November 25, 1968   *cc: R.Q.*
C. Erickson
M. Madow
M. Nelson,
Mr. Nether
Mr. Knack

TO: Cooperative Research Committee
       Institution Behavioral Scientists

FROM: R. Joseph Lucero
       Research Coordinator

SUBJECT: Your request for information on presently existing sources of assistance to researchers.

I. Clarification of research clearance procedures

The Mental Health Medical Policy Committee, which is responsible for clearance of institutional research projects, looks for three basic elements in projects submitted for its approval: relevance to the research program, consistency in research, and humaneness in treatment of patients. Dr. David Vail suggests that research which is undertaken should be both relevant and weighty. In identifying priorities, the research office looks more to the universities to carry out weighty research, and to the institutions for research that is relevant to day-to-day operations.

Five types of research must be cleared through the Medical Policy Committee: (1) all research directly involving patients; (2) research which involves a goodly amount of time that could be spent with patients; (3) all research in need of money from funds appropriated by the state legislature to Central Office·Research; (4) all research for which money is requested from sources other than legislative appropriations (federal monies, private funds, etc.); (5) research that is not institutional in nature, for whatever purpose.

The clearance procedures are outlined below:

1. The research coordinator sends clearance forms to the applicant upon request. Upon receipt of these forms, the applicant makes up seven copies of both the Application For Research Grant Or Clearance form and the Proposed Budget form. These forms are then sent back to the research coordinator with seven copies of both the project proposal and the research design.
2. The research coordinator reads the proposal and checks the research design, suggesting changes to be made, if any, before presentation to the Mental Health Medical Policy Committee.
3. If necessary, the forms are returned to the applicant, who resubmits them to the research coordinator after the desired changes have been made.
4. A set of the forms is sent to each member of the Research Subcommittee of the Medical Policy Committee with attached cards which allow a response of "satisfactory", "unsatisfactory", or "let's talk about it". The members of this subcommittee are Dr. D.F. Anderson, Dr. Amedeo Marrazzi, Dr. David J. Vail, and R. Joseph Lucero.

5. These cards are then returned to the research coordinator. If necessary, the subcommittee members work out differences of opinion.
6. A. If the proposal is rejected, a letter is sent to the applicant with the reasons for rejection stated and suggestions for improvement made if this is considered desirable. The process ends here unless the proposal is resubmitted.

   B. If the proposal is approved by the subcommittee, a set of forms is sent to each remaining member of the Medical Policy Committee with cards attached. At the present time, these other members are Dr. Robert Goldish, Dr. Lloyd E. Harris, and Dr. Glenn Lewis.
7. These cards are also returned to the research coordinator (approval is usually given once the Research Subcommittee has approved the project).
8. A. If found unsatisfactory, the applicant is notified to this effect.

   B. If approved, the applicant is notified that he can proceed with the project.
9. The Medical Policy Committee takes official notice of the approval at its next meeting.
10. Notice of the official approval is sent to the applicant.

When Funds Are Involved

1. The research coordinator and the director of the Medical Services Division discuss funding and make a recommendation to the Medical Policy Committee, taking into account the availability of funds, along with a recommendation for approval of the project.
2. If funds are not available but the project is considered desirable, approval of the project with no funds granted is recommended.
3. The Medical Policy Committee makes the final decision concerning funding.

Therapy Clearance

1. Seven copies must be submitted by the applicant.
2. Copies are immediately mailed to Medical Policy Committee members with cards identical to those for research clearance.
3. The cards are returned to the research coordinator.
4. A folder is prepared for the director of the Medical Services Division containing (a) the proposal, and (b) indication of which members approved and which did not.
5. The Medical Policy Committee takes final action at its next meeting.
6. The applicant is notified of either approval or rejection of the project.

II. <u>How the Medical Services Research Section can help.</u>

R. Joseph Lucero, Research Coordinator, is available for consultation on all aspects of research. Also, limited funding is available for the services of special consultants under contract to, and available through, the Research Section. In very special circumstances, these persons can be seen privately or at the institutions. The research coordinator should be notified each time they are used.

The consultants who regularly assist the Research Section are:

> William Schofield, Ph.D.
> Department of Psychiatry and Neurology
> Division of Clinical Psychology
> University of Minnesota
> Minneapolis, Minnesota 55455
> Telephone: 339-7311 (general
> switchboard number - ask for Clinical
> Psychology)

Dr. Schofield is available for consultation on objective behavioral and personal measurement, and design of psychological experiments.

> James Boen, Ph.D.
> Division of Biometry
> School of Public Health
> 12th Floor, Mayo
> University Hospitals
> Minneapolis, Minnesota 55455
> Telephone: 373-8046

Dr. Boen is available for consultation on mathematical design and computer-based complex mathematical analysis of data. Limited funding is available for other computer services.

> Leonard T. Fielding, M.D.
> Suite 309, Oakdale Medical Center
> 3366 Oakdale Avenue
> Minneapolis, Minnesota 55422
> Telephone: 588-0796

Dr. Fielding is available as a consultant on behavior modification techniques and design of operant conditioning experiments.

From time to time other special consultants are hired by the Research Office. If one of these consultants is needed for a particular purpose at a particular time, contact the research coordinator. If funds are available, he will be hired to assist you.

III. Bibliographic Services.

William McCarthy, head of DPW library services, can be contacted
for assistance in this area (221-2187). The possibility of a manual
describing these services and containing helpful hints on research
methodology is a topic under discussion in the Out-House Subcommittee
of the Committee on Cooperative Research.

IV. Miscellaneous

Money is available from time to time, depending on budgetary re-
strictions, for reprints, calculators, and other research equipment.

V. A quarterly psychological research journal will soon be established.
This publication will consist of various sections dealing with de-
velopments in cooperative research, reports of recently completed
studies and of those in progress, announcements of new projects,
special articles relevant to research, e.g., research programs in
other states, new resources available to researchers, etc., and
announcements relevant to research and research personnel. Those
persons with suggestions concerning changes in, additions to, or de-
letions from, this format are invited to submit these to Sandra Bisgaard,
Information Writer, Research Section, Medical Services Division.

VI. State-wide committees on research have been set up and help of various
types might be found from members of these committees (e.g., the
Committee on Cooperative Research and its subcommittees, and In-
stitutional Behavioral Scientists, which are both chaired by Mr. Lucero).

VII. The concept of research is constantly being redefined and new dir-
ections are continually being taken. Persons interested in research
will be kept posted on these changes as much as possible.

RJL/bk
CC to: David J. Vail, M.D.
        John Moede
        Terry Sarazin
        Dr. Arthur Funke
        Dr. James Boen
        Dr. Leonard Fielding
        Dr. William Schofield
        Medical Services Division Staff
        Institution Program Coordinators
        Department Heads
        Unit Directors
        Area Program Directors
        Mental Health Medical Policy Committee
        Medical Directors
        Administrators