope so as not to create an undue burden on the records management and repository facility at ASM. A written request for a fee waiver, a detailed research plan, and a letter from the land manager approving the project, will accompany the project-specific permit application.

D. Archaeological Contractor List

On request, the ASM will provide a list of qualified archaeological contractors. The list, updated continuously, is composed of all contractors who hold an AAA blanket permit for the current calendar year. The permit holder has the responsibility to inform the ASM Permits Office of any changes in the company's address, phone numbers, or other contact information. A Permit Holder Information Form is available on the ASM website at www.statemuseum.arizona.edu.

ARCHAEOLOGICAL RECORDS OFFICE PROCEDURES

The ASM Archaeological Records Office is open 10am - 3pm M-F to authorized users by appointment ONLY. Call (520) 621-4011 or email azsite@email.arizona.edu to arrange a research visit. Your appointment must be confirmed. First-time users are required to complete the ASM Archaeological Records Use Agreement form.

By law, the ASM is the repository for archaeological information gathered from sites and surveys on state, county, or municipal land. By agreement with the Bureau of Land Management (BLM), the ASM is the public repository for sites on BLM lands. Therefore, when planning to work on state, county, municipal, or BLM lands, always complete a search of the records maintained at the ASM Archaeological Records Office to obtain information on previous work in the area. In addition, the Archaeological Records Office retains many records for compliance work done on federal lands besides the BLM, but it is usually necessary to check relevant U.S. Forest Service (USFS) or National Park Service (NPS) offices to ensure a thorough file search.

If the project area is expected to contain standing historic structures (such as buildings, bridges, dams, etc.) you will also consult the Cultural Resource Inventory at the SHPO (602-542-4009).

Researchers may search the archaeological records themselves or may request that Records Office staff perform the search. On request, the staff will photocopy site cards, reports, and other records.

Archaeological Records Fees

Records Access	No charge
Records Search	\$100.00 minimum (additional fees may apply)
Photocopying	\$0.50 / page
FAX charges	3 pages free, thereafter \$1.00 / page

Permit Fees

AAA Blanket Permit	No charge
AAA Project-Specific Permit	No charge
Review and Process Project-Specific Permit (<5 working days)	\$500.00
Records Management / Repository Agreement	No charge
Project Registration Fee (survey / nonsite monitoring)	\$20 / person field-day \$85.00 minimum

Make checks payable to **The University of Arizona.**

NONCOLLECTION SURVEY AND NONSITE MONITORING POLICY RELATED TO COLLECTIONS

Permits for noncollection surveys specify that no collections of artifacts will be made during the course of the survey, even though the ASM has previously allowed limited collections to be taken from archaeological sites. An internal review of this policy, including comment from the state land-managing agencies and the SHPO, has resulted in the suspension of the limited collection policy.

EXCEPTION: Surveyors are required to collect certain artifacts from nonsite (isolated artifacts) and site contexts. These artifacts, however, absolutely will meet the following criteria: the artifact will be more than 50 years old; be uncommon to a specific cultural area; and be an artifact that is rarely found statewide; or has unusual or unidentifiable characteristics resulting in the need for further analysis in a laboratory setting. Surveyors will use professional judgment and apply ethical responsibility when determining what to collect under this exception, but, when in doubt, call the Permits Office at (520) 621-4795 or (520) 621-2096.

NOTE: Although we will accept these exceptional artifacts without charging a fee for their curation, ANY LESSER collections, whether taken during a noncollection survey or a nonsite monitoring project, will be assessed a curation fee that consists of the collection registration fee and the survey project registration fee.

The general location of all isolated finds and exceptional artifacts will be plotted on the appropriate USGS topographic map. The use of global positioning devices to provide the UTM coordinates of each isolated and exceptional artifact is encouraged. All survey reports will include a section that provides an interpretation concerning the possible significance of the location of the isolated or exceptional artifact(s).

A project-specific permit and a repository agreement from the ASM Collections Division or from an approved curation facility will be obtained in advance of any survey where the archaeologist or paleontologist fully intends to collect all or portions of the anticipated isolated artifacts or scatters. If you plan to use the ASM as your repository, contact the curator of Collections (520-626-9109) during the project planning stage to ascertain the repository requirements and fees.

Isolated-artifact collections, regardless of their rarity, made under a blanket permit will be curated at the ASM.

BLANKET PERMIT PROCEDURES

Blanket permits are issued and apply for work conducted within a calendar year (1 Jan. to 31 Dec.). Blanket permits are valid for noncollection surveys that will be completed within 90 days. Blanket permits may also be used to conduct monitoring of ground-disturbance projects in areas where no archaeological or paleontological remains are apparent but where subsurface remains are a possibility.

- A. Apply to ASM for a blanket permit. Call (520) 626-2715 for an application or find the form at www.statemuseum.arizona.edu. You may find the form under the link to Cultural Resource Services.
- B. Obtain a Records Management/Repository Agreement (RMRA) at this time if you plan to work on federal, tribal, or private lands in Arizona, and if you plan to obtain ASM site numbers, or file site and survey records, or curate artifact collections at the ASM. If you are applying for an ASM blanket permit, you will receive an RMRA automatically; if you are not applying, you may request an RMRA from the Permits Office.
- C. If you have requested and received ASM site numbers, you are obligated to submit the required documentation for these sites (see "ASM Project Submissions Checklist" for list of required documentation) and will incur fees.
- D. Before conducting survey on state land under the blanket permit, submit a Notice of Intent to Conduct Survey or Monitoring under a Blanket Permit and a project map to ASM. You need not wait for acceptance of this notice before beginning the survey. Carry a copy of the permit with you on survey. The project director (PD) named on the permit should accompany the field crew(s). When the PD is not available, one crew member must carry a copy of the permit and a letter from a principal investigator or PD authorizing the crew member to work under the permit.
- E. Surveys greater than 640 acres or more than 10-linear miles of state-owned or controlled land may be completed under the blanket permit, but a research report is required. These reports will include the information requested in ABOR Chapter VIII, Section 8-203, subsection H, item 4 (Research plan) and item 6 (Analysis of research). The reports will be prepared in accord with SHPO's *Standards for Conducting and Reporting Cultural Resource Surveys on State Lands*. A copy of these standards is posted in .pdf format on the ASM website.

POLICY REGARDING MONITORING UNDER A BLANKET PERMIT

When monitoring ground-disturbing activities **within the boundaries of a known site**, monitoring is considered testing and a project-specific permit is required. Otherwise, the ASM considers monitoring a form of survey. The ASM will authorize monitoring under a blanket permit to observe ground-disturbing activity associated with development and other land improvement projects **near** known archaeological or paleontological sites, or when the monitoring is done where only subsurface archaeological or paleontological remains are suspected. If subsurface archaeological or paleontological remains are encountered, however, it is required that the ground-disturbing activities cease until a project-specific permit is obtained.

- A. On completion of a survey or monitoring project during which newly discovered sites are recorded, apply to the ASM for archaeological site numbers. Such requests should be submitted in writing to the Archaeological Records Office.
- B. Please follow the same guidelines for nonsite monitoring reports as you would for a noncollection survey report; include an environmental description, a discussion of the records review, the culture history, and the monitoring expectations. Be sure to include the name of the responsible agency, all the applicable permit and project numbers, project description, location, size (in acres), land ownership, and a base map indicating the project location, the location of any nearby sites, the location of trenches or other ground-disturbing activities, and any isolated artifacts. Materials that are required to be turned in to the ASM are the same as those required for survey projects. These include the project registration form, the project registration fee, all the original field notes and maps, three copies of the report, the AZSITE Entry Module and other such documents as determined by the Archaeological Records Office.
- C. Under the terms of a blanket permit, all records related to a project are due within 90 days of commencing the fieldwork. **Read ASM Records Management and Repository Requirements for Survey, below.**
- D. The ASM can no longer accept artifacts collected during nonsite monitoring or noncollection survey without charging curation fees (please see page 3 for the sole policy exception). Therefore, before collecting **any** artifact, please be sure that it meets the exception listed on page 3 of this manual, and be sure that it is absolutely necessary to collect it. Call (520) 621-4795 or (520) 621-2096, if you are in doubt.
- E. Materials will be reviewed and you will be notified by mail of their receipt.

PROJECT-SPECIFIC PERMITS

- A. A project-specific permit is required:
1. When a survey cannot be completed within 90 days.
 2. When the intent of the survey is to make collections.
 3. When testing, phased-data recovery, or monitoring on a known site is conducted.
- B. Apply to ASM for a project-specific permit, good for any period of fieldwork that is specified, up to one year from the beginning date. A project-specific permit application will include a detailed research design, a signed repository agreement with an approved public repository, and a burial agreement when necessary.
- C. **Project-Specific Permits and Survey:** You will comply with records management and repository requirements when filing site and survey records at the ASM. Isolated artifacts may be submitted if collected under circumstances defined on page 3, but all project registration fees will apply.
- When the intent of the survey is to collect from sites, scatters, or an entire isolated-artifact assemblage, the permittee will comply not only with Archaeological Records Office requirements but also with the ASM Collections Division policies regarding the treatment of collections, regardless of the public repository selected.
- D. A signed permit will be returned to you.
- E. On or before the due date specified in your application, submit the required documentation to the Permits Office, ASM. **Read ASM Records Management and Repository Requirements for Survey below.**
- F. Materials will be reviewed and you will be notified by mail of their receipt.
- G. As a reviewing state agency, ASM, by law, has 30 days to review project-specific permit applications and the accompanying treatment plans and research designs. The ASM now charges for expedited review of applications because numerous consultants make requests for project-specific permit approval within days of the planned start of fieldwork. If a project-specific permit application and supporting documentation is submitted for review within **5 working days** or less before the start of fieldwork, the ASM will charge \$500.00 for expediting the review and processing of that application. The ASM urges each consultant to contact the Permits Office staff as soon as the consultant knows that a project is coming up. The Permits Office staff understands that occasional true emergencies do arise, particularly those involving the monitoring of construction. If a true emergency arises, you may request an expedited review in writing. If your emergency request is documented, the ASM may waive the \$500.00 fee for expediting the review. Please also be aware that the processing of a project-specific permit requires the coordinated actions of several ASM staff members. If one or more of those staff members is away from the office, it may be impossible to process your request quickly.

ASM RECORDS MANAGEMENT AND REPOSITORY REQUIREMENTS FOR SURVEY

The ASM serves as the repository in perpetuity for survey records and artifact collections – the project materials, as defined herein – resulting from permitted archaeological survey projects on state lands in Arizona. The ASM also provides access to collections for their use.

All correspondence concerning records management and repository requirements and all records and collections submitted to the museum should be addressed to the **Permits Office, Arizona State Museum, University of Arizona, 1013 East University, Tucson, AZ 85721-0026**.

Compliance with the records management and repository provisions is required when filing site and survey records at ASM under blanket and project-specific permits. Isolated artifacts collected under the circumstances defined on page 3 are also subject to these requirements.

When the intent of a survey is research and when sites, scatters, or entire isolated artifact assemblages will be collected, the permitted archaeological contractor will obtain a project-specific permit and comply with the AZSITE records management policies and the ASM Collections Division policies. In such instances, contact Arthur Vokes or Courtney Fischrup ([520] 626-9109) to determine the project fees and curation requirements.

A. Schedule for Delivery and Processing of Project Materials

1. Only a project for which all reporting requirements, including a final report, will be completed within 90 days of the project initiation may be undertaken using a blanket permit.
2. For each project, the ASM project registration form, documentation of the number of person field-days, and payment for repository services will be delivered to the museum with the submission of three copies of the final report and any additional project documentation. All materials will be submitted simultaneously including the AZSITE Entry Module if required. **NOTE:** A \$10.00 fee is assessed for each site card submitted to ASM without electronic data.
3. Museum staff will check the submitted project materials and send a statement of acceptance or rejection of the material to the permittee. Project materials that are incomplete or inadequately processed or documented will not be accepted and will be returned for correction.
4. All project materials will be labeled with ASM site numbers where appropriate. It is expected that ASM site numbers will be used in project reports.
5. In the scheduling of proposals and contracts, the permittee is responsible for accommodating the timely delivery of the project's collections and records to the museum and for scheduling sufficient time for the museum to accept, completely process, store, and receive compensation for repository services rendered, before the termination of the project contract.

B. Records Required for Every Project

In addition to other project records (see item C), the permitted contractor will provide the following records to the museum for each project conducted under permits or contracts in which the museum has been named as repository (copies of all forms are available on request):

1. A typed, properly completed, project registration form describing the project materials, survey area, and methods. This form shall be completed regardless of whether any sites were located by the survey. You may download this form from the ASM website www.statemuseum.arizona.edu.
2. Electronic submission of site cards using the AZSITE Entry Module submitted simultaneously with other project materials. **NOTE:** There is a \$10.00 fee for each site card submitted to ASM as a paper record. Should you choose to submit paper records, the instructions for completing site cards are printed in the ASM Archaeological Site Recording manual. Even if a site was previously recorded, a new, updated site card based on the project's examination of the site will be completed.
3. **Full-scale**, neither expanded nor reduced copies of portions of the USGS 7.5' maps showing the area surveyed. These maps must clearly show the survey boundary, each site location, and the locations of isolated artifacts.
4. **Three copies** of the final report will be submitted with each project.

C. Additional Project Documentation

All project documentation, for which the museum is named as repository, will be submitted to the museum, regardless of whether sites were found or isolated artifacts recovered. This includes documentation resulting from any part of the project performed on private lands. Project documentation includes one complete set of all the following materials (if produced) for each project. Originals will be submitted whenever possible; when originals cannot be submitted, all copies will be completely legible.

1. Field and laboratory documentation, such as, field notes, logs, recording forms, and analysis sheets containing any significant information not included in the project reports or records otherwise submitted under this agreement.
2. Field maps and other maps containing information not included in the final report.
3. Photographic prints, negatives, contact prints, slides, and aerial photographs with any overlays should be submitted in archival sleeves along with an ASM Photo Collection Data Sheet. Redundant, irrelevant, and poor quality photographs will be culled before submission to the museum.
4. Electronic data should be submitted on DVD/CDs. Photographs must be in TIFF format only.
5. Isolated artifact catalog sheets, final tabulations, and inventories that provide supporting documentation for project reports.
6. Any published or unpublished reports containing archaeological data not included in the final report.

D. Documentation and Processing of Artifact Collections

Under rare circumstances (see page 3), isolated artifacts from noncollection survey or nonsite monitoring may be collected and delivered to ASM as part of the project materials. If artifacts are submitted, however, the permittee will be assessed curation fees (see 2009 Museum Fees, attached) to offset the costs of curating the collections in perpetuity. Whenever any collections are made, all artifacts must be documented and processed according to the Requirements for the Preparation of Archaeological Project Collections for Submission to the Arizona State Museum. Permittees may request a copy of this document from Arthur Vokes or Courtney Fischrup at (520) 626-9109; it is also available on the ASM website (click on *Repository Manual*). Please consult this document for instructions on how to clean, label, bag, box, and inventory materials. Make certain that the proper inventory forms are submitted with the collections as well as any documents relevant to the ownership of the collections, such as transfers of title for artifacts recovered on private land.

E. Disposal of Collections

The museum reserves the right to cull non-artifact material from any collections received under this agreement. The museum, however, accepts no responsibility for the disposal of any archaeological material prior to the transfer of the materials to the museum.

F. Rights to Publication and Study of Artifacts and Records

The permitted contractor grants to the museum and its designees any rights that it may hold for publication and independent use of artifacts, photographs, documents, and data covered by this agreement, excepting publication rights to reports and other manuscripts. The museum requires users of such materials to credit sources properly.

G. Ownership of Collections

Collections obtained from state lands under a blanket permit are owned by the State of Arizona.

H. Charges

To cover the cost of records management services, the museum assesses the following charges:

1. Records Management Fees: \$20.00 per person field-day for each noncollection survey or nonsite monitoring project submitted, with an \$85.00 minimum. This fee is computed by multiplying the number of person field-days of survey by \$20; e.g., three people each doing three days of survey: 3 people x 3 days x \$20 = \$180. Make checks payable to **The University of Arizona**.
2. The permittee will submit documentation of the number of person field-days involved in archaeological investigations for the project. This documentation may consist of a formula billing that details the person field-days, or by a letter, signed by an officer of the permittee, which identifies the number of field days.
3. Unless isolated artifacts meet one exception (as defined on page 3), a Collections Curation Registration fee and the Survey Project Registration fee will be assessed (please consult the ASM website for the current fee structure) for those collected and submitted to the museum.
4. A 10.00 fee will be assessed for each site card submitted to ASM as a paper record.

RECORDS MANAGEMENT / REPOSITORY AGREEMENTS FOR SURVEY ON FEDERAL, TRIBAL, AND PRIVATE PROPERTY

The annual Records Management and Repository Agreement for noncollection survey is required of all archaeologists and paleontologists who intend to obtain ASM site numbers and file site and survey records at ASM for permitted or contract work on **federal, tribal, or private lands** in Arizona. Blanket permit applicants automatically receive a copy of the agreement. Others may obtain a copy from the Permits Office upon request.

If you intend to deposit testing, excavation, or onsite-monitoring collections at ASM from federal, tribal or private lands, you will obtain a repository agreement with the ASM Collections Division. Contact the curator of Collections (520-626-9109) early in the project planning stage to obtain information.