

**ARIZONA BOARD OF REGENTS
POLICY MANUAL**

8-203 Conditions for Work Under Permits

Revision Dates

6/7/1991 (adopted)

A. General conditions of field work.

1. All field work shall be done during the effective period of the permit.
2. Surveys and excavation shall be conducted in such a manner as to meet current professional standards as described in 8-203 (C) and (D).
3. Unless specific alternative arrangements are approved in writing by the Director, a permittee receiving a permit for excavation shall, after completion of the fieldwork, restore lands upon which it has worked, to the satisfaction of the State officer in charge.
4. Carrying permits and inspection of field work.
 - a. Except as provided in b below, each field crew working under a permit shall at all times, carry a copy of the permit authorizing the work being conducted. If no member of the field crew is named on the permit as the principal investigator or project director, the permit shall be accompanied by a letter signed by the principal investigator or project director that specifically authorizes at least one member of the field crew to work under the permit.
 - b. A field crew working under a permit is not required to carry a copy of the permit if the permit has not yet been received and the permit was either issued on an emergency basis, as provided for in 8-202(B)(3), or approval has been otherwise obtained from the Director to begin work before receipt of the permit. In either case the permittee shall take reasonable steps to obtain a copy of the permit as quickly as possible.
 - c. The Director may examine at any time the permit of any person claiming privileges granted by a permit and may fully examine all work being conducted under the permit, including examination of specimens and records obtained during the project.
 - d. Any law enforcement officer with proper jurisdiction, and any officer in charge of lands owned or controlled by the State may at any time examine the permit of any person claiming privileges granted by a

permit and may fully examine all work being conducted under the permit.

B. Blanket permit project notification.

1. Before any project is conducted under the authorization of a blanket permit, a written notification of the work to be conducted shall be sent to the Director that includes the following information:
 - a. The name of the permittee.
 - b. The permit number under which the work is to be conducted.
 - c. The name of the project director.
 - d. The date of the notification.
 - e. The period during which field work will be conducted.
 - f. The project sponsor, project name, and when appropriate, the project number.
 - g. The project location.
2. No acknowledgment or other approval of this notification need be obtained for work to begin.

C. Survey

Survey may be conducted with different levels of intensity as appropriate to research goals and management requirements. The following standards apply to all permitted surveys:

1. Prior to the initiation of field studies the temporal, cultural and functional classes of archaeological or paleontological sites likely to be found within the project area shall be identified and current research questions for the area shall be reviewed.
2. A field strategy appropriate to identify the classes of remains likely to be found and to contribute to an understanding of the history, prehistory or paleontology of the area shall be formulated.
3. The intensity of field inspection shall be dependent upon the objectives of the survey. However, in all clearance surveys conducted in connection with proposed or approved actions that would result in significant ground disturbance:

- a. The level of survey intensity shall be sufficient to ensure identification of all sites visible on the surface of the ground.
- b. Where appropriate, the survey shall provide for methods to maximize the likelihood that classes of sites not amenable to identification through survey will be found through use of such techniques as ethnographic study, consultation with artifact collectors or rock hounds, and remote-sensing. When subsurface testing appears necessary to identify sites in the area, an excavation permit shall be required.

D. Excavation

The following standards apply to all permitted excavations:

1. A research plan shall be developed for each excavation project. The plan shall identify specific project goals and take into account the relevant research questions for the classes of sites to be excavated. It shall identify field techniques and analytical strategies to be employed that are appropriate to achieve these research goals. If portions of a site can be preserved in place, this shall be considered in design of excavation projects.
2. An excavation program shall employ methods that will ensure full, clear, and accurate descriptions of all excavated contents. To the extent feasible, the methods shall take into account the possibility that future researchers will need to use the recovered data to address problems not recognized at the time the data were recovered. Stratigraphic and associational relationships, environmental relationships, excavation techniques, recording methods and analytic techniques shall be described in such a way as to allow future researchers to reconstruct what was done, what was observed, and why.
3. In order for recovered data to be useful, it shall be made available to scholars and planners in usable forms. Normally, the following products are expected from an excavation program:
 - a. Raw data in the form of field notes, journals, photographs, data recording forms, and where appropriate, magnetic tapes of data that are completely documented with respect to format and contents.
 - b. Digested data in the form of tables, charts, graphs and, where appropriate, computer generated tabulations or manipulations of the data.

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- c. Scholarly and other articles or monographs utilizing the results of the work for analytic or public-interpretive purposes.
 - 4. To the extent feasible, excavation programs shall provide for public participation, through arrangements for public inspection of the work in progress, the use of volunteers, and cooperation with local educational programs.
- E. General reporting requirements.
- 1. For each project-specific and blanket permit, and for each project conducted under a blanket permit, the permittee shall submit a separate report and separate sets of records, unless otherwise authorized in writing by the Director.
 - 2. A set of basic records described in 8-203(F) shall be completed for each project.
 - 3. A management report, as described in 8-203(G), is required for each clearance survey project that involves less than 640 acres or less than 10 linear miles.
 - 4. A research report, containing the information specified in 8-203(H), is required for every project that does not submit a management report. This includes all excavation projects, surveys greater than 640 acres or more than 10 linear miles, and non-clearance survey projects regardless of size.
 - 5. A blanket permit summary report, as described in 8-203(I), is required for each blanket permit.
 - 6. All project records and reports shall be delivered to the Director on or before the permit report due date.
 - 7. Each set of records and reports sent to the Director shall be accompanied by a separate letter or form with the following information:
 - a. The name of the permittee.
 - b. The permit number to which the records apply.
 - c. For blanket permits, the project name, project sponsor and project number if available.
 - d. A list of the records and reports being submitted.

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8. All project and summary reports shall be typed or otherwise printed.
 9. All project and summary reports shall be submitted in two copies.
- F. Basic records.
1. A permittee shall submit typed, completed Arizona State Museum Site Cards (or alternate forms approved in writing by the Director) for all sites located or examined by the survey or excavation project. Site cards shall be updated for sites that have been previously recorded.
 2. The permittee shall submit a completed Arizona State Museum Site Inventory Form or an alternate form that has been approved in writing by the Director.
 3. The following survey records shall be submitted for each survey project:
 - a. A typed, completed Arizona State Museum Survey Project Form or an alternate form that has been approved in writing by the Director. This form describes the survey area and methods. This form shall be completed regardless of whether any sites were located by a survey.
 - b. Originals or copies of portions of the U.S.G.S. 7.5' or 15' maps showing the area surveys. These maps shall accompany the Survey Project Form. These maps shall clearly show the survey boundary and the location of each site located.
- G. Information included in management reports.
1. Introduction. The introduction shall identify the project sponsor, briefly describe the project for which clearance is desired, and list the permits authorizing archaeological work.
 2. Project location.
 - a. A complete description of the project location shall be provided.
 - b. Ownership of land shall be clearly indicated. Complex, multiple ownership situations shall be clarified through use of tables or coded maps.
 - c. A map of the project area shall be supplied.

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3. Survey methods. A description of the survey methods including the intensity of the survey, the names of the individuals employed in actual field work, and the dates of the fieldwork.
 4. Archaeological or paleontological remains. A description of the archaeological or paleontological remains at each of the sites located or examined.
 5. Evaluation of effects of the proposed project. A full description of the probable effects of the proposed project on the identified site shall be presented. If possible, measures to minimize the destruction of remains shall be suggested. This information shall be present on a site-by-site basis or in tabular form.
 6. Evaluation of significance. An evaluation of significance in terms of the criteria for eligibility for the State and National Registers of Historic Places shall be provided for all archaeological sites that will or may be affected by the proposed project.
- H. Information included in research reports.
1. Abstract.
 2. Introduction.
 - a. The project sponsor shall be identified and the permits authorizing the work, the project personnel, the dates of the fieldwork, and a description of general project location and project goals shall be included.
 - b. Project location.
 1. A complete description of the project location shall be provided.
 2. Ownership of land shall be clearly indicated. Complex, multiple ownership situations shall be clarified through use of tables or coded maps.
 3. A map of the project area shall be supplied.
 3. Background to the study area.
 - a. Environmental description. General discussions of environmental settings may be brief and their content determined by the nature of the undertaking described in the report.

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- a. Evaluation of effects of the proposed project. A full description of the probable effects of the proposed project on the identified archaeological or paleontological sites shall be presented. If possible, measures to minimize the destruction of remains should be suggested. This information should be presented on a site-by-site basis or in tabular form.
 - b. Evaluation of significance. An evaluation of significance in terms of the criteria for eligibility for the State and National Registers of Historic Places shall be provided for all of the archaeological remains that will or may be affected by the proposed project.
- I. Blanket permit summary report requirements.
1. In addition to the basic records and the management and research reports required for each survey project, each holder of a blanket permit must submit two copies of a summary report on or before the permit report due date.
 2. This report shall consist of a list of all projects conducted under the blanket permit. The summary report should list the following information for each project:
 - a. The permit number.
 - b. The project sponsor, project name, and where applicable, the project number.
 - c. The date of the written notification of the work under the blanket permit as described in 8-203(B).
 - d. A complete bibliographic reference, including the author, title and any publication information for all reports and other published and unpublished manuscripts describing the projects.
 - e. If by the permit report due date there are reports for projects conducted under the authority of a blanket permit that have not been completed, a request for an extension of the permit report due date must be made to the Director.
 3. If no projects were conducted under the blanket permit, a letter indicating this fact shall serve as a blanket permit summary report.
- J. Receipt from the repository.

If the project requires a repository and a repository other than the permittee is to be used, then on or before the permit report due date, the Director must receive a signed receipt from the repository indicating that the collections have been accepted by the repository in satisfactory condition.

Policy History

6/7/1991 Approved by the Board on second reading.

Related Information

When the Policy Manual was adopted in 1983, 8-203 was assigned to the Hospital Pricing Policy regarding the University Hospital. This former Chapter VIII was repealed in 1986. In 1991, the current Chapter VIII was adopted.