

# ARIZONA REPORTING STANDARDS FOR CULTURAL RESOURCES

*DEVELOPED BY THE ARIZONA STATE HISTORIC PRESERVATION OFFICE (SHPO), THE ARIZONA STATE MUSEUM (ASM), AND THE ARIZONA STATE LAND DEPARTMENT (ASLD).*

## **Part I**

**State Professional Qualification Standards.** Approved by the Arizona State Parks Board and the Board of Regents.

## **Part II**

**State Standards for Conducting and Reporting Archaeological Surveys.** Approved by the Arizona State Parks Board, these standards help clarify the reporting requirements published in the Arizona Board of Regents, Chapter VIII, Section 8-203 Conditions for work under permits; standards for A.R.S. §41-861, 41-862, 41-864; and A.R.S. §41.511.04.

## **Part III**

**State Documentation Standards for Archaeological Properties.** These standards clarify the reporting requirements for these permitted activities on state lands and for state plans/projects, as published in the Arizona Board of Regents, Chapter VIII, Section 8-203 Conditions for work under permits; standards for A.R.S. §41-863, 41-864; and A.R.S. §41.511.04.

## **Part IV**

**SHPO Documentation Standards for Historic Properties.** These standards clarify the requirements of A.R.S. §41-863, 41-864; and A.R.S. §41.511.04.

## INTRODUCTION

In 2001, the Arizona State Historic Preservation Office (SHPO) developed Guidelines for the State Historic Preservation Act. The Arizona State Parks Board (ASPB) approved these Guidelines on January 18, 2001. The Guidelines included Arizona report standards for survey and documentation of archaeological properties and SHPO documentation standards for architectural properties. Professional standards for individuals and firms conducting cultural resource work were adopted from the Secretary of Interior's Professional Standards and conform to the Arizona Revised Statutes (ARS) professional qualifications for archaeological properties. In order to provide statewide consistency in documentation standards, the SHPO recommended standards were developed for state agencies in cooperation with staff at the Arizona State Museum (ASM) and the Arizona State Land Department (ASLD). The Standards were developed for state agency primarily for use in compliance with the State Historic Preservation Act (SHPA) and for consultants who carry out cultural resource work under with the Arizona Antiquities Act (AAA) permits. The Standards are intended to promote consistence in reporting and improve the quality of research. They are designed to assist agencies in project and plan reviews.

Since 2001, changes in State legislation, consultation procedures, the status of AZSITE, and advances in research methods have necessitated revisions and updates to the existing State Guidelines and Standards. Some of these changes include the 2006 Governor's Executive Order directing state agencies to consult and cooperate with Indian Tribes. Another Governor's Executive Order designated AZSITE as the Arizona's official electronic Cultural Resources Inventory. An amendment to A.R.S. 41.511.04 created an inventory of historical cemeteries and established the SHPO as the repository for this inventory. Multidisciplinary approaches, expanded tribal involvement, and public education/interpretive programs have enhanced our understanding of the past and become standard practices in projects. Minor changes in organization and updates to the Standards were made in 2008 and noted in this document.

## APPLICABILITY

The A.R.S. §41-861 through 864 direct agencies to identify, protect, use, and document properties eligible for the Arizona Register of Historic Places (ARHP). The A.R.S. §41-863 references "...state action or assistance...." A.R.S. §41-861 and §41-862 reference state agency responsibilities related to agency-owned or controlled historic properties. Often, state action or assistance will be restricted to state-owned or controlled properties, but state actions or assistance may also occur on land under the ownership of other entities. For example, state-funded and state highway projects may involve properties that are not state owned or controlled. These recommended standards should apply in all situations where a state action or assistance may cause the alteration or destruction of an archaeological or historical property or will require the identification of cultural resources.

The A.R.S. §41-861 directs each agency to preserve historic properties under its ownership or control and to "...undertake any preservation that is necessary... in a manner consistent with preservation of historic properties, the duties of the agency, and the professional standards, which the state historic preservation officer recommends."

The ARS §41-862 directs state agencies to cooperate with the SHPO to establish a program to locate, inventory and nominate Arizona Register eligible properties, under the agency's ownership or control. The archaeological survey standards provide assistance to agencies in completing identification efforts of archaeological properties that are both professional and consistent.

The Standards are particularly germane to ARS §41-863 which states, "Each agency shall initiate measures, in consultation with the state historic preservation officer, to assure that if, as a result of state action or assistance given by the agency, historic property is substantially altered or demolished, timely steps are taken to make appropriate documentary recordation in accordance with standards which the state historic preservation officer establishes." Documentation may include architectural drawings and photographs, building condition assessments, and archaeological testing and data recovery plans, depending on the resource type (e.g., archaeological site, building, structure, or object) being recorded and project effects.

The A.R.S. §41-864 directs the SHPO to review and comment on "... any plans of a state agency, which involve property which is included or may qualify for inclusion on the Arizona Register of Historic Places." Agency plans that are subject to SHPO review often involve the identification of Register-eligible properties through architectural or archaeological surveys and documentation of ARHP-eligible properties that may be impacted by agency plans.

## Part I State Professional Qualifications

I. State agencies will insure that the professionals they hire to conduct archaeological (prehistoric and historical) and historical (architectural) property surveys/inventories and documentation on state land, as part of a state agency plan, or with state assistance will meet specific professional standards, as follows.

A. *Archaeologist* – Before surveying on state-owned or controlled land, the professional archaeologist will obtain an AAA permit from the Permits Office at the ASM. The archaeologist will meet the professional qualifications of the principal investigator and project director stipulated in the Arizona Board of Regents (ABOR) rules implementing A.R.S. 15-1631 and 41-841, et seq. If the survey is undertaken as part of a state plan having federal involvement (federal funding, permitting, license, etc) the principle investigator will meet the "Secretary of Interior's Professional Qualifications Standards" (48 *Federal Register* 44738-9). According to the secretary, the professional archaeologist, at a minimum, will have a graduate degree in archaeology, anthropology, or a closely related field, in addition to the following qualifications: (1) At least one year of professional experience, or equivalent specialized training, in archaeological research, administration, or management; (2) At least four months of supervised field and analytical experience in general North American archaeology; and (3) A demonstrated ability to carry research to completion. In addition, a professional in prehistoric archaeology will have at least one year's full-time professional experience at a supervisory level in the study of archaeological resources of the prehistoric period. A professional in historical archaeology will have at least one year's full-time professional experience at a supervisory level in the study of archaeological resources from the historic period.

*Note: The following professionals are exempt from the professional qualification stipulated in the ABOR rules when conducting archaeological working on state-owned or controlled land; work completed by these professionals is not governed by and cannot be completed under the AAA, which is implemented by the ABR rules. The following professional qualifications recommended for state-planned activities are required when there is federal involvement (federal land, funding, permits or licenses) in the activity.*

B. *Architect* - An architect will have a professional degree in architecture and at least two years of full-time experience in architecture, or a state license to practice architecture.

When identifying and evaluating historic buildings, structures, and districts, it is helpful to have the expertise of a historic architect.

C. *Historical Architect* - An architect will have a professional degree in architecture and at least two year's full-time experience in architecture or a state license to practice architecture and at least one year's professional training in historic preservation or at least one year's experience in historic preservation.

D. *Architectural Historian* - A professional will have a graduate degree in architectural history, art history, historic preservation, or a closely related field, with course work in American architectural history; or a Bachelor's degree in architectural history, art history, historic preservation, or closely related field and at least two year's full-time experience in research, writing, or teaching in American architectural history or restoration architecture

within an academic institution.

- E. *Historian* - A historian will have a graduate degree in history or closely related field, or a Bachelor's degree in history or closely related field, and at least two year's full-time experience in research, writing, teaching, interpretation, or other demonstrable professional activity within an academic institution, historical organization or agency, museum, or other professional institution.

## Part II

### State Standards for Conducting and Reporting Archaeological Surveys

#### I. BACKGROUND

**A. Purpose** – To provide guidance regarding state standards and practices for identifying archaeological properties eligible for listing in the Arizona Register of Historic Places (ARHP) and/or the National Register for Historic Places (for projects with federal involvement).

**B. Additional Information** – National and state rules, policies, standards, and practices for survey and inventory activities:

1. Contact SHPO for *The Secretary of the Interior's Standards and Guidelines for Archeology and Historic Preservation* (1983), which applies to the following survey and inventory processes:
  - Identification
  - Evaluation
  - Historical Documentation
  - Architectural and Engineering Documentation
  - Archeological Documentation
2. Contact ASM for copies of the *Arizona Antiquities Act (AAA)* (ARS §41-841, *et seq.*)
3. Contact Arizona State Parks (ASP) for copies of ASP Law (ARS §41-511, *et seq.*)
4. Contact ASP, SHPO or the ASP website [www.azstateparks.gov](http://www.azstateparks.gov) for copies of the following state rules, policies, guidelines, and administrative procedures:
  - a. *Arizona State Historic Preservation Act* (ARS §41-861, *et seq.*)
  - b. SHPO Guidelines for the *State Historic Preservation Act*
  - c. R12-8-206 establishing eligibility criteria for the ARHP (ARS §41-511, *et seq.*)
  - d. *State Historic Preservation Administrative Procedure on Documentation Submitted for Review in Compliance with Historic Preservation Laws* (1999)
  - e. *SHPO Policy Statement for Recommendations of Eligibility to the ARHP* (1992) (applicable to buildings)
  - f. *State Historic Preservation Office "Guidance Points"*
  - g. *Arizona State Historic Preservation Plan*
  - h. Historic Property Inventory Form
  - i. SHPO Documentation Standards for Historic Buildings
  - j. Executive Order 2006-14: Consultation and Cooperation with American Indian Tribes

#### II. CULTURAL RESOURCES IDENTIFICATION

**A. Literature Records Search** — Completed in advance of survey. Additional literature or records searches may be necessary during and after field survey.

1. Archival Research - A literature search of relevant existing inventories, archival information, ethnographic literature, archaeological reports, historic maps and records will be conducted before beginning fieldwork. The following listing provides suggested resources. (See also *Historical Archaeology: A Research Guide* for researching historical archaeology sites.)
  - a. Arizona and National Registers of Historic Places listings and State Property Inventory Forms are housed at the SHPO.
  - b. AZSITE Statewide Data Base – The AZSITE system may be accessed on-line by approved agency staff. Computer access is also available at the SHPO. The ASM at the University of Arizona (UA) will perform site file searches for a fee. Those seeking access to the system will agree to the established security terms set forth in the AZSITE User Agreement. AZSITE User Agreements are available on the

- AZSITE website and will be reviewed and signed by the SHPO or his/her designee.
- c. The ASM Site Records Office on the campus of the UA, Tucson.
  - d. The Museum of Northern Arizona (MNA) in Flagstaff.
  - e. Maps - Historic maps including, but not limited to: Sanborn-Perris Fire Insurance maps, U.S. Geological Survey (USGS) maps, historical city plat/subdivision maps, General Land Office (GLO) maps, county atlases, and Bureau of Land Management (BLM) and Arizona Department of Transportation (ADOT) highway maps. Additional agencies with map collections are: Arizona Department of Library, Archives and Public Records (ASLAPR); Arizona State University (ASU); SHPO; MNA; Northern Arizona University (NAU); Pima County Public Works Department; Arizona Historical Society (AHS); Flagstaff Public Library; UA, ASLD, Bureau of Indian Affairs (BIA).
  - f. Architectural plans and drawings at the SHPO; ADLAPR; ASU College of Architecture; UA College of Architecture, Planning, and Landscape Architecture; NAU Cline Library; AHS.
  - g. State Historic Preservation Plan and Historic Context Studies at SHPO.
  - h. Records at Tribal Historic Preservation Offices (THPO) and other tribal offices.
  - i. Archaeological reports and records at ASU School of Human Evolution and Social Change; UA School of Anthropology and the ASM; MNA; NAU Department of Anthropology; local, state, and federal agency records (including ASLD, SHPO, ADOT, USDA Forest Service [FS], Bureau of Reclamation [Reclamation], BLM, Pueblo Grande Museum [PGM], etc.).
  - j. Local government records at certified local government preservation offices.
  - k. Business/city directories at ADLAPR, AHS, ASU, NAU, Burton Barr Library (Phoenix).
  - l. Photographs/aerial photographs at ASM, ADOT, NAU, MNA, Salt River Project, ADLAPR.
  - m. Ethnographies and local histories at AHS, THPOs and other tribal offices, local historical societies, ADLAPR.
  - n. State and federal agency records of land ownership, leases, and sales at ASLD, ADOT, Arizona Department of Administration, FS, BLM, Reclamation, etc.
  - o. Newspapers copies at ADLAPR, university libraries, Burton Barr Library, etc.
  - p. Tax and building records at county assessor's offices.
  - q. Title records - County recorders offices.
  - r. For additional guidance on archival research see *Historical Archaeology in Arizona: A Research Guide*, which is available at the SHPO
  - s. Records at Tribal Historic Preservation Offices
- B. Field Surveys** are conducted to identify unrecorded cultural resources and to relocate and record previously identified cultural resources. Additional guidance on surveys is provided in the "Secretary of Interior's Standards and Guidelines for Identification and Evaluation" and National Register Bulletin (NRB) 24, *Guidelines for Local Surveys* (available online at the National Register website).
1. Pre-survey tasks - Identify the historic contexts (include both prehistoric and historic periods) for the area and outline the survey expectations, basing them on the archival research results.
  2. Level of survey - Management objectives determine the survey intensity, but an intensive survey (100%) usually is required. The intensive survey will locate all surface-visible sites (see ABOR rules, available at the ASM or at the ASM webpage).
  3. Authorization for AAA permit — Archaeological surveys on state land will be conducted under a valid AAA permit issued by the ASM.

4. Coordination - Surveys that are being conducted as part of a state agency plan, with agency assistance, or on lands owned or controlled by a state agency must be coordinated with the agency official (director of the state agency or his/her designee). Right-of-entry permits must be acquired from the ASLD before entering onto state trust land.
5. Predictive modeling - May assist in developing survey strategies. Geomorphological studies are helpful and recommended when deeply buried sites are likely.
6. Identification considerations - Field surveys will consider factors that may make cultural resources difficult to recognize, such as sheathing on historic buildings; that obstruct ground surface visibility, such as heavy vegetative cover; or that have disturbed the ground surface (see the "Secretary of Interior's Standards and Guidelines for Identification and Evaluation," the ASM site definition criteria, and SHPO *Policy Statement for Recommendations of Eligibility to the Arizona Register of Historic Places*). Consider the identification of properties that may soon be eligible or that are fewer than 50 years old but may still be eligible based on their exceptional importance (see NRB 15, *How to Apply the National Register Criteria for Evaluation*).
7. Methods - Appropriate survey methods selected for a specific survey are based on factors such as the size of the area, the type and number of anticipated cultural resources, vegetation cover, the extent of ground disturbance, and agency management objectives. Evaluate the survey strategy's reliability in SHPO consultation. For surveys on unobstructed open land, conduct the survey on foot in transects at a maximum spacing of 20 meters apart and reference all sites by a recoverable datum.

### III. CULTURAL RESOURCES EVALUATION

- A. *Evaluation of Districts, Sites, Buildings, Structures, and Objects* - A survey includes preliminary evaluations of the inventoried properties of their eligibility for inclusion in the ARHP, according to the criteria set forth in the ASP Board Rules. Only obtain ASM site numbers for archaeological properties that are prehistoric or historical sites or districts.
  1. Criteria of eligibility
    - a. Significance and Integrity - The quality of significance in Arizona history, architecture, archaeology, engineering, and culture is present in districts, sites, buildings, structures, and objects that possess integrity of location, design, setting, materials, workmanship, feeling, and association, and
      - Criterion A - that are associated with events that have made a significant contribution to the broad patterns of our history; or
      - Criterion B - that are associated with the lives of significant persons in our past; or
      - Criterion C - that embody the distinctive characteristics of a type, period, or method of construction, or that represent the work of a master, or that possess high artistic values, or that represent a significant and distinguishable entity whose components may lack individual distinction; or
      - Criterion D - that yields, or may be likely to yield, important information related to prehistory or history.
    - b. Age — Properties that have achieved significance within the past 50 years will be considered ineligible for the ARHP unless they are integral parts of eligible districts or they individually demonstrate exceptional importance.
    - c. Additional guidance — Contact the SHPO for more detailed explanations of the criteria of eligibility and the identification and evaluation standards. Since the criteria for eligibility for the ARHP are the same as the criteria for the National



Register of Historic Places (NRHP), additional guidance may be obtained from the NRB, *How to apply the National Register Criteria for Evaluation* (1990, rev.1991) and NRB 24, *Guidelines for Local Surveys* (available online at the National Register website).

- B. *Archaeological Sites Evaluation and Testing for Eligibility* - Identified properties will be evaluated against the ARHP/NRHP eligibility criteria. Survey data alone may sometimes be insufficient to determine the eligibility of a site. In this situation, a testing program may be recommended to determine eligibility. The testing of archaeological sites as part of evaluation will be done in accordance with a research design so that the loss of archaeological data and site integrity is minimized. Testing will proceed only to the point necessary to determine eligibility. Agencies will consult with the SHPO when considering and designing testing programs. Every effort will be made to insure that the values and attributes of a property that may contribute to its eligibility are preserved and protected during the identification and evaluation processes.

#### IV. SUBMITTING ARCHAEOLOGICAL SURVEY REPORTS FOR SHPO REVIEW

- A. *Requirements for State Agencies consulting with SHPO under the State Historic Preservation Act* - State agencies will submit completed surveys to the SHPO for review and comment on the adequacy of the survey to identify ARHP/NRHP listed and eligible properties and the effects the agency's plan will have on these properties.
- B. *Requirements for State Agencies under other State Historic Preservation Legislation* - State agencies are responsible for compliance with all state historic preservation legislation including the AAA and ARS §41-865 and ARS §44-844, *et seq.* Agencies hiring consultants to conduct archaeological surveys should be familiar with the AAA permitting requirements and ASM reporting requirements (Chapter 8-203) set forth in ABOR rules (i.e., ARS) implementing the AAA and the standards set forth herein.
- C. *Cover Letter* - Prepared by the agency for submittal to SHPO for review under ARS §41-864.
1. Agency and project numbers - Identify the responsible state agency requesting review of a planned action (project). Include the agency project numbers, SHPO project number (if known), and ASM permit number (for archaeological surveys).
  2. Project description - Describe the project, the affected geographic area, and the agency's efforts to identify ARHP/NRHP-eligible properties within the project area.
  3. Arizona and National Register of Historic Places-eligible properties - Summarize the agency's recommendations of register eligibility for all prehistoric and historical period properties identified within the project area.
  4. Project effects - Describe the project effects on ARHP/NRHP listed or eligible properties.
  5. Proposed mitigation/treatment - Describe mitigation and/or treatment alternatives (including avoidance) evaluated for the affected properties. Present the agency's preferred alternatives.
  6. Requested action - Specify the SHPO action requested.

#### V. ARCHAEOLOGICAL SURVEY REPORTS

- A. *Abstract* - The consultant or agency official preparing the survey report for submission to the ASM and SHPO writes the abstract.
1. Report title - Add the term "revised" after the title, if the report is a revised draft.
  2. Report date.
  3. Agency - Name the responsible state agency (i.e., the state agency requesting the

survey in compliance with state legislation) for the project or planned action. If the state agency's project has federal agency involvement, identify the lead federal agency. Identify all involved state agencies. If more than one state agency is involved in the planned action and the agencies have agreed that one state agency will act to coordinate the state-review process (i.e., act as lead agency for the planned project), identify this coordinating agency and the other state agencies involved in the planned action. Identify all federal, state, county, and municipal agencies whose lands are covered by the survey and any surveyed private land.

4. Permit Number - Provide the number(s) of the AAA permit, and any other permits, under which the survey was performed.
5. Project Description - Completely describe the agency's planned action and identify and describe the cultural resources that might be impacted by the planned action.
6. Project Numbers - List the agency project number, the SHPO project number and/or ASLD application number, and if applicable, the sponsor's state-land lease or sale application number.
7. Location - Describe the surveyed area in terms of township, range, section, section subdivision, baseline, and county. Provide the name and publication date of the USGS map(s) covering the project area.
8. Acreage - List the total number of acres surveyed and the number of surveyed acres by landownership, and indicate in acres any portion of the area not surveyed.
9. Register-eligible Properties - Provide a summary of cultural resources that were identified, evaluated, and recommended by the agency to be eligible for the ARHP. Include ASM site numbers for Register-eligible archaeological properties.
10. Register-ineligible Properties - Provide a summary of identified cultural resources that the agency evaluated and considers not eligible for the ARHP.
11. Recommendation - Summarize treatment recommendations for any Register-eligible sites. Fully identify sites to be avoided and sites recommended for data recovery.

#### **B. Report Content**

1. Introduction - Briefly describe the project for which the survey was completed, identifying the project location and sponsor, the dates of the field work, the survey personnel, the AAA permit number, and any other authorizing permit. Also indicate whether the project requiring a survey involves any federal funds, planning, license, permit, or approval. For surveys done in conjunction with proposed leases or sales of state trust land, provide the sponsor's state land application number.
2. Project Location - Provide the following description of the project area:
  - a. Legal Description - Include township, range, section, section subdivision (quarter section, etc.), county, and UTM coordinates (specify whether NAD27 or other datum).
  - b. Landownership - Clearly identify all landowners covered by the survey.
  - c. Acreage - In addition to the total number of surveyed acres, itemize the survey acreage numbers separately by federal, state, county, and municipal lands surveyed. Indicate the acreage numbers of any private land that was inspected.
3. Base Maps
  - a. Ownership Map - Provide full-scale portions of the most recent ASLD / BLM surface-ownership or other applicable map showing the project area boundaries.
  - b. Topographic Map - Provide full-scale (1in=2000ft) portions of the most recent USGS 7.5-minute-series topographic map encompassing the project area. If no 7.5-minute map has been published for the project area, the project area map may be based on the most recent 15-minute map. Provide the USGS map name or names and publication date in the map caption. Also include the following items:

- (1) Township, range, and section numbers,
  - (2) Landownership boundaries,
  - (3) Survey area boundaries for the current survey and any previous surveys (labeled with ASM, SHPO or other project number), and
  - (4) Four clearly labeled UTM registration points.
- c. Boundaries of all sites, labeled with ASM site numbers.
  - d. Locations of isolated artifacts, nonsite scatters, and isolated features not satisfying ASM site definition criteria.
  - e. North arrow, scale, and a key for any symbols different from those on published USGS maps.
4. Background to the Study Area
    - a. Environmental Description – Provide a general discussion of the environmental setting. The nature of the undertaking and the nature of the cultural resources in the project area will determine the detail of this section's content. For example, if Paleo-Indian or Archaic sites are identified or if the project area has the potential to have these properties, this report section will be expanded.
    - b. Records Review - Discuss your results of reviewing the ASM, AZSITE, MNA, and SHPO's records pertaining to past surveys and previously recorded sites on and near (within a 1-mile radius at a minimum) the project area. Include the results of reviewing the managing agency's historic land-use records, any GLO maps or Sanborn fire maps, as well as site and survey records at all other relevant repository institutions. Consult the SHPO cultural resources inventory records if the project area is likely to contain standing structures that are 50 or more years old, such as buildings, bridges, dams, etc. (See item II.A above for more detailed information on literature and records searches).
    - c. Culture History and Historic Context - Discuss the prehistory and history of the study area, including historic contexts (theme, time, area) that are relevant for the area being investigated.
    - d. Summary of Native American consultation – Obtain input from Native American cultural resources specialists concerning the ethnohistory of the area and properties that may have traditional cultural significance to the Tribes.
    - e. Survey Expectations - Based on knowledge of the survey area and any previous studies and historic contexts for the area, suggest the kinds of archaeological and historical properties that are expected within the study area. Identify any regional or local historic contexts and research questions that may be addressed with the current survey's results.
  5. Survey Methods - Describe, as follows, the field methods used to examine the project area for prehistoric and historic sites:
    - a. Survey Intensity - The number, orientation, and approximate distance between transects that were walked.
    - b. Survey Area - Identify any portions of the project area not systematically surveyed and describe the measures taken to identify the sites in those areas. Indicate on the project area map those areas not systematically surveyed or surveyed with transects spaced more than 20 meters apart.
    - c. Native American Involvement – Include Native American cultural resources specialists in survey efforts as appropriate and requested by the Tribe(s).
  6. Survey Results - Describe the archaeological remains encountered as follows:
    - a. Site Description - Reference with ASM site numbers each area containing prehistoric or historic archaeological remains that satisfy ASM site-definition criteria. If in doubt about whether to assign an ASM site number to a property, contact the ASM

- Permits Office, AZSITE, or SHPO. For each site provide the following information:
- (1) Landownership - Identify all parties or agencies owning any portion of the site. Provide a site sketch map showing a north arrow, scale, site boundaries, property ownership boundaries intersecting the site, artifact concentrations or other features, disturbed areas, areas of proposed impact, slope or approximate topographic contours, and any salient topographic features such as washes and rock outcrops. If the site is on or near the project area boundary, show the site boundary in relation to the project boundary, such as the right-of-way, sale parcel, lease area, etc.
  - (2) Site Boundary - State the factors used to define the site boundary, such as the density of archaeological remains, topography, or artificial constraints, such as ownership boundaries or the extent to which modern development obscures or obliterates the site. Describe the immediate site environment, including the topographic setting, vegetation, and geologic substrate.
  - (3) Site Disturbance - Identify the kind and extent of natural and artificial disturbances at the site.
  - (4) Site Size and Probable Depth - Discuss the likelihood of subsurface remains.
  - (5) Temporal Parameters - Based on surface field observation, fully describe the density, distribution, and kinds of artifacts attributed to major temporal components. Artifact quantities may be exact or closely estimated counts.
  - (6) Features - To the extent possible, use surface field observations to identify the kind, number, and diversity of features attributable to the site's major temporal components. Evaluate the function of these features to the extent possible based on surface observations. Comparisons with similar sites in the area may also be useful for assessing site features.
  - (7) Human Remains - Assess the potential for inadvertent discoveries.
- b. Nonsite Remains - Describe in general the prehistoric and historic remains encountered during the survey that do not satisfy ASM site definition criteria, including isolated artifacts, nonsite artifact scatters, and isolated features. Include the following information:
    - (1) The number, content, and distribution of the occurrences
    - (2) Any discernible spatial or temporal pattern in the occurrences.
  - c. Results Evaluation - Evaluate the survey results with respect to the survey expectations or any research questions that have been identified.
  - d. Bibliography - provide a list of references cited.
7. Evaluation of Eligibility - Evaluate the significance and integrity and provide eligibility recommendations for all archaeological sites, districts, structures, buildings, and objects identified in the survey using the eligibility criteria for the ARHP/NRHP. Discuss the criteria and include a justification of a property's eligibility or ineligibility and a statement of historic context.
  8. Evaluation of the Proposed Project's Effects - Fully describe, site-by-site, the probable effects of the proposed project on the identified archaeological sites and any measures to avoid or minimize the destruction of remains. Present recommendations for further work.
  9. Management Summary Table - For surveys of state trust lands under application for sale or lease in which more than three cultural resources were examined, the report will include a table listing the following information for each site. As of January 1, 2011 the SHPO will require items a. through g. of this information in a Microsoft Excel spread sheet. A formatted electronic spreadsheet will be available from the SHPO.
    - a. ASM site number (if an archaeological site)

- b. Property type
  - c. Property age
  - d. Site use
  - e. Location coordinates within one of the acceptable systems or address and county
  - f. Site ownership
  - g. Register-eligibility recommendation (include consultant recommendations and agency recommendations if available)
  - h. Recommendation concerning the need for additional archaeological work or research.
10. Bibliography - Provide a list of all references cited.
11. Appendices – Provide as appropriate.

## PART III

### State Documentation Standards for Archaeological Properties

#### I. DATA RECOVERY PLAN – Include the following information in the following format:

##### A. Introduction

1. Background – Briefly describe the history of the project for which data recovery is needed, including the general project location, the project sponsor, and any relevant SHPO and agency project/transaction numbers and ASM permit number, if available. The permit number may be unavailable at the time the data recovery plan is prepared, but if a previous project-specific permit exists, such as an eligibility-testing permit, provide this information.
2. Affected Sites - Identify each site subject to data recovery with ASM number(s). Also include any other known site numbers. Cite and reference the original survey report and any subsequently identified sites.
3. Project Location – Include the following descriptions of the project locations:
  - a. Text - A complete location description of the sites to be investigated. If sites are on surveyed lands, include township, range, sections, section subdivisions, baseline and meridian, and county.
  - b. Project-area Map - Full-scale portions of the most recent USGS 7.5-minute-series topographic maps encompassing the project area. If no 7.5-minute map has been published for the project area, use the most recent 15-minute map. Provide the USGS map name and publication number in the map caption. The map will show the following data:
    - (1) Township, range, and section numbers, where applicable.
    - (2) Project-area boundaries and landownership/management boundaries, and if applicable, lease, permit, right-of-way, or sale parcel boundaries.
    - (3) Boundaries of sites, labeled with ASM site numbers.
    - (4) North arrow, scale, and a key to symbols different from those used by USGS.
    - (5) UTM coordinates; these are particularly important for unplatted areas.

##### B. Site Description(s)

1. Site's State/National Register-eligibility status as previously determined by the SHPO. Provide eligibility criterion, describe property/site integrity, and identify the historic context.
2. Site location, including section subdivision and number, township, range, baseline and meridian, county, and UTM coordinates.
3. Any federal, state, county or city agency, or private-party site ownership/management.
4. Adjacent environs, including topographic setting, vegetation, and geologic substrate.
5. Site size and potential for subsurface deposits and human remains (based on prior archaeological work, i.e., survey, testing).
6. Briefly describe artifact assemblages previously identified during field observations; include artifact density, distribution, temporal associations, and cultural affiliations.
7. Briefly describe previously identified features (include any architectural and structural remains), the type and number of features, and the temporal associations and cultural affiliations. This information may be summarized in a table.
8. Site condition and integrity; briefly describe natural and man-made disturbances.
9. Plan-view sketch map showing north arrow, scale, key, site boundaries, property ownership boundaries intersecting the site, area of proposed impacts, artifact concentrations or other features, disturbed areas, slope or approximate topographic

contours, and any salient topographic features such as washes and rock outcrops.

### C. *Research Design*

1. Previous Research – Summarize the previous research relevant to formulating the project research questions.
2. Historic Context - Identify relevant historic context(s).
3. Research Questions – Include a description of research objectives at a level of specificity and scope commensurate with the data likely to be obtained.
4. Data Requirements – Discuss the kinds of data needed to address the research questions in regard to relationships, artifact assemblages, nonartifact cultural remains, and site assemblage characteristics, such as artifact density and distribution.
5. Data-recovery Field Strategy – Include the following information in describing the data recovery effort:
  - a. Mapping – Describe the mapping methods to be used to establish horizontal and vertical provenience for the proposed field investigation.
  - b. Sampling – If a sampling approach (less than 100% excavation) is applied to some or all of the field data collection, provide the following information for both surface artifact collection and excavation. This information applies to both sampling within and among sites (i.e., for data recovery within a large geographic area).
    - (1) Goal – Identify the purpose for sampling, the sampling strategy and justification. Relate this to research issues and historic contexts.
    - (2) Sampling percentage – Describe and justify the sample size (e.g., the area or number of features to be investigated, the number of sites to be investigated) in relation to the sample universe (e.g., total site area, site area within the project area, project area, or the actual or estimated number of features or sites present). Justify excluding any site or project areas from the sample universe.
    - (3) Sample units – Describe and justify the number, size, shape, and depth of the proposed units (e.g., point plots, surface collection grids, trenches, excavation units, stripping areas, shovel test pits, auger holes, etc.). Provide additional justification if the units are experimental or substantially different from those commonly used during comparable archaeological projects.
    - (4) Sample-unit distribution – Describe and justify the site's and/or project area's sample-unit distribution (e.g., stratified or nonstratified, systematic, random, judgmental, or combination). Explain the implementation of the proposed distribution (e.g., one trench in each 15-by-15 meter grid square, 75 percent of identified features, a stripping area around each excavated pit house, etc.).
  - c. Total (100%) Excavation – Provide an explanation for not using a sampling approach and describe the procedures that will be used.
  - d. Excavation Procedures – Describe and justify how the excavations will be conducted, including the following information:
    - (1) Earth-moving methods (e.g., hand excavation, hand-shovel scraping, mechanical trenching, mechanical scraping, etc.)
    - (2) Level size (e.g., natural, arbitrary 10 cm, etc.)
    - (3) Artifact collection methods (e.g., none, ¼-inch mesh, ⅜-inch mesh, judgmental)
  - e. Other Procedures, Methods, or Techniques – If other investigative methods are proposed, such as any type of remote-sensing techniques (e.g., ground-penetrating radar, metal detection), describe and justify their use, and give some background on their advantages and limitations in archaeology practice.
  - f. Recording – Describe the types of observations to be recorded for each type of collection or excavation.

6. Analytic approach – Discuss the descriptive and comparative analytic methods to be employed, including the following information:
  - a. Research Design – The project's research design will propose artifact sampling methods for use in the laboratory and those appropriate for sampling archaeological areas and artifacts in the field.
  - b. Basic Descriptive Methods – For each artifact class, propose a typology to be used to describe assemblage content with respect to the research questions. Specify artifact form attributes to be observed within artifact categories. Identify any substantial departures from descriptive analytic approaches used in past studies. If applicable, identify the laboratories to which nonartifact cultural remains, e.g., chronometric, fauna and botanical samples, will be sent for specialized analysis.
  - c. Comparison – If appropriate, propose inter- and intrasite comparisons of the data that are useful for addressing the research objectives. Make comparisons with respect to the material cultural assemblages, and, if relevant to the research questions, nonassemblage site characteristics, such as artifact density and distribution and feature frequency and form.
7. Human Remains – If the site is likely to contain human remains, funerary objects, objects of tribal or cultural patrimony, or sacred ceremonial objects, provide a discussion of ASM consultation regarding the treatment and disposition of such remains and objects pursuant to ARS § 41-844 (apply for a project specific Burial/Repatriation Agreement with ASM).
8. Repository Institution – Identify the repository agreement and the public repository in which the recovered artifacts, samples, and records will be curated and the repository agreement.
9. Schedule – Identify the project archaeological consultant's institution/company and the proposed schedule for project completion with respect to major tasks, including fieldwork, preliminary report preparation, material processing, laboratory analysis, and final report preparation.
10. Geomorphological Studies– If applicable, geomorphological studies should be incorporated into the development of the research design.

**II. DATA RECOVERY FIELDWORK** – The plan's execution is subject to the following conditions:

- A. Any data recovery involving archaeological excavation on lands owned or controlled by the state requires a valid, applicable project-specific AAA permit.
- B. An ASM-approved data-recovery plan acceptable to the agency that is producing the plan in compliance with the SHPA and that is reviewed by the SHPO in compliance with ARS §41-864, guides the fieldwork.
- C. In compliance with Executive Order 2006-14, consulting Indian Tribes are provided an opportunity to review and comment on data-recovery plans. Tribes are offered the opportunity to visit the site, conduct blessings, and provide input into the treatment of human remains in the field and in the laboratory (as specified the Burial Agreement).
- D. Data Recovery is carried out under the direct supervision of a professional archaeologist who meets the Professional Qualification Standards for Archaeology.
- E. Upon the completion of data recovery, the land whereon it was conducted will be returned to a condition that is safe for the public and that will protect any remaining archaeological deposits (e.g., backfilling). When remaining intact archaeological deposits will be preserved in place, backfilling of excavated areas will be accomplished such that excavated and nonexcavated fill are clearly distinguishable (e.g., via the use of geo-tec fabric and/or sterile fill, etc.).



**III. DATA RECOVERY REPORTS** – The following minimum information and formatting will be included in reports the state agency submits to the SHPO:

A. Preliminary Reports – Preliminary data recovery reports will include the following information in the following format:

1. Introduction - Briefly describe the project, identifying the project location, the ASM numbers, and any other known site numbers of the affected sites, the project sponsor, and if applicable, the sponsor's state-land application or lease number. Include a listing of project field personnel; the fieldwork dates, and the AAA permit number under which the work was completed.
2. Project-area Map – Provide a map on the appropriate full-scale portions of the most recent USGS 7.5-minute-series topographic maps (or the most recent 15-minute map if a 7.5-minute one is unavailable). Provide four UTM registration points and include the USGS map name and publication date in the map caption with the following information:
  - a. Township, range, section numbers where applicable and UTM coordinated.
  - b. Landownership boundaries.
  - c. Project-area boundaries, if applicable, such as lease, permit, right-of-way, or sale parcel boundaries.
3. All site boundaries involved in the data recovery, labeled with ASM site numbers. Also indicate the locations of any other sites within a mile radius.
4. North arrow, scale, and key to symbols used other than those used by the USGS.
5. Results - Include the following information for each investigated site:
  - a. Site Map – A scaled site map showing a north arrow, scale, site boundaries, intersecting property-ownership boundaries, datum, grid system, surface artifact concentrations and other features, topographic contours, all collection units, point-provenienced artifacts, and hand- and machine-excavated units, trenches or areas.
  - b. Statement of Data-recovery Plan Departures – Identify and explain substantial differences between the work proposed in the plan and that which was performed.
  - c. Findings Summary – Summarize the investigation's results in terms of subsurface remains' presence/absence, stratigraphic complexity, encountered-feature kind and number, and quantities of recovered artifacts and samples. Assess the extent to which recovered data addressed the research questions.
  - d. Site Condition - Indicate the site's condition at fieldwork conclusion. Explain why any excavation was not backfilled.
  - e. Recommendations - provide advice regarding the need for further fieldwork.
  - f. Summarize the current artifact-storage location and where they will be analyzed.
6. Final Report Schedule - Indicate the date(s) when the final data-recovery report will be submitted to the ASM (as a term of the AAA permit) and to the state agency (ies), and when the state agency will provide SHPO with a copy.

B. Final Reports - Final data-recovery reports will include all the information the preliminary report requires as well as additional information in the following format:

1. Abstract - Briefly describe the project location, sponsor, goals, and results and list the identified register-eligible and listed sites and the curatorial facilities for the artifacts and basic records.
2. Introduction - Give a brief project overview, including the following information:
  - a. Administrative context - Identify the circumstances initiating the project, project sponsor, the ownership of the investigated site(s), and all the permits authorizing the research.
  - b. Project Location - Provide a map or maps indicating property ownership and the

- location(s) of the investigated site(s) with ASM site number(s) where appropriate. Also indicate any other site locations within a one-mile radius of the investigated site(s).
- c. Arizona/National Register Eligibility – Briefly describe the sites investigated, including Arizona/National Register eligibility, the significance criteria/criterion, and the aspects of integrity for each. Include Arizona/NRHP-listed properties with the listing date, the significance criteria/criterion, and integrity aspects (current condition). Discuss any eligibility status changes based on the data-recovery program.
  - d. Dates of field and laboratory investigations, and the names of the primary project personnel and field and laboratory person/days.
  - e. A brief summary of the project's major findings.
3. Background to the study.
    - a. Environmental Description - Briefly discuss the environmental setting in general. This section's content is determined by the nature of the undertaking.
    - b. Cultural/Historical Background/Context – Discuss the study area's prehistory and history and relevant historic context(s).
    - c. Previous Research Overview – Briefly discuss previous research to establish a framework for interpreting the data-recovery results.
  4. Research Methods – Identify, discuss, and justify the research goals, themes and questions, and data gathering strategies. Describe and explain any new goals identified during the course of research. Provide information in the following categories to document that the data-recovery plan was followed.
    - a. Field Strategy and data collection techniques, such as hand or machine excavation, screen size, and sediment sampling, explained and described in detail.
    - b. Analytical Methods – such as classificatory procedures, chronological techniques, and specialized environmental studies – discussed and evaluated in terms of overall project goals. Elaborate these descriptions and discussions in the report sections pertaining to the particular analytic categories.
    - c. Evaluation of investigation constraints, such as limited access, bioturbation, or poor preservation.
    - d. Persons and organizations conducting specialized studies.
  5. Repositories – Identify all repository institutions where project artifacts, samples, and records (including field notes, analysis records, raw tabular data, photographs and negatives, and digital files) will be curated. Identify all project materials discarded before curation and the rationale for their disposal.
  6. Fieldwork Results – Include the following information in the text and graphics of the results of the field investigation:
    - a. A map for each site investigated, showing scale, north arrow, landownership boundaries, site boundaries, datum and provenience system, UTM coordinates including zones and datum, topographic contours, all features and important artifact concentrations, collection units, and hand- and machine-excavation units.
    - b. Plan-view maps of all major excavated features.
    - c. Profile and/or cross-sectional drawings for all major excavated features and exploratory excavations.
    - d. Artifact-density maps for surficial sites and subsurface artifact assemblages.
    - e. Quantities by feature and recovery unit of major artifact classes and analyzed samples recovered.
    - f. Text description of investigated features.
    - g. Discuss site condition as it was at the close of fieldwork; identify and justify any

- excavation unit not backfilled; identify the potential for any remaining intact archaeological deposits and their potential availability for future study.
7. Analysis of research results for particular categories of material culture.
    - a. Describe and justify specialized analytic techniques and classificatory procedures.
    - b. Analyzed data will be presented in narrative, tabular, and graphic forms.
    - c. Discuss how well analyzed data addressed the stated goals.
    - d. Interpret any perceived patterns in the data.
  8. Synthesis and conclusions.
    - a. A summary of the project's contributions.
    - b. A synthesis and interpretation of project results including comparison with findings from other related investigations. Relate this discussion to historic contexts and research issues.
    - c. Evaluation of project success in terms of stated goals.
    - d. Suggestions for future research directions in terms of project goals and contributions.
    - e. Evaluation of Arizona/National Register eligibility of sites investigated that is based on site condition at the conclusion of the data recovery.

*Adopted by the Arizona State Parks Board on 21 March 2002  
Minor edits, revisions, and updates made 2008, 2009 and 2010.*

## PART IV

### State Historic Preservation Office Standards for Documentation of Historic Properties

The following requirements are set forth pursuant to A.R.S. §41-861, et seq. and are intended to outline the typical documentation requirement for compliance with the provisions of §41-863 of the Act. Following guidance issued by the National Park Service (NPS), these standards may also be applied in memoranda of agreement by agencies pursuant to 36 CFR Part 800 as part of mitigation of adverse effects.

- A. When all options for rehabilitation or alternative uses of a structure have been considered and an agency concludes that it must demolish a building or structure that meets the criteria for the National or Arizona Register of Historic Places (NRHP, ARHP), the following documentation will generally be accepted as appropriate mitigation:
1. A narrative that includes the original name and construction date of the building or structure, the architect or builder (if appropriate and known), and a brief discussion of the original function of the building or structure and its uses over time. The narrative should include a statement concerning why the property is perceived as having historic importance. Associations with local or state development, construction by a major program (e.g., WPA), or affiliation with the origins of a state institution are all potential areas of historic significance. For residential properties the name and any potential significance of the original or long-term occupants may be sufficient. Properties notable for their architectural style or method of construction should have a statement to that effect.
  2. A map indicating geographic location and contextual relationship of the property to adjacent structures. Buildings in a campus or similar group settings should be indicated on a map of the entire complex.
  3. Reproductions of any original floor plans and architectural or engineering drawings of the property showing their original appearance and design. An effort should be made to locate these plans in agency or other archives. If the original drawings cannot be located, a floor plan and simple elevation drawings of the primary exterior facades should be prepared for all major buildings. Major dimensions and a scale should appear on any drawings. The number and extent of drawings required in some situations may be determined by consultation with the SHPO.
  4. A set of photographs showing all significant facades and architectural detailing, especially along the roofline and around the primary original entrance. Identifying features such as name plaques or cornerstones should be photographed. Significant interior spaces such as lobbies or staircases should be photographed if any noteworthy features exist. One or more photographs should show the building with its surroundings or its relationship to adjacent buildings, as appropriate. At least one of the elevation photographs should include a measuring stick or ruler to provide scale. All photographs must be labeled on the back with the photographer's name, date of photograph, direction of view, and location.
  5. Digital images are acceptable for property photo documentation. The SHPO accepts photographs meeting the specifications issued by the NPS under its Photo Policy Expansion (March 2005). These may be referenced in detail at their website at <http://www.nps.gov/history/nr/policyexpansion.htm>. Digital images must be

submitted both as prints and as electronic image files on a CD-ROM, as specified in the NPS standards.

B. Submission of the materials described previously will be in the following format: 1) CD-ROM containing all written and graphic materials, and 2) Printout of all written and graphic materials, including photographs, in a suitable notebook or folder. Two copies of all materials are required for the records of the SHPO and the Arizona State Library, Archives and Public Records.

C. Early consultation with the SHPO staff is recommended to ensure that all documentation requirements are understood. It is possible that in exceptional cases some additional material will be required.

*Prepared by State Historic Preservation Office, Arizona State Parks, 1300 W. Washington, Phoenix, AZ 85007, (602) 542-4009.*

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