KUBARK COUNTERINTELLIGENCE INTERROGATION

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I. INTRODUCTION

A. Explanation of Purpose

This manual cannot teach anyone how to be, or become, a good interrogator. At best it can help readers to avoid the characteristic mistakes of poor interrogators.

Its purpose is to provide guidelines for KUBARK interrogation, and particularly the counterintelligence interrogation of resistant sources. Designed as an aid for interrogators and others immediately concerned, it is based largely upon the published results of extensive research, including scientific inquiries conducted by specialists in closely related subjects.

There is nothing mysterious about interrogation. It consists of no more than obtaining needed information through responses to questions. As is true of all craftsmen, some interrogators are more able than others; and some of their superiority may be innate. But sound interrogation nevertheless rests upon a knowledge of the subject matter and on certain broad principles, chiefly psychological, which are not hard to understand. The success of good interrogators depends in large measure upon their use, conscious or not, of these principles and of processes and techniques deriving from them. Knowledge of subject matter and of the basic principles will not of itself create a successful interrogation, but it will make possible the avoidance of mistakes that are characteristic of poor interrogation. The purpose, then, is not to teach the reader how to be a good interrogator but rather to tell him what he must learn in order to become a good interrogator.

The interrogation of a resistant source who is a staff or agent member of an Orbit intelligence or security service or of a clandestine Communist organization is one of the most exacting of professional tasks. Usually the odds still favor the interrogator, but they are sharply cut by the training, experience, patience and toughness of the interrogatee. In such circumstances the interrogator needs all the help that he can get. And a principal source of aid today is scientific findings. The intelligence service which is able to bring pertinent, modern knowledge to bear upon its problems enjoys huge advantages over a service which conducts its clandestine business in eighteenth century fashion. It is true that American psychologists have devoted somewhat more attention to Communist interrogation techniques, particularly "brainwashing", than to U.S. practices. Yet they have conducted scientific inquiries into many subjects that are closely related to interrogation: the effects of debility and isolation, the polygraph, reactions to pain and fear, hypnosis and heightened suggestibility, narcosis, etc. This work is of sufficient importance and relevance that it is no longer possible to discuss interrogation significantly without reference to the psychological research conducted in the past decade. For this reason a major purpose of this study is to focus relevant scientific findings upon CI interrogation. Every effort has been made to report and interpret these findings in our own language, in place of the terminology employed by the psychologists.

This study is by no means confined to a resume and interpretation of psychological findings. The approach of the psychologists is customarily manipulative; that is, they suggest methods of imposing controls or alterations upon the interrogatee from the outside. Except within the Communist frame of reference, they have paid less attention to the creation of internal controls--i.e., conversion of the source, so that voluntary cooperation results. Moral considerations aside, the imposition of external techniques of manipulating people carries with it the grave risk of later lawsuits, adverse publicity, or other attempts to strike back.

B. Explanation of Organization

This study moves from the general topic of interrogation per se (Parts I, II, III, IV, V, and VI) to planning the counter-intelligence interrogation (Part VII) to the CI interrogation of resistant sources (Parts VIII, IX, and X). The definitions, legal considerations, and discussions of interrogators and sources, as well as Section VI on screening and other preliminaries, are relevant to all kinds of interrogations. Once it is established that the source is probably a counter-intelligence target (in other words, is probably a member of a foreign intelligence or security service, a Communist, or a part of any other group engaged in clandestine activity directed against the national security), the interrogation is planned and conducted accordingly. The CI interrogation techniques are discussed in an order of increasing intensity as the focus on source resistance grows sharper. The last section, on do's and dont's, is a return to the broader view of the opening parts; as a check-list, it is placed last solely for convenience.

II. DEFINITIONS

Most of the intelligence terminology employed here which may once have been ambiguous has been clarified through usage or through KUBARK instructions. For this reason definitions have been omitted for such terms as burn notice, defector, escapee, and refugee. Other definitions have been included despite a common agreement about meaning if the significance is shaded by the context.

1. Assessment: the analysis and synthesis of information, usually about a person or persons, for the purpose of appraisal. The assessment of individuals is based upon the compilation and use of psychological as well as biographic detail.

2. Bona fides: evidence or reliable information about identity, personal (including intelligence) history, and intentions or good faith.

3. Control: the capacity to generate, alter, or halt human behavior by implying, citing, or using physical or psychological means to ensure compliance with direction. The compliance may be voluntary or involuntary. Control of an interrogatee can rarely be established without control of his environment.

4. Counterintelligence interrogation: an interrogation (see #7) designed to obtain information about hostile clandestine activities and persons or groups engaged therein. KUBARK CI interrogations are designed, almost invariably, to yield information about foreign intelligence and security services or Communist organizations. Because security is an element of counterintelligence, interrogations conducted to obtain admissions of clandestine plans or activities directed against KUBARK or PBPRIME security are also CI interrogations. But unlike a police interrogation, the CI

interrogation is not aimed at causing the interrogatee to incriminate himself as a means of bringing him to trial. Admissions of complicity are not, to a CI service, ends in themselves but merely preludes to the acquisition of more information.

5. Debriefing: obtaining information by questioning a controlled and witting source who is normally a willing one.

6. Eliciting: obtaining information, without revealing intent or exceptional interest, through a verbal or written exchange with a person who may be willing or unwilling to provide what is sought and who may or may not be controlled.

7. Interrogation: obtaining information by direct questioning of a person or persons under conditions which are either partly or fully controlled by the questioner or are believed by those questioned to be subject to his control. Because interviewing, debriefing, and eliciting are simpler methods of obtaining information from cooperative subjects, interrogation is usually reserved for sources who are suspect, resistant, or both.

8. Intelligence interview: obtaining information, not customarily under controlled conditions, by questioning a person who is aware of the nature and perhaps of the significance of his answers but who is ordinarily unaware of the purposes and specific intelligence affiliations of the interviewer.

III. LEGAL AND POLICY CONSIDERATIONS

The legislation which founded KUBARK specifically denied it any law-enforcement or police powers. Yet detention in a controlled environment and perhaps for a lengthy period is frequently essential to a successful counterintelligence interrogation of a recalcitrant source.

This necessity, obviously, should be determined as early as possible.

The legality of detaining and questioning a person, and of the methods employed,

Detention poses the most common of the legal problems. KUBARK has no independent legal authority to detain anyone against his will,

The haste in which some KUBARK interrogations have been conducted has not always been the product of impatience. Some security services, especially those of the Sino-Soviet Bloc, may work at leisure, depending upon time as well as their own methods to melt recalcitrance. KUBARK usually

cannot. Accordingly, unless it is considered that the prospective interrogatee is cooperative and will remain so indefinitely, the first step in planning an interrogation is to determine how long the source can be held. The choice of methods depends in part upon the answer to this question.

The handling and questioning of defectors are subject to the provisions of Directive No. 4: to its related Chief/KUBARK Directives, principally , Book Dispatch , and to pertinent . Those concerned with the interrogation of defectors, escapees, refugees, or repatriates should know these references.

The kinds of counterintelligence information to be sought in a CI interrogation are stated generally in Chief/KUBARK Directive and in greater detail in Book Dispatch .

The interrogation of PBPRIME citizens poses special problems. First, such interrogations should not be conducted for reasons lying outside the sphere of KUBARK's responsibilities. For example, the

but should not normally become directly involved. Clandestine activity conducted abroad on behalf of a foreign power by a private PBPRIME citizen does fall within KUBARK's investigative and interrogative responsibilities. However, any investigation, interrogation, or interview of a PBPRIME citizen which is conducted abroad because it is known or suspected that he is engaged in clandestine activities directed against PBPRIME security interests requires the prior and personal approval of Chief/KUDESK or of his deputy.

Since 4 October 1961, extraterritorial application has been given to the Espionage Act, making it henceforth possible to prosecute in the Federal Courts any PBPRIME citizen who violates the statutes of this Act in foreign countries. ODENVY has requested that it be informed, in advance if time permits, if any investigative steps are undertaken in these cases. Since KUBARK employees cannot be witnesses in court, each investigation must be conducted in such a manner that evidence obtained may be properly introduced if the case comes to trial.

states policy and procedures for the conduct of investigations of PBPRIME citizens abroad.

Interrogations conducted under compulsion or duress are especially likely to involve illegality and to entail damaging consequences for KUBARK. Therefore prior Headquarters approval at the KUDOVE level must be obtained for the interrogation of any source against his will and under any of the following circumstances:

1. If bodily harm is to be inflicted.

2. If medical, chemical, or electrical methods or materials are to be used to induce acquiescence.

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The CI interrogator dealing with an uncooperative interrogatee who has been well-briefed by a hostile service on the legal restrictions under which ODYOKE services operate must expect some effective delaying tactics. The interrogatee has been told that KUBARK will not hold him long, that he need only resist for a while. Nikolay KHOKHLOV, for example, reported that before he left for Frankfurt am Main on his assassination mission, the following thoughts coursed through his head: "If I should get into the hands of Western authorities, I can become reticent, silent, and deny my voluntary visit to Okolovich. I know I will not be tortured and that under the procedures of western law I can conduct myself boldly." (17) /The footnote numerals in this text are keyed to the numbered bibliography at the end./ The interrogator who encounters expert resistance should not grow flurried and press; if he does, he is likelier to commit illegal acts which the source can later use against him. Remembering that time is on his side, the interrogator should arrange to get as much of it as he needs.

IV. THE INTERROGATOR

A number of studies of interrogation discuss qualities said to be desirable in an interrogator. The list seems almost endless - a professional manner, forcefulness, understanding and sympathy, breadth of general knowledge, area knowledge, "a practical knowledge of psychology", skill in the tricks of the trade, alertness, perseverance, integrity, discretion, patience, a high I. Q., extensive experience, flexibility, etc., etc. Some texts even discuss the interrogator's manners and grooming, and one prescribed the traits considered desirable in his secretary.

A repetition of this catalogue would serve no purpose here, especially because almost all of the characteristics mentioned are also desirable in case officers, agents, policemen, salesmen, lumberjacks, and everybody else. The search of the pertinent scientific literature disclosed no reports of studies based on common-denominator traits of successful interrogators or any other controlled inquiries that would invest these lists with any objective validity.

Perhaps the four qualifications of chief importance to the interrogator are (1) enough operational training and experience to permit quick recognition of leads; (2) real familiarity with the language to be used; (3) extensive background knowledge about the interrogatee's native country (and intelligence service, if employed by one); and (4) a genuine understanding of the source as a person.

Stations, and even a few bases can call upon one or several interrogators to supply these prerequisites, individually or as a team. Whenever a number of interrogators is available, the percentage of successes is increased by careful matching of questioners and sources and by ensuring that rigid prescheduling does not prevent such matching. Of the four traits listed, a genuine insight into the source's character and motives is perhaps

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most important but least common. Later portions of this manual explore this topic in more detail. One general observation is introduced now, however, because it is considered basic to the establishment of rapport, upon which the success of non-coercive interrogation depends.

The interrogator should remember that he and the interrogatee are often working at cross-purposes not because the interrogatee is malevolently withholding or misleading but simply because what he wants from the situation is not what the interrogator wants. The interrogator's goal is to obtain useful information--facts about which the interrogatee presumably has acquired information. But at the outset of the interrogation, and perhaps for a long time afterwards, the person being questioned is not greatly concerned with communicating his body of specialized information to his questioner; he is concerned with putting his best foot forward. The question uppermost in his mind, at the beginning, is not likely to be "How can I help PBPRIME?" but rather "What sort of impression am I making?" and, almost immediately thereafter, "What is going to happen to me now?" (An exception is the penetration agent or provocateur sent to a KUBARK field installation after training in withstanding interrogation. Such an agent may feel confident enough not to be gravely concerned about himself. His primary interest, from the beginning, may be the acquisition of information about the interrogator and his service.)

The skilled interrogator can save a great deal of time by understanding the emotional needs of the interrogatee. Most people confronted by an official--and dimly powerful--representative of a foreign power will get down to cases much faster if made to feel, from the start, that they are being treated as individuals. So simple a matter as greeting an interrogatee by his name at the opening of the session establishes in his mind the comforting awareness that he is considered as a person, not a squeezable sponge. This is not to say that egotistic types should be allowed to bask at length in the warmth of individual recognition. But it is important to assuage the fear of denigration which afflicts many people when first interrogated by making it clear that the individuality of the interrogatee is recognized. With this common understanding established, the interrogation can move on to impersonal matters and will not later be thwarted or interrupted--

or at least not as often--by irrelevant answers designed not to provide facts but to prove that the interrogatee is a respectable member of the human race.

Although it is often necessary to trick people into telling what we need to know, especially in CI interrogations, the initial question which the interrogator asks of himself should be, "How can I make him want to tell me what he knows?" rather than "How can I trap him into disclosing what he knows?" If the person being questioned is genuinely hostile for ideological reasons, techniques of manipulation are in order. But the assumption of hostility--or at least the use of pressure tactics at the first encounter--may make difficult subjects even out of those who would respond to recognition of individuality and an initial assumption of good will.

Another preliminary comment about the interrogator is that normally he should not personalize. That is, he should not be pleased, flattered, frustrated, goaded, or otherwise emotionally and personally affected by the interrogation. A calculated display of feeling employed for a specific purpose is an exception; but even under these circumstances the interrogator is in full control. The interrogation situation is intensely inter-personal; it is therefore all the more necessary to strike a counter-balance by an attitude which the subject clearly recognizes as essentially fair and objective. The kind of person who cannot help personalizing, who becomes emotionally involved in the interrogation situation, may have chance (and even spectacular) successes as an interrogator but is almost certain to have a poor batting average.

It is frequently said that the interrogator should be "a good judge of human nature." In fact, '

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(3) This study states later (page "Great attention has been given to the degree to which persons are able to make judgements from casual observations regarding the personality characteristics of another. The consensus of research is that with respect to many kinds of judgments, at least some judges perform reliably better than chance...." Nevertheless, "...the level

of reliability in judgments is so low that research encounters difficulties when it seeks to determine who makes better judgments. . . ." (3) In brief, the interrogator is likelier to overestimate his ability to judge others than to underestimate it, especially if he has had little or no training in modern psychology. It follows that errors in assessment and in handling are likelier to result from snap judgments based upon the assumption of innate skill in judging others than from holding such judgments in abeyance until enough facts are known.

There has been a good deal of discussion of interrogation experts vs. subject-matter experts. Such facts as are available suggest that the latter have a slight advantage. But for counter-intelligence purposes the debate is academic.

It is sound practice to assign inexperienced interrogators to guard duty or to other supplementary tasks directly related to interrogation, so that they can view the process closely before taking charge. The use of beginning interrogators as screeners (see part VI) is also recommended.

Although there is some limited validity in the view, frequently expressed in interrogation primers, that the interrogation is essentially a battle of wits, the CI interrogator who encounters a skilled and resistant interrogatee should remember that a wide

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*The interrogator should be supported whenever possible by qualified analysts' review of his daily "take"; experience has shown that such a review will raise questions to be put and points to be clarified and lead to a thorough coverage of the subject in hand.

variety of aids can be made available in the field or from Headquarters. (These are discussed in Part VIII.) The intensely personal nature of the interrogation situation makes it all the more necessary that the KUBARK questioner should aim not for a personal triumph but for his true goal--the acquisition of all needed information by any authorized means.

V. THE INTERROGATEE

A. Types Of Sources: Intelligence Categories

From the viewpoint of the intelligence service the categories of persons who most frequently provide useful information in response to questioning are travellers; repatriates; defectors, escapees, and refugees; transferred sources; agents, including provocateurs, double agents, and penetration agents; and swindlers and fabricators.

1. Travellers are usually interviewed, debriefed, or queried through eliciting techniques. If they are interrogated, the reason is that they are known or believed to fall into one of the following categories.

2. Repatriates are sometimes interrogated, although other techniques are used more often. The proprietary interests of the host government will frequently dictate interrogation by a liaison service rather than by KUBARK. If KUBARK interrogates, the following preliminary steps are taken:

a. A records check, including local and Headquarters traces.

b. Testing of bona fides.

c. Determination of repatriate's kind and level of access while outside his own country.

d. Preliminary assessment of motivation (including political orientation), reliability, and capability as observer and reporter.

e. Determination of all intelligence or Communist

relationships, whether with a service or party of the repatriate's own country, country of detention, or another. Full particulars are needed.

3. Defectors, escapees, and refugees are normally interrogated at sufficient length to permit at least a preliminary testing of bona fides. The experience of the post-war years has demonstrated that Soviet defectors (1) almost never defect solely or primarily because of inducement by a Western service, (2) usually leave the USSR for personal rather than ideological reasons, and (3) are often RIS agents.

All analyses of the defector-refugee flow have shown that the Orbit services are well-aware of the advantages offered by this channel as a means of planting their agents in target countries.

4. Transferred sources referred to KUBARK by another service

for interrogation are usually sufficiently well-known to the transferring service so that a file has been opened. Whenever possible, KUBARK should secure a copy of the file or its full informational equivalent before accepting custody.

5. Agents are more frequently debriefed than interrogated.

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as an analytic tool. If it is then established or strongly suspected that the agent belongs to one of the following categories, further investigation and, eventually, interrogation usually follow.

a. Provocateur. Many provocation agents are walk-ins posing as escapees, refugees, or defectors in order to penetrate emigre groups, ODYOKE intelligence, or other targets assigned by hostile services. Although denunciations by genuine refugees and other evidence of information obtained from documents, local officials, and like sources may result in exposure, the detection of provocation frequently depends upon skilled interrogation. A later section of this manual deals with the preliminary testing of bona fides. But the results of preliminary testing are often inconclusive, and detailed interrogation is frequently essential to confession and full revelation. Thereafter the provocateur may be questioned for operational and positive intelligence as well as counterintelligence provided that proper cognizance is taken of his status during the questioning and later, when reports are prepared.

b. Double agent. The interrogation of DA's frequently follows a determination or strong suspicion that the double is "giving the edge" to the adversary service. As is also true for the interrogation of provocateurs, thorough preliminary investigation will pay handsome dividends when questioning gets under way. In fact, it is a basic principle of interrogation that the questioner should have at his disposal, before querying starts, as much pertinent information as can be gathered without the knowledge of the prospective

interrogatee.

d. Swindlers and fabricators are usually interrogated for prophylactic reasons, not for counterintelligence information. The purpose is the prevention or nullification of damage to KUBARK, to other ODYOKE services Swindlers and fabricators have little of CI significance to communicate but are notoriously skillful timewasters. Interrogation of them is usually inconclusive and, if prolonged,

unrewarding. The professional peddler with several IS contacts may prove an exception; but he will usually give the edge to a host security service because otherwise he cannot function with impunity.

B. Types of Sources: Personality Categories

The number of systems devised for categorizing human beings is large, and most of them are of dubious validity. Various categorical schemes are outlined in treatises on interrogation. The two typologies most frequently advocated are psychologic-emotional and geographic-cultural. Those who urge the former argue that the basic emotional-psychological patterns do not vary significantly with time, place, or culture. The latter school maintains the existence of a national character and sub-national categories, and interrogation guides based on this principle recommend approaches tailored to geographical cultures.

It is plainly true that the interrogation source cannot be understood in a vacuum, isolated from social context. It is equally true that some of the most glaring blunders in interrogation (and other operational processes) have resulted from ignoring the source's background. Moreover, emotional-psychological schematizations sometimes present atypical extremes rather than the kinds of people commonly encountered by interrogators. Such typologies also cause disagreement even among professional psychiatrists and psychologists. Interrogators who adopt them and who note in an interrogatee one or two of the characteristics of "Type A" may mistakenly assign the source to Category A and assume the remaining traits.

On the other hand, there are valid objections to the adoption of cultural-geographic categories for interrogation purposes (however valid they may be as KUCAGE concepts). The pitfalls of ignorance of the distinctive culture of the source have

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The ideal solution would be to avoid all categorizing. Basically, all schemes for labelling people are wrong per se; applied arbitrarily, they always produce distortions. Every interrogator knows that a real understanding of the individual is worth far more than a thorough knowledge of this or that pigeon-hole to which he has been consigned. And for interrogation purposes the ways in which he differs from the abstract type may be more significant than the ways in which he conforms.

But KUBARK does not dispose of the time or personnel to probe the depths of each source's individuality. In the opening phases of interrogation, or in a quick interrogation, we are compelled to make some use of the shorthand of categorizing, despite distortions. Like other interrogation aides, a scheme of categories is useful only if recognized for what it is--a set of labels that facilitate communication but are not the same as the persons thus labelled. If an interrogatee lies persistently, an interrogator may report and dismiss him as a "pathological liar." Yet such persons may possess counterintelligence (or other) information quite equal in value to that held by other sources, and the interrogator likeliest to get at it is the man who is not content with labelling but is as interested in why the subject lies as in what he lies about.

With all of these reservations, then, and with the further observation that those who find these psychological-emotional categories pragmatically valuable should use them and those who do not should let them alone, the following nine types are described. The categories are based upon the fact that a person's past is always reflected, however dimily, in his present ethics and behavior. Old dogs can learn new tricks but not new ways of learning them. People do change, but what appears to be new behavior or a new psychological pattern is usually just a variant on the old theme.

It is not claimed that the classification system presented here is complete; some interrogatees will not fit into any one of the groupings. And like all other typologies, the system is plagued by overlap, so that some interrogatees will show characteristics of more than one group. Above all, the interrogator must remember that finding some of the characteristics of the group in a single source does not warrant an immediate conclusion that the source "belongs to" the group, and that even correct labelling is not the equivalent of understanding people but merely an aid to understanding.

The nine major groups within the psychological-emotional category adopted for this handbook are the following.

1. The orderly-obstinate character. People in this category are characteristically frugal, orderly, and cold; frequently they are quite intellectual. They are not impulsive in behavior. They tend to think things through logically and to act deliberately. They often reach decisions very slowly. They are far less likely to make real personal sacrifices for a cause than to use them as a temporary means of obtaining a permanent personal gain. They are secretive and disinclined to confide in anyone else their plans and plots, which frequently concern the overthrow of some form of authority. They are also stubborn, although they may pretend cooperation or even believe that they are cooperating. They nurse grudges.

The orderly-obstinate character considers himself superior to other people. Sometimes his sense of superiority is interwoven with a kind of magical thinking that includes all sorts of superstitions and fantasies about controlling his environment. He may even have a system of morality that is all his own. He sometimes gratifies his feeling of secret superiority by provoking unjust treatment. He also tries, characteristically, to keep open a line of escape by avoiding any real commitment to anything. He is--and always has been--intensely concerned about his personal possessions. He is usually a tightwad who saves everything, has a strong sense of propriety, and is punctual and tidy. His money and other possessions have for him a personalized quality; they are parts of himself. He often carries around shiny coins, keepsakes, a bunch of keys, and other objects having for himself an actual or symbolic value.

Usually the orderly-obstinate character has a history of active rebellion in childhood, of persistently doing the exact opposite of what he is told to do. As an adult he may have learned to cloak his resistance and become passive-aggressive, but his determination to get his own way is unaltered. He has merely learned how to proceed indirectly if necessary. The profound fear and hatred of authority, persisting since childhood, is often well-concealed in adulthood. For example, such a person may confess easily and quickly under interrogation, even to acts that he did not commit, in order to throw the interrogator off the trail of a significant discovery (or, more rarely, because of feelings of guilt).

The interrogator who is dealing with an orderly-obstinate character should avoid the role of hostile authority. Threats and threatening gestures, table-pounding, pouncing on evasions or lies, and any similarly authoritative tactics will only awaken in such a subject his old anxieties and habitual defense mechanisms. To attain rapport, the interrogator should be friendly. It will probably prove rewarding if the room and the interrogator look exceptionally neat. Orderly-obstinate interrogatees often collect coins or other objects as a hobby; time spent in sharing their interests may thaw some of the ice. Establishing rapport is extremely important when dealing with this type.

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2. The optimistic character. This kind of source is almost constantly happy-go-lucky, impulsive, inconsistent, and undependable. He seems to enjoy a continuing state of well-being. He may be generous to a fault, giving to others as he wants to be given to. He may become an alcoholic or drug addict. He is not able to withstand very much pressure; he reacts to a challenge not by increasing his efforts but rather by running away to avoid conflict. His convictions that "something will turn up", that "everything will work out all right", is based on his need to avoid his own responsibility for events and depend upon a kindly fate.

Such a person has usually had a great deal of over-indulgence in early life. He is sometimes the youngest member of a large family,

the child of a middle-aged woman (a so-called "change-of-life baby"). If he has met severe frustrations in later childhood, he may be petulant, vengeful, and constantly demanding.

As interrogation sources, optimistic characters respond best to a kindly, parental approach. If withholding, they can often be handled effectively by the Mutt-and-Jeff technique discussed later in this paper. Pressure tactics or hostility will make them retreat inside themselves, whereas reassurance will bring them out. They tend to seek promises, to cast the interrogator in the role of protector and problem-solver; and it is important that the interrogator avoid making any specific promises that cannot be fulfilled, because the optimist turned vengeful is likely to prove troublesome.

3. The greedy, demanding character. This kind of person affixes himself to others like a leech and clings obsessively. Although extremely dependent and passive, he constantly demands that others take care of him and gratify his wishes. If he considers himself wronged, he does not seek redress through his own efforts but tries to persuade another to take up the cudgels in his behalf--"let's you and him fight." His loyalties are likely to shift whenever he feels that the sponsor whom he has chosen has let him down. Defectors of this type feel aggrieved because their desires were not satisfied in their countries of origin, but they soon feel equally deprived in a second land and turn against its government or representatives in the same way. The greedy and demanding character is subject to rather frequent depressions. He may direct a desire for revenge inward, upon himself; in extreme cases suicide may result.

The greedy, demanding character often suffered from very early deprivation of affection or security. As an adult he continues to seek substitute parents who will care for him as his own, he feels, did not.

The interrogator dealing with a greedy, demanding character must be careful not to rebuff him; otherwise rapport will be destroyed. On the other hand, the interrogator must not accede to demands which cannot or should not be met. Adopting the tone of an understanding father or big brother is likely to make the subject responsive. If he makes exorbitant requests, an unimportant favor may provide a satis-

factory substitute because the demand arises not from a specific need but as an expression of the subject's need for security. He is likely to find reassuring any manifestation of concern for his well-being.

In dealing with this type--and to a considerable extent in dealing with any of the types herein listed--the interrogator must be aware of the limits and pitfalls of rational persuasion. If he seeks to induce cooperation by an appeal to logic, he should first determine whether the source's resistance is based on logic. The appeal will glance off ineffectually if the resistance is totally or chiefly emotional rather than rational. Emotional resistance can be dissipated only by emotional manipulation.

4. The anxious, self-centered character. Although this person is fearful, he is engaged in a constant struggle to conceal his fears. He is frequently a daredevil who compensates for his anxiety by pretending that there is no such thing as danger. He may be a stunt flier or circus performer who "proves" himself before crowds. He may also be a Don Juan. He tends to brag and often lies through hunger for approval or praise. As a soldier or officer he may have been decorated for bravery; but if so, his comrades may suspect that his exploits resulted from a pleasure in exposing himself to danger and the anticipated delights of rewards, approval, and applause. The anxious, self-centered character is usually intensely vain and equally sensitive.

People who show these characteristics are actually unusually fearful. The causes of intense concealed anxiety are too complex and subtle to permit discussion of the subject in this paper.

Of greater importance to the interrogator than the causes is the opportunity provided by concealed anxiety for successful manipulation of the source. His desire to impress will usually be quickly evident. He is likely to be voluble. Ignoring or ridiculing his bragging, or cutting him short with a demand that he get down to cases, is likely to make him resentful and to stop the flow. Playing upon his vanity, especially by praising his courage, will usually be a successful tactic if employed skillfully. Anxious, self-centered interrogatees who are withholding significant facts, such as contact with a hostile service,

are likelier to divulge if made to feel that the truth will not be used to harm them and if the interrogator also stresses the callousness and stupidity of the adversary in sending so valiant a person upon so ill-prepared a mission. There is little to be gained and much to be lost by exposing the nonrelevant lies of this kind of source. Gross lies about deeds of daring, sexual prowess, or other "proofs" of courage and manliness are best met with silence or with friendly but noncommittal replies unless they consume an inordinate amount of time. If operational use is contemplated, recruitment may sometimes be effected through such queries as, "I wonder if you would be willing to undertake a dangerous mission."

5. The guilt-ridden character. This kind of person has a strong cruel, unrealistic conscience. His whole life seems devoted to reliving his feelings of guilt. Sometimes he seems determined to atone; at other times he insists that whatever went wrong is the fault of somebody else. In either event he seeks constantly some proof or external indication that the guilt of others is greater than his own. He is often caught up completely in efforts to prove that he has been treated unjustly. In fact, he may provoke unjust treatment in order to assuage his conscience through punishment. Compulsive gamblers who find no real pleasure in winning but do find relief in losing belong to this class. So do persons who falsely confess to crimes. Sometimes such people actually commit crimes in order to confess and be punished. Masochists also belong in this category.

The causes of most guilt complexes are real or fancied wrongs done to parents or others whom the subject felt he ought to love and honor. As children such people may have been frequently scolded or punished. Or they may have been "model" children who repressed all natural hostilities.

The guilt-ridden character is hard to interrogate. He may "confess" to hostile clandestine activity, or other acts of interest to KUBARK, in which he was not involved. Accusations levelled at him by the interrogator are likely to trigger such false confessions. Or he may remain silent when accused, enjoying the "punishment." He is a poor subject for LCFLUTTER. The complexities of dealing with conscience-ridden interrogatees vary so widely from case to case that it is almost impossible to list sound general principles. Perhaps

the best advice is that the interrogator, once alerted by information from the screening process (see Part VI) or by the subject's excessive preoccupation with moral judgements, should treat as suspect and subjective any information provided by the interrogatee about any matter that is of moral concern to him. Persons with intense guilt feelings may cease resistance and cooperate if punished in some way, because of the gratification induced by punishment.

6. The character wrecked by success is closely related to the guilt-ridden character. This sort of person cannot tolerate success and goes through life failing at critical points. He is often accident-prone. Typically he has a long history of being promising and of almost completing a significant assignment or achievement but not bringing it off. The character who cannot stand success enjoys his ambitions as long as they remain fantasies but somehow ensures that they will not be fulfilled in reality. Acquaintances often feel that his success is just around the corner, but something always intervenes. In actuality this something is a sense of guilt, of the kind described above. The person who avoids success has a conscience which forbids the pleasures of accomplishment and recognition. He frequently projects his guilt feelings and feels that all of his failures were someone else's fault. He may have a strong need to suffer and may seek danger or injury.

As interrogatees these people who "cannot stand prosperity" pose no special problem unless the interrogation impinges upon their feelings of guilt or the reasons for their past failures. Then subjective distortions, not facts, will result. The successful interrogator will isolate this area of unreliability.

7. The schizoid or strange character lives in a world of fantasy much of the time. Sometimes he seems unable to distinguish reality from the realm of his own creating. The real world seems to him empty and meaningless, in contrast with the mysteriously significant world that he has made. He is extremely intolerant of any frustration that occurs in the outer world and deals with it by withdrawal into the interior realm.

He has no real attachments to others, although he may attach symbolic and private meanings or values to other people.

Children reared in homes lacking in ordinary affection and attention or in orphanages or state-run communes may become adults who belong to this category. Rebuffed in early efforts to attach themselves to another, they become distrustful of attachments and turn inward. Any link to a group or country will be undependable and, as a rule, transitory. At the same time the schizoid character needs external approval. Though he retreats from reality, he does not want to feel abandoned.

As an interrogatee the schizoid character is likely to lie readily to win approval. He will tell the interrogator what he thinks the interrogator wants to hear in order to win the award of seeing a smile on the interrogator's face. Because he is not always capable of distinguishing between fact and fantasy, he may be unaware of lying. The desire for approval provides the interrogator with a handle. Whereas accusations of lying or other indications of disesteem will provoke withdrawal from the situation, teasing the truth out of the schizoid subject may not prove difficult if he is convinced that he will not incur favor through misstatements or disfavor through telling the truth.

Like the guilt-ridden character, the schizoid character may be an unreliable subject for testing by LCFLUTTER because his internal needs lead him to confuse fact with fancy. He is also likely to make an unreliable agent because of his incapacity to deal with facts and to form real relationships.

8. The exception believes that the world owes him a great deal. He feels that he suffered a gross injustice, usually early in life, and should be repaid. Sometimes the injustice was meted out impersonally, by fate, as a physical deformity, an extremely painful illness or operation in childhood, or the early loss of one parent or both. Feeling that these misfortunes were undeserved, the exceptions regard them as injustices that someone or something must rectify. Therefore they claim as their right privileges not permitted others. When the claim is ignored or denied, the exceptions become rebellious, as adolescents often do. They are

convinced that the justice of the claim is plain for all to see and that any refusal to grant it is willfully malignant.

When interrogated, the exceptions are likely to make demands for money, resettlement aid, and other favors--demands that are completely out of proportion to the value of their contributions. Any ambiguous replies to such demands will be interpreted as acquiescence. Of all the types considered here, the exception is likeliest to carry an alleged injustice dealt him by KUBARK to the newspapers or the courts.

The best general line to follow in handling those who believe that they are exceptions is to listen attentively (within reasonable timelimits) to their grievances and to make no commitments that cannot be discharged fully. Defectors from hostile intelligence services, doubles, provocateurs, and others who have had more than passing contact with a Sino-Soviet service may, if they belong to this category, prove unusually responsive to suggestions from the interrogator that they have been treated unfairly by the other service. Any planned operational use of such persons should take into account the fact that they have no sense of loyalty to a common cause and are likely to turn aggrievedly against superiors.

9. The average or normal character is not a person wholly lacking in the characteristics of the other types. He may, in fact, exhibit most or all of them from time to time. But no one of them is persistently dominant; the average man's qualities of obstinacy, unrealistic optimism, anxiety, and the rest are not overriding or imperious except for relatively short intervals. Moreover, his reactions to the world around him are more dependent upon events in that world and less the product of rigid, subjective patterns than is true of the other types discussed.

C. Other Clues

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The true defector (as distinguished from the hostile agent in defector's guise) is likely to have a history of opposition to authority. The sad fact is that defectors who left their homelands because they could not get along with their immediate or ultimate superiors are also likely to rebel against authorities in the new environment (a fact which usually plays an important part in re-defection). Therefore defectors are likely to be found in the ranks of the orderly-obstinate, the greedy and demanding, the schizoids, and the exceptions.

Experiments and statistical analyses performed at the University of Minnesota concerned the relationships among anxiety and affiliative tendencies (desire to be with other people), on the one hand, and the ordinal position (rank in birth sequence) on the other. Some of the findings, though necessarily tentative and speculative, have some relevance to interrogation. (30). As is noted in the bibliography, the investigators concluded that isolation typically creates anxiety, that anxiety intensifies the desire to be with others who share the same fear, and that only and first-born children are more anxious and less willing or able to withstand pain than later-born children. Other applicable hypotheses are that fear increases the affiliative needs of first-born and only children much more than those of the later-born. These differences are more pronounced in persons from small families than in those who grew up in large families. Finally, only children are much likelier to hold themselves together and persist in anxiety-producing situations than are the first-born, who more frequently try to retreat. In the other major respects - intensity of anxiety and emotional need to affiliate - no significant differences between "firsts" and "onlies" were discovered.

It follows that determining the subject's "ordinal position" before questioning begins may be useful to the interrogator. But two cautions are in order. The first is that the findings are, at this stage, only tentative hypotheses. The second is that even if they prove accurate for large groups, the data are like those in actuarial tables; they have no specific predictive value for individuals.

VI. SCREENING AND OTHER PRELIMINARIES

A. Screening

some large stations are able to conduct preliminary psychological screening before interrogation starts. The purpose of screening is to provide the interrogator, in advance, with a reading on the type and characteristics of the interrogatee. It is recommended that screening be conducted whenever personnel and facilities permit, unless it is reasonably certain that the interrogation will be of minor importance or that the interrogatee is fully cooperative.

Screening should be conducted by interviewers, not interrogators; or at least the subjects should not be screened by the same KUBARK personnel who will interrogate them later.

Other psychological testing aids are best administered by a trained psychologist. Tests conducted on American POW's returned to U. S. jurisdiction in Korea during the Big and Little Switch suggest that prospective interrogatees who show normal emotional responsiveness on the Rorschach and related tests are likelier to prove cooperative under interrogation than are those whose responses indicate that they are apathetic and emotionally

withdrawn or barren. Extreme resisters, however, share the response characteristics of collaborators; they differ in the nature and intensity of motivation rather than emotions. "An analysis of objective test records and biographical information is a sample of 759 Big Switch repatriates revealed that men who had collaborated differed from men who had not in the following ways: the collaborators were older, had completed more years of school, scored higher on intelligence tests administered after repatriation, had served longer in the Army prior to capture, and scored higher on the Psychopathic Deviate Scale - pd.... However, the 5 percent of the noncollaborator sample who resisted actively - who were either decorated by the Army or considered to be 'reactionaries' by the Chinese - differed from the remaining group in precisely the same direction as the collaborator group and could not be distinguished from this group on any variable except age; the resisters were older than the collaborators." (33)

Even a rough preliminary estimate, if valid, can be a boon to the interrogator because it will permit him to start with generally sound tactics from the beginning - tactics adapted to the personality of the source. Dr. Moloney has expressed the opinion, which we may use as an example of this, that the AVH was able to get what it wanted from Cardinal Mindszenty because the Hungarian service adapted its interrogation methods to his personality. "There can be no doubt that Mindszenty's preoccupation with the concept of becoming secure and powerful through the surrender of self to the greatest power of them all - his God idea - predisposed him to the response elicited in his experience with the communist intelligence. For him the surrender of self-system to authoritarian-system was natural, as was the very principle of martyrdom." (28)

The task of screening is made easier by the fact that the screener is interested in the subject, not in the information which he may possess. Most people--even many provocation agents who have been trained to recite a legend--will speak with some freedom about childhood events and familial relationships. And even the provocateur who substitutes a fictitious person for his real father will disclose some of his feelings about his father in the course of detailing his story about the imaginary substitute. If the screener

has learned to put the potential source at ease, to feel his way along in each case, the source is unlikely to consider that a casual conversation about himself if dangerous.

The screener is interested in getting the subject to talk about himself. Once the flow starts, the screener should try not to stop it by questions, gestures, or other interruptions until sufficient information has been revealed to permit a rough determination of type. The subject is likeliest to talk freely if the screener's manner is friendly and patient. His facial expression should not reveal special interest in any one statement; he should just seem sympathetic and understanding. Within a short time most people who have begun talking about themselves go back to early experiences, so that merely by listening and occasionally making a quiet, encouraging remark the screener can learn a great deal. Routine questions about school teachers, employers, and group leaders, for example, will lead the subject to reveal a good deal of how he feels about his parents, superiors, and others of emotional consequence to him because of associative links in his mind.

It is very helpful if the screener can imaginatively place himself in the subject's position. The more the screener knows about the subject's native area and cultural background, the less likely is he to disturb the subject by an incongruous remark. Such comments as, "That must have been a bad time for you and your family," or "Yes, I can see why you were angry," or "It sounds exciting" are sufficiently innocuous not to distract the subject, yet provide adequate evidence of sympathetic interest. Taking the subject's side against his enemies serves the same purpose, and such comments as "That was unfair; they had no right to treat you that way" will aid rapport and stimulate further revelations.

It is important that gross abnormalities be spotted during the screening process. Persons suffering from severe mental illness will show major distortions, delusions, or hallucinations and will usually give bizarre explanations for their behavior. Dismissal or prompt referral of the mentally ill to professional specialists will save time and money.

The second and related purpose of screening is to permit an educated guess about the source's probable attitude toward the

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interrogation. An estimate of whether the interrogatee will be cooperative or recalcitrant is essential to planning because very different methods are used in dealing with these two types.

At stations or bases which cannot conduct screening in the formal sense, it is still worth-while to preface any important interrogation with an interview of the source, conducted by someone other than the interrogator and designed to provide a maximum of evaluative information before interrogation commences.

Unless a shock effect is desired, the transition from the screening interview to the interrogation situation should not be abrupt. At the first meeting with the interrogatee it is usually a good idea for the interrogator to spend some time in the same kind of quiet, friendly exchange that characterized the screening interview. Even though the interrogator now has the screening product, the rough classification by type, he needs to understand the subject in his own terms. If he is immediately aggressive, he imposes upon the first interrogation session (and to a diminishing extent upon succeeding sessions) too arbitrary a pattern. As one expert has said, "Anyone who proceeds without consideration for the disjunctive power of anxiety in human relationships will never learn interviewing." (34)

B. Other Preliminary Procedures

The preliminary handling of other types of interrogation sources is usually less difficult. It suffices for the present purpose to list the following principles:

1. All available pertinent information ought to be assembled and studied before the interrogation itself is planned, much less conducted. An ounce of investigation may be worth a pound of questions.

2. A distinction should be drawn as soon as possible between sources who will be sent to site organized and equipped for interrogation and those whose

interrogation will be completed by the base or station with which contact is first established.

3. The suggested procedure for arriving at a preliminary assessment of walk-ins remains the same -

The key points are repeated here for ease of reference. These preliminary tests are designed to supplement the technical examination of a walk-in's documents, substantive questions about claimed homeland or occupation, and other standard inquiries. The following questions, if asked, should be posed as soon as possible after the initial contact, while the walk-in is still under stress and before he has adjusted to a routine.

a. The walk-in may be asked to identify all relatives and friends in the area, or even the country, in which PBPRIME asylum is first requested. Traces should be run speedily. Provocation agents are sometimes directed to "defect" in their target areas, and friends or relatives already in place may be hostile assets.

b. At the first interview the questioner should be on the alert for phrases or concepts characteristic of intelligence or CP activity and should record such leads whether it is planned to follow them by interrogation on the spot

c. LCFLUTTER should be used if feasible. If not, the walk-in may be asked to undergo such testing at a later date. Refusals should be recorded, as well as indications that the walk-in has been briefed on the technique by another service. The manner as well as the nature of the walk-in's reaction to the proposal should be noted.

d. If LCFLUTTER, screening, investigation, or any other methods do establish a prior intelligence history, the following minimal information should be obtained:

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5. All documents that have a bearing on the planned interrogation merit study. Documents from Bloc countries, or those which are in any respect unusual or unfamiliar, are customarily sent to the proper field or headquarters component for technical analysis.

6. If during screening or any other pre-interrogation phase it is ascertained that the source has been interrogated before, this fact should be made known to the interrogator. Agents, for example, are accustomed to being questioned repeatedly and professionally. So are persons who have been arrested several times. People who have had practical training in being interrogated become sophisticated subjects, able to spot uncertainty, obvious tricks, and other weaknesses.

C. Summary

Screening and the other preliminary procedures will help the interrogator - and his base, station, to decide whether the prospective source (1) is likely to possess useful counterintelligence because of association with a foreign service or Communist Party and (2) is likely to cooperate voluntarily or not. Armed with these estimates and with whatever insights screening has provided into the personality of the source, the interrogator is ready to plan.

VII. PLANNING THE COUNTERINTELLIGENCE INTERROGATION

A. The Nature of Counterintelligence Interrogation

The long-range purpose of CI interrogation is to get from the source all the useful counterintelligence information that he has. The short-range purpose is to enlist his cooperation toward this end or, if he is resistant, to destroy his capacity for resistance and replace it with a cooperative attitude. The techniques used in nullifying resistance, inducing compliance, and eventually eliciting voluntary cooperation are discussed in Part VIII of this handbook.

No two interrogations are the same. Every interrogation is shaped definitively by the personality of the source - and of the interrogator, because interrogation is an intensely interpersonal process. The whole purpose of screening and a major purpose of the first stage of the interrogation is to probe the strengths and weaknesses of the subject. Only when these have been established and understood does it become possible to plan realistically.

Planning the CI interrogation of a resistant source requires an understanding (whether formalized or not) of the dynamics of confession. Here Horowitz's study of the nature of confession is pertinent. He starts by asking why confessions occur at all. "Why not always brazen it out when confronted by accusation? Why does a person convict himself through a confession, when, at the very worst, no confession would leave him at least as well off (and possibly better off)...?" He answers that confessions obtained without duress are usually the product of the following conditions:

1. The person is accused explicitly or implicitly and feels accused.

2. As a result his psychological freedom - the extent to which he feels able to do what he wants to - is curtailed. This feeling need not correspond to confinement or any other external reality.

3. The accused feels defensive because he is on unsure ground. He does not know how much the accuser knows. As a result the accused "has no formula for proper behavior, no role if you will, that he can utilize in this situation."

4. He perceives the accuser as representing authority. Unless he believes that the accuser's powers far exceed his own, he is unlikely to feel hemmed in and defensive. And if he "perceives that the accusation is backed by 'real' evidence, the ratio of external forces to his own forces is increased and the person's psychological position is now more precarious. It is interesting to note that in such situations the accused tends toward over response, or exaggerated response; to hostility and emotional display; to self-righteousness, to counter accusation, to defense...."

5. He must believe that he is cut off from friendly or supporting forces. If he does, he himself becomes the only source of his "salvation."

6. "Another condition, which is most probably necessary, though not sufficient for confession, is that the accused person feels guilt. A possible reason is that a sense of guilt promotes self-hostility." It should be equally clear that if the person does not feel guilt he is not in his own mind guilty and will not confess to an act which others may regard as evil or wrong and he, in fact, considers correct. Confession in such a case can come only with duress even where all other conditions previously mentioned may prevail."

7. The accused, finally, is pushed far enough along the path toward confession that it is easier for him to keep going than to turn back. He perceives confession as the only way out of his predicament and into freedom. (15)

Horowitz has been quoted and summarized at some length because it is considered that the foregoing is a basically sound account of the processes that evoke confessions from sources whose resistance is not strong at the outset, who have not previously been confronted with detention and interrogation, and who have not been trained by an adversary intelligence or security service in resistance techniques. A fledgling or disaffected Communist or agent, for example, might be brought to confession and cooperation without the use of any external coercive forces other than the interrogation situation itself, through the above-described progression of subjective events.

It is important to understand that interrogation, as both situation and process, does of itself exert significant external pressure upon the interrogatee as long as he is not permitted to accustom himself to it. Some psychologists trace this effect back to infantile relationships. Meerlo, for example, says that every verbal relationship repeats to some degree the pattern of early verbal relationships between child and parent. (27) An interrogatee, in particular, is likely to see the interrogator as a parent or parent-symbol, an object of suspicion and resistance or of submissive acceptance. If the interrogator is unaware of this unconcsious process, the result can be a confused battle of submerged attitudes, in which the spoken words are often merely a cover for the unrelated struggle being waged at lower levels of both personalities. On the other hand, the interrogator who does understand these facts and who knows how to turn them to his advantage may not need to resort to any pressures greater than those that flow directly from the interrogation setting and function.

Obviously, many resistant subjects of counterintelligence interrogation cannot be brought to cooperation, or even to compliance, merely through pressures which they generate

within themselves or through the unreinforced effect of the interrogation situation. Manipulative techniques - still keyed to the individual but brought to bear upon him from outside himself - then become necessary. It is a fundamental hypothesis of this handbook that these techniques, which can succeed even with highly resistant sources, are in essence methods of inducing regression of the personality to whatever earlier and weaker level is required for the dissolution of resistance and the inculcation of dependence. All of the techniques employed to break through an interrogation roadblock, the entire spectrum from simple isolation to hypnosis and narcosis, are essentially ways of speeding up the process of regression. As the interrogatee slips back from maturity toward a more infantile state, his learned or structured personality traits fall away in a reversed chronological order, so that the characteristics most recently acquired - which are also the characteristics drawn upon by the interrogatee in his own defense - are the first to go. As Gill and Brenman have pointed out, regression is basically a loss of autonomy. (13)

Another key to the successful interrogation of the resisting source is the provision of an acceptable rationalization for yielding. As regression proceeds, almost all resisters feel the growing internal stress that results from wanting simultaneously to conceal and to divulge. To escape the mounting tension, the source may grasp at any face-saving reason for compliance - any explanation which will placate both his own conscience and the possible wrath of former superiors and associates if he is returned to Communist control. It is the business of the interrogator to provide the right rationalization at the right time. Here too the importance of understanding the interrogatee is evident; the right rationalization must be an excuse or reason that is tailored to the source's personality.

The interrogation process is a continuum, and everything that takes place in the continuum influences all subsequent events. The continuing process, being interpersonal, is not

reversible. Therefore it is wrong to open a counterintelligence interrogation experimentally, intending to abandon unfruitful approaches one by one until a sound method is discovered by chance. The failures of the interrogator, his painful retreats from blind alleys, bolster the confidence of the source and increase his ability to resist. While the interrogator is struggling to learn from the subject the facts that should have been established before interrogation started, the subject is learning more and more about the interrogator.

B. The Interrogation Plan

Planning for interrogation is more important than the specifics of the plan. Because no two interrogations are alike, the interrogation cannot realistically be planned from A to Z, in all its particulars, at the outset. But it can and must be planned from A to F or A to M. The chances of failure in an unplanned CI interrogation are unacceptably high. Even worse, a "dash-on-regardless" approach can ruin the prospects of success even if sound methods are used later.

The intelligence category to which the subject belongs, though not determinant for planning purposes, is still of some significance. The plan for the interrogation of a traveller differs from that for other types because the time available for questioning is often brief. The examination of his bona fides, accordingly, is often less searching. He is usually regarded as reasonably reliable if his identity and freedom from other intelligence associations have been established, if records checks do not produce derogatory information, if his account of his background is free of omissions or discrepancies suggesting significant withholding, if he does not attempt to elicit information about the questioner or his sponsor, and if he willingly provides detailed information which appears reliable or is established as such.

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Defectors can usually be interrogated unilaterally, at least for a time. Pressure for participation will usually come from an ODYOKE intelligence component. The time available for unilateral testing and exploitation should be calculated at the outset, with a fair regard for the rights and interests of other members of the intelligence community. The most significant single fact to be kept in mind when planning the interrogation of Soviet defectors is that a certain percentage of them have proven to be controlled agents; estimates of this percentage have ranged as high as during a period of several years after 1955. (22)

KUBARK's lack of executive powers is especially significant if the interrogation of a suspect agent or of any other subject who is expected to resist is under consideration. As a general rule, it is difficult to succeed in the CI interrogation of a resistant source unless the interrogating service can control the subject and his environment for as long as proves necessary.

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C. The Specifics

1. The Specific Purpose

Before questioning starts, the interrogator has clearly in mind what he wants to learn, why he thinks the source has the information, how important it is, and how it can best be obtained. Any confusion here, or any questioning based on the premise that the purpose will take shape after the interrogation is under way, is almost certain to lead to aimlessness and final failure. If the specific goals cannot be discerned clearly, further investigation is needed before querying starts.

2. Resistance

The kind and intensity of anticipated resistance is estimated. It is useful to recognize in advance whether the information desired would be threatening or damaging in any way to the interests of the interrogatee. If so, the interrogator should consider whether the same information, or confirmation of it, can be gained from another source. Questioning suspects immediately, on a flimsy factual basis, will usually cause waste of time, not save it. On the other hand, if the needed information is not sensitive from the subject's viewpoint,

merely asking for it is usually preferable to trying to trick him into admissions and thus creating an unnecessary battle of wits.

The preliminary psychological analysis of the subject makes it easier to decide whether he is likely to resist and, if so, whether his resistance will be the product of fear that his personal interests will be damaged or the result of the non-cooperative nature of orderly-obstinate and related types. The choice of methods to be used in overcoming resistance is also determined by the characteristics of the interrogatee.

3. The Interrogation Setting

The room in which the interrogation is to be conducted should be free of distractions. The colors of walls, ceiling, rugs, and furniture should not be startling. Pictures should be missing or dull. Whether the furniture should include a desk depends not upon the interrogator's convenience but rather upon the subject's anticipated reaction to connotations of superiority and officialdom. A plain table may be preferable. An over-stuffed chair for the use of the interrogatee is sometimes preferable to a straight-backed, wooden chair because if he is made to stand for a lengthy period or is otherwise deprived of physical comfort, the contrast is intensified and increased disorientation results. Some treatises on interrogation are emphatic about the value of arranging the lighting so that its source is behind the interrogator and glares directly at the subject. Here, too, a flat rule is unrealistic. The effect upon a cooperative source is inhibitory, and the effect upon a withholding source may be to make him more stubborn. Like all other details, this one depends upon the personality of the interrogatee.

Good planning will prevent interruptions. If the room is also used for purposes other than interrogation, a "Do Not Disturb" sign or its equivalent should hang on the door when questioning is under way. The effect of someone wandering in because he forgot his pen or wants to invite the

interrogator to lunch can be devastating. For the same reason there should not be a telephone in the room; it is certain to ring at precisely the wrong moment. Moreover, it is a visible link to the outside; its presence makes a subject feel less cut-off, better able to resist.

The interrogation room affords ideal conditions for photographing the interrogatee without his knowledge by concealing a camera behind a picture or elsewhere.

If a new safehouse is to be used as the interrogation site, it should be studied carefully to be sure that the total environment can be manipulated as desired. For example, the electric current should be known in advance, so that transformers or other modifying devices will be on hand if needed.

Arrangements are usually made to record the interrogation, transmit it to another room, or do both. Most experienced interrogators do not like to take notes. Not being saddled with this chore leaves them free to concentrate on what sources say, how they say it, and what else they do while talking or listening. Another reason for avoiding note-taking is that it distracts and sometimes worries the interrogatee. In the course of several sessions conducted without note-taking, the subject is likely to fall into the comfortable illusion that he is not talking for the record. Another advantage of the tape is that it can be played back later. Upon some subjects the shock of hearing their own voices unexpectedly is unnerving. The record also prevents later twistings or denials of admissions.

A recording is also a valuable training aid for interrogators, who by this

means can study their mistakes and their most effective techniques. Exceptionally instructuve interrogations, or selected portions thereof, can also be used in the training of others.

If possible, audio equipment should also be used to transmit the proceedings to another room, used as a listening post. The main advantage of transmission is that it enables the person in charge of the interrogation to note crucial points and map further strategy, replacing one interrogator with another, timing a dramatic interruption correctly, etc. It is also helpful to install a small blinker bulb behind the subject or to arrange some other method of signalling the interrogator, without the source's knowledge, that the questioner should leave the room for consultation or that someone else is about to enter.

4. The Participants

Interrogatees are normally questioned separately. Separation permits the use of a number of techniques that would not be possible otherwise. It also intensifies in the source the feeling of being cut off from friendly aid. Confrontation of two or more suspects with each other in order to produce recriminations or admissions is especially dangerous if not preceded by separate interrogation sessions which have evoked compliance from one of the interrogatees, or at least significant admissions involving both. Techniques for the separate interrogations of linked sources are discussed in Part IX.

The number of interrogators used for a single interrogation case varies from one man to a large team. The size of the team depends on several considerations, chiefly the importance of the case and the intensity of source resistance. Although most sessions consist of one interrogator and one interrogatee, some of the techniques described later call for the presence of two, three, or four interrogators. The two-man team, in particular, is subject to unintended antipathies and conflicts not called for by assigned roles. Planning and

subsequent conduct should eliminate such cross-currents before they develop, especially because the source will seek to turn them to his advantage.

Team members who are not otherwise engaged can be employed to best advantage at the listening post. Inexperienced interrogators find that listening to the interrogation while it is in progress can be highly educational.

Once questioning starts, the interrogator is called upon to function at two levels. He is trying to do two seemingly contradictory things at once: achieve rapport with the subject but remain an essentially detached observer. Or he may project himself to the resistant interrogatee as powerful and ominous (in order to eradicate resistance and create the necessary conditions for rapport) while remaining wholly uncommitted at the deeper level, noting the significance of the subject's reactions and the effectiveness of his own performance. Poor interrogators often confuse this bi-level functioning with role-playing, but there is a vital difference. The interrogator who merely pretends, in his surface performance, to feel a given emotion or to hold a given attitude toward the source is likely to be unconvincing; the source quickly senses the deception. Even children are very quick to feel this kind of pretense. To be persuasive, the sympathy or anger must be genuine; but to be useful, it must not interfere with the deeper level of precise, unaffected observation. Bi-level functioning is not difficult or even unusual; most people act at times as both performer and observer unless their emotions are so deeply involved in the situation that the critical faculty disintegrates. Through experience the interrogator becomes adept in this dualism. The interrogator who finds that he has become emotionally involved and is no longer capable of unimpaired objectivity should report the facts so that a substitution can be made. Despite all planning efforts to select an interrogator whose age, background, skills, personality, and experience make him the best choice for the job, it sometimes happens that both questioner and subject feel, when they first meet,

an immediate attraction or antipathy which is so strong that a change of interrogators quickly becomes essential. No interrogator should be reluctant to notify his superior when emotional involvement becomes evident. Not the reaction but a failure to report it would be evidence of a lack of professionalism.

Other reasons for changing interrogators should be anticipated and avoided at the outset. During the first part of the interrogation the developing relationship between the questioner and the initially uncooperative source is more important than the information obtained; when this relationship is destroyed by a change of interrogators, the replacement must start nearly from scratch. In fact, he starts with a handicap, because exposure to interrogation will have made the source a more effective resister. Therefore the base, station, should not assign as chief interrogator a person whose availability will end before the estimated completion of the case.

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5. The Timing

Before interrogation starts, the amount of time probably required and probably available to both interrogator and interrogatee should be calculated. If the subject is not to be under detention, his normal schedule is ascertained in advance, so that he will not have to be released at a critical point because he has an appointment or has to go to work.

Because pulling information from a recalcitrant subject is the hard way of doing business, interrogation should not begin until all pertinent facts available from overt and from cooperative sources have been assembled.

Interrogation sessions with a resistant source who is under detention should not be held on an unvarying schedule. The capacity for resistance is diminished by disorientation. The subject may be left alone for days; and he may be returned to his cell, allowed to sleep for five minutes, and brought back

to an interrogation which is conducted as though eight hours had intervened. The principle is that sessions should be so planned as to disrupt the source's sense of chronological order.

6. The Termination

The end of an interrogation should be planned before questioning starts. The kinds of questions asked, the methods employed, and even the goals sought may be shaped by what will happen when the end is reached.

If he is to be released upon the local economy, perhaps blacklisted as a suspected hostile agent but not subjected to subsequent counterintelligence surveillance, it is important to avoid an inconclusive ending that has warned the interrogatee of our doubts but has established nothing. The poorest interrogations are those that trail off into an inconclusive nothingness.

A number of practical terminal details should also be considered in advance. Are the source's documents to be returned to him, and will they be available in time? Is he to be paid? If he is a fabricator or hostile agent, has he been photographed and fingerprinted? Are subsequent contacts necessary or desirable, and have recontact provisions been arranged? Has a quit-claim been obtained?

As was noted at the beginning of this section, the successful interrogation of a strongly resistant source ordinarily involves two key processes: the calculated regression of the interrogatee and the provision of an acceptable rationalization. If these two steps have been taken, it becomes very important to clinch the new tractability by means of conversion. In other words, a subject who has finally divulged the information sought and who has been given a reason for divulging which salves his self-esteem, his conscience, or both, will often be in a mood to take the final step of accepting the interrogator's values and making common cause with him. If operational use is now

contemplated, conversion is imperative. But even if the source has no further value after his fund of information has been mined, spending some extra time with him in order to replace his new sense of emptiness with new values can be good insurance. All non-Communist services are bothered at times by disgruntled exinterrogatees who press demands and threaten or take hostile action if the demands are not satisfied. Defectors in particular, because they are often hostile toward any kind of authority, cause trouble by threatening or bringing suits in local courts, arranging publication of vengeful stories, or going to the local police. The former interrogatee is especially likely to be a future trouble-maker if during interrogation he was subjected to a form of compulsion imposed from outside himself. Time spent, after the interrogation ends, in fortifying the source's sense of acceptance in the interrogator's world may be only a fraction of the time required to bottle up his attempts to gain revenge. Moreover, conversion may create a useful and enduring asset. (See also remarks in VIII B 4.)

VIII. THE NON-COERCIVE COUNTERINTELLIGENCE INTERROGATION

A. General Remarks

The term non-coercive is used above to denote methods of interrogation that are not based upon the coercion of an unwilling subject through the employment of superior force originating outside himself. However, the non-coercive interrogation is not conducted without pressure. On the contrary, the goal is to generate maximum pressure, or at least as much as is needed to induce compliance. The difference is that the pressure is generated inside the interrogatee. His resistance is sapped, his urge to yield is fortified, until in the end he defeats himself.

Manipulating the subject psychologically until he becomes compliant, without applying external methods of forcing him to submit, sounds harder than it is. The initial advantage lies with the interrogator. From the outset, he knows a great deal more about the source than the source knows about him. And he can create and amplify an effect of omniscience in a number of ways. For example, he can show the interrogatee a thick file bearing his own name. Even if the file contains little or nothing but blank paper, the air of familiarity with which the interrogator refers to the subject's background can convince some sources that all is known and that resistance is futile.

If the interrogatee is under detention, the interrogator can also manipulate his environment. Merely by cutting off all other human contacts, "the interrogator monopolizes the social environment of the source."(3) He exercises the powers of an all-powerful parent, determining when the source will be sent to bed, when and what he will eat, whether he will be rewarded for good behavior or punished for being bad. The interrogator can and does make the

subject's world not only unlike the world to which he had been accustomed but also strange in itself - a world in which familiar patterns of time, space, and sensory perception are overthrown. He can shift the environment abruptly. For example, a source who refuses to talk at all can be placed in unpleasant solitary confinement for a time. Then a friendly soul treats him to an unexpected walk in the woods. Experiencing relief and exhilaration, the subject will usually find it impossible not to respond to innocuous comments on the weather and the flowers. These are expanded to include reminiscences, and soon a precedent of verbal exchange has been established. Both the Germans and the Chinese have used this trick effectively.

The interrogator also chooses the emotional key or keys in which the interrogation or any part of it will be played.

Because of these and other advantages, ".

..."(3)

B. The Structure of the Interrogation

A counterintelligence interrogation consists of four parts: the opening, the reconnaissance, the detailed questioning and the conclusion.

1. The Opening

Most resistant interrogatees block off access to significant counterintelligence in their possession for one or more of four reasons. The first is a specific negative reaction to the interrogator. Poor initial handling or a fundamental antipathy can make a source uncooperative even if he has nothing significant or damaging to conceal. The second cause is that some sources are resistant "by nature" - i.e. by early conditioning - to any compliance with authority. The third is that the subject believes that the information sought will be

damaging or incriminating for him personally that cooperation with the interrogator will have consequences more painful for him than the results of non-cooperation. The fourth is ideological resistance. The source has identified himself with a cause, a political movement or organization, or an opposition intelligence service. Regardless of his attitude toward the interrogator, his own personality, and his fears for the future, the person who is deeply devoted to a hostile cause will ordinarily prove strongly resistant under interrogation.

A principal goal during the opening phase is to confirm the personality assessment obtained through screening and to allow the interrogator to gain a deeper understanding of the source as an individual. Unless time is crucial, the interrogator should not become impatient if the interrogatee wanders from the purposes of the interrogation and reverts to personal concerns. Significant facts not produced during screening may be revealed. The screening report itself is brought to life, the type becomes an individual, as the subject talks. And sometimes seemingly rambling monologues about personal matters are preludes to significant admissions. Some people cannot bring themselves to provide information that puts them in an unfavorable light until, through a lengthy prefatory rationalization, they feel that they have set the stage, that the interrogator will now understand why they acted as they did. If face-saving is necessary to the interrogatee, it will be a waste of time to try to force him to cut the preliminaries short and get down to cases. In his view, he is dealing with the important topic, the why. He will be offended and may become wholly uncooperative if faced with insistent demands for the naked what.

There is another advantage in letting the subject talk freely and even ramblingly in the first stage of interrogation. The interrogator is free to observe. Human beings communicate a great deal by non-verbal means. Skilled interrogators, for example, listen closely to voices and learn a great deal from them. An interrogation is not merely a

verbal performance; it is a vocal performance, and the voice projects tension, fear, a dislike of certain topics, and other useful pieces of information. It is also helpful to watch the subject's mouth, which is as a rule much more revealing than his eyes. Gestures and postures also tell a story. If a subject normally gesticulates broadly at times and is at other times physically relaxed but at some point sits stiffly motionless, his posture is likely to be the physical image of his mental tension. The interrogator should make a mental note of the topic that caused such a reaction.

One textbook on interrogation lists the following physical indicators of emotions and recommends that interrogators note them, not as conclusive proofs but as assessment aids:

(1) A ruddy or flushed face is an indication of anger or embarrassment but not necessarily of guilt.

(2) A "cold sweat" is a strong sign of fear and shock.

(3) A pale face indicates fear and usually shows that the interrogator is hitting close to the mark.

(4) A dry mouth denotes nervousness.

(5) Nervous tension is also shown by wringing a handkerchief or clenching the hands tightly.

(6) Emotional strain or tension may cause a pumping of the heart which becomes visible in the pulse and throat.

(7) A slight gasp, holding the breath, or an unsteady voice may betray the subject.

(8) Fidgeting may take many forms, all of which are good indications of nervousness.

(9) A man under emotional strain or nervous tension will involuntarily draw his elbows to his sides. It is a protective defense mechanism.

(10) The movement of the foot when one leg is crossed over the knee of the other can serve as an indicator. The circulation of the blood to the lower leg is partially cut off, thereby causing a slight lift or movement of the free foot with each heart beat. This becomes more pronounced and observable as the pulse rate increases.

Pauses are also significant. Whenever a person is talking about a subject of consequence to himself, he goes through a process of advance self-monitoring, performed at lightning speed. This self-monitoring is more intense if the person is talking to a stranger and especially intense if he is answering the stranger's questions. Its purpose is to keep from the questioner any guilty information or information that would be damaging to the speaker's self-esteem. When questions or answers get close to sensitive areas, the pre-scanning is likely to create mental blocks. These in turn produce unnatural pauses, meaningless sounds designed to give the speaker more time, or other interruptions. It is not easy to distinguish between innocent blocks -- things held back for reasons of personal prestige -- and guilty blocks -- things the interrogator needs to know. But the successful establishment of rapport will tend to eliminate innocent blocks, or at least to keep them to a minimum.

The establishment of rapport is the second principal purpose of the opening phase of the interrogation. Sometimes the interrogator knows in advance, as a result of screening, that the subject will be uncooperative. At other times the probability of resistance is established without screening; detected hostile agents, for example, usually have not only the will to resist but also the means, through a cover story or other explanation. But the anticipation of withholding increases rather than diminishes, the value of rapport. In other words,

a lack of rapport may cause an interrogatee to withhold information that he would otherwise provide freely, whereas the existence of rapport may induce an interrogatee who is initially determined to withhold to change his attitude. Therefore the interrogator must not become hostile if confronted with initial hostility, or in any other way confirm such negative attitudes as he may encounter at the outset. During this first phase his attitude should remain business-like but also quietly (not ostentatiously) friendly and welcoming. Such opening remarks by subjects as, "I know what you so-and-so's are after, and I can tell you right now that you're not going to get it from me" are best handled by an unperturbed "Why don't you tell me what has made you angry?" At this stage the interrogator should avoid being drawn into conflict, no matter how provocatory may be the attitude or language of the interrogatee. If he meets truculence with neither insincere protestations that he is the subject's "pal" nor an equal anger but rather a calm interest in what has aroused the subject, the interrogator has gained two advantages right at the start. He has established the superiority that he will need later, as the questioning develops, and he has increased the chances of establishing rapport.

How long the opening phase continues depends upon how long it takes to establish rapport or to determine that voluntary cooperation is unobtainable. It may be literally a matter of seconds, or it may be a drawn-out, up-hill battle. Even though the cost in time and patience is sometimes high, the effort to make the subject feel that his questioner is a sympathetic figure should not be abandoned until all reasonable resources have been exhausted (unless, of course, the interrogation does not merit much time). Otherwise, the chances are that the interrogation will not produce optimum results. In fact, it is likely to be a failure, and the interrogator should not be dissuaded from the effort to establish rapport by an inward conviction that no man in his right mind would incriminate himself by providing the kind of information that is sought. The history of interrogation is full of confessions and other self-incriminations that were in essence the result of a substitution of the interrogation world for the world outside. In

other words, as the sights and sounds of an outside world fade away, its significance for the interrogatee tends to do likewise. That world is replaced by the interrogation room, its two occupants, and the dynamic relationship between them. As interrogation goes on, the subject tends increasingly to divulge or withhold in accordance with the values of the interrogation world rather than those of the outside world (unless the periods of questioning are only brief interruptions in his normal life). In this small world of two inhabitants a clash of personalities -- as distinct from a conflict of purposes -- assumes exaggerated force, like a tornado in a wind-tunnel. The self-esteem of the interrogatee and of the interrogator becomes involved, and the interrogatee fights to keep his secrets from his opponent for subjective reasons, because he is grimly determined not to be the loser, the inferior. If on the other hand the interrogator establishes rapport, the subject may withhold because of other reasons, but his resistance often lacks the bitter, last-ditch intensity that results if the contest becomes personalized.

The interrogator who senses or determines in the opening phase that what he is hearing is a legend should resist the first, natural impulse to demonstrate its falsity. In some interrogatees the ego-demands, the need to save face, are so intertwined with preservation of the cover story that calling the man a liar will merely intensify resistance. It is better to leave an avenue of escape, a loophole which permits the source to correct his story without looking foolish.

If it is decided, much later in the interrogation, to confront the interrogatee with proof of lying, the following related advice about legal cross-examination may prove helpful.

"Much depends upon the sequence in which one conducts the cross-examination of a dishonest witness. You should never hazard the important question until you have laid the foundation for it in such a way that, when confronted with the fact, the witness can neither deny nor explain it. One often

sees the most damaging documentary evidence, in the forms of letters or affidavits, fall absolutely flat as betrayers of falsehood, merely because of the unskillful way in which they are handled. If you have in your possession a letter written by the witness, in which he takes an opposite position on some part of the case to the one he has just sworn to, avoid the common error of showing the witness the letter for identification, and then reading it to him with the inquiry, 'What have you to say to that?' During the reading of his letter the witness will be collecting his thoughts and getting ready his explanations in anticipation of the question that is to follow, and the effect of the damaging letter will be lost.... The correct method of using such a letter is to lead the witness quietly into repeating the statements he has made in his direct testimony, and which his letter contradicts. Then read it off to him. The witness has [no explanation]. He has stated the fact, there is nothing to qualify."(41)

2. The Reconnaissance

If the interrogatee is cooperative at the outset or if rapport is established during the opening phase and the source becomes cooperative, the reconnaissance stage is needless; the interrogator proceeds directly to detailed questioning. But if the interrogatee is withholding, a period of exploration is necessary. Assumptions have normally been made already as to what he is withholding: that he is a fabricator, or an RIS agent, or something else he deems it important to conceal. Or the assumption may be that he had knowledge of such activities carried out by someone else. At any rate, the purpose of the reconnaissance is to provide a quick testing of the assumption and, more importantly, to probe the causes, extent, and intensity of resistance.

During the opening phase the interrogator will have charted the probable areas of resistance by noting those topics which caused emotional or physical reactions, speech blocks, or other indicators. He now begins to probe these areas. Every experienced interrogator has noted that if an interrogatee

is withholding, his anxiety increases as the questioning nears the mark. The safer the topic, the more voluble the source. But as the questions make him increasingly uncomfortable, the interrogatee becomes less communicative or perhaps even hostile. During the opening phase the interrogator has gone along with this protective mechanism. Now, however, he keeps coming back to each area of sensitivity until he has determined the location of each and the intensity of the defenses. If resistance is slight, mere persistence may overcome it; and detailed questioning may follow immediately. But if resistance is strong, a new topic should be introduced, and detailed questioning reserved for the third stage.

Two dangers are especially likely to appear during the reconnaissance. Up to this point the interrogator has not continued a line of questioning when resistance was encountered. Now, however, he does so, and rapport may be strained. Some interrogatees will take this change personally and tend to personalize the conflict. The interrogator should resist this tendency. If he succumbs to it, and becomes engaged in a battle of wits, he may not be able to accomplish the task at hand. The second temptation to avoid is the natural inclination to resort prematurely to ruses or coercive techniques in order to settle the matter then and there. The basic purpose of the reconnaissance is to determine the kind and degree of pressure that will be needed in the third stage. The interrogator should reserve his fire-power until he knows what he is up against.

3. The Detailed Questioning

a. If rapport is established and if the interrogatee has nothing significant to hide, detailed questioning presents only routine problems. The major routine considerations are the following:

The interrogator must know exactly what he wants to know. He should have on paper or firmly in mind all the questions to which he seeks answers. It usually