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108-1

INVOICE CHECK LIST

NSRLTRA Subproject 138

At Date of Original Authorization	Period Covered	Time Extended To	Allowment Number	Amount of Obligation
2 Feb. 1960	1 yr		DSAS-169- ⁴⁹⁰²	\$4,600.00

Additional Authorizations	Period Covered	Time Extended To	Allowment Number	Amount of Obligation
# 2	2 Feb 61	2 Feb 62	DSAS-169-3402	\$3500.00

Invoice Number	Date	Amount	Balance
#1	5.11.60	4,600.00	
#2	18 Feb 62	3,500.00	0
REMARKS:			

108-2

Purpose: To study [REDACTED] Character (MKULTRA 108).

Initiated: February 1960. A second year of study was approved in April 1961.

Contractor: Dr. [REDACTED] as a grantee of the [REDACTED] B

Cost: \$3,500.00 (Previous year's grant was \$4,600.00).

Status: Ongoing. Believed to be on schedule.

[REDACTED]

108-3

DRAFT/
11 April 1961

MEMORANDUM FOR: THE RECORD

SUBJECT: MKULTRA, Subproject No. 108, Continuation

C 1. The purpose of this project is to continue the research of Dr. [redacted] in [redacted]. Dr. [redacted] a former colleague of Dr. [redacted], has continued to be of great assistance to Dr. [redacted] with Project [redacted]. It was at the suggestion of Dr. [redacted] that Dr. [redacted] initiated his proposal to [redacted].

C 2. Dr. [redacted]'s work in studying certain characteristics of character continues to be of definite interest to TSD/RB. Dr. [redacted]'s work is progressing satisfactorily.

B 3. Funding and monitoring of this project will continue to be handled by [redacted]. Accounting for funds expended shall conform to procedures established for [redacted].

4. The total cost of this project for a period of one year is estimated not to exceed \$3500. Charges should be made against allotment 1125-1390-3902.

C 5. The close working relationship which has been established between Dr. [redacted] and Dr. [redacted] will make it possible to exploit the findings of this project without revealing Agency interest.

[redacted]
Chief
TSD/Research Branch

APPROVED FOR OBLIGATION OF FUNDS:

[redacted] A
Research Director

Date: _____

Distribution:
Original only

[redacted]

108-5

DATE: 11 April 1961

MEMORANDUM FOR : COMPTROLLER
ATTENTION : Finance Division
SUBJECT : MKULTRA, Subproject 103, Authorization No. 2

Under the authority granted in the memorandum dated 13 April 1958 from the DCI to the DD/A and the extension of this authority in subsequent memoranda, Subproject 103 was previously approved. Under the same authority an additional sum of \$3500.00 has been authorized to cover the subprojects expenses, to be charged against cost center 1125-1330-3902

Chief
TSD/Research Branch

APPROVED FOR OBLIGATION OF FUNDS:

~~_____~~
A

Date: 12 APR 1961

- Distribution:
Orig. & 2 - Addressee
1 - TSD/OC
✓ 1 - TSD/FASB
2 - TSD/RB

~~_____~~

108-6

18 April 1961

MEMORANDUM FOR: CHIEF, FINANCE DIVISION

VIA : TSD/Budget Officer

SUBJECT : MKULTRA, Subproject 108, Invoice No. 2
Allotment 1125-1390-3902

1. Invoice No. 2 is attached covering the above subproject.
Payment should be made as follows:

E Cashier's check in the amount of \$3500.00, drawn on a
B [redacted] payable to [redacted]

2. Please forward the check to Chief, TSD/Research Branch
through TSD/Budget Officer by Friday, 28 April 1961.

3. This is a final invoice. However, since it is anticipated
that additional funds will be obligated for this project, the files should
not be closed.

[redacted] A
Chief
TSD/Research Branch

Attachment:
Invoice & Certifications

Distribution:
Orig & 2 - Addressee

E

4730

CHECK NO. 1125-1390-3902 FOR THE AMOUNT OF \$3,500.00

A

[redacted]

[redacted]

108-6

18 April 1961

MEMORANDUM FOR: CHIEF, FINANCE DIVISION

VIA : TSD/Budget Officer

SUBJECT : MKULTRA, Subproject 108, Invoice No. 2
Allotment 1125-1390-3902

1. Invoice No. 2 is attached covering the above subproject.
Payment should be made as follows:

E
B Cashier's check in the amount of \$3500.00, drawn on a
payable to

2. Please forward the check to Chief, TSD/Research Branch
through TSD/Budget Officer by Friday, 28 April 1961.

3. This is a final invoice. However, since it is anticipated
that additional funds will be obligated for this project, the files should
not be closed.

A
Chief
TSD/Research Branch

Attachment:
Invoice & Certifications

Distribution:
Orig & 2 - Addressee
✓ 1 - TSD/FASS
2 - TSD/RB

TSD/RB: (18 Apr 61)

A

1 CERTIFY THAT FUNDS ARE AVAILABLE
OBLIGATION INCURRED BY 1961
CHARGE TO ALLOTMENT

ACTING CHIEF

[Redacted]

(Who Filled In)

ACCOUNTING BY INDIVIDUAL FOR ADVANCE	SUBMITTED BY HKULTRA Sub 108	VOUCHER NO. (Finance use only)
	PERIOD OF ACCOUNTING	
	FROM 1 February 1961	TO 31 December 1961

NOTE: Follow Instructions on Reverse

RECEIPTS				DISBURSEMENTS			
1. CASH ON HAND BEGINNING OF PERIOD	\$	3. VOUCHER NUMBER	DATE	DESCRIPTION	AMOUNT		
1a.							
2. RECEIPT NUMBER	DATE	DESCRIPTION					
	18 Apr. 1961	HKULTRA Advance Invoice #2				3,500.00	See Attached Certification
				Total Expenses		3,500.00	
TOTAL TO ACCOUNT FOR				\$,500.00	TOTAL ACCOUNTED FOR	\$,500.00	

I CERTIFY FUNDS ARE AVAILABLE		APPROVED		I certify that the expenditures listed hereon and on any attachments were incurred for official purposes of a confidential nature, that payment or credit therefor has not been received, and that this accounting is true and correct.
OBLIGATION REFERENCE NO. 1910	CHARGE ALLOTMENT NO. M25-1390-3902	DATE	SIGNATURE OF APPROVING OFFICER SIDNEY COTTLIER, JC/TSD	
DATE 25 MAR 1964	SIGNATURE OF AUTHORIZING OFFICER	CERTIFIED FOR PAYMENT OR CREDIT	SIGNATURE OF PAYEE A	

SPACE BELOW FOR EXCLUSIVE USE OF FINANCE DIVISION

PREPARED BY	REVIEWED BY	VOUCHER NO. 7-12
DESCRIPTION - ALL OTHER ACCOUNTS 23-39	EXPEND. PER. LIQ. CODE 40-42	45-46 PAY CODE
DESCRIPTION - A/P ITEMS 13-33	REF. NO. ADVANCE ACCT. NO. 47-52	FI YR ACCT. NO. 53
DESCRIPTION - ADVANCE ACCOUNTS 13-24	34-39 PAYABLE VOU. NO.	GENERAL LEDGER ACCT. NO. 54-57
		ALLOT. LEDGER ACCT. NO. 59-67
		62-67 CK. NO. X VOU. NO.
		68-70 DUE DATE OBJECT CLASS
		71-80 AMOUNT DEBIT CREDIT

(When Filled In)

CONFIDENTIAL FUNDS POSTING VOUCHER

VOUCHER NO. 7-12			DATE 2-6				VOUCHER NO. 7-12					
DESCRIPTION-ALL OTHER ACCOUNTS 13-33		34-39 STATION CODE	40-42 EXPEND CODE	43 FUND	45-46 PAY PER. LIQ. CODE	47-52 OBLIG. REF. NO. ADVANCE ACC. NO. EMP. NO.	53 CA YR	54-57 GENERAL LEDGER ACCT. NO.	58-67 ALLOT. OR COST ACCT. NO.	68-70 DUE DATE	71-80 AMOUNT	
DESCRIPTION-ADVANCE ACCOUNTS 13-27	29-33 T/A NO. P.O. NO.	PROF. NO. PROJECT NO.							62-67 CR. NO. X REF. NO.	OBJECT CLASS	DEBIT	CREDIT
SUB PROJ. 108 INVY			8811		1910		601-0	45-1390-3902	752		3500.00	
MKULTRA												3500.00
EXPLANATION OF ENTRY										TOTALS	3500.00	3500.00
<i>See attached</i>												
DATE	PREPARED BY	DATE	REVIEWED BY	CERTIFIED FOR PAYMENT OR CREDIT								
4/25/61	[Redacted]			DATE	SIGNATURE OF CERTIFYING OFFICER							

108-7

March 10, 1964

C

Memo to [REDACTED]

From [REDACTED]

Re: [REDACTED]

Jan. 1961 - Jan. 1962

Sorry for the delay in sending this accounting to you. It was buried deep in a confidential report that had been forwarded at the time of his 1962 request for further funds.

Hope this is satisfactory.

[REDACTED]

108-7

March 10, 1964

C
Accounting of [redacted] for the Year 1961
Two payments - \$3,500.00 in June 1961 and \$3,600.00 in Dec. 1961

Payment to subjects	U. S. \$ 3,000.00
Payment to consultants	2,000.00
Payment to Assistants	1,500.00
Books, postage and miscellaneous	600.00
Total Expenditures	\$ 7,100.00

This is a true statement of the expenditures of [redacted] as C reported to the [redacted]

I certify that services or materials have been satisfactorily received and the expenditures were incurred on official business.

Date: March 18, 1964 C

NOTE: Only payment of \$3500 represents MKULTRA funds. C

108-8

29 May 1961

MEMORANDUM FOR: Chief, [redacted]

ATTENTION : [redacted] Branch A

SUBJECT : [redacted] C

1. Subject is a colleague and close personal friend of [redacted] C
 [redacted] Early in the development of project [redacted]
 [redacted] It was recognized that [redacted]'s interests, status, and
 contacts represented considerable operational potential. In order
 to protect the security of [redacted] and [redacted] H
 it was decided to develop [redacted] on an unwitting basis while [redacted]
 [redacted] Development involved getting [redacted] C
 [redacted] to become actively interested in establishing sources
 of information and direct contacts with the [redacted] F
 To moti-
 vate his interest and to provide funds and a legitimate source of
 attribution for his revived interest, [redacted] was offered a research grant
 from [redacted] submitted a proposal for his grant on 21 October H
 1959. It was approved in the amount of \$4,600.00 and the grant was
 made on 28 January 1960. It should be noted that [redacted] was at that time
 (and presumably still is) unwitting of any government connection with
 [redacted]

2. As anticipated, [redacted] accepted the grant and entered into
 his research energetically, keeping [redacted] informed of his progress. C
 As it became apparent that [redacted] was developing some useful contacts, it
 was recommended that the grant be renewed for a second year. On
 11 April 1961 it was renewed for a second year (January 1961 - January
 1962) in the amount of \$3,500.00.

3. Prior to [redacted]'s departure from [redacted] was
 introduced to a case officer functioning under official cover. The aim C
 was to recruit [redacted] and to direct his activities toward specific opera-
 tional goals. It was decided to continue [redacted] unwitting of [redacted]

[redacted]

A
H and [redacted] government relationship, but to keep [redacted] advised of developments in the case. Upon request through [redacted] in TSD, [redacted] will respond to changes in funding and other requirements which will facilitate management of the [redacted] H

[redacted] A
Chief
TSD/Research Branch

Distribution:
Orig & 1 - Addressee
2 - TSD/RB

TSD/RB: [redacted] 29 May 1961

A

[redacted]

~~_____~~ C
108-9

RECEIPT

I hereby acknowledge receipt of the following:

Official Check No. 089252, in the amount of \$3,500.00 drawn on
the ~~_____~~ dated April ~~_____~~ E
26, 1961, payable to ~~_____~~ B
~~_____~~

~~_____~~ C

Date: 5-2-61

April 13, 1961

Financial Accounting - [redacted] B

Feb. 1960 through January 1961

	[redacted]	[redacted] H
1. Salary (Chief Investigator	11,400.00	2,000.00
2. Part time assistants	5,960.00	1,046.00
3. Books, magazines and newspapers	4,104.00	720.00
4. Contact and entertainment expenses (including gifts for subjects)	2,844.00	500.00
5. Postage, Stationery and other office expense	1,999.00	351.00
Total	\$ 26,304.00	\$ 4,617.00
Grant		\$4,600.00

Prepared by

The above statement summarizes Mr. [redacted] B expenses for the period stated above. This is a true report of the expenses as shown to us.

[redacted signature block] B

I have examined and approved the submitted expenditures.

[redacted signature block] A

Chief
TSS/Chemical Division

Date: 5/2/61

108-11

18 April 1961

MEMORANDUM FOR: CHIEF, FINANCE DIVISION

VIA 1 - TSD/Budget Officer

SUBJECT : MKULTRA, Subproject 108, Invoice No. 2
Allotment 1125-1390-3902

1. Invoice No. 2 is attached covering the above subproject.
Payment should be made as follows:

Cashier's check in the amount of \$3500.00, drawn on a
payable to

[Redacted Name] B

2. Please forward the check to Chief, TSD/Research Branch
through TSD/Budget Officer by Friday, 28 April 1961.

3. This is a final invoice. However, since it is anticipated
that additional funds will be obligated for this project, the files should
not be closed.

[Redacted Signature] A

Chief
TSD/Research Branch

Attachment:
Invoice & Certifications

Distribution:
Orig & 2 - Addressee
1 - TSD/FASS
2 - TSD/RB

TSD/RB (18 Apr 61)

A

[Redacted]

Rec'd 28 Apr 61
[Handwritten signature]

[REDACTED]

B

\$3500.00

[REDACTED]

108

TO THE GOVERNMENT OF THE DISTRICT OF COLUMBIA
FROM THE DISTRICT OF COLUMBIA
FOR THE PURPOSES OF THE DISTRICT OF COLUMBIA
AND THE DISTRICT OF COLUMBIA

18 April 1961

108

TO THE GOVERNMENT OF THE DISTRICT OF COLUMBIA
FROM THE DISTRICT OF COLUMBIA
FOR THE PURPOSES OF THE DISTRICT OF COLUMBIA
AND THE DISTRICT OF COLUMBIA

[REDACTED]

108-12

DATE: 11 April 1961

MEMORANDUM FOR : COMPTROLLER

ATTENTION : Finance Division

SUBJECT : HQU/PMI, Subproject 108, Authorization No. 2

Under the authority granted in the memorandum dated 13 April 1958 from the DCI to the DD/A and the extension of this authority in subsequent memoranda, Subproject 108 was previously approved. Under the same authority an additional sum of \$3500.00 has been authorized to cover the subproject's expenses, to be charged against cost center 1125-1390-3902

A
Chief
TSD/Research Branch

APPROVED FOR OBLIGATION OF FUNDS:

Date:

Distribution:

Orig. & 2 - Addressee

- 1 - TSD/OC
- 1 - TSD/FASB
- 2 - TSD/RB

108-13

March 2, 1960

C

[REDACTED]

Dear Dr. [REDACTED]

Thank you for your letter of February 25. Mr. [REDACTED] will be out of the country until after March 15, but I am sure that he will be interested in your progress.

I have ordered the two books you requested and hope they reach you in the near future. You seem to be having quite a time obtaining the publications you require, but I am glad you have been successful. I know Mr. [REDACTED] joins me in wishing you well on your new venture of interviewing. Please let us know if we can be of assistance.

Sincerely yours,

Secretary to Mr. [REDACTED]

February 16, 1960

[REDACTED]

Dear Dr. [REDACTED]

Thank you for your letter of February 3. Attached is the first payment on your project in the amount of \$2,300.

Miss [REDACTED], my secretary, will be pleased to assist you in procuring books and references which cannot be found in [REDACTED]. We will take care of the costs for the purchases made here out of your future grant payments and will notify you as to expenditures.

Again, I am very pleased for the opportunity to work with you on this interesting research task and feel sure that we can anticipate a pleasant and productive collaboration.

Sincerely yours,

[REDACTED]
Executive Secretary

Enclosure

COPY Handwritten letter

February 3, 1960

Dear Mr. [REDACTED]

Thanks very much for your letter of January 28. Everything seems agreeable to me. As to remittance, it may be better to send me a bank draft, although a check can also be used here.

I wonder if some of your staff would be able to spare a little time and kind enough to help me in procuring books and references which could not be found in [REDACTED] (both for my research project and for my writing up of my animal experiments which now I am doing at night as since last month I have been devoting my entire day time to work on the project supported by [REDACTED]). In that event, please deduct \$100 from the first remittance you are going to send me and give the money to her for purchase of books for me and let me know her name so that I can write her from time to time.

I will write you again soon and keep you informed about the progress of my work from time to time.

Thank you again, I am very sincerely yours,

signed: [REDACTED]

January 28, 1960

[REDACTED]

Dear Dr. [REDACTED]

I am pleased to inform you that [REDACTED] has approved your grant application for two of the three years you requested. For our record, we are showing the initiation of the project as February 1, 1960. We shall provide payments on the grant semi-annually if this is agreeable to you. Before the end of the two year period (I suggest in November of 1961) you write for a continuation of your grant and send in a progress report. The Directors and their scientific advisers will review the progress of the study and notify you regarding its continuation. B

Will you please inform me as to how the payment should be made. May I transmit a check to you or would you prefer a bank credit? The following conditions apply in the utilization of these funds:

1. An annual progress report be submitted at the end of each year.
2. An annual accounting of funds expended 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 (or wholly as the case may be) by a grant from the [REDACTED] e

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

Sincerely yours,

[REDACTED] C
Executive Secretary

cc: Dr. [REDACTED] C
Dr. [REDACTED]

108-15

28 January 1960

MEMORANDUM FOR: COMPTROLLER

ATTENTION : Finance Division

SUBJECT : MCLTRA, Subproject 108

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 108 has been approved and \$4,600.00 of the over-all Project MCLTRA funds have been obligated to cover the subproject's expenses and should be charged to Allotment 0525-1009-4902.

~~_____~~
Chief
TSS/Chemical Division

A

APPROVED FOR OBLIGATION OF FUNDS:

Original signed by

~~_____~~ A

Research Director

Date:

2 FEB 1960

I CERTIFY THAT FUNDS ARE AVAILABLE

OBLIGATION REFERENCE NO.

1534

CHARGE TO ALLOTMENT NO.

0525-1009-4902

AUTHORIZING OFFICER

Distribution:

Orig & 2 - Addressee

1 - TSS/OC

1 - TSS/FASB

~~_____~~

108-16

5 February 1960

MEMORANDUM FOR: CHIEF, FINANCE DIVISION

VIA 1 TSS/Budget Officer

SUBJECT 1 MONTANA, Subproject 108, Invoice No. 1
Allotment 0525-1009-4902

1. Invoice No. 1 is attached covering the above sub-project. Payment should be made as follows:

Cashier's check in the amount of \$4,600.00 drawn
on [redacted] payable to [redacted]
E
B

2. Please forward the check to Chief, TSS/Chemical Division through TSS/Budget Officer by Friday, 19 February 1960.

3. This is a final invoice. However, since it is anticipated that additional funds will be obligated for this project, the files should not be closed.

[redacted]
Chief
TSS/Chemical Division

A

Attachment:
Invoice & Certifications

Distribution:
Orig & 2 - Addressee

1 - TSS/FASB

2 - TSS/CD

TSS/CD: (5 Feb 60)

A

[redacted]

108-16

5 February 1960

MEMORANDUM FOR: CHIEF, FINANCE DIVISION

VIA TSS/Budget Officer

SUBJECT: MKULTRA, Subproject 108, Invoice No. 1
Allotment 0525-1609-4902

1. Invoice No. 1 is attached covering the above sub-project. Payment should be made as follows:

Cashier's check in the amount of \$4,600.00 drawn on [redacted] payable to [redacted]

2. Please forward the check to Chief, TSS/Chemical Division through TSS/Budget Officer by Friday, 19 February 1960.

3. This is a final invoice. However, since it is anticipated that additional funds will be obligated for this project, the files should not be closed.

(W)

[redacted]
Chief
TSS/Chemical Division

A

Attachments:
Invoice & Certifications

Distribution:
Orig & 2 - Addressee
[redacted] - TSS/FASB

9 FEB 1960
I CERTIFY THAT FUNDS ARE AVAILABLE
ORIGINATION NO. [redacted]
CHANGE TO FILE NO. 1534

ACTING SENIOR OFFICER

CASH PAYMENT IN AMOUNT OF \$4,600.00
RECEIVED. 4600.00

[redacted]

A

INVOICE

For services

\$4,600.00

[REDACTED]

B

CERTIFICATIONS

(1) It is hereby certified that this is Invoice No. 1 applying to Subproject No. 108 of MKULTRA, that performance is satisfactory, that services are being 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.

Chief, TSS/Chemical Division

Date: _____

(2) It is hereby certified that this invoice applies to Subproject No. 103 of MKULTRA which was duly approved, and that the project is being carried out in accordance with the memorandum of 13 April 1953 from the DCI to the DD/A, and the extension of this authority in subsequent memoranda.

Research Director

Date: _____

[REDACTED]

RECEIPT

I hereby acknowledge receipt of the following:

Official Check No. G39949, in the amount of \$4,600.00 drawn on
1960, payable to

E

B

Date: 3-1-60

A

108-17


28 January 1960

MEMORANDUM FOR: CONTROLLER

ATTENTION: Finance Division

SUBJECT: MAULTRA, Subproject 108

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 108 has been approved and \$4,600.00 of the over-all Project MAULTRA funds have been obligated to cover the subproject's expenses and should be charged to Allotment 0525-1009-4962.


Chief
TSS/Chemical Division

APPROVED FOR OBLIGATION OF FUNDS:


Research Director

Date: _____

Distribution:
Orig & 2 - Addressee

- 1 - TSS/CC
- 1 - TSS/FASB
- 2 - TSS/CD

TSS/CD/ (28 Jan 1960)

A



108-18

DRAFT/ [redacted] - A
28 Jan. 1960

MEMORANDUM FOR: THE RECORD

SUBJECT : MKULTRA, Subproject No. 108

1. Dr. [redacted], a friend and former colleague of Dr. [redacted] has been of great assistance to Dr. [redacted] in setting up Project [redacted]. During this period, Dr. [redacted] independently contacted Dr. [redacted] for assistance in getting money for research work in [redacted]. At our suggestion, Dr. [redacted] wrote Dr. [redacted] to talk over his research plans with Dr. [redacted] with the aim of submitting a proposal to [redacted].

This was done and approval for this project is requested to provide funds for Dr. [redacted]'s work.

2. From all sources available to us, Dr. [redacted] appears to be a competent and well motivated researcher. The type of work he proposes to do is of definite interest to TSS/CD. (Proposal Attached)

3. Funding and monitoring of this project will be handled by [redacted], in the regular manner. Accounting for the funds expended will be according to the procedures previously established by [redacted]. Any unused funds remaining at the conclusion of the project will be returned to the Agency.

[redacted]

4. The total cost of this project for a period of one year is estimated not to exceed \$4,600.00. Charges should be made against Allotment 0525-1009-4902.

5. The fact that Dr. [REDACTED] has established a close working relationship with Dr. [REDACTED] will make it possible to exploit the findings of this project without revealing Agency interest or participation. C

[REDACTED] A
Chief
TSS/Chemical Division

APPROVED FOR OBLIGATION
OF FUNDS:

[REDACTED] A
Research Director

Date: 2/2/60

Attached:
Proposal

Distribution:
Original only

[REDACTED]

108-19

21st October, 1959.

My Dear Mr. [REDACTED]

I am sending you herewith two copies each of the prospectus of my proposed investigation, Estimates of Annual Expenditure, and a brief biographic sketch and a list of my previous publications. I hope the [REDACTED] will act on the prospectus favorably as you have indicated in your letter. Dr. [REDACTED]'s note on page 9 is also attached to the prospectus and estimates.

I wish to emphasize that Dr. [REDACTED] assistance in revising this prospectus and his wisdom derived from his past experience with the requirements of [REDACTED] have helped make the present form of presentation of my proposed plan more suitable than my original draft. He has spent considerable time on this prospectus and I am grateful to him.

As Dr. [REDACTED]'s research project is closely related to mine, naturally we will compare notes from time to time, so as to assure close mutual cooperation and to avoid, if any, unnecessary duplication of work. During the progress of our work whenever either one discovers certain scientific data which might be useful to the other, I can assure you too, that we will draw each other's attention to such data.

Thanking you again for your personal interest in my work, and hoping to hear from you again before long,

I am,

very sincerely yours,
[REDACTED]

C

[REDACTED]

Aims of this study:

It has long been the opinion of the writer that the following behavior traits or behavior characteristics are the predominant characteristics of the [REDACTED] masses. In this proposed study, the investigator proposes to relate certain ecological factors to the formation of some critical behavioral characteristics of [REDACTED]. Employing content analysis of historical records, the investigator will trace the relationship of such ecological factors as:

the geographic conditions of [REDACTED], population decline and growth, food supply, floods and droughts, insect infestations, pestilences, and other natural diseases, civil wars, barbarian invasions, and the political policies and education systems of the ruling [REDACTED] from [REDACTED] to [REDACTED].

to the formation of such behavioral characteristics as:

- 1) Lack of religious feeling (in the sense of a supernatural being), and hence lack of an organized church;
- 2) Aversion to violence;
- 3) Passivity to brute forces, either natural or human;
- 4) Fatalistic view towards life: the strong tendency for one to adjust or adapt to the one's environment, however adverse, rather than to modify or conquer the environment;
- 5) Lack of spirit of adventure;
- 6) Lack of individual initiative;
- 7) Lack of the desire to be independent or different from others; rather, the strong tendency to conform to the existing social requirements and to imitate or follow the ones who have been successful socially or in business;
- 8) Lack of the spirit of team work;
- 9) The paradoxical tendency of the individual: On the one hand he is most self-sacrificial in the family - almost to the point of selflessness; on the other, outside the family, he can be most selfish without moral or legal restraints;

- 10) Indifference to the suffering of other people;
- 11) Indifference to public welfare;
- 12) The feeling of racial superiority;
- 13) Absence of the sentiment of nationalism (and hence patriotism) (until the turn of the present century);
- 14) The strong tendency to compromise without regard to one's rights, justice or truth;
- 15) The strong tendency to look with suspicion in anything that is new (somewhat modified by the impact of the [redacted] F
- 16) The [redacted] tendency (as it is almost [redacted] known to the [redacted] in interpersonal relations; F
- 17) The apparent docility toward authority (which [redacted] in [redacted] has mistaken for "Cooperation" and [redacted] has wrongly interpreted as an inherited trait developed from a "hydraulic society" founded upon the proposition that the individual had to be forced to do what was necessary for his society and thus for himself) but always with an inner feeling of bitter resentment or hatred and readiness to avenge authorities when they are overthrown and on the run.

These behavioral characteristics have confronted the [redacted] F
 [redacted] with a number of serious psychological problems in their revolutionary efforts. Our second step in this study, therefore, will be to analyse the methods by which the Communists endeavor to solve these psychological problems.

A third step in this study will be an investigation of the successes and failures of the Communists in their efforts to solve these problems to date; and an analysis of the major conflicts between [redacted] character F and Communist policy which inevitably must be resolved in the future.

Methods:

In parts one and two of our study we shall adopt a method of content analysis of certain historical documents and records.

In our third step of investigation we shall employ three general methods: (a) observation of the behavior of the [redacted] of various age F

groups who from time to time come from the [redacted]; (b) interviewing these people; and (c) giving tests to the younger (school age) groups brought up in the [redacted] during the last decade.

We shall design our test forms in such a way as to discover these children's attitudes towards: (1) the state vs. the individual; (2) family, parents and other relatives; (3) various religions; (4) physical moral concepts on practical matters (as against abstract moral principles); (5) economic and political systems; leading personalities in history; (7) arts, drama and literature; and (8) personal plans and personal ambitions for the future.

In our observations and interviews of the peoples who have resided in the [redacted] under the Communist, special attention will be given to the influence of the attitudes and other behavior characteristics of the older generation over the younger generation who are brought up mainly or solely under the Communist rule.

Special points of emphasis:

Based on the findings of this investigation of the behavior characteristics of the [redacted] old and young who have resided in the Communist [redacted] during the last decade a tentative prognosis will be made as to how far an accomplishment of the Communist Revolutionary effort could be expected from psychological standpoint.

Many of the above mentioned behavioral characteristics are closely interrelated. Most of these behavior traits are bred in the family from generation to generation. Therefore in our historical analysis we shall pay special attention to the [redacted] clanism (the writer prefers this term to "familialism" or "family system").

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[redacted] and [redacted] have played a very important role in the formation of the [redacted] personality. In our historical analysis besides the physical and economic forces, we shall give a close and critical examination to these two systems of philosophy to find out, if any, the evidences to substantiate my long suspicion that these two systems of philosophy as they are known to-day are partly original and partly invented by the later scholars since the [redacted]

In addition to [redacted] and [redacted], the public examination systems, and their officially announced purposes and their underlying secret motives (which, as far as this writer is aware, have not even been suspected by the [redacted] Scholars of [redacted] culture), and consequently the building up of the elite class - known to the [redacted] Scholars as [redacted] - also had had some influence over the personality make-up of the people, and must also receive due evaluation in our investigation. F

In our examination of these two philosophical systems, we shall have occasions to gather evidence to test this writer's theory that [redacted], as well as other systems of thought (known as [redacted] during the period of [redacted] [redacted] are themselves the natural products of the then prevailing social conditions or rather of the reflections of the prevailing mental moods of the masses of that period.

In the absence of a supernatural religion and an organized church, it would be a tremendously difficult task for any government to achieve social solidarity and social stability. In [redacted] for [redacted] this was accomplished by: (1) [redacted] of thought [redacted] came to [redacted] [redacted] and became an important ingredient of modern [redacted] through "infiltration"; (2) artificially building up

the " [redacted] (3) the building-up of a distorted version of [redacted] which was then closely linked up with clanism; (4) artificial creation of an elite class; (5) setting up an artificial and maintaining a natural iron curtain throughout the centuries; and (6) brute force, as a last resort, as a deterrent for individual deviation or disobedience. In our historical investigation we shall try to collect factual evidence showing how these phenomena were accomplished, and how they affect the modes of thinking and patterns of behavior of the people during each period.

In our study of the Communist psychological techniques in ruling [redacted] we shall try to compare the similarities and differences between the ancient [redacted] rulers and modern Communists, and to find out what tangible effects on the behavior patterns of the masses have taken place.

In this study special attention will be devoted to the fact that in the above list of behavioral characteristics there are certain characteristics which will work favorably for the Communist efforts in remolding the [redacted] society while certain others with their so deep historical ^{roots} ~~arts~~ will work against them. Our work will be trying to see how well the Communists exploit the favourable traits and what means they have employed to combat or destroy the unfavourable ones.

Relationship to other studies:

Many of the above listed behavioral traits or characteristics of the [redacted] have been frequently mentioned in the writings of the [redacted] experts. But they are very often fragmentary and scattered in various books and articles and more often than not, either erroneous, misleading or superficial in their interpretations or evaluations. As far as this writer is aware, there has been no attempt to put these

known characteristics together and make a comprehensive and systematic and scientific study of them. While this writer has not had the opportunity to read the recent book by [redacted] entitled [redacted] on the basis of summaries and reviews the book seems to represent the personal opinions and views of the author rather than conclusions drawn from carefully and systematically analysed scientific data from both ecological and psychological points of views. The same comments may be applied to [redacted]. The book is an excellent and concise summary and evaluation of the opinions and views of previous writers on cultural tradition of [redacted] and it has brought forth a number of behavioral characteristics of the [redacted] which forms a part of our topics to be investigated in this proposed plan. But [redacted] book represents neither a comprehensive nor a systematic study of the ecological and psychological factors which are responsible for the development of the [redacted] mentality [redacted]. [redacted] is a well-documented and first rate reference book on [redacted] Communism up to 1954, but the book barely scratches the surface of many deep-rooted psychological problems which we aim to investigate in this proposed study. (Chapter 5 of this book contains a number of interesting but not altogether correct views about [redacted] history and the basic structure of the [redacted] society. It should be regarded as a well balanced view and preview of an author who seems to be quite familiar with the historical background of [redacted] society, but it can hardly be considered a scientific approach.)

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There are certain advantages for this investigation being undertaken by a trained psychologist who is completely conversant with both the modern and the classical styles in [redacted] and who resides in [redacted]

(1) the project is primarily a psychological research; (2) the materials required for this investigation about [redacted] and [redacted] history, culture, and thought cannot be gathered from [redacted] language sources; The original texts in [redacted] are largely available [redacted] (3) it is also essential to use original [redacted] materials for the part of the investigations which is related to the recent Communist efforts, and these too are available [redacted] (4) direct observation of behavior, personal interviews, and tests with [redacted] who have lived in the [redacted] since the Communists took over [redacted] are an essential part of the proposed study. [redacted] the most strategic place for gathering this kind of "live" psychological data.

Duration of project:

The magnitude of this proposal is such that many years profitably could be devoted to it. It is anticipated, however, that the most essential parts of the research and reporting can be accomplished in three years. It is hoped that the grant can be made for a minimum of two years with some assurance of continuation upon submission of satisfactory evidence of progress.

It is to be noted that the lists of ecological factors (ecological variables) and behavioral characteristics (dependent variables) are merely tentative ones and are to be grouped into smaller numbers of categories according to their similarities and differences in nature and according to the convenience of the analytical procedures. And as the investigation is making progress, new ecological factors and new behavioral characteristics will appear to require attention and a regrouping or reorganization of the categories of both ecological factors and behavior characteristics will become necessary so as to include the new factors or new characteristics. Such organization and re-organization will be reported to the Society as soon as it is done.

The investigator has now commenced to work out somewhat in detail a concrete procedure for historical analysis. As soon as this is completed, a copy will be submitted to the Society. Detailed procedures for observation on behavior and interviews and giving tests will be worked out in a later stage.

It appears that the scope in the proposed plan is somewhat vast. However, as soon as the detailed historical procedure is worked out, the scope will be consequently narrowed down and the work in view will be more concrete and precise. The same is applied to observation of behavior, interviews and tests in a later stage of the investigation.

There is a relationship between Dr. [REDACTED]'s present research and this proposed plan which may be briefly stated as follows:- C

(1) Both work towards the same goal: the scientific understanding of the [REDACTED] national character. F

(2) Dr. [REDACTED] tries to reach his goal by basic scientific approach, emphasizing the personality of the individual while ^{development} this proposed investigation will try to reach its goal through historico-ecological approach, that is, to find its basic factors for the formation of the [REDACTED] personality. E

(3) Dr. [REDACTED]'s aim is to discover certain [REDACTED] national characteristics without presumption, hence, his method is inductive, while this proposed investigation is more or less based on the investigator's previous assumptions which are to be verified by historical analysis, hence, the method is more deductive than inductive. E

(4) Dr. [REDACTED]'s interest is primarily in the development of personality in the [REDACTED] as a scientific study in psychology, while the present investigator is also interested in the bearings of the historical rooted traits on Communist's revolution and vice-versa.

Estimates of Annual Expenditure

1) Books (Mostly [redacted] including books, magazines and newspapers published in Communist [redacted] from which certain materials related to the proposed research can be sifted)	600-
2) One Assistant	1,200-
3) Contact and entertainment expenses	600-
(For contact with various persons who make frequent visits to [redacted] and with the new arrivals from [redacted] from time to time).	
4) Incidental and miscellaneous expenses	200-
(For supplies, postage, etc.)	
5) Compensation for the investigator	2,000-
Total	<u>\$4,600-</u>

NOTES: During the second and third years, the following items should be added to the annual estimates:

- 1) \$1,000 will be required for travelling expenses if arrangements are to be made for the assistant or other persons to travel to [redacted], and some rural districts ruled by the Communist as far north as [redacted] to gather first hand data.
- 2) \$200 for printing interview protocols and test forms (second year) and for secretarial assistance in preparing reports.

Notes: [redacted] will undertake, with Dr. [redacted]'s approval;

- 1) to organize the ecological variables into logical categories;
- 2) to organize the dependent variables (behavioral characteristics) into categories;
- 3) to note in some details the proposed analytic procedures;
- 4) to identify the proposed relationship to my project;
- 5) to indicate a plan for systematically reducing the scope of this study and increasing its precision.

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[REDACTED]

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November 6, 1959

MEMORANDUM TO: The Directors

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SUBJECT: Project Proposal, Category B - Dr. [REDACTED]

The attached proposal was submitted at the request of Dr. [REDACTED] and was suggested by Dr. [REDACTED]. You will note that much of the work of Dr. [REDACTED] has actually been in the area of animal ecology but reflects a continuing interest in human behavior. It is felt that the work of Dr. [REDACTED] will complement Dr. [REDACTED]'s work and will contribute to further information in support of the basic work accomplished at [REDACTED].

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[REDACTED]

Executive Secretary

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