

**BUREAU OF LAND MANAGEMENT
ARIZONA**

**INSTRUCTIONS FOR OBTAINING A PERMIT
FOR ARCHAEOLOGICAL INVESTIGATIONS**

May 2005

CONTENTS

	<u>Page</u>
Summary of Steps for Obtaining an Archaeological Investigations Permit.....	1
Section 1 - The Archaeological Investigations Permit System.....	2
Section 2 - Who May Apply for an Archaeological Investigations Permit	3
Section 3 - Completing the Forms	6
Archaeological Investigations Permit Form	6
Fieldwork Authorization Request Form	9
Section 4 - Permit Conditions.....	11
Section 5 - Environmental and Section 106 Considerations.....	11
Section 6 - Disputes and Appeals	12
Appendix 1 - Blank Forms	
Appendix 2 - Arizona BLM Offices	
Appendix 3 – Standard and Special Conditions	

SUMMARY OF STEPS FOR OBTAINING A PERMIT FOR ARCHAEOLOGICAL INVESTIGATIONS

1. Obtain a permit application (DI Form 1926) from the State Director, Bureau of Land Management, Arizona State Office (AZ-931), 222 N. Central Avenue, Phoenix, Arizona 85004.
2. Complete all items on the application form according to the instructions provided in this handbook.
3. Send one copy of the completed application form, together with accompanying documentation, to the State Director (AZ-931), BLM Arizona State Office.
4. The application will be reviewed by the BLM for completeness and accuracy.
5. Applicants should anticipate a 2 to 4 week wait for survey permits and 6 to 8 weeks for testing/excavation permits.
6. The BLM will issue the permit with standard and special conditions attached, or will deny the permit and notify the applicant.
7. To begin work under "blanket" permits not issued for a specific project, send one copy of a completed Fieldwork Authorization Request (Form 8151-3) to the Field Office Manager in the BLM Field Office with jurisdiction over the lands involved. This is required for each project done under a "blanket" permit. Except in emergency situations, you must have your permit in hand before requesting a Fieldwork Authorization.
8. The appropriate Field Office will approve the Fieldwork Authorization Request and return a copy to the applicant, or will deny the authorization and notify the applicant.
9. Should the applicant be dissatisfied with any decisions regarding the application and/or permit, dispute procedures may be initiated.

SECTION 1

THE ARCHAEOLOGICAL INVESTIGATIONS PERMIT SYSTEM

As a Federal land managing agency, the Bureau of Land Management (BLM) is responsible for complying with legislation pertaining to cultural resources on lands managed by the BLM, hereinafter called "public lands". Since October 1, 1984, the BLM has had the authority to issue permits for archaeological investigations at the State Office level. This transfer of authority from the National Park Service resulted in numerous changes in permitting procedures, greatly reducing the time required for applicants to obtain permits.

The Bureau has a two-level permit system, consisting of a qualifications level review and an operational level approval. The qualifications level is conducted at the State Office with support from Field Offices, where appropriate. It consists of reviewing and processing the permit application and issuing the first part of the permit package, the Permit for Archaeological Investigations. Unless this permit is issued for a specific project (e.g. excavation of a specific site or group of sites), it cannot be used until the next level of the permit system is complete.

The second level, the operational level, is conducted at the Field Offices. This level is represented by the Fieldwork Authorization. The Fieldwork Authorization provides a measure of protection to both the BLM and the permittee by documenting that the permittee has been approved to conduct certain activities on lands administered by the BLM. These written authorizations are to be obtained prior to beginning each fieldwork episode under a permit. This gives the BLM the opportunity to assure compliance with existing cultural and land management legislation and records the legal operation of the contractor under his/her permit.

To ensure appropriate treatment of cultural and other resources, the BLM attaches standard and special conditions to the permits. After the permit is issued, the BLM may monitor the project in the field to ensure that the permittee complies with the permit conditions.

Permits for Archaeological Investigations are issued to qualified academic and scientific institutions, cultural resource consulting firms, State agencies, and other qualified institutions and/or individuals to conduct professional cultural resource investigations on public lands. Investigations for which permits are issued are of three basic types: (1) survey and recordation, (2) limited testing and/or collection and (3) excavation and/or removal. Permits for these types of work are explained in detail in Section 3 of this handbook.

"Blanket" non-collection survey and recordation permits are issued for consulting work to provide users of public lands with timely access to professional services. The BLM in Arizona generally issues these permits to cover all public lands within a Field Office or within the State so that applicants need not obtain separate permits for each survey and recordation project. Moreover, since "blanket" permits are issued on a long term basis (1 to 3 years), they help to eliminate the need for last-minute emergency authorizations.

Permits for work involving excavation or collection, including testing, are issued only for specific

projects and for specific locations and time frames relating to those projects. Issuance of such permits is contingent upon BLM approval of a definitive research design describing work to be done.

In processing permit applications, the BLM staff must evaluate the following:

1. The effect the proposed undertaking will have on cultural resources.
2. The effect the proposed undertaking will have on other resources, such as flora, fauna, watercourses, soils, and wilderness values.
3. Potential conflicts between the proposed undertaking and BLM projects, other authorized projects, or concerns of other interest groups.
4. The persons and organizations responsible for carrying out the proposed undertaking and their performance under past Federal permits.

SECTION 2

WHO MAY APPLY FOR AN ARCHAEOLOGICAL INVESTIGATIONS PERMIT

Any individual or any public, scientific, or educational institution proposing to locate, examine, or excavate cultural resources on public lands must have authorization in the form of a Permit for Archaeological Investigations. A permit is necessary whether or not cultural resources are to be collected. The only exception to this requirement is for individuals, such as volunteers, carrying out official BLM cultural resource management activities under the direction of a BLM Field Office Manager.

Professional qualifications standards have been developed in accordance with 43 CFR 7 to ensure that individuals permitted to conduct cultural resource work have sufficient training and expertise to properly evaluate and make recommendations for the proper management of cultural resources in accordance with existing legislation. These qualifications standards are in effect for all cultural resource work conducted on lands administered by the BLM in Arizona and will cover all projects, whether of a consultation or research nature.

Applicants must meet all of the following standards for their respective duties. (These standards do not apply to individuals listed on valid Department of Interior [DOI] permits issued prior to October 1, 1984. Such individuals are currently allowed to work in the same capacity in which they worked under their former DOI permit subject to present BLM Cultural Resource Use Permit procedures and special conditions. However, any advancement of these individuals to a higher level of duties must be in accordance with the qualifications standards outlined herein).

APPLICANT DUTIES AND QUALIFICATIONS STANDARDS

Permit Administrator

This individual must be listed in item No. 10 of the permit application and must sign the application.

Duties

1. Signs application and assumes legal responsibility for the permit.
2. Is responsible for carrying out terms and conditions of the permit.
3. Assures adequate technical and administrative support and organizational capability.

Qualifications Standards

The administrator must be legally empowered to obligate the organization for all permit-related matters. This individual will be allowed to request changes in any of the items on the permit (i.e., personnel, permit type, permit extensions and termination, etc.).

There are no professional qualifications standards for this position if the administrator will not be performing any cultural resource work (for example, if the administrator is the dean of a college of arts and sciences or the president of an environmental firm in which cultural resource work is only one of a number of environmental services conducted by the company). Under some circumstances, the administrator will also be a cultural resource specialist functioning as a project director and/or field supervisor. In such cases, the administrator must meet the qualifications for those duties.

Principal Investigator

This individual must be listed in item No. 8 of the permit application.

Duties

Principal Investigators are responsible for the technical completeness and competency of all submissions and work performed, including:

1. Field Director performance.
2. The review and approval of reports.
3. Development of work plans, research designs, and mitigation proposals.
4. Crew competence and adherence to professional standards.
5. Integration of field data into comparative regional perspectives for analytical (evaluative)

purposes.

Qualifications Standards

1. Formal education consisting of a graduate degree in anthropology or related area (anthropology/archaeology, history, architecture). Equivalent training and experience equaling 24 months of pertinent, professionally supervised experience will be accepted in lieu of a graduate degree.
2. Competence in method and theory and in collecting, handling, analyzing, evaluating, and reporting cultural resource data relative to the type and scope of work proposed, as evidenced by previous experience or relevant training.
3. The ability to plan, equip, staff, organize, and supervise activity of the type and scope of work proposed, as evidenced by previous experience or relevant training.
4. The ability to carry research to completion, as evidenced by timely completion of theses, research reports, and/or similar documents which would be acceptable to the professional academic community.
5. Completion of at least 16 months of professional experience and/or specialized training in field, laboratory, or library research, administration, or management including at least 4 months of experience in the geographic and/or culture area involved.
6. At least 12 months of experience in research concerning cultural resources of the period (i.e., historic or prehistoric) which is the focus of the proposed work. This experience may be part of the experience required above.

Field Director

This individual must be listed in item No. 9 of the permit application.

Duties

1. Directs on-site supervision of fieldwork.
2. Makes initial evaluations and recommendations for significance, effect, and treatment. This duty may not be delegated to, or conducted by, any individual not approved to serve as Field Director.
3. Writes descriptive technical reports.

Qualifications Standards

1. Formal education consisting of a Baccalaureate degree in the appropriate discipline (anthropology/archaeology, history, architecture).
2. At least 12 months of pertinent, professionally supervised experience, with increasing responsibility leading to duties similar to those proposed in the application.
3. Competence in recording, collecting, handling, analyzing, evaluating, and reporting cultural resource data relative to the type and scope of work proposed, as evidenced by previous experience or relevant training.
4. The ability to supervise activity of the type and scope of work proposed, as evidenced by previous experience or relevant training.
5. At least 4 months of professional experience and/or specialized training in field methods pertaining to the geographic and/or culture area involved. This may be part of the 12 months of experience required in #2, above.

SECTION 3 COMPLETING THE PERMIT APPLICATION FORM

APPLICATION FOR PERMIT FOR ARCHAEOLOGICAL INVESTIGATIONS, DI Form 1926 (see Appendix 1)

Item 1, Name of applicant. Enter the official name of the company or individual as it is to appear on the permit.

Item 2, Mailing Address. Enter the address to which all correspondence regarding the permit should be sent. It is not necessary to enter branch offices here, as these should be identified in the description of organizational capabilities (item 11b).

Item 3, Telephone Number. Provide the number at which the individual or organization can be reached for any questions regarding the permit or any work conducted under the permit.

Item 4, Email Address. Provide the email address at which the individual or organization can be reached for any questions regarding the permit or any work conducted under the permit.

Item 5, Nature of Archaeological Work Proposed. There are three basic types of work for which permits may be issued. Permits corresponding to these types of work are identified below. Check the box on the application which best describes the activities that you expect to conduct under the permit. If you have any questions, contact the BLM before you submit the application.

The permit types are as follows:

Survey and Recordation

This permit authorizes nondisturbing pedestrian survey and limited subsurface probing for mapping purposes only. This permit type *does not* authorize the excavation of test units for site evaluation. Collection of isolated nonsite artifacts is allowed, but no collection of artifacts associated with an archaeological site may be conducted under this permit. This permit is generally issued for consulting services on a Field Office-wide or Statewide basis.

Limited Testing and/or Collection

This permit is issued on a project-specific basis and for a definite location. It covers small-scale testing and/or systematic collection and removal of material remains during field identification, evaluation, and recording activities, so that the significance or research potential of a cultural property may be better understood but not substantially diminished.

Excavation and/or Removal

This permit authorizes excavation and/or removal of material remains at a greater scale than the limited testing permit, with the result that the significance and/or future research potential of a cultural property may be substantially altered. This category of permit includes major testing programs designed to answer research questions and to guide future data recovery efforts.

In cases where the proposed work would affect cultural resources that are listed on or eligible for the National Register of Historic Places, the BLM may need to consult with the State Historic Preservation Officer (SHPO) and/or Advisory Council on Historic Preservation (ACHP) before issuing the permit. Ordinarily, such consultation can be completed within 45 days after the permit application has been received by the BLM. However, if the SHPO and/or ACHP do not feel the proposed work is appropriate, issuance of the permit may be delayed for a longer time until agreement can be reached.

If the BLM determines that a place of religious or traditional cultural importance to an Indian tribe may be harmed as a result of the proposed work, or where Native American human remains or funerary objects are likely to be excavated, the BLM must consult with the appropriate tribe(s) and traditional religious leaders before issuing a permit. The Bureau will consider the results of this consultation in deciding whether to approve a permit application. If Native Americans express concerns, there may be considerable delay (up to 70 days) from the time the application is received before a decision can be made. If the Bureau decides that Native American cultural values take precedence over other values of the proposed work, the permit will not be issued or may be issued contingent upon modifications to the proposal. You are urged to submit your application as early as possible to avoid delay or possible denial of your application that could result from this process.

Item 6, Location of Proposed Work. For any type of permit, identify the area of proposed work as specifically as possible. In those cases where the permit will cover a specific project or area, give the legal description and provide a map showing the project's location. Use an additional sheet if necessary. If previously recorded cultural resources will be involved in the proposed work, list them in item No. 6b.

Item 7, Time of Proposed Work. Request a specific time period for which the permit will be valid. "Blanket" non-collection permits of up to 3 years duration may be issued to established companies or individual consultants with a good performance record under existing or previous permits. If a beginning or ending time for a specific project or projects is not known, a reasonable estimate should be provided.

Item 8, Principal Investigator. Provide the name(s) of the individual(s) who meets the qualifications listed on pages 4 and 5, above, and who will carry out the duties described on the application. Also provide telephone numbers and email addresses.

Item 9, Field Director. Provide the name(s) of the individual(s) who meets the qualifications listed on pages 5 and 6, above, and who will carry out the duties described on the application. Also provide telephone numbers and email addresses.

Item 10, Permit Administrator. The individual listed in this item must be an authorized officer of the applicant's organization. By listing an individual here, you are certifying that this person is legally empowered to obligate your organization. Normally only one individual should be listed in this section, although in some cases two individuals may be acceptable (e.g., the vice president of a large corporation is in charge, but the daily operation of the company is handled by another official). Also provide a telephone number and email address.

Item 11a, Purpose and Nature of Work Proposed. Provide a concise explanation of the nature of work proposed under the permit. For work involving collection or excavation, include a research design or treatment plan.

Item 11b, Organizational Capabilities. Include the location of the company headquarters and any branch offices and describe the facilities and equipment available to conduct the type of work proposed. A company or individual applying for a permit to do survey and/or limited testing, for example, would simply need to provide a description of the type of equipment available for standard survey and testing work. For any permit under which excavation or other detailed studies are proposed, the availability of facilities and equipment to conduct more comprehensive work must be demonstrated. The purpose of this is to document that you have the necessary equipment and staffing to conduct the proposed work.

Item 11c, Organizational History. Include a brief history of your organization, listing any Federal permits held, along with the other information requested in this section of the application. For new companies, refer to the qualifications and work history of the individuals involved.

Item 11d, Summary of Education, Training, and Experience. Provide a vitae or other statement of

education, training and experience for each individual listed in item Nos. 8 and 9 of the application. The vitae or other statement should identify experience in terms of specific job functions (principal investigator, project director, etc.) and specific time (**years and months**) spent at each job. This statement should relate directly to the qualifications standards described in section 2 of this handbook. This information should be current to ensure that an otherwise qualified individual is not rejected because information was not supplied.

Item 11e, Certification of Curatorial Facility. An agreement to permanently curate materials collected or generated as a result of work conducted under the permit must be submitted with all permit applications, regardless of the type of work proposed. Such materials include artifacts, as applicable, and records, data, photographs, and other documents resulting from the work. This agreement may be in the form of a letter to your organization from the proposed curatorial facility. Any agreement provided as part of your application must be signed by an official of the curatorial facility. The curation agreement must be current for each application. If the curation agreement expires before the expiration date of the permit, a new curation agreement must be submitted to the BLM Arizona State Office (931) to avoid termination of the permit.

Item 12, Proposed Outlet for Dissemination of Results. Identify the journal, book, conference, workshop, or other means by which the information derived from work under the permit will be shared with professional colleagues or the public.

Item 13, Signature. The application must be signed by the individual listed in item No. 10.

Item 14, Date. The application must be dated when signed.

One copy of the application and accompanying documentation should be submitted to the State Director (931), BLM Arizona State Office, 222 North Central Avenue, Phoenix, AZ 85004.

Permits for survey and recordation not issued for a specific project ("blanket" permits) may be extended for periods of up to three years at a time. To extend an existing permit, the permittee need only send a brief written request to the State Director (931). This must be received by the BLM before the existing permit expires and should indicate any changes to be made in personnel or other items shown on the existing permit. If new personnel are to be added to the permit, vitae or other statements of education, training and experience must be submitted with the request for extension.

FIELDWORK AUTHORIZATION REQUEST, Form 8151-3 (see Appendix 1)

Fieldwork Authorization Requests are processed at the Field Office level. Such authorizations are required prior to any fieldwork episode conducted under a "blanket" permit not issued for a specific project. Normally, approval of a Fieldwork Authorization Request will entail a 1 to 2 week processing period at the Field Office where the request is submitted. When Cultural Resource Use Permits are issued for a specific project, time and location, issuance of the permit itself constitutes authorization to begin fieldwork, and no further fieldwork authorization is necessary.

Item 1, Permit Number and Date Issued. Enter the number of the Archaeological Investigations

Permit under which the work will be conducted, and the date the permit was signed.

Item 2, Name of Permittee. Enter the name of the permit holder as it appears on the permit.

Item 3, Mailing Address and Telephone Number. Enter as stated on the permit.

Item 4, Nature of Cultural Resource Work. Identify concisely the type of work proposed under this Fieldwork Authorization Request. The type and area of work identified on the Fieldwork Authorization Request must be consistent with the level of permit that has been issued to your organization. For example, a Fieldwork Authorization Request that identifies testing as part of the proposed work cannot be honored for a contractor operating under a survey and recordation permit.

Item 5, Location of Work. Identify the area(s) of proposed work to be conducted under this Fieldwork Authorization Request. The fieldwork authorization cannot be issued to exceed the jurisdictional boundaries of your permit. If the proposed work will consist of a project that crosses Field Office boundaries, a copy of the Fieldwork Authorization Request must be submitted to each Field Office. In such a case, one of the Field Offices will be designated to take the lead in coordinating the review and authorizing the fieldwork. For specific projects or specific cultural properties, the area of concern must be clearly identified using legal locations on the request form. In these cases, a map must be provided which accurately locates the immediate area of the proposed work.

Item 6, Period During Which Work Will Be Conducted. Enter a realistic estimate of the time necessary to conduct the proposed work. The time requested cannot exceed the expiration date of the permit. In most cases, fieldwork will be authorized for a period of 1 month or less.

Item 7, Name of Individual Responsible for Planning and Supervising Fieldwork and Approving Reports, Evaluations, and Recommendations. Include all individuals who will be working in a supervisory capacity under this particular fieldwork authorization. Only those individuals listed on item Nos. 7 and 8 of the Permit for Archaeological Investigations may be used for this purpose. Individuals may be added to item Nos. 7 and 8 of the permit upon BLM receipt and approval of their professional qualifications and experience.

Item 8, Signature. The request must be signed. The signature may be that of any individual listed in items Nos. 6, 7 or 8 of the permit.

One copy of the Fieldwork Authorization Request should be sent to the Field Office Manager in the BLM Field Office with jurisdiction over the lands involved. A map and list of BLM Field Offices are included in Appendix 2. Allow 1 to 2 weeks for processing your authorization request. Remember: You may not conduct any fieldwork until you have received written or verbal authorization to proceed.

SECTION 4

PERMIT CONDITIONS

A set of standard and special conditions is added to all permits to assure minimal disturbance to other resources, set forth minimum information requirements for cultural resource reports, and provide instructions for dealing with special situations which may occur in the course of cultural resource work. Special conditions for research projects usually address concerns centered on the compatibility of the project with other land uses, the professional or scientific benefits of the investigations, and keeping damage to cultural and natural resources in the project area within limits justified by the gain in scientific knowledge resulting from the project.

Standard and special conditions for each type of permit are provided in Appendix 3. A special condition attached to all permits in Arizona is that cultural resource data resulting from work conducted under permits must be entered into the automated Arizona Cultural Resource Database (AZSITE), which is housed at Arizona State Museum. Entering this data is the responsibility of the permittee and must be done at the permittee's expense. Contractors should anticipate the costs of having this data entered when developing budget estimates for clients. Failure to comply with this or other conditions of a permit will constitute grounds for revoking the permit and/or denying future permit applications.

SECTION 5 ENVIRONMENTAL AND SECTION 106 CONSIDERATIONS

In many instances, work carried out under permits on public lands results from the need to gather information that will allow the agency to meet the requirements of the National Environmental Policy Act and Section 106 of the National Historic Preservation Act. The permit applicant should, in the application submitted, state whether the proposed work is related to a specific project on public lands (e.g., proposed transmission line construction, proposed road right-of-way). This will help the BLM to coordinate the environmental, Section 106 and Archaeological Investigations Permit processes. In such cases, the applicant may be required to meet time frames and data requirements set forth in Programmatic Agreements (PAs) or Memoranda of Agreement (MOA). These may specify requirements for regional cultural resource summaries, identification/survey standards, site evaluation (National Register of Historic Places) requirements, and development of research/treatment programs for sites that will be affected by a specific project. These Agreements may also establish report format and submission schedules that are compatible with construction schedules, or may alter the conditions to which permit holders would ordinarily adhere.

SECTION 6 DISPUTES AND APPEALS

Any applicant, permittee, or revokee ("the disputant") may dispute and/or appeal the decision of the

authorized officer (i.e., State Director or Field Office Manager, as applicable) with respect to denial of a permit application or Fieldwork Authorization Request, the inclusion of specific terms and conditions in a permit or fieldwork authorization, or the modification, suspension, or revocation of a permit. Procedures for disputes and appeals are as follows:

1. Request for review. The disputant may file a written request for the authorized officer to review the authorized officer's decision, stating reasons for believing that the decision should be reconsidered. The authorized officer may modify the original decision in light of information presented, or may sustain the original decision, in either case providing the disputant with a written explanation.
2. Request for conference. Either the disputant or the authorized officer may request a conference to discuss the basis of the original decision. The authorized officer may modify the original decision in light of information presented, or may sustain the original decision, in either case providing the disputant with a written explanation.
3. Request for higher level review. The disputant, if unsatisfied with the outcome of a review or conference, may request that the decision be reviewed at the next higher organizational level. Decisions of a Field Office Manager may be reviewed by the District Manager or State Director, and those of the State Director may be reviewed by the Director. The Director may request that the Departmental Consulting Archaeologist participate in the Director's review. The authorized officer's decision shall stand during the course of any higher-level review.
4. Appeals. After exhausting the dispute opportunities described above, the disputant or any other affected person wishing to appeal a decision connected with a permit may file a formal appeal with the Interior Board of Land Appeals (IBLA) following the procedures in 43 CFR Part 4, Subpart E. The appeal must be filed within 30 days after the disputant has been notified of the decision.

APPENDIX 1

APPLICATION FOR PERMIT FOR ARCHEOLOGICAL INVESTIGATIONS (DI 1926)

PERMIT FOR ARCHEOLOGICAL INVESTIGATIONS (DI 1991)

FIELDWORK AUTHORIZATION REQUEST (8151-3)

Date Received _____
Sent for Review _____
Control No. _____

United States Department of the Interior

Application for Permit for Archaeological Investigations

Under the Authority of
The Archaeological Resources Protection Act of 1979
(16 U.S.C. 470aa-mm; 43 CFR 7);

and/or **The Antiquities Act of 1906**
(P.L. 59-209; 34 Stat. 225; 16 U.S.C. 431-433; 43 CFR 3)

and/or the appropriate **Bureau-specific statute** Such as
The Reclamation Act; The National Park Service Organic Act; The National Wildlife
Refuge System Administration Act; The Federal Land Policy and Management Act

Instructions: Complete and return two copies of this application form and required attachments to the appropriate State or Regional Office of the land managing bureau involved. All information requested must be completed before the application will be considered. Use separate pages if more space is needed to complete a section.

1. **Name of applicant** (institution, corporation, partnership, individual, or other entity)

2. **Mailing address**

3. **Telephone number(s)**

4. **Email address(es)**

5. **Nature of archeological work proposed**

- Survey and Recordation
- Limited Testing and/or Collection (project-specific)
- Excavation and/or Removal (project-specific)

6. **Location of proposed work** (attach additional sheets)

a. Description of Federal lands involved. Indicate State, county, and Federal administrative unit. Specify the best available location data, e.g., GPS coordinates, UTM coordinates, township, range and section (cadastral) subdivisions, or metes and bounds. Include a readable copy of a map or plan at an appropriate scale showing specific areas for which permit is desired.

b. Identification of archeological resource(s) or other cultural resource(s) involved (if applicable).

7. **Time of proposed work**

Overall duration of project: From To

Estimated duration of fieldwork: From To

8. **Principal Investigator**
Name of individual(s) responsible for planning and generally overseeing field projects, including overall supervision of staff and overall responsibility for the professional quality of resource evaluations and recommendations.

Principal Investigator contact information

Telephone number(s):

Email address(es):

<p>9. Field Director Name of individual(s) responsible for carrying out field projects, for technical quality of fieldwork through direct on-the-ground supervision of all aspects of fieldwork and data gathering, for proposing resource evaluations and recommendations for further treatment, and for preparing field records and descriptive reports.</p>	<p>Field Director contact information</p> <p>Telephone number(s):</p> <p>Email address(es):</p>
<p>10. Permit Administrator Name of individual responsible for fulfilling the terms and conditions of the permit (must be legally empowered to obligate applicant organization).</p>	<p>Permit Administrator contact information</p> <p>Telephone number(s):</p> <p>Email address(es):</p>
<p>11. Applicant must include the following attached to the application form.</p> <ul style="list-style-type: none"> a. Description of the purpose, nature, and extent of the work proposed, including how and why it is proposed to be conducted: (include research design, methods, curation); b. Summary of organizational capabilities, including information on location(s) and description of facilities and equipment, on organizational structure and staffing, and on facilities, equipment and staff to be involved in the proposed work; c. Summary of organizational history in completing work of the kind proposed, including similar past projects, government contracts, and Federal permits (previously held, currently in force with effective dates, and currently pending or planned, by agency and region/state), reports and/or publications resulting from similar work, and any other pertinent organizational experience; d. For each individual named in 8 and 9 above, a curriculum vitae or similar resume or summary of education, training, and experience in the kind of work proposed and in the role proposed; e. Written certification, signed by a properly authorized official of the proposed curatorial facility, attesting to the facility's capability and willingness to accept any collections, as applicable, and records, data, photographs, and other documents generated during the proposed term of the permit, and to assume permanent curatorial responsibility for such materials on behalf of the United States Government pursuant to 36 CFR 79. In the case of an application on Indian lands where the Indian Tribe or Indian owner(s) do not wish to take custody, written consent to undertake curation is required from the Indian Tribe or the Indian owner(s) pursuant to 25 CFR 262.8. Custody of any Native American human remains or cultural items subject to the Native American Graves Protection and Repatriation Act (NAGPRA), 25 USC 3001-3013, removed from public lands or Indian lands shall be determined in accordance with NAGPRA and its implementing regulations, 43 CFR 10. 	
<p>12. Proposed outlet(s) for public written dissemination of the results</p>	
<p>13. Signature of individual named in 10</p>	<p>14. Date signed</p>

Please use this number
when referring to this permit

DI Form 1991 (Rev Sept 2004)
OMB No. 1024-0037
Exp. Date (01/31/2008)

No.: AZ-000

United States Department of the Interior

PERMIT FOR ARCHAEOLOGICAL INVESTIGATIONS

To conduct archeological work on Department of the Interior lands and Indian lands under the authority of:

- The Archaeological Resources Protection Act of 1979 (16 U.S.C. 470aa-mm) and its regulations (43 CFR 7).
- The Antiquities Act of 1906 (P.L. 59-209; 34 Stat. 225, 16 U.S.C. 431-433) and its regulations (43 CFR 3).
- Supplemental regulations (25 CFR 262) pertaining to Indian lands.
- Bureau-specific statutory and/or regulatory authority: ___Sec. 302(b) of P.L. 94-579, October 21, 1976, 43 U.S.C. 1732

1. Permit issued to		2. Under application dated	
3. Address		4. Telephone number(s)	
		5. E-mail address(es)	
6. Name of Permit Administrator Telephone number(s): Email address(es):		7. Name of Principal Investigator(s) Telephone number(s): Email address(es):	
8. Name of Field Director(s) authorized to carry out field projects		Telephone number(s): Email address(es):	
9. Activity authorized			
10. On lands described as follows			
11. During the duration of the project		From	To
12. Name and address of the curatorial facility in which collections, records, data, photographs, and other documents resulting from work under this permit shall be deposited for permanent preservation on behalf of the United States Government.			
13. Permittee is required to observe the listed standard permit conditions and the special permit conditions attached to this permit.			
14. Signature and title of approving official: Deputy State Director, Resources Division			15. Date

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF LAND MANAGEMENT
ARIZONA STATE OFFICE

FIELDWORK AUTHORIZATION REQUEST

To Conduct Specific Cultural Resource Work Under the Authority of a Permit for Archaeological Investigations Issued by the Bureau of Land Management Pursuant to Sec. 302(b) of P.L. 94-579, October 21, 1976, 43 U.S.C. 1732 and Sec. 4 of P.L. 96-95, October 31, 1979, 16 U.S.C. 470cc

1. Permit Number and Date Issued	2. Name of Permittee
3. Mailing Address and Telephone Number	
4. Nature of Cultural Resource Work (If consultation work, identify client and project)	
5. Location of Work (Include map) a. Description of Public Lands Involved	b. Identification of Cultural Resource(s) Involved (if applicable)
6. Period During Which Work Will Be Conducted From _____ To _____	
7. Name of Individual(s) Responsible for Planning & Supervising Field Work & Approving Reports, Evaluations & Recommendations	
8. Signature of Permittee	9. Date

<ul style="list-style-type: none"> • The individual named in item 7 above shall be present during the conduct of field work authorized herein, or shall notify the authorized officer of the need for any extended absence, and shall make provision that the work will be carried out under supervision of equal quality, by an individual approved by the authorized officer. 	<ul style="list-style-type: none"> • All terms and conditions of the permit continue to apply; any special conditions attached hereto have the same force and effect as conditions of the permit. • Permittee shall immediately notify the authorized officer of any change in items 3 through 7 above.
Fieldwork Authorization Request approved by: _____	
Date _____	
(Signature of BLM Authorized Officer)	

Submit this request, by mail or in person, to the BLM Field Manager who administers the lands involved.

APPENDIX 2

ARIZONA BLM FIELD OFFICES

BUREAU OF LAND MANAGEMENT FIELD OFFICES

Arizona Strip District Office

Scott Florence, District Manager
BLM Arizona Strip District
345 E. Riverside Dr.
St. George, UT 84790
Telephone: (435) 688-3200; FAX: (435) 673-4654
Archaeologists: John Herron & David VanAlfen

Phoenix District Office

Teri Raml, District Manager
BLM Phoenix District
21605 N. 7th Avenue
Phoenix, AZ 85027
Telephone: (623) 580-5500; Fax: (623) 580-5580
Archaeologists: Connie Stone & Cheryl Blanchard

Kingman Field Office

Wayne King, Field Manager
BLM Kingman Field Office
2755 Mission Blvd.
Kingman, AZ 86401
Telephone: (928) 718-3700
Archaeologists: Craig Johnson & Jerica Richardson

Safford Field Office

Bill Brandau, Field Manager
BLM Safford Field Office
711 14th Avenue
Safford, AZ 85546
Telephone: (928) 348-4400; Fax: (928) 348-4450
Archaeologist: Daniel McGrew

Tucson Field Office

Patrick Madigan, Field Manager
BLM Tucson Field Office
12661 East Broadway
Tucson, AZ 85748
Telephone: (520) 258-7200; FAX: (520) 258-7238
Archaeologists: Max Witkind & Patricia Gibson

San Pedro Project Office

BLM San Pedro Project Office
1763 Paseo San Luis
Sierra Vista, AZ 85635-4611
Telephone: (520) 439-6400; FAX: (520) 439-6422
Archaeologist: Jane Childress

Havasu Field Office

Tim Smith, Field Manager
BLM Havasu Field Office
2610 Sweetwater Avenue
Lake Havasu City, AZ 86406
Telephone: (928) 505-1200; FAX: (928) 505-1208
Archaeologist: Sarah Murray

Yuma Field Office

Becky Heick, Field Manager
BLM Yuma Field Office
2555 E. Gila Ridge Rd.
Yuma, AZ 85365
Telephone: (928) 317-3200; FAX: (928) 317-3250
Archaeologist: Sandra Arnold

APPENDIX 3

STANDARD AND SPECIAL PERMIT CONDITIONS

15. Standard Permit Conditions

- a. This permit is subject to all applicable provisions of 43 CFR Part 3, 43 CFR 7, and 25 CFR 262, and applicable departmental and bureau policies and procedures, which are made a part hereof.
- b. The permittee and this permit are subject to all other Federal, State, and local laws and regulations applicable to the public lands and resources.
- c. This permit shall not be exclusive in character, and shall not affect the ability of the land managing bureau to use, lease or permit the use of lands subject to this permit for any purpose.
- d. This permit may not be assigned.
- e. This permit may be suspended or terminated for breach of any condition or for management purposes at the discretion of the approving official, upon written notice.
- f. This permit is issued for the term specified in 11 above.
- g. Permits issued for a duration of more than one year must be reviewed annually by the agency official and the permittee.
- h. The permittee shall obtain all other required permit(s) to conduct the specified project.
- i. Archeological project design, literature review, development of the regional historic context framework, site evaluation, and recommendations for subsequent investigations must be developed with direct involvement of an archeologist who meets the Secretary of the Interior's Standards for Archeology and Historic Preservation; fieldwork must be generally overseen by an individual who meets the Secretary of the Interior's Standards for Archeology and Historic Preservation.
- j. Permittee shall immediately request that the approving official (14. above) make a modification to accommodate any change in an essential condition of the permit, including individuals named and the nature, location, purpose, and time of authorized work, and shall without delay notify the approving official of any other changes affecting the permit or regarding information submitted as part of the application for the permit. Failure to do so may result in permit suspension or revocation.
- k. Permittee may request permit extension, in writing, at any time prior to expiration of the term of the permit, specifying a limited, definite amount of time required to complete permitted work.
- l. Any correspondence about this permit or work conducted under its authority must cite the permit number. Any publication of results of work conducted under the authority of this permit must cite the approving bureau and the permit number.
- m. Permittee shall submit a copy of any published journal article and any published or unpublished report, paper, and manuscript resulting from the permitted work (apart from those required in items q. and s., below), to the approving official and the appropriate official of the approved curatorial facility (item 12 above).
- n. Prior to beginning any fieldwork under the authority of this permit, the permittee, following the affected bureau's policies and procedures, shall contact the field office manager responsible for administering the lands involved to obtain further instructions.
- o. Permittee may request a review, in writing to the official concerned, of any disputed decision regarding inclusion of specific terms and conditions or the modification, suspension, or revocation of this permit, setting out reasons for believing that the decision should be reconsidered.
- p. Permittee shall not be released from requirements of this permit until all outstanding obligations have been satisfied, whether or not the term of the permit has expired. Permittee may be subject to civil penalties for violation of any term or condition of this permit.

15. Standard Permit Conditions (continued)

- q. Permittee shall submit a preliminary report to the approving official within a timeframe established by the approving official, which shall be no later than 6 weeks after the completion of any episode of fieldwork, setting out what was done, how it was done, by whom, specifically where, and with what results, including maps, GPS data, an approved site form for each newly recorded archeological site, and the permittee's professional recommendations, as results require. If other than 6 weeks, the timeframe shall be specified in Special Permit Condition p. Depending on the scope, duration, and nature of the work, the approving official may require progress reports, during or after the fieldwork period or both, and as specified in Special Permit Condition r.
- r. Permittee shall submit a clean, edited draft final report to the agency official for review to insure conformance with standards, guidelines, regulations, and all stipulations of the permit. The schedule for submitting the draft shall be determined by the agency official.
- s. Permittee shall submit a final report to the approving official not later than 180 days after completion of fieldwork. Where a fieldwork episode involved only minor work and/or minor findings, a final report may be submitted in place of the preliminary report. If the size or nature of fieldwork merits, the approving official may authorize a longer timeframe for the submission of the final report as specified in Special Permit Condition q.
- t. Two copies of the final report, a completed NTIS Report Documentation Page (SF-298), available at <http://www.ntis.gov/pdf/rdpform.pdf>, and a completed NADB-Reports Citation Form, available at http://www.cr.nps.gov/aad/tools/nadbform_update.doc, will be submitted to the office issuing the permit.
- u. The permittee agrees to keep the specific location of sensitive resources confidential. Sensitive resources include threatened species, endangered species, and rare species, archeological sites, caves, fossil sites, minerals, commercially valuable resources, and sacred ceremonial sites.
- v. Permittee shall deposit all artifacts, samples and collections, as applicable, and original or clear copies of all records, data, photographs, and other documents, resulting from work conducted under this permit, with the curatorial facility named in item 12, above, not later than 90 days after the date the final report is submitted to the approving official. Not later than 180 days after the final report is submitted, permittee shall provide the approving official with a catalog and evaluation of all materials deposited with the curatorial facility, including the facility's accession and/or catalog numbers.
- w. Permittee shall provide the approving official with a confirmation that museum collections described in v. above were deposited with the approved curatorial facility, signed by an authorized curatorial facility official, stating the date materials were deposited, and the type, number and condition of the collected museum objects deposited at the facility. For permits issued by the Bureau of Land Management's Arizona State Office, the permittee shall complete a "Confirmation of Museum Collections' Deposition Statement" for all museum collections curated and shall submit this statement to the Arizona State Director within 10 days after the collections are accepted by the curatorial facility.
- x. Permittee shall not publish, without the approving official's prior permission, any locational or other identifying archeological site information that could compromise the Government's protection and management of archeological sites.
- y. For excavations, permittee shall consult the OSHA excavation standards which are contained in 29 CFR §1926.650, §1926.651 and §1926.652. For questions regarding these standards contact the local area OSHA office, OSHA at 1-800-321-OSHA, or the OSHA website at <http://www.osha.gov>.
- z. Special permit conditions attached to this permit are made a part hereof.

16. Special Permit Conditions

- a. Permittee shall allow the approving official and bureau field officials, or their representatives, full access to the work area specified in this permit at any time the permittee is in the field, for purposes of examining the work area and any recovered materials and related records.
- b. Permittee shall cease work upon discovering any human remains and shall immediately notify the approving official or bureau field official. Work in the vicinity of the discovery may not resume until the authorized official has given permission.
- c. Permittee shall backfill all subsurface test exposures and excavation units as soon as possible after recording the results, and shall restore them as closely as reasonable to the original contour.
- d. Permittee shall not use mechanized equipment in designated, proposed, or potential wilderness areas unless authorized by the agency official or a designee in additional specific conditions associated with this permit.
- e. Permittee shall take precautions to protect livestock, wildlife, the public, or other users of the public lands from accidental injury in any excavation unit.
- f. Permittee shall not conduct any flint knapping or lithic replication experiments at any archeological site, aboriginal quarry source, or non-site location that might be mistaken for an archeological site as a result of such experiments.
- g. Permittee shall perform the fieldwork authorized in this permit in a way that does not impede or interfere with other legitimate uses of the public lands, except when the authorized officer specifically provides otherwise.
- h. Permittee shall restrict vehicular activity to existing roads and trails unless the authorized officer provides otherwise.
- i. Permittee shall keep disturbance to the minimum area consistent with the nature and purpose of the fieldwork.
- j. Permittee shall not cut or otherwise damage living trees unless the authorized officer gives permission.
- k. Permittee shall take precautions at all times to prevent wildfire. Permittee shall be held responsible for suppression costs for any fires on public lands caused by the permittee's negligence. Permittee may not burn debris without the authorized officer's specific permission.
- l. Permittee shall conduct all operations in such a manner as to prevent or minimize scarring and erosion of the land, pollution of the water resources, and damage to the watershed.
- m. Permittee shall not disturb resource management facilities within the permit area, such as fences, reservoirs, and other improvements, without the authorized officer's approval. Where disturbance is necessary, permittee shall return the facility to its prior condition, as determined by the authorized officer.
- n. Permittee shall remove temporary stakes and/or flagging, which the permittee has installed, upon completion of fieldwork.
- o. Permittee shall clean all camp and work areas before leaving the permit area. Permittee shall take precautions to prevent littering or pollution on public lands, waterways, and adjoining properties. Refuse shall be carried out and deposited in approved disposal areas.
- p. Permittee shall submit the preliminary report within _____ days/weeks of completion of any episode of fieldwork.
- q. Permittee shall submit the final report within _____ days/weeks/months after completion of fieldwork..
- r. Permittee shall submit progress reports every _____ months over the duration of the project.
- s. Permittee shall submit to the BLM Field Manager legible, complete Arizona State Museum Site Forms (including the BLM Evaluation and Access Record, Form AZ-8110-1), Isolated Cultural Materials records (Form AZ-8110-2), Cultural Resource Photograph Logs (Form AZ-8110-3) and Cultural Resource Project Records (Form AZ-8110-4) with required maps and attachments within the timeframe established under the fieldwork authorization. These records shall not be bound and shall be separate from the fieldwork reports.
- t. Reports must meet BLM standards as described in Arizona BLM Handbooks H-8110, Appendix 2 and H-8120, Appendix 14.
- u. Permittee shall ensure that cultural resource site record data resulting from work conducted under this permit is entered into the automated Arizona Cultural Resource Database (AZSITE) not later than 180 days after completion of fieldwork. All costs of entering cultural resource site data into AZSITE shall be borne by the permittee. The permittee shall provide to Arizona State Museum one copy of each final report resulting from work under this permit to accompany the site record data entered into AZSITE.
- v. If the permittee suspects on the basis of odor, soil staining, or the presence of abandoned containers that an area may be contaminated with environmentally hazardous materials, the permittee shall stay clear of that area to avoid potentially harmful exposure. Within one day of the discovery, the permittee shall report the location and nature of the suspected contamination to the BLM Field Manager having jurisdiction over the lands involved.

Bureau of Land Management
Confirmation of Museum Collections' Deposition Statement

Instructions

1. A "Confirmation of Museum Collections' Deposition Statement" must be completed for all museum collection originating from BLM administered lands which are being deposited at a curation facility. An existing curation facility collections receiving form containing the same information may be substituted.
2. All information requested on the form must be completed. Permittees must provide a list of the objects to be deposited attached to this, or a substitute curation facility form. The list must minimally contain information on the type (i.e., archaeological, historic, paleontological), number and condition of objects. After this form has been signed by the curation facility official, the original with the list of objects is to be mailed to the BLM State Archaeologist.
3. A curation facility official must acknowledge receipt of the collection with a signature. Before signing, the curation facility official should compare the list of objects attached here to the actual objects being deposited.

Permittee Information

Permit number: _____
Permittee name: _____
(Please print and sign name)

Address: _____

Telephone Number: _____
Project Name and Number: _____

Curation Facility Information

Curation Facility Official: _____ (name & title printed)
Curation Facility Name: _____
Curation Facility Address: _____

Curation Facility Contact Name: _____
Curation Facility Phone Number: _____

Receipt of Collection Statement

I, _____ (Curation Facility Official Signature) certify that the
_____ (name of facility) has on this date, _____, accepted
the museum collections or museum objects described on the attached _____ (number of pages) pages
from _____ (name of individual transporting the collection).