



**MINIMUM REQUIREMENTS AND CHECKLIST
FOR REPORTS, TREATMENT PLANS, AND MAPS SUBMITTED TO THE ARIZONA STATE MUSEUM (ASM) FOR
WORK CONDUCTED UNDER AN ARIZONA ANTIQUITIES ACT (AAA) PERMIT**

Management Report

These are the questions under consideration by ASM when reviewing reports documenting work conducted under an AAA Permit. This list is generated from the rules implementing A.R.S. § 15-1631 and § 41-841, *et seq.*, specifically, the Arizona Board of Regents Policy Manual, Chapter 8, Policy 8-203(G), "Information Included in Management Reports."

- 1) Are the appropriate statutes cited?
For example, if the work is conducted on State land, is the AAA listed?
- 2) Are all ASM reference numbers correctly listed?
For example, the ASM Accession Number and AAA Permit Number should be included along with any relevant ASM Site Numbers.
- 3) Are all ASM reference numbers correctly formatted?
Sample Numbers (please note leading zeros):
ASM Accession Number: AP-2019-2345 or AP-2019-0035
AAA Blanket Permit Number: 2019-567bl or 2019-002bl
AAA Project-Specific Permit Number: 2019-567ps or 2019-002ps
ASM Site Number: AZ BB:13:17(ASM)
- 4) Does the project information in the report match that listed on the Project Registration Form?
For example, the project name, project number, acres surveyed, legal descriptions of survey area, land ownership, Project Director, Principal Investigator, fieldwork dates, and width of survey transects.
- 5) Is the project sponsor clearly identified?
What person, corporation, company, partnership, agency, or organization is paying the costs associated with the proposed development or management action and the archaeological activities conducted in advance?
- 6) Is the survey method clearly described?
What was the intensity of the survey? What are the names of the individuals employed in the actual work? What were the dates of the fieldwork? Include information regarding areas that could not be surveyed and why. On surveys where less than 100 percent coverage is employed, the report should qualify the methods used to establish the sample surveyed while also seeking to quantify what portion(s) of the project area or area of potential effect remains unsurveyed.
- 7) Are the landowners of the Project Area clearly identified?
Please be reminded that landownership and land jurisdiction may not be held by the same entity, and a right-of-way does not always indicate ownership. The rules require ASM to keep information on land

ownership. Land ownership must be clearly depicted in figures and authors should be careful to distinguish between ownership and jurisdiction in the narrative.

- 8) Is the location of the Project Area included in the report?
Required data include a legal description of the Project Area's location (Township[s], Range[s], and Section[s]), a UTM project locator (center point), and the 7.5-minute USGS quadrangle map name.
- 9) If the Project Area is on State land and ASM sites are located within the Project Area:
- Is the location of each site included in the report?
Required data include a legal description of the ASM Site's location (Township[s], Range[s], and Section[s]), a UTM locator (center point), and the 7.5-minute USGS quadrangle map name.
 - Is the landownership for each site included in the report?
Again, please be attentive to the difference between land jurisdiction and landownership. Here, ASM is asking about the landowner.
 - Are the proposed project activities adequately outlined, such that project impacts can be evaluated and management recommendations regarding historic properties can be offered? The narrative should include specific discussions that connect descriptions of the proposed development-related activities with direct or indirect impacts on cultural resources.
 - Does the report include recommendations regarding National Register of Historic Places/Arizona Register of Historic Places eligibility for all sites encountered within the Project Area?
 - For each new ASM site documented, does the site meet ASM Site Definition Criteria as defined in the ASM Site Recording Manual?
 - When revisiting a previously recorded ASM site in the proposed project area, all reports must include text that briefly describes the extent of the revisitation and provides an update on current site conditions, as well as a brief discussion of notable differences from what has previously been recorded, including details regarding changes to the site boundary. Do not include a description of previously recorded sites that now fall under ASM's Policy and Procedure Regarding Historical Sites and Features (<https://statemuseum.arizona.edu/crm/document/historical-sites-and-features>) or ASM's Policy and Procedures Regarding Historical-Period Waste Piles (<https://statemuseum.arizona.edu/crm/document/historical-waste-piles>), as they are no longer considered to be ASM sites.
 - Are data associated with all ASM sites previously identified (sites for which information is available in the Archaeological Records Office as of the fieldwork date) and/or encountered within the Project Area updated in the report?
- 10) Does the report include a map of the Project Area that meets minimum requirements (see Maps, below)?
- 11) Does the report include geo-referenced maps with depictions of all ASM sites documented within the Project Area (as of the fieldwork date)?

Project-Specific Treatment Plans and Research Designs

These are the questions under consideration by ASM when reviewing Project-specific Treatment Plans and Research Designs (hereafter, "Plans") produced in support of an AAA Project-Specific Permit application. This list is generated from the rules implementing A.R.S. § 15-1631 and § 41-841, et seq., specifically, the Arizona Board of Regents Policy Manual, Chapter 8, Policy 8-203(D), "Excavation," (E), "General Reporting Requirements," (F), "Basic Records," and (H), "Information Included in Research Reports."

- 1) Does the Plan support work being conducted as part of a single project that will be assigned a single AAA permit and a single ASM Accession Number?

Individual projects should be assigned individual AAA permits. Do not include information regarding more than one project in a Plan.

- 2) Are all ASM reference numbers correctly formatted?

Sample Numbers (please note leading zeros):

ASM Accession Number: AP-2019-2345 or AP-2019-0035

AAA Blanket Permit Number: 2019-567bl or 2019-002bl

AAA Project-Specific Permit Number: 2019-567ps or 2019-002ps

ASM Site Number: AZ BB:13:17(ASM)

- 3) Does the Plan include an abstract? Does the abstract meet the following standards?

- Are appropriate statutes cited?

Consider the statutory context for the project and cite the proper law(s). For example, if the work is conducted on State land, is the AAA listed?

- Is the project sponsor clearly identified?

What person, corporation, company, partnership, agency, or organization is paying the costs associated with the proposed development or management action and the archaeological activities conducted in advance?

- Is the lead agency identified? If more than one agency is involved, list non-lead agencies under "Other involved agencies."

- Are the landowners of the Project Area clearly identified?

Please be reminded that landownership and land jurisdiction may not be held by the same entity. The rules require ASM to keep information on land ownership.

- Is the location of the Project Area included in the report?

Required data include a legal description of the Project Area's location (Township[s], Range[s], and Section[s]), a UTM project locator (center point), and the 7.5-minute USGS quadrangle map name.

- Are all ASM sites with potential project impact listed? Are the potential effects to each individual site clearly presented?

- Does it indicate why this archaeological work is being conducted?

What is the proposed action? The proposed development or management action should be adequately described in the Plan to establish the nature and extent of planned activities such that regulatory contexts and potential impacts to eligible historic properties are easily identified. Further, this section must set a baseline for evaluating the relevance and suitability of the proposed Plan relative to the recovery of archaeological data.

- 4) Does the Plan include an introduction? Does the introduction meet the following standards?

- Are the appropriate statutes cited?

For example, if the work is conducted on State land, is the AAA cited?

- Is the project sponsor clearly identified?
What person, corporation, company, partnership, agency, or organization is paying the costs associated with the proposed development or management action and the archaeological activities conducted in advance?
 - Is the lead agency identified? If more than one agency is involved, are they all listed?
 - Are the landowners of the Project Area clearly identified?
Please be reminded that landownership and land jurisdiction may not be held by the same entity. The rules require ASM to keep information on land ownership. When multiple landowners are involved, their holdings must be clarified through the use of tables and/or coded maps.
 - Is the legal description of the project area included?
Required data include a legal description of the Project Area's location (Township[s], Range[s], and Section[s]); for example, Township 12 North, Range 4 East, Section 10.
 - Does it indicate why this archaeological work is being conducted?
What is the proposed action? A brief statement on the overall project purpose should be included in the introduction. It is expected that this section will vary considerably, as it will be dependent upon the nature and scope the project. In general, however, more detail is expected if a project involves multiple land jurisdictions and/or landowners, and/or if it is areally extensive.
 - Is there a map of the project area that meets minimum requirements (see Maps, below)?
If the project area is defined by specific streets, please ensure they are clearly labeled.
- 5) Does the Plan include an environmental description?
This should be specific to each individual project and specific content should be determined by the nature of the proposed development or management action. The purpose of this section is to describe the geomorphological setting and current field conditions, to present information on site formation processes and, otherwise, to inform the research goals and interpretation.
- 6) Does the Plan include a culture history?
This should be prepared for each individual project and uniquely address historical contexts appropriate to the site or area under investigation. The content is determined by the local area prehistory and history and directly informs on the proposed archaeological work. For example, when evaluating a Hohokam Classic period site, a discussion of the Paleoindian period is not necessary. Alternatively, if the anticipated findings date solely to the Historic period, a discussion of Arizona prehistory is not necessary.
- 7) Does the Plan include a summary of previous work conducted within the project area and the site(s) under investigation?
The purpose of this section is to provide context for the research goals.
- 8) Does the Plan include a research design? Does the research design identify and justify research goals, themes, and questions?
- 9) For ASM sites located within the Project Area:
- Is the location of each site included in the Plan?
Required data include a legal description of the ASM Site's location (Township[s], Range[s], and Section[s]), a UTM locator (center point), and the 7.5-minute USGS quadrangle map name.
 - Is the land ownership of each site included in the Plan?
Please be reminded that landownership and land jurisdiction may not be held by the same entity. The rules require ASM to keep information on land ownership.

- Is a full evaluation of the potential project effects on each site included?
- Does the report include recommendations regarding National Register of Historic Places/Arizona Register of Historic Places eligibility?
- When revisiting a previously recorded ASM site in the proposed project area, all reports must include text that briefly describes the extent of the revisitation and provides an update on current site conditions, as well as a brief discussion of notable differences from what has previously been recorded, including details regarding changes to the site boundary. Do not include a description of previously recorded sites that now fall under ASM's Policy and Procedure Regarding Historical Sites and Features (<https://statemuseum.arizona.edu/crm/document/historical-sites-and-features>) or ASM's Policy and Procedures Regarding Historical-Period Waste Piles (<https://statemuseum.arizona.edu/crm/document/historical-waste-piles>), as they are no longer considered to be ASM sites.

10) Are all ASM sites located in the Project Area discussed in the Plan?

- Does the Plan include an adequately detailed methods section, with the range and depth required to address all aspects of the proposed Plan?

11) Does the methods section meet the following standards?

- Will the field techniques described in this section ensure full, clear, and accurate descriptions of sites and features?
- Will the proposed field methods yield the data required to address National Register of Historic Places/Arizona Register of Historic Places eligibility and other specified research goals?
- Does it indicate what analytical methods will be used and for which data classes?
- Will the analyses ensure full, clear, and accurate descriptions of the recovered data?
- Are the analytical techniques appropriate to achieve the stated research goals?
- Does it indicate if the site(s) or portions of the site(s) can be preserved in place?
- Do the field and analytical methods allow future researchers to use the recovered data to address research problems not anticipated at the time of recovery?
- Are the field and analytical methods presented in a manner such that future researchers can replicate them?

12) If human remains are anticipated, does the Plan meet the following standards?

- Are methods included that detail how human remains will be recovered, escorted, documented, and housed?

Please note: in all documentation, artifacts identified as being in association with human remains should be referred to as "funerary objects."

- Does it indicate if a burial agreement will be requested at the start of the project?
- Does it indicate who will be notified in the event that human remains, funerary objects, sacred ceremonial objects, and/or objects of national or tribal patrimony are identified?

Minimally, ASM and a group with cultural affinity should be indicated.

- Is respectful terminology used to describe human remains, as well as their recovery, housing, documentation, etc.? For more information, please see Respectful Terminology recommended for Discussion of Human Remains (<https://statemuseum.arizona.edu/crm/document/respectful-terminology-repatriation>)

13) Does the Plan include information regarding the final report and curation?

Each project to be conducted under a AAA Project-Specific Permit is issued a single AAA Project-Specific Permit Number. For each Project-Specific Permit Number, a separate report must be submitted. For work being conducted in multiple phases, interim reports may be authored as the work progresses; however, the entire, complete project must be summarized in a single, final document.

- Who will be provided copies of the draft report for review?
- Is a repository agreement in place?
If the material is not being curated at ASM, a copy of a signed repository agreement with the issuing institution must be submitted along with the permit application.
- Where will the material be curated?
- If human remains, funerary objects, sacred ceremonial objects, and/or objects of national or tribal patrimony are identified, to which group with cultural affinity will they be repatriated?

14) Are all references cited in the text included in the references section?

- This includes citations in tables.

15) Does the Plan include a map of the Project Area that meets minimum requirements (see Maps, below)?

16) Does the report include geo-referenced maps with depictions of all ASM sites documented within the Project Area (as of the fieldwork date)?

Research Report

These are the questions under consideration by ASM when reviewing reports documenting work conducted under an AAA permit. This list is generated from the rules implementing A.R.S. § 15-1631 and § 41-841, *et seq.*, specifically, the Arizona Board of Regents Policy Manual, Chapter 8, Policy 8-203(D), "Excavation," (E), "General Reporting Requirements," (F), "Basic Records," and (H), "Information Included in Research Reports."

- 1) Is the report summarizing work conducted under a single AAA permit?
Do not include results for work conducted under more than one permit.

- 2) Are all ASM reference numbers correctly formatted?
Sample Numbers (please note leading zeros):
ASM Accession Number: AP-2019-2345 or AP-2019-0035
AAA Blanket Permit Number: 2019-567bl or 2019-002bl
AAA Project-Specific Permit Number: 2019-567ps or 2019-002ps
ASM Site Number: AZ BB:13:17(ASM)

- 3) Does the report include an abstract? Does the abstract meet the following standards?
 - Are the appropriate statutes cited?
For example, if the work is conducted on State land, is the AAA cited?
 - Is the project sponsor clearly identified?
What person, corporation, company, partnership, agency, or organization is paying the costs associated with the proposed development or management action and the archaeological activities conducted in advance?
 - Are the landowners of the Project Area clearly identified?
Please be reminded that landownership and land jurisdiction may not be held by the same entity. The rules require ASM to keep information on land ownership.
 - Is the legal description of the Project Area included?
Required data include a legal description of the Project Area's location (Township[s], Range[s], and Section[s]); for example, Township 12 North, Range 4 East, Section 10.
 - Does it identify the permits authorizing fieldwork?
 - Is there a general description of the project location?
 - Are all affected ASM sites listed?
 - Are National Register of Historic Places/Arizona Register of Historic Places eligibility recommendations included?
 - Are brief summaries of the project and results included?

- 4) Does the report include an introduction? Does the introduction meet the following standards?
 - Are the appropriate statutes cited?
For example, if the work is conducted on State land, is the AAA cited?
 - Is the project sponsor clearly identified?
What person, corporation, company, partnership, agency, or organization is paying the costs associated with the proposed development or management action and the archaeological activities conducted in advance?
 - Are the landowners of the Project Area clearly identified?
Please be reminded that landownership and land jurisdiction may not be held by the same entity. The rules require ASM to keep information on land ownership. When multiple landowners are involved, their holdings must be clarified through the use of tables and/or coded maps.

- Is the legal description of the Project Area included?
Required data include a legal description of the Project Area's location (Township[s], Range[s], and Section[s]); for example, Township 12 North, Range 4 East, Section 10.
- Does it indicate permits authorizing fieldwork?
- Does it identify the project personnel?
- Does it indicate the dates of fieldwork?
- Does it present the project goals?
- Does it indicate why this archaeological work was conducted?
What is the proposed action? A brief statement on the overall project purpose should be included in the introduction. It is expected that this section will vary considerably, as it will be dependent upon the nature and scope the project. In general, however, more detail is expected if a project involves multiple land jurisdictions and/or landowners, and/or if it is areally extensive.
- Is there a general description of the project location?
- Is there a map of the project area, that meets minimum requirements (see Maps, below)?
If the project area is defined by specific streets, please ensure they are clearly labeled.

5) Does the report include an environmental description?

This should be specific to each individual project and specific content should be determined by the nature of the proposed development or management action. The purpose of this section is to describe the geomorphological setting and current field conditions, to present information on site formation processes and, otherwise, to inform the research goals and interpretation.

6) Does the report include a culture history?

This should be prepared for each individual project and uniquely address historical contexts appropriate to the site or area under investigation. The content is determined by the local area prehistory and history and directly informs on the proposed archaeological work. For example, when evaluating a Hohokam Classic period site, a discussion of the Paleoindian period is not necessary. Alternatively, if the findings date solely to the Historic period, a discussion of Arizona prehistory is not necessary.

7) Does the report include a summary of previous work conducted within the project area and sites under investigation?

The purpose of this section is to discuss how the current research relates to other archaeological work in the vicinity. References cited should be used to identify and acknowledge sources and allow the reader to easily conduct further research on any findings presented.

8) Does the report include a research design? Does the research design identify and justify research goals, themes, and questions?

- Were any new research goals identified during research?
For example, if canals were not anticipated prior to the start of the project, but were located during the project, add additional research goals, themes, and questions that can be addressed by the project results.
- If work was conducted under a general work plan, this section still must be included.
Summarize the research goals, themes, and questions appropriate to this project that were posited in the general plan. Simply citing the general plan that was used will not suffice.

9) Does the report include a methods section? Does the methods section meet the following standards?

- Is there an explanation and rationale for the field strategy and sampling design?

- Were there any constraints on the investigation that may have biased the results?
For example, were there limitations to access or was low ground visibility a factor?
 - Is there a detailed description of data collection techniques and sampling units (for example, transect spacing, screen-size[s], size[s] of test pits, trench length[s], etc.)?
 - Is there a description and justification of classification methods, methods of chronological determination, specialized environmental studies, or any other analytical methods and techniques?
 - If work was conducted under a general work plan, this section still must be included.
Summarize the specific field and analysis/documentation methods used. Simply citing the general plan that was used will not suffice.
- 10) Does the report include a description of the findings? Does the results chapter or section meet the following standards?
- Is there a narrative description for each feature?
 - Does the chapter include a table summarizing the identified features?
 - If insufficient data are present to address the project's research goals and questions, are clear statements included addressing the constraints and issues encountered?
 - Do the field and analytical methods allow future researchers to use the recovered data to address research problems not anticipated at the time of recovery?
 - Are the field and analytical methods presented in a manner such that future researchers can replicate them?
- 11) Is respectful terminology used to describe human remains, as well as their recovery, housing, documentation, etc.? For more information, please see Respectful Terminology recommended for Discussion of Human Remains (<https://statemuseum.arizona.edu/crm/document/respectful-terminology-repatriation>)
- 12) Are all references cited in the text included in the references section?
- This includes citations in tables.
- 13) For ASM sites located within the Project Area,
- Is the location of each site included in the report?
Required data include a legal description of the ASM Site's location (Township[s], Range[s], and Section[s]), a UTM locator (center point), and the 7.5-minute USGS quadrangle map name.
 - Is the land ownership for each site included in the report?
Please be reminded that landownership and land jurisdiction may not be held by the same entity. The rules require ASM to keep information on land ownership.
 - Is a full evaluation and description of the project impact to each site included?
 - Does the report include recommendations regarding National Register of Historic Places/Arizona Register of Historic Places eligibility?
 - For each new ASM site documented in the report, does the site meet ASM Site Definition Criteria as defined in the ASM Site Recording Manual?
 - When revisiting a previously recorded ASM site in the proposed project area, all reports must include text that briefly describes the extent of the revisitation and provides an update on current site conditions, as well as a brief discussion of notable differences from what has previously been recorded, including details regarding changes to the site boundary. Do not include a description of previously recorded sites that now fall under ASM's Policy and Procedure Regarding Historical Sites and Features (<https://statemuseum.arizona.edu/crm/document/historical-sites-and-features>) or ASM's Policy and

Procedures Regarding Historical-Period Waste Piles

(<https://statemuseum.arizona.edu/crm/document/historical-waste-piles>), as they are no longer considered to be ASM sites.

- Are data associated with all ASM sites previously identified (sites for which information is available in the Archaeological Records Office as of the fieldwork date) and/or encountered within the Project Area updated in the report?
- 14) Does the report include analyses/documentation of features, artifacts, or other samples? Do the analysis/documentation chapters or sections meet the following standards?
- Do they include full attribute data/information presented in narrative and tabular form?
 - Have the data/information been analyzed/documentated in a manner consistent with the project's stated goals?
- 15) Does the report include interpretation of results? Does the interpretation chapter or section meet the following standards?
- Does it discuss observed patterns in the data recovered? Does it indicate how these articulate with regional, chronological, cultural, or other larger-scale patterns?
 - Do the results support findings from similar or otherwise relevant archaeological research projects?
 - Do the results provide new insights into the prehistory and history of the project vicinity?
- 16) Does the report include a map of the Project Area that meets minimum requirements (see Maps, below)?
- 17) Does the report include geo-referenced maps with depictions of all ASM sites documented within the Project Area (as of the fieldwork date)?

Maps

These are the questions considered by ASM when reviewing maps documenting work conducted under an AAA Permit.

- 1) Are required maps present? The following maps are required for every project submission:
 - A map depicting the entire Project Area and surveyed areas, if these areas are different,
 - maps of ASM site boundaries (if applicable), and
 - plan view-maps of ASM sites (if applicable)
- 2) Are required maps depicted at 1:24,000 scale, neither enlarged nor reduced?
ASM reviews the printed versions of maps. Please ensure the digital copy of the report depicts maps to scale, and that the paper copies submitted to ASM are printed at the correct scale.
- 3) Do the required maps use a 7.5-minute USGS quadrangle base map?
- 4) Do the required maps include basic locational and projection information and the name of the 7.5-minute USGS quadrangle map?
Clearly indicate the Township(s), Range(s), and Section(s) of the Project Area. This can be done in the map legend, figure caption, collars, or on the map itself. If the area is unplatted, use an alternate method such as UTM coordinates. Include the projection (typically NAD 1983, Zone 12N) used to create each map.
- 5) Do the maps include all ASM sites documented within the Project Area (as of the fieldwork date)?
- 6) Are the Project Area/Survey Area boundary and all ASM site boundaries readable and unobscured?
- 7) Is the map symbology and labeling understandable?
- 8) Is the map symbology understandable in both color and grayscale printouts?
- 9) Are all maps depicted on paper that is a standard size, not greater than 11 x 17 inches when printed to scale?