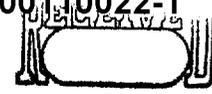


SRI International

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CENTER LANE-3
NO FOREIGN DISSEMINATION



JUL 6 1984

30 June 1984

Proposal for Research
SRI International No. ESU 84-157

DRAFT

SPECIAL ORIENTATION TECHNIQUES ^{SI-IV} (~~SV-SVI~~) (U)

Part One--Technical Proposal

Prepared for:
Client Private

Prepared by:
Harold E. Puthoff
Senior Research Engineer

Approved by:
Robert S. Leonard, Director
Radio Physics Laboratory
David D. Elliott, Vice President
Research and Analysis Division

WARNING NOTICE
CENTER LANE SPECIAL ACCESS PROGRAM.
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CATEGORY 3

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Security Classification Guide dated
1 March 1983
Declassify on: OADR

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I INTRODUCTION (U)

(S/CL-3/NOFORN) SRI International submits this unsolicited proposal to Army INSCOM to initiate activity with regard to Special Orientation Technique (SI-SIV) remote viewing (RV) training.

(U) To accomplish the proposed program, SRI will provide the facilities, materials, SRI staffing, and consultants to perform the tasking outlined in the following section.

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II STATEMENT OF WORK (U)

1. (U) GENERAL

1.1 (S/CL-3/NOFORN) The objective of this effort is to investigate a particular aspect of the psychoenergetic phenomena known as remote viewing (RV) that has a potential military intelligence application.

1.2 (S/CL-3/NOFORN) The major goal is to orient INSCOM personnel to state-of-the-art RV technology to determine whether such technology can be successfully transferred to INSCOM personnel with a corresponding increase in the reliability of a remote viewer.

2. (U) SPECIFIC TASKS

2.1 (S/CL-3/NOFORN) Train two army personnel concurrently in RV Stages I through IV, as outlined in SRI Final Report "Special Orientation Techniques: S-IV (U)," SRI International, Menlo Park, California, SECRET/CENTER LANE-3/NOFORN (June 1984).

2.1.1 (U) Initiate training in September 1984.

2.1.2 (S/CL-3/NOFORN) Training for each RV stage will normally be divided into working sessions in accordance with the following schedule:

- Stage I ~10 weeks
- Stage II ~ 6 weeks
- Stage III ~12 weeks
- Stage IV ~ 6 weeks
- Total ~34 weeks*

The session dates will be mutually agreed to by SRI and INSCOM.

2.1.3 (S/CL-3/NOFORN) After successful completion of each RV stage, the trainee will be scheduled to begin the next RV stage.

2.2 (U) Determine the potential of the trainee for further training.

* (U) Broken up into 1- to 2-week sessions each.

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3. (U) SECURITY

(U) Military security requirements in the performance of this contract shall be maintained in accordance with the "CENTER LANE SECURITY PROCEDURES GUIDE," dated 1 March 1983 (S/CL-1/NOFORN/ORCON). The highest classification involved in the performance of this contract is SECRET/CL-4/NO FOREIGN DISSEMINATION/ORIGINATOR CONTROLLED.

4. (U) DELIVERABLES

(U) SRI International will provide the following:

4.1 (S/CL-3/NOFORN) State-of-the-art RV training.

4.2 (U) A progress report (2 copies)--written evaluation of the trainees' progress (within 10 days after the completion of each training block).

4.3 (U) A final report.

4.3.1 (U) A final report (three copies) will be furnished within 30 days after completion of each training stage.

4.3.2 (U) The report will include a summary of the training presented, an evaluation of the trainees' ability to understand the training, and a summary of the trainees' accomplishments during the training period.

4.3.3 (S/CL-3/NOFORN) The report should also include an evaluation of the trainees' future remote viewing capabilities, and a recommendation concerning further training.

5. (U) SPECIAL REQUIREMENTS

(U) Requirements concerning the use of human subjects as outlined below will be adhered to.

5.1 (U) Use of human subjects.

(a) (U) The following definitions are used:

(1) (U) At risk means that the human subject may be exposed to the possibility of harm--physical, biological, psychological, sociological, or other as a consequence of an act or omission that goes beyond the application of those established and accepted methods or procedures which are in his best interests, or that increases ordinary risks of daily life, including the recognized risks inherent in his chosen occupation or field of service.

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(2) (U) Human subject means any human being who, knowingly or unknowingly, is subjected to an act or omission, whether at risk or not, the object of which is to contribute to knowledge to be gained as a part of work to be performed under the scope of this contract.

(b) (U) The contractor, before undertaking to perform any study involving human subjects, whether at risk or not, shall insure that the following minimum conditions are complied with:

(1) (U) The proposed study has been reviewed and approved by a committee meeting the requirements set forth in Chapter 46 of Title 45 of the Code of Federal Regulations.

(2) (U) The number of human subjects used will be kept to the minimum number that will reasonably achieve the required results.

(3) (U) The study must be such as to; contribute significantly to scientific knowledge and have reasonable prospects of yielding important results essential to an Army research program.

(4) (U) The study will be conducted only by persons possessing the requisite scientific qualifications. The highest degree of skill and care will be required during all stages of study of persons who conduct or assist in the study.

(5) (U) The subject will be informed that at any time during the course of his participation he has the right to revoke his consent and withdraw from participation without prejudice to himself.

(6) (U) Participation by subjects will be immediately terminated if it subsequently appears that the risk to the subjects is significantly greater than anticipated at the time review and approval was granted.

(7) (U) There shall be no greater intrusion into the privacy of the human subject than is absolutely necessary for the conduct of the study involved. Except for the submission of reports and other data required by this contract, any information obtained about human subjects as a result of participation shall be held as confidential as the law allows.

(8) (U) The study will be conducted so as to avoid all unnecessary physical or mental suffering or injury.

(9) (U) No study will be conducted if there is any inherent reason to believe that death or disabling injury is likely to occur. Sufficient animal or laboratory experiments, or other evaluations, must have been completed to give assurance or acceptable risks prior to the use of human subjects.

(10) (U) The degree of risk to be taken will never exceed that which is justified by the benefit to the subject and/or the humanitarian importance of the knowledge to be gained.

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(11) (U) A physician will be responsible for the medical care of subjects. Even if not the project leader, the physician will have authority to terminate the study at any time that he believes death, injury or harm is likely to result.

(12) (U) Proper preparations will be made, and adequate facilities provided to protect the subject against all foreseeable possibilities of injury, disability or death. This includes, but is not limited to, hospitalization and medical treatment as may be required. In addition, all apparatus and instruments necessary to deal with likely emergency situations will be available.

(13) (U) Human subjects will have no physical or mental conditions which will make participation more hazardous for them than it would be for normal healthy persons, unless such condition is a necessary prerequisite for the particular study involved. In any such case, the use of human subjects with such pre-existing conditions must have been specifically described and justified in the scope of the work to be performed under this contract.

(14) (U) The scientifically qualified person conducting the study, and each member of his research team, will be prepared to terminate the subject's participation at any stage if he has reason to believe, in the exercise of the good faith, superior skill, and careful judgment required of him, that continuation is likely to result in injury, disability, or death to the human subject.

(c) (U) The contractor, before permitting any person to participate as a human subject, whether at risk or not, shall insure that the following minimum conditions are complied with:

(1) (U) Legally effective informed consent will be obtained by adequate and appropriate methods in accordance with the provisions of this clause.

(2) (U) All consent must be voluntary. It must be the knowing consent of the individual or his legally authorized representative, so situated as to be able to exercise free power of choice without there having been any use of force, fraud, deceit, duress, constraint, coercion, or lawful or improper inducement. The elements of information necessary to such consent include:

(i) (U) A fair explanation of the procedures to be followed, and their purposes, including identification of any procedures which are experimental.

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(ii) (U) A description of any attendant discomforts or risks reasonably to be anticipated.

(iii) (U) A description of any benefits reasonably to be anticipated.

(iv) (U) A disclosure of any appropriate alternative procedures that might be advantageous to the subject.

(v) (U) An offer to answer any questions concerning the procedure.

(vi) (U) An instruction that the subject is free to revoke his consent and to discontinue participation at any time without prejudice to himself.

(g) (U) Exculpatory language through which the subject is made to waive, or appear to waive, any of his legal rights, including any release from liability for negligence, is prohibited.

(e) (U) Prior consent by a subject or his legally authorized representative shall be obtained in all cases. Such consent shall be in writing whenever it is reasonably possible to do so. The consent form may be read to the subject or his legally authorized representative, but in any event he or his legally authorized representative must be given adequate opportunity to read it and to ask questions they might have.

This consent form should then be signed by the subject or his legally authorized representative and by a witness not directly involved in the study. Oral consent may be used only when it has been specifically described and justified in the scope of the work to be performed under this contract or approved in writing by the contracting officer. When so authorized and used, oral consent is subject to all the same standards as apply to written consent, except that the signature of the subject or his legally authorized representative is not required.

(f) (U) Prior to conduct of the study, the contractor shall submit for approval to the contracting officer's representative a detailed description of the means by which informed consent will be obtained, to include any forms to be used. Upon completion of the study, the contractor will submit to the contracting officer's representative a detailed report demonstrating compliance with paragraph (c), to include copies of the written consent if such was obtained.

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(g) (U) The contractor shall not undertake to conduct either the clinical pharmacology or clinical trails of an investigational drug unless this contract contains the clause entitled "Clinical Study of Investigational Drugs."

(h) (U) Prisoners of war will not be used under any circumstances.

5.2 (U) DoD Directive 5240.1-R governing experimentation on human subjects will be followed by the contractor. Informed consent of all subjects will be obtained in writing in accordance with the guidelines issued by the Department of Health, Education and Welfare. All persons participating as human subjects, as defined in paragraph 6.1 above shall be known to possess the abilities and qualities which will be observed and analyzed during the conduct of this contract.

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ROBERT S. LEONARD

Director
Radio Physics Laboratory
Research and Analysis Division

SPECIALIZED PROFESSIONAL COMPETENCE

Radio-wave propagation: in normal environments; in naturally disturbed environments (aurora); in manmade disturbances (nuclear explosions)

REPRESENTATIVE RESEARCH ASSIGNMENTS AT SRI (since 1961)

Project director of a program to remotely sense nuclear detonations during the U.S. high altitude nuclear test program
Led a research effort to improve the U.S. capability to detect foreign nuclear tests by their effect on radio propagation
Technical director of a large multicontractor research program to study the effects on radio propagation of an artificially produced ionospheric plasma
Technical director on a program to develop special communications techniques

OTHER PROFESSIONAL EXPERIENCE

Instructor, researcher, and graduate student, Geophysical Institute, University of Alaska: HF and low VHF radio-wave propagation studies of auroral effects; designed, developed, and tested a prototype of the 41-MHz auroral radar used in the U.S. IGY program; installed and operated the six Alaskan IGY-auroral radars, and analyzed the data collected during the IGY
Teaching assistant, Physics Department, University of Nevada

ACADEMIC BACKGROUND

B.S. (1952) and M.S. (1953) in physics, University of Nevada; Ph.D. in geophysics (1961), University of Alaska

PUBLICATIONS

"Observations of Ionospheric Disturbances Following the Alaska Earthquake," Journal of Geophysical Research (March 1965); "Selection of a Model of the Earth's Magnetic Field," Journal of Geophysical Research (December 1962); "Evidence of Low-Frequency Amplitude Fluctuations in Radar Auroral Echoes," Journal of Geophysical Research (April 1962); "Distribution of Radar Auroras over Alaska," Journal of Geophysical Research (March 1962); "A Low Power UHF Radar for Auroral Research," PIRE (February 1959); plus numerous scientific and technical reports

PROFESSIONAL ASSOCIATIONS

American Geophysical Union
Union Radio Scientifique Internationale

HAROLD E. PUTHOFF

Senior Research Engineer
Radio Physics Laboratory
Research and Analysis Division

SPECIALIZED PROFESSIONAL COMPETENCE

Research in "remote viewing" and other psi phenomena (1972-present)
Research in lasers, quantum electronics, nonlinear optics
Research and development of tunable solid-state lasers, electron beam lasers, microwave tubes

OTHER PROFESSIONAL EXPERIENCE

Research associate, Hansen Laboratories of Physics, and lecturer, Department of Electrical Engineering, Stanford University; teaching, textbook author, research supervisor of Ph.D. candidates in the area of lasers and nonlinear optics
Lieutenant, USNR: in-house research and contract monitoring on DoD (NSA) contracts concerned with the development of ultra high-speed (GHz) computers, assessment of potential of fiber optics and lasers for use in optical computers
Research engineer, Sperry Electronic Tube Division, and Sperry fellow, University of Florida: design and testing of electron-beam focusing systems for use in microwave tubes

ACADEMIC BACKGROUND

B.E.E. (1958) and M.S.E. (1960), University of Florida; Ph.D. in electrical engineering, Stanford University (1967)

PUBLICATIONS AND PATENTS

Author or coauthor of more than twenty-five papers in professional journals on electron beam and laser research, and, more recently, first major publications of research on psi phenomena in Nature ("Information Transfer Under Conditions of Sensory Shielding," Oct. 1974), in the Proceedings of the IEEE ("A Perceptual Channel for Information Transfer over Kilometer Distances," March 1976) and in The Role of Consciousness in the Physical World: AAAS Selected Symposium 57, Ed. R. Jahn, ("Experimental Psi Research: Implications for Physics", Westview Press, 1981
Coauthor of textbook, Fundamentals of Quantum Electronics (Wiley, New York, 1969) published in English, French, Russian;
Coauthor of Mind Reach: Scientists Look at Psychic Ability (Delacorte, New York, 1977);
Coeditor of Mind at Large: IEEE Symposia on the Nature of Extrasensory Perception (Praeger, New York, 1979);
Patent on high-power tunable infrared laser source (50-250 microns)

PROFESSIONAL ASSOCIATIONS AND HONORS

American Association for the Advancement of Science, American Physical Society, Institute of Electrical and Electronics Engineers, Sigma Xi, Department of Defense Certificate of Commendation for Outstanding Performance, IEEE Franklyn V. Taylor Memorial Award for paper "A Scientific Look at ESP," listed in American Men and Women of Science and in Who's Who in the West