

Appendix I

TES Administration Guidelines
(DoDPI97-P-0009)

The following information is from the DoDPI TES Administration Manual and earlier TES studies (Research Division Staff, 1995; in press). Some terms have been changed to more accurately describe the procedures or to reflect policy changes. While we are attempting to replicate the TES format as it was originally tested, some changes have been made to adapt the procedure for this specific study.

DEFINITIONS AND ABBREVIATIONS:

- Examination - the entire procedure, to include all phases of a PDD examination for both subtests.
- Examination Decision - the decision (i.e., SR, NSR, NO) for the entire examination.
- No Decision - Any examination that is not NSR or SR after INITIAL SCORING of subtests "A" or "B" is NO DECISION, until the subtest is scored again without utilizing the first comparison question.
- No Opinion (NO) - There were insufficient evaluation criteria to render a decision of SR or NSR (after the rescore).
- No Significant Response (NSR) - There were no significant physiological responses to the relevant questions.
- Question Score - the numerical evaluation of the physiological activity in response to a specific relevant question.
- Question Spot Score - the numerical sum of the three question scores associated with the presentation of the same question on a subtest.
- Significant Response (SR) - Physiological responses to the relevant questions indicate that something about the questions is significant to the examinee.
- Subtest - TES consists of two subtests. Subtest A utilizes relevant questions related to sabotage and espionage, while subtest B utilizes relevant questions related to unauthorized disclosure and unauthorized contact.
- Subtest Decision - the decision (i.e., SR, NSR, NO) for a subtest.
- Subtest Score - the sum of the six relevant question scores on a subtest.

OVERVIEW OF EVENT SEQUENCE:

1. TURN ON TAPE RECORDER and give a general overview of the procedures.
2. Read the consent form (Appendix J) to the examinee and witness the examinee's signing of the consent form.
3. Complete the Biographical and Medical Questionnaire (Appendix K) and determine the examinee's suitability for testing. [NOTE that the final decision regarding subject suitability rests with the examiner. IF THE SUBJECT IS UNSUITABLE, DON'T RUN THE TEST.]
4. Explain how the polygraph instrument works and the F³ theory of deception detection--this should be very brief.

5. Attach components.
6. Administer a standard known solution numbers test--using the rationale described in section 6. below. DO NOT show the test to the examinee, but convince the examinee that deception was indicated.
7. Explain and review the sabotage and espionage relevant questions.
8. Explain and review the sacrifice relevant questions.
9. Explain and review the directed lie comparison questions.
10. Explain and review the irrelevant questions.
11. Administer subtest A.
12. Print and evaluate subtest A.
13. If the subtest A result is No Opinion, explain that the subject failed to produce sufficient responses, review the relevant and directed lie comparison questions and administer subtest A again.
14. Explain and review the unauthorized contact and unauthorized disclosure relevant questions.
15. Use the same comparison questions or explain and review new directed lie comparison questions.
16. Administer subtest B.
17. Print and evaluate subtest B.
18. If the subtest B result is No Opinion, explain that the subject failed to produce sufficient responses, review the relevant and directed lie comparison questions and administer subtest B again.
19. Ask subject to wait while examination results are reviewed by Quality Control officer.
20. Resolve any conflicts with Quality Control officer -- administer subtests again if necessary.
21. Thank examinee for help and escort to departure area.
22. Provide Quality Control officer with collected data.

NOTE: At no time will the examiner question the subject's veracity.

ENVIRONMENT:

All PDD examinations should occur in a suitable examination room. There should be chairs for the examiner and examinee and a table for the polygraph instrument. The examination room should not contain any other distracting equipment, or decorations. The room may or may not have an observation window, or video equipment.

NO ONE other than the examinee and the single examiner is authorized to be present in the examination room during the first three phases of the PDD examination.

INTERVIEWS:

Interviews will be conducted in a manner which conveys respect for the examinee and is in no way degrading to the examinee. During this study, the examiner will talk with the examinee only during pretest interviews, the question review procedures, and brief question reviews following an NO decision

on a subtest. The basic philosophy following an NO decision will be to determine why the relevant questions were significant for the examinee and to assist the examinee in resolving any problems with the relevant issues.

Interviews of examinees during any phase of a PDD examination will not probe any of the following areas.

- a. Religious beliefs or affiliations;
- b. Beliefs and opinions regarding racial matters;
- c. Political beliefs and affiliations;
- d. Opinions regarding the constitutionality of legislative policy
- e. Use of drugs or alcohol (except for the purposes of assessing suitability);
- f. Affiliations with labor unions;
- g. Sexual matters; and
- h. Finances

INTERVIEW TERMINATIONS:

Whenever an interview is terminated before the examination has been completed, the examiner will immediately advise the appropriate supervisory examiner of the situation, and then in the PDD report fully describe the circumstances of the termination. The report must include the reason for discontinuance, how much of the examination remained, whether or not adequate tests had been conducted from which a conclusion may be rendered, the attitude of the examinee, and what was said or what behavior caused the termination. If any arrangements were made to reschedule the examination for another day, they should be noted. IT IS THE RESPONSIBILITY OF THE EXAMINER TO DETERMINE IF THE EXAMINEE IS SUITABLE FOR TESTING.

EXAMINER TERMINATED INTERVIEWS:

An examiner may terminate an examination for several reasons. The examiner may assess the examinee to be unsuitable for the examination, either mentally, physically or behaviorally. The examiner may be ill or the examiner may feel unable to establish adequate rapport to conduct a valid examination. Medical problems and psychological problems involving examinees must be discussed with the supervisory examiner, but the final decision to test an examinee rests with the examiner.

EXAMINEE TERMINATED INTERVIEWS:

An examinee may terminate an examination for several reasons. The reasons for examinee termination may be less clear than the reasons for examiner termination. In some cases it may be desirable to have a transcript typed regarding the discussion which led to the termination of the interview. If the examinee has stated that (s)he does not wish to continue the interview or resume it at a later date, the supervisory examiner should be advised that the person has discontinued processing. If the examinee makes any allegations or threats, these must be noted and contained in the PDD report.

THE TEST:

1. TURN ON TAPE RECORDER and give a general overview of the procedures. Explain that you will:
 - (a) ask the subject to sign a consent form,
 - (b) briefly review some biographical and medical questions,
 - (c) explain how and why a PDD examination is completed,
 - (d) conduct a known solution examination to demonstrate the PDD examination process,
 - (e) review the questions to be asked during subtest A,
 - (f) repeat subtest, A if necessary,
 - (g) review the questions to be asked during subtest B,
 - (h) repeat subtest B, if necessary,
 - (i) end the examination.
2. Read the PDD Examination Consent Form to the examinee, answer any questions the examinee has, ask the examinee to sign the form, and sign the form yourself as a witness.
3. Review the Biographical and Medical Questionnaire with the subject. REMEMBER THAT THE EXAMINER DETERMINES IF EXAMINEE IS PHYSICALLY AND MENTALLY SUITABLE FOR TESTING.
4. Explain how the polygraph instrument works and the F³ theory of deception detection--be very brief. Use the following example as a guideline.

You may be a little nervous, especially if you have not had a PDD examination before. This is expected and is quite normal. To help put you at ease, I will explain what the instrument is and how it works. The polygraph is a diagnostic tool that is used to determine if a person is telling the truth. It simply records physiological changes that take place in your body when you are asked questions. Today, changes in your respiration, sweat gland activity, and blood pressure will be recorded. Please notice the two rubber tubes on the desk. One will be placed across your chest and the other will be placed around your abdominal area. They will be used to record your breathing. There are two metal finger plates next to the rubber tubes. These plates will be attached to two of your fingers and will record your sweat gland activity. Finally, there is a blood pressure cuff on the desk. It is the same type of cuff a doctor uses to measure blood pressure. It will be placed on your arm and will monitor changes in your cardiovascular activity.

These physiological changes are a result of an automatic response system in your body. It is a response system over which you have no control. For example, visualize yourself walking down a dark

alley late at night. Suddenly you hear a loud noise. You will instantaneously decide either to remain where you are and investigate the source of the noise, or to flee the area, sensing danger to your well being. Regardless of the choice you make, your body automatically adjusts itself to meet the needs of the situation; your heart may beat faster, your breathing may change and you may break out in a cold sweat.

When you were growing up, if you are like most people, you were raised to know the difference between right and wrong. Quite probably, all of the adults you came in contact with--your parents, grandparents, relatives, teachers, church officials--taught you that lying, cheating, and stealing were wrong. Ever since you were a young child, you have been programmed to know that lying is wrong. Think about the first time you lied and got caught. Remember how your body felt during that confrontation. Your heart may have been racing or you may have been sweating. However, the responses were automatic; your body adjusted to the stress of the situation.

People are not always 100% honest. Sometimes it is kinder and more socially acceptable to lie than to be honest - such as telling someone you like their clothes when you really think the clothes are awful. It is important for you to understand that even though a lie might be socially acceptable or only a small lie, or a lie by omission, your body still responds. The recording on the polygraph will show only the physiological responses. It cannot know what kind of lie you are telling. Therefore, it is extremely important that you be totally honest to those questions concerning this project.

5. Attach components including the pneumograph tubes, the GSR finger plates, and the cardiovascular auscultatory cuff. BE SURE THE GSR CHANNEL IS SET TO AUTOMATIC MODE.
6. Administer a standard known solution numbers test-- using the rationale below. DO NOT show the test to the examinee, but convince the examinee that deception was indicated. NOTE: be sure to use the word acquaintance or demonstration test when discussing this with the examinee.

I'm now going to demonstrate the physiological responses we have been discussing. This test is intended to give you the opportunity to become accustomed to the recording components and to give me the opportunity to adjust the instrument to you

before proceeding to the actual test. In addition, this test will demonstrate to me that you are capable of responding and that your body reacts when you knowingly and willfully lie.

The standard four components (two pneumograph tubes, electrodermal plates, and cardiovascular cuff) are attached at this time, followed by the acquaintance test. The acquaintance test should be conducted in the manner taught at DoDPI and during TES training. The results will be discussed with the examinee as follows:

That was excellent. It is obvious that you know lying is wrong. You're not capable of lying without your body reacting. You reacted strongly when you lied about that number. Even though I asked you to lie and it was an insignificant lie, you still responded. That will make this examination very easy to complete as long as you follow my directions.

7. Explain and review the sabotage and espionage relevant questions. It is suggested that the preferred questions be used, but the alternate questions may be used at the examiner's discretion. THE QUESTION LIST SHOULD BE INCLUDED WITH THE DATA FILE. Begin with a brief explanation of the types of questions to be used such as the following:

I am going to review the questions which I will be asking you on the examination. There are two types of questions; security questions pertaining to your activities during this project and diagnostic questions. I will explain each type of question and I will review each question in detail. The first questions will be the security questions pertaining to your activities during this project.

Preferred Espionage Question:

Have you spied during this project?

Have you committed espionage during this project?

This question refers to the intentional, unauthorized release of classified information or material to a foreign government or power, with the intent to or reason to believe that the information or material would injure the government or give an advantage to the foreign power. For purposes of this project, espionage would be the improper copying, removal, transportation or release of project information or materials. Engaging in espionage would include being contacted by someone or contacting someone for the purposes of

providing information about the project. If you have personal involvement, assisted someone, or know of an unreported act of espionage, you have committed espionage during this project. Espionage during this project would include acts that were of your own initiative or at the request of someone else (a superior or employer). If you have been approached, if you were recruited, if you were trained or were involved in the planning of, or if you were tasked to engage in an act of espionage during this project, you have engaged in espionage during this project. Your motivations might have been money or ideology or loyalty (following directions) and you may or may not have received any compensation, monetary or otherwise. If you have been involved in any of these activities, you have engaged in espionage during this project.

Preferred Sabotage Question:

Have you committed an act of sabotage during this project?

Alternative Sabotage Question:

Have you deliberately damaged (destroyed) material associated with this project?

This question refers to a deliberate act of destroying, damaging, contaminating or altering anything used in the nation's defense with the intent of impeding the nation's defense capabilities. For the purposes of this project, sabotage would be any intentional act of slowing down, damaging, or destruction of property, operations or personnel related to this project. This could be accomplished by the actual destruction or damaging of equipment or information or through the interference with information systems such as faulty computer programming or introducing a computer virus. Engaging in sabotage would include being contacted by someone or contacting someone for the purposes of sabotage during this project. If you have personal involvement, assisted someone, or know of an unreported act of sabotage, you have committed sabotage during this project. Sabotage during this project would include acts that were of your own initiative or at the request of someone else (a superior or employer). If you have been approached, if you were recruited, if you were trained or were involved in the planning of, or if you were tasked to engage in an act of sabotage during this project, you have engaged in sabotage during this project. Your motivations might have been money or ideology or loyalty (following directions) and you may or may not have received any compensation, monetary or otherwise. If you have been involved in any of these activities, you have engaged in sabotage during this project.

8. Explain and review the sacrifice relevant question. The sacrifice relevant may be reviewed as the first relevant question or as the last (third) relevant question. Provide a rationale for the sacrifice relevant question (e.g. "I need to ensure that you intend to be truthful to the security questions, so I am going to ask you..."). The rationale may depend on whether the sacrifice relevant is reviewed as the first or third relevant question.

Use one of the following sacrifice relevant questions (the first is preferred).

Do you intend to answer the security questions truthfully?

Regarding the security questions, do you intend to answer truthfully?

Explain and review the directed lie comparison questions. Use the following explanation as a guideline.

I am now going to discuss the second type of question, the diagnostic questions. As I explained earlier, when you lie your body responds and I will be able to see the response, just as I did during the demonstration. If, however, you were given a test and I saw no responses to any of the questions, it would look like you were telling the truth. For various reasons (sick, tired, using some medication) some people lose their capability to respond. Consequently, I must ask some questions that demonstrate you continue to have the capability to respond when you are lying and that you do not respond when you are telling the truth.

First I will review those questions used to determine if you are capable of responding when you lie. I already know the answer to these questions because we all have done these things at one time or another. When I ask the question I want you to think of an occasion when you did this--don't tell me about it, just think of a specific time. Then lie to me and say no.

Before each question preface it with--we have all (e.g. violated traffic laws)--you have haven't you (they should answer yes)--of course. Now think of a specific incident (don't tell me). When I ask you 'Did you ever violate a traffic law' I want you to lie to me and say "NO." When I ask you this question on the test--I want you to think of that incident when you lie to me.

The examiner may select from among the following directed lie questions. These are the only acceptable directed lie comparison questions. Review two from the following list.

Did you ever take any government (company) supplies for your personal use?
Did you ever violate a traffic (fishing, hunting, boating) law?
Did you ever say something derogatory about another person behind their back?
Did you ever say something that you later regretted?
Did you ever lie to a previous supervisor about anything?
Did you ever borrow anything and forget to return it?
Did you ever lie to a co-worker about anything at all?
Did you ever say anything in anger that you later regretted?
Did you ever brag about yourself to impress others?

NOTE: "Did you ever" may be substituted with "Have you ever"

10. Explain and review the irrelevant questions. Use the following explanation example as a guideline.

The final diagnostic questions you may hear are ones you will answer truthfully so that I can see how you are responding when you tell the truth. It will be obvious that you are telling the truth. The questions are....

The following are the only acceptable irrelevant questions. Review two from the list.

Are you now in Alabama?
Is today _____?
Do you sometimes drink water?
Are you now on (or at location)?
Are you sometimes called _____?
Are the lights on?
Are you sitting down?
Is this the month of _____?
Is the door closed?

11. Administer subtest A. Prepare the examinee for the test.

Review all questions again and have the examinee answer as they should during the examination. Questions should be reviewed in the following sequence: SR, R1, R2, C1, C2, I1, I2. If the examinee answers a DLC incorrectly, remind the examinee to think of the specific incident and to answer as you instructed. Repeat the review until the examinee dose it correctly.

Tell examinees they will be hearing some or all of the questions, that the questions will occur in no specific order, that some of the questions will be repeated, and that they should sit still and follow directions. Remind them that they should think about the questions to which they are going to lie.

[PAGE 39 WITHHELD BY DEFENSE SECURITY SERVICE]

[PAGE 40 WITHHELD BY DEFENSE SECURITY SERVICE]

The three numerical scores for each of the two relevant questions will be summed to yield two question spot scores.

The R1 and R2 question spot scores will be totaled to yield a preliminary subtest score. In addition, the responses to 1R1 and 1R2 will be compared to the response to 1C2 only to yield rescore totals.

If the question spot scores for R1 or R2 is -3 or less, or the subtest score is -4 or less, then the decision will be SR.

If the subtest score is +4 or greater and the R1 AND R2 question spot scores are greater than 0 (i.e., positive with no zeros), then the decision will be NSR.

If these conditions are not met, then the original scores for the 2nd and 3rd presentations of R1 and R2 will be added to the rescore totals to yield a final decision--using the decision criteria specified above.

If no decision can be made at this point the examinee will be retested.

13. If the subtest A decision is No Opinion, explain that the examinee failed to produce sufficient responses, review the relevant and directed lie comparison questions and administer subtest A again.

NOTE: When substantive admissions have been made to a relevant question, preface that relevant question with one of the following caveats when retesting.

Other than what you told me...
Other than what we discussed...

NOTE: Subtest B will be conducted regardless of the decision on subtest A. Examiners should not interrogate or question subjects' veracity. Any objective problems (excessive sleepiness, admissions, perceived countermeasures) should, however, be noted on the score sheets.

14. Explain and review the unauthorized contact and unauthorized disclosure relevant questions as follows.

Preferred Unauthorized Contact Question:

During this project, have you had unauthorized contact with a foreign national?

Alternate Unauthorized Contact Questions:

During this project, have you spoken with a foreigner?

During this project, have you had unauthorized contact with a foreigner?

Normally refers to secret or clandestine contact with a non - U.S. citizen or someone who represents a foreign government, power, group, or organization. For the purposes of this study, I want to know if you have had any secretive meetings with a foreign individual that you don't want me to know about, that you are trying to hide from me.

A foreign national is someone who is self-identified as a non-U.S. citizen or as representing a foreign government or group.

Have you had contact with anyone who has requested sensitive or classified information about this project? Contact includes all means of communication - personal, phone, computer link-up, radio or written communication. This contact would be considered unauthorized if you are intentionally trying to keep me from knowing about it.

Any unreported visits, a close or continuing contact with a foreigner, contact that might result in an adverse impact on this project, any type of clandestine, secret or hidden meetings with a foreigner would be considered unauthorized contact.

Preferred unauthorized disclosure question:

During this project, have you provided classified material to an unauthorized person?

Alternate unauthorized disclosure question:

During this project, have you given (released) classified material to anyone?

This question normally refers to the disclosure, by any means, of any sensitive or classified material to any unauthorized person. For the purposes of this project, any attempt on your part to provide or to sell any information or material relevant to this project to anyone would be considered providing sensitive or classified material to an unauthorized person. The disclosure could have been an intentional, deliberate disclosure done with forethought and the intent to get personal or monetary gain, or to try to hinder the project, or it could have been accidental and unintentional. An unauthorized person is anyone who was not a part of this project.

15. Use the same comparison questions or explain and review new directed lie comparison questions (see sections 9 & 10 above).
16. Administer subtest B (see section 11 above).
17. Print and evaluate subtest B (see section 12 above).

18. If the subtest B result is No Opinion, explain that the subject failed to produce sufficient responses, review the relevant and directed lie comparison questions and administer subtest B again (see section 13 above).
19. Ask subject to wait while examination results are reviewed by Quality Control officer. Take printed data, score sheets, and a computer disk containing the raw data to the quality control area and ask a Quality Control officer to evaluate the information.
20. Resolve any conflicts with Quality Control officer-- administer subtests again (up to a total of two A subtests and two B subtests for each examinee) if necessary. At this point, the decision to administer the subtests again belongs to the Quality Control officer. If the Quality Control officer and original examiner cannot agree on a decision, and the maximum number of subtests has been administered, then a second Quality Control officer will be asked to render an opinion. The final decision for the examination will be the majority agreement among the original examiner and the two Quality Control officers. ALL CONFLICTS AND RESTORING SHOULD BE DOCUMENTED ON THE SCORE SHEETS OR ADDITIONAL PAPER AND INCLUDED IN THE SUBJECT'S FILE.
21. Thank the examinee for help and escort to departure area.
22. When the examination is completed the examiner should provide the quality control officer with the following:
 - (a) the completed Biographical and Medical Questionnaire
 - (b) the completed PDD Examination Consent Form
 - (c) a copy of all data collected on a 3.5 inch floppy disk labeled with the project number, current date, examiner name, examinee name, and subject number;
 - (d) the cassette tape used to record the session--labeled with the date and subject number;
 - (e) the completed score sheets including all examiner and QC comments;
 - (f) the original printed paper charts.