

76-1

February 8, 1960

[Redacted]

e

Dear

[Redacted]

e

Thank you very much for your Final Report and your statement of expenditures. They are both very much appreciated.

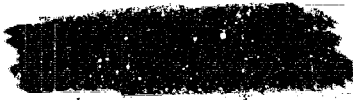
We are very pleased with the results of your work and are looking forward to seeing the dissertation.

Sincerely,

[Redacted]

Assistant Treasurer

e



February 3, 1960

FINAL REPORT OF WORK PERFORMED UNDER FELLOWSHIP GRANT FROM



B

Work Performed

Since submittal of the Semi-Annual Report on this work, a dissertation proposal was completed and later revised in consultation with advisors of the [redacted] B

[redacted] The proposal was accepted in July 1958, after an oral hearing. A copy of the revised dissertation proposal, [redacted] C has previously been submitted to the [redacted] B

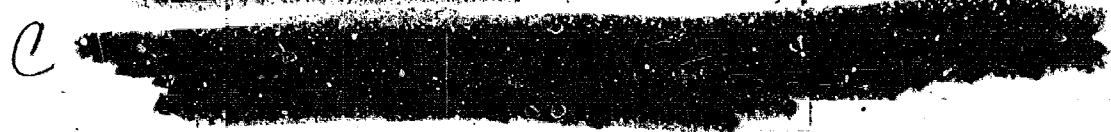
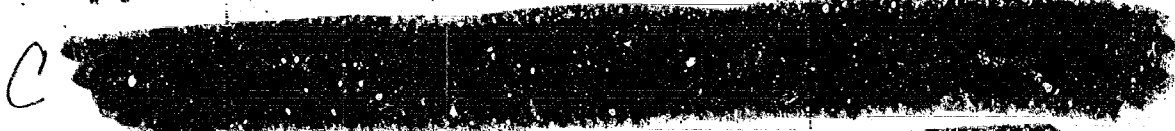
[redacted] A first draft of the dissertation itself is partially completed. A precise schedule for completing it cannot be given at present because of details to be worked out with a new member of the committee. It is expected that it will be completed in time for an award of the PhD degree during the current year.

Funds provided by the grant have been completely expended. (See "Statement of Expenditures" enclosed.) The grant was used for maintenance of self and family during the period July 1, 1957 to June 1, 1958 and July 1, 1959 to October 1, 1959, less a total of 44 days during these periods on which days the grantee was otherwise employed. Interruption of work on the grant for other employment was endorsed by the [redacted] according B

to a letter from the Executive Director dated June 30, 1958.

B Many delays were experienced in making arrangements with the [redacted] for a dissertation committee and in securing approval for a proposal. The major portion of the work performed under the grant was done in accordance with a proposal which was unacceptable to the dissertation committee that was finally constituted.

To keep the work that could not be used in the dissertation from being wasted effort, the grantee has prepared several papers for publication based in whole or part on this research. These papers are as follows:



C

[REDACTED]

Reports on this research were also presented in papers at the following scientific meetings: Annual Meetings of the

B

[REDACTED]

Material from this research has also been incorporated, or is being incorporated in reports of related research by the grantees, as follows:

C

[REDACTED]

C

[REDACTED]

C

[REDACTED]

Attachment: Final Report of Expenditures

76-2

[REDACTED]

February 3, 1960

FINAL REPORT OF EXPENDITURES UNDER FELLOWSHIP GRANT FROM [REDACTED] July 1, 1957--December 30, 1959

B

B

Moving household good and family	\$1,000.00
Travel for consultation with advisors at [REDACTED] and with grantor	426.86
Books	16.88
Stationary, supplies and duplicating	53.62
Express charges for transfer of data and transfer cases	17.00
Secretarial help and research assistance	120.00
Postage	8.50
Telephone calls	19.22
Reserved for final typing of dissertation and fees	150.00
Living costs, self and family	8,187.92
TOTAL	\$10,000.00

[REDACTED]

I have examined and approved the submitted expenditures.

[REDACTED]

A

Chlor
TSS/Chemical Division
Date: 9 March 1960

76-3

25 January 1960

MEMORANDUM FOR: THE RECORD

SUBJECT : Action on MKULTRA Audit Exceptions - TSS/CD
(MKULTRA 76)

B As of this date the [redacted] *B*
[redacted] has contacted [redacted] and an additional *C*
request for his accounting has been made. He gave all assurance
that it will be forthcoming.

[redacted] *A*
Chief
TSS/Chemical Division

[redacted]

76-4

168

September 17, 1959

[Redacted]

Dear [Redacted]

Have been checking through our project files in order to determine if we have received accountings from each of our grantees for our auditors.

I do not find one from you. Perhaps, you have not finished using the funds? If you have and if you could send me a summary statement of how the funds were expended, it would be of great help to me.

Many thanks. Hope all goes well with you and yours.

Sincerely,

[Redacted]
Assistant Treasurer

76-5
P

November 19, 1957

[Redacted]
[Redacted]
[Redacted]

Dear [Redacted]

Enclosed is our check for the 3rd quarterly payment on your grant. It was more convenient for us to make a quarterly payment than reduce the amount.

Thank you for the additional material. I am still having a great deal of difficulty bending myself to productive effort on the research approach; the material will be helpful.

I was glad to hear that the cyst was removed, and that you are recovering. I can imagine how uncomfortable you were.

Best regards.

Sincerely,

[Redacted Signature]
Executive Secretary

[Redacted]

Enc: 1

76-6
156 (1075)

RECEIPT

Receipt is hereby acknowledged of the following check:

Cashier's Check No. 209-303779, dated September 16, 1957, *E*
drawn on [REDACTED] in the amount
of \$10,000.00.

The above check is made payable to *B*,
B [REDACTED]

C [REDACTED]
Date Sept 30 1957

76-7
76

August 28, 1957

[Redacted] C

Dear [Redacted] C

B Attached is our check in payment of two quarters of the grant which the [Redacted] has made to you. The following conditions apply in the utilization of these funds:

1. A terminal report is to be submitted after the completion of the phase of research covered by this grant.
2. A terminal accounting of funds expended in obtaining, processing and reporting data shall be provided for our records.
3. Any technical reports or papers which grow out of the study supported under this grant shall contain the following notice: "This study was supported in part by a grant from the [Redacted]" B

B The Board of Directors and the scientific advisors to the [Redacted] join me in wishing you well in this endeavor. Please call upon us for any assistance that we may be able to provide.

Sincerely,

[Redacted] C
Executive Secretary and Treasurer

[Redacted] C

Enc.


76-8

NO. 233

8-2502-10-01

ALLOTMENT

76

DATE	REMARKS AND REFERENCES	OBLIGATIONS INCURRED	OBLIGATIONS LIQUIDATED	CUMULATIVE EXPEND.
5/15/76	Self-pact 76	10,000.00		10,000.00
15/1/76	Invoice # 1 Sub 76		10,000.00	—
			A	

2 August 1957

MEMORANDUM FOR: CHIEF, FINANCE DIVISION

VIA : TSS/Budget Officer

SUBJECT : MKULTRA Subproject 76, Invoice #1
Allotment S-2502-10-001

1. Invoice No. 1 for the above subproject is attached.
Payment should be made as follows:

E Cashier's check in the amount of \$10,000.00 drawn
on a [redacted] payable to the [redacted] *B*

2. The check should be forwarded to Chief, TSS/Chemical
Division, through TSS/Budget Officer, no later than Friday, 16 August 1957.

3. This is a final invoice. A total of \$10,000.00 was
obligated under this subproject during FY 58. However, since it is
anticipated that additional funds will be obligated for this project, the
files should not be closed.

[redacted] *A*
Acting Chief
TSS/Chemical Division

Attachments:
Invoice and Certifications

Distribution:

- Orig & 2 - Addresses
- 1 - Comptroller
- 1 - TSS/FASB
- 2 - TSS/CD

E
309.303229

10,000⁰⁰

H/C
[redacted]

1500 *A*

76-10

2 August 1957

MEMORANDUM FOR: CHIEF, FINANCE DIVISION

VIA : TSS/Budget Officer

SUBJECT : MKULTRA Subproject 76, Invoice #1
Allotment 8-2502-10-001

1. Invoice No. 1 for the above subproject is attached.
Payment should be made as follows:

E Cashier's check in the amount of \$10,000.00 drawn
on a [redacted] payable to the [redacted] B

2. The check should be forwarded to Chief, TSS/Chemical
Division, through TSS/Budget Officer, no later than Friday, 16 August 1957.

3. This is a final invoice. A total of \$10,000.00 was
obligated under this subproject during FY 58. However, since it is
anticipated that additional funds will be obligated for this project, the
files should not be closed.

[redacted] A
Acting Chief
TSS/Chemical Division

Attachments:
Invoice and Certifications

Distribution:
Orig & 2 - Addresses
1 - Comptroller

TSS/CD: [redacted] (2 August 1957)

1 - TSS/FASB
2 - TSS/CD

[redacted]

INVOICE

76-76

For services

\$10,000.00

CERTIFICATIONS

(1) It is hereby certified that this is Invoice #1 applying to Subproject #76 of MKULTRA, that performance has been satisfactory, that services have been accomplished in accordance with mutual agreements, that a detailed agenda of the payments and receipts is on file in TSS/CD, that this bill is just and correct and that payment thereof has not yet been made.

Acting Chief, TSS/Chemical Division

Date:

(2) It is hereby certified that this invoice applies to Subproject 76 of MKULTRA which was duly approved, and that the project has been carried out in accordance with the memorandum dated 13 April 1953 from the DCI to the DD/A, and the extension of this authority in subsequent memoranda.

Research Director

Date:


SECRET

76-11

29 July 1957

MEMORANDUM FOR: COMPTROLLER
 ATTENTION : Finance Division
 SUBJECT : MKULTRA, Subproject 76

Under the authority granted in the Memorandum dated 13 April 1953 from the DCI to the DD/A, and the extension of this authority in subsequent memoranda, Subproject 76 has been approved and \$10,000.00 of the over-all Project MKULTRA funds have been obligated to cover the subproject's expenses and should be charged to Allotment 8-2502-10-001.


 Acting Chief
 TSS/Chemical Division

APPROVED FOR OBLIGATION
 OF FUNDS:

Research Director

Date:

Distribution:

Orig & 2 - Addressee

- 1 - TSS/OC
- 1 - TSS/FASB
- 1 - TSS/SRB
- 2 - TSS/CD

TSS/CD:  (29 July 57)

A



76-12

DRAFT
29 July 1957

A

MEMORANDUM FOR: THE RECORD

SUBJECT : MKULTRA Subproject No. 76

1. The purpose of Subproject No. 76 will be to support the research begun by [redacted] has worked for five years for the [redacted]. His last position was [redacted] [redacted] has been active in his field and has written many valuable publications. A list of his publications are appended herewith.

2. [redacted] has undertaken a study of how individuals and groups who are subject to apparently all-powerful, coercive authority successfully defy this authority in pursuit of their own goals. It is the intention of [redacted] to study the method which prisoners use to defy authority while under the extreme restrictions of a prison environment. This type of study is a natural extension of our previous work on Communist Prison Methods and provides the necessary follow up for the development of systems for resisting interrogation in imprisonment.

3. When this project was originally planned it was believed that it would serve a useful purpose under Subproject No. 74. [redacted] was known to two members of the [redacted] and they strongly supported his further research efforts. In addition [redacted] as a [redacted] represents a discipline that, to date, has not been adequately covered in the [redacted] activities. However, as the project emerged, it became apparent that it had definite Agency relevance and would be best funded as a special project. The project was circularized to the members of the Board of Directors and approved in principle by [redacted]. [redacted] deferred judgment on the basis that he did not feel competent to evaluate this particular project but indicated that he would accept the opinions of the other members of the Board. [redacted] who previously had no contact with [redacted] indicated the greatest support for this project. He has indicated his willingness to give professional consultive advice to [redacted] and planning conferences have already been held with him. [redacted] evaluation of the project is forwarded herewith.

[redacted]

76-12

4. It is proposed that [redacted] will work ^c independently in the [redacted] and [redacted] area. Initially he ^c will take advantage of the research facilities of the [redacted] ^B and the [redacted]. The ^B [redacted] has indicated their approval of the study and a committee has been formed to furnish professional guidance. Thus, monitoring of the project will come from three sources: (1) [redacted] ^B (2) [redacted] ^B and (3) TSS/CD personnel. The [redacted] ^B will not be witting of the true source of the Grant. Funding of the project will be handled on a quarterly basis with payments made directly by the [redacted] ^B to [redacted] ^c will provide a detailed accounting of monies advanced him to the [redacted]. This procedure is in accord-^B ^B with the By laws of the [redacted] and will be in the nature of a fellowship grant. Equipment purchased will become the property of ^B the [redacted] although it is anticipated that equipment costs will be practically negligible in this project.

5. The total cost will be \$10,000.00 for a period of one year beginning 1 July 1957 and will not be renewable. Charges will be made against Allotment 8-2502-10-001

[redacted] ^A
 Chief, Branch III
 TSS/Chemical Division

APPROVED FOR OBLIGATION
 OF FUNDS:

Approved:

[redacted] ^A
 Research Director

[redacted] ^A
 Acting Chief, TSS/Chemical Division

Date: July 31 - 1957

Attached:
 As stated above

Distribution:
 Original only

[redacted]

76-14

July 26, 1957

Dear [REDACTED] C

C Attached is the summary pertaining to a proposal by [REDACTED] You will note that the majority of our Directors have approved.

It is recommended that this project be initiated as of July 1st and funded in the amount of \$10,000.

Sincerely,

C [REDACTED]

76-15

THESIS PROPOSAL
A STUDY ON ANTI-AUTHORITARIAN BEHAVIOR

The study will investigate some of the characteristics of the social situation which determine whether or not anti-authoritarian sentiments are expressed in anti-authoritarian acts and which influence the forms such activity may take.

My effort during the year will be to carry out a research and to further my educational preparation. This research and education will be relevant to my interest in the general problem of how individuals and groups who are subject to apparently all-powerful, coercive authority successfully defy this authority in pursuit of their own goals.

My interest in this topic, and my formulation of it as a general topic in the above terms, stems from what I conceive as a common thread running through much of the research I have done. For the past three years, most of my time has been devoted to studying the implications for the [redacted] of the capture of [redacted] by the [redacted] B
Communists. This formulation was of obvious relevance to many of the central problems of the [redacted] study. B

During the entire five year period I spent in [redacted] research, B
I was concerned in planning and carrying out research which frequently involved the study of similar relationships. Our research was to B
support [redacted] and special operations. B
Consequently, it was oriented frequently toward the problems of
negative populations. I began an [redacted] research in April 1953 B

B/C [redacted]
I planned to study instances in which individuals and groups, seemingly powerless in terms of numbers, weapons, organizations and legitimacy,

successfully resisted a seemingly all-powerful authority (e.g. prison riots, hunger strikes, general strikes, work slow-downs, boycotts, terrorism, etc.). The objective was to determine whether there were principles which could be stated at some high level of generality which would be true of all, or of broad classes, of such events. The practical aim was to provide potential advice on how [redacted] might be used to support and control them. I had completed a field study of a prison riot before stating this project in formal terms. As the initial focus of the project itself, the general strike was chosen as a topic. A preliminary review led me to the conclusion that the general strike was one of the most likely forms in which East European satellite discontent might take overt revolutionary form. The occurrence of general strikes also appeared to me to be a situation in which [redacted] had a potential role as a controlling or supporting force. Priority which was given to the [redacted] problem required me to suspend work on this study of the general strike three months after I began to review literature on this topic. The experience was sufficient to convince me that it would be possible to derive principles of considerable power relating both to the generation and the outcome of defiance of coercive authority.

This sketch of the background of my interest identifies it most broadly. I propose that my research during the year be on a limited and highly specific empirical problem in this general area, rather than aspiring toward a treatise. I wish to complete a paper which will be acceptable as a dissertation for the Ph. D. in

B

_____ since I have completed all other requirements there for this degree. I would propose to locate myself for the period at such place as appears to me to hold forth greatest promise as a source of data for a well-defined problem in this general field and of professional guidance and assistance. I would seek to remedy those deficiencies in my educational background in which the institution at which I locate is particularly strong.

46-16

B/c

[REDACTED]

April 17, 1957

[REDACTED]

B/c

Dear [REDACTED] c

I vote definitely in favor of a grant of \$10,000 to [REDACTED] from the [REDACTED] to assist him in studying how individuals and groups who are subject to apparently all-powerful, coercive authority successfully defy this authority in pursuit of their own goals. B

It is sensible of him to plan to do his investigative work in a fashion and under auspices which will get him a Ph.D. degree. I trust, however, that in doing so he will successfully pursue his own goals with a high degree of intellectual integrity and independence of the "apparently all-powerful, coercive authority" of the degree-granting institution. By this I intend no disparagement of the institution of his choice.--I merely mean to indicate that the grant is to him for his study, not dependent upon conforming to degree requirements.

I see reason to hope that his approach and the publication of his results (and the subsequent academic scrutiny of his study) will help to establish a more clearly action-oriented conception of the concept of "attitude," which has been too much "paper-and-pencil" oriented in the literature of sociology and social psychology.

One aspect of his basic problem, which seems to me of the greatest practical importance, as well as the deepest theoretical significance, may be stated: How does one establish and maintain morale--an integrating sense of shared commitment to a highly valued cause--when the others (those with whom one shares the commitment) are "imagined" persons, remote, or in indirect contact, rather than physically present, in direct contact?

My daily work presents to me patients (schizophrenic patients) some of whom appear to me to be out of rapport with those in authority, yet seeking to maintain some sense of morale through awkward hallucinatory and delusional imaginings of comradeship with idealized figures. Schizophrenic patients do not develop very robust or effective integration in such a shared commitment. It is likely to be silly, sentimental and stubborn. The phenomenon

① [redacted] page 2

does however seem to present somewhat the same question that I mentioned in the preceding paragraph, which I take to be a crucial one in [redacted] proposal.

Sincerely yours,

[redacted signature]

76-17

Tuesday

In sending [redacted] proposal to the directors I removed his budget because:

a) few foundations go above \$10,000. on individual grants

b) [redacted] & I both felt it would be viewed as a boondoggle for one of my friends.

c) [redacted] felt [redacted] should make some concessions since he was furthering his status & education,

d) Other arrangements can likely be made for some costs such as data processing, secretarial help, travel

I suggested to the Board an amount of 10M and referred it for their comments.

Do you feel there's enough focus to this problem to justify its handling as a "project" rather than a "grant" - that might make a difference in its handling.

I am sympathetic to [redacted] desire to maintain his standard of living - which will

continued

In accordance with the provisions of the Internal Revenue Code, the following information is being furnished:

Retirement annuity payments	89,540.00
Estimated of moving family and moving or storing household goods	800.00
Research expenses (chemical and drug processing)	1,000.00
Travel or conference	500.00
Academic fees	1,000.00
Total required	12,840.00

of the amount of the total required... (faint handwritten notes)

76-18
File
JWS

[REDACTED]

B

April 8, 1957

MEMORANDUM TO: ALL THE DIRECTORS

FROM: [REDACTED] C

Subject: Project Proposal [REDACTED] C

Attached is a proposal from [REDACTED] who has been C
concerned for recent months with the [REDACTED] Problem. He has B
conducted as well as monitored research in this area for the [REDACTED] B

His organization, the [REDACTED] is B
being dissolved in a current re-organization of [REDACTED] research. B
C [REDACTED] and [REDACTED] are familiar with Mr. [REDACTED] accomplishments.
C [REDACTED] has suggested that [REDACTED] is a prime example of the C
young scientist with ideas and initiative who constitute the best of
America's hope for innovation. I heartily agree although my judgment
may be prejudiced by having worked with [REDACTED] for three years C
in the [REDACTED] B

The proposal would not only explore a rather new area in inter-
cultural, socio-political studies, but would enable [REDACTED] to C
qualify for his Ph. D. degree. The proposal is recommended to you
for your comments. Do you agree with me that this proposal could
constitute one of the small grants to be made during 1957.

[REDACTED] C
Executive Secretary

76-18

TENTATIVE PROPOSAL
A STUDY OF ANTI-AUTHORITARIAN BEHAVIOR

The study will investigate some of the characteristics of the social situation which determine whether or not anti-authoritarian sentiments are expressed in anti-authoritarian acts and which influence the forms such activity may take.

My effort during the year will be to carry out a research and to further my educational preparation. This research and education will be relevant to my interest in the general problem of how individuals and groups who are subject to apparently all-powerful, coercive authority successfully defy this authority in pursuit of their own goals.

My interest in this topic, and my formulation of it as a general topic in the above terms, stems from what I conceive as a common thread running through much of the research I have done. For the past three years, most of my time has been devoted to studying the implications for the [redacted] of the capture of [redacted] by the Communists. This formulation was of obvious relevance to many of the central problems of the [redacted] study.

During the entire five year period I spent in [redacted] research, I was concerned in planning and carrying out research which frequently involved the study of similar relationships. Our research was to support [redacted] and special operations. Consequently, it was oriented frequently toward the problems of captive populations. I began an [redacted] research in April 1953

B/c

[redacted]
I planned to study instances in which individuals and groups, seemingly powerless in terms of numbers, weapons, organizations and legitimacy,

successfully resisted a seemingly all-powerful authority (e.g. prison riots, hunger strikes, general strikes, work slow-downs, boycotts, terrorism, etc.). The objective was to determine whether there were principles which could be stated at some high level of generality which would be true of all, or of broad classes, of such events. The practical aim was to provide potential advice on how [redacted] might be used to support and control them. I had completed a field study of a prison riot before stating this project in formal terms. As the initial focus of the project itself, the general strike was chosen as a topic. A preliminary review led me to the conclusion that the general strike was one of the most likely forms in which East European satellite discontent might take overt revolutionary form. The occurrence of general strikes also appeared to me to be a situation in which [redacted] had a potential role as a controlling or supporting force. Priority which was given to the [redacted] problem required me to suspend work on this study of the general strike three months after I began to review literature on this topic. The experience was sufficient to convince me that it would be possible to derive principles of considerable power relating both to the generation and the outcome of defiance of coercive authority.

This sketch of the background of my interest identifies it most broadly. I propose that my research during the year be on a limited and highly specific empirical problem in this general area, rather than aspiring toward a treatise. I wish to complete a paper which will be acceptable as a dissertation for the Ph. D. in

B [REDACTED] since I have completed all other requirements there for this degree. I would propose to locate myself for the period at such place as appears to me to hold forth greatest promise as a source of data for a well-defined problem in this general field and of professional guidance and assistance. I would seek to remedy those deficiencies in my educational background in which the institution at which I locate is particularly strong.

BUDGET

Stipend (Continuation of present salary (\$9,000) plus retirement annuity payments)	\$9,540.00
Estimate of moving family and moving or storing household goods	800.00
Research expenditures (clerical and data processing)	1,000.00
Travel for consultation	500.00
Academic fees	<u>1,000.00</u>
Total Required	<u>\$ 12,840.00</u>