

ASM POLICY ON QUALIFICATIONS OF PRINCIPAL INVESTIGATORS

Arizona Board of Regents Policy Manual, Rules Implementing A.R.S. §15-1631 and 41-841 et seq., The Arizona Antiquities Act, Policy Number 8-202(C).

An individual listed as a principal investigator (PI) on an Arizona Antiquities Act (AAA) permit is defined as the individual responsible for ensuring that all statutory requirements as well as those stipulated in ABOR rules and ASM policies are met.

An individual listed as a PI on an AAA permit application is reviewed, in part, based on “the professional qualifications of the principal investigator, including a demonstrated competence in managing and administering research projects.”

- 1) “Managing and administering research projects” refers to controlling and accomplishing archaeological research such that the prospective PI has made professional judgments about the identification, evaluation, documentation, and treatment of archaeological sites.
- 2) The types of mandated compliance or academic archaeological research that demonstrate “competence in managing and administering research projects” are:
 - a) surveys with a cumulative extent of 640 acres; and
 - b) mandated data recovery or academic-research-driven excavations that consisted of systematic excavations of and reporting on archaeological deposits.
- 3) The number and kinds of archaeological research documents that fulfill this requirement are:
 - a) one approved treatment plan or federal grant proposal, with a research design and work plan, written or edited primarily or solely by the prospective PI; and
 - b) two approved archaeological research reports written or edited primarily or solely by the prospective PI. At least one of these must be an excavation report. The prospective PI will have administered and supervised both research projects, including supervision of all the project directors in the laboratory and in the field; or
 - c) documentation deemed appropriate by ASM.
- 4) On a case-by-case basis, dissertations or other work conducted as a student will be considered to partially fulfill No. 2 and No. 3, above. The work must have been archaeological field research, must have included the collection and analysis of information, with presentation of results (in a reviewed and approved format), and must have been fully managed and administered by the student.
- 5) ASM may request other, supporting documentation, including copies of consultation letters, as well as comments and acceptance letters from state or federal agencies involved in the review of project documents. These agencies may include state historic preservation offices and federal and state leads with jurisdiction over a project(s).
- 6) Unless previously determined to meet the qualifications required of a project director, the prospective PI also must demonstrate meeting the qualifications required of a project director.

Draft: 18 September 2014

Approved: 26 November 2014

Revised: --