

NAVY DEPARTMENT
Office of the Chief of Naval Operations
OFFICE OF NAVAL INTELLIGENCE
WASHINGTON

In reply refer to No.

Op-16-B-3

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31 July, 1940

From: Officer in Charge of Domestic Intelligence Branch.
To: Domestic Intelligence Branch Investigating Activities.

Subject: Investigation Reports and Summaries, Preparation of.

Enclosure: (A) Cover Page of Investigation Report.
(B) Cover Page of Summary Report

Note:

These instructions
SUPERSEDED by PROMULGA-
TION of ONI-T-8-10, (See
#36).

1. A standard type of investigation report will be made by all Operatives under the cognizance of the Domestic Intelligence Branch of Naval Intelligence.

2. Standard reports are necessary in order to facilitate efficient and rapid evaluation, and to institute effective and timely action based on the reports as well as to permit of proper dissemination of pertinent investigative and intelligence information to other agencies and activities.

3. Operatives should prepare their reports with care and with particular attention to comprehensive coverage of the investigation consistent with brevity. While it is essential that all information, personalities, leads, etcetera, should be mentioned, it is important that inconsequential matters should be excluded. Investigation Reports must have continuity and follow in logical order the various phases of the investigation.

4. The first page of an Investigation Report will be made out as indicated by enclosure (A), and will contain:

(a) "SUBJECT:" (A brief indication of the principal subject (s), person (s) and/or activity(ies) covered by the particular Report.)

(b) "Report Made At:" (Place where report is written.)

(c) "Date:" (The actual date on which the Operative prepared the report -- not the date of the investigation or the date the report was typed.)

(d) "Report Made By:" (Name of Operative reporting, or if a "joint report", names of Operatives.)

(e) "Period Covered:" (Statement of the actual period covered by the investigation or part of the investigation included in the Investigation Report.)

(f) "Status of Case:" (A brief indication of the present status.)

(g) "Origin of Case:" (Brief statement of the facts surrounding, or reasons for initiating, the Investigation / Assignment to investigating.

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Examples: "On information consisting of an out-of-District lead received from Com. 3, stating that John DOE was receiving mail from Richard ROE and requesting an investigation, subject person was placed under appropriate surveillance"; or "Subject person involved in the John DOE case by reason of his frequent undercover contacts with the principal suspect and his voluminous correspondence with Richard ROE, Herman ROE, et al."

(h) "Character of Investigation:" (A brief indication of the types of investigative operations instituted in connection with the part of the investigation covered by the Report. Example (in such an instance as the first example given in (g) above, the notation might well read): "Personal surveillance of subject - mail cover - general background investigation.")

(i) "Enclosures:" (List of enclosures, attached documents, photographs, exhibits, etcetera.)

(j) "Copy To:" (Distribution-list of divisions of the Naval Establishment or other Departments or Agencies of the Federal Government to which copies of the Report have been sent.)

(k) "Source File No.:" (A Serial Number (Case File Number) reflecting the Origin of the Investigation.)

(l) "ONI File No.:" (This is a special space (not usually filled in) used by the Office of Naval Intelligence Investigating Section in instances where it is desired to assign a general file number to a very extensive or ramified case, or for other special purposes.)

(m) "Synopsis:" (Introductory explanation in brief telegraphic style paragraphs telling what was found by, known to or discovered by the Operative - not what he did to obtain it. The synopsis should consist of not over 250-300 words somewhat resembling the opening paragraph of a newspaper article and answering very briefly the questions: What? - Who? - How? - When? - Where? Example: "This is a report pertaining to a violation of Articles 14(8) and 8(20) Arts. for Gov. of Navy, in that John DOE, Seaman First Class, and Richard ROE, Signal Man Third Class, conspired and actually carried out a part of the conspiracy to steal and divulge the use or nature of a secret article pertaining to the U. S. Navy and the National Defense, to wit: One Secret Fire Control Apparatus, known as _____, Serial No. _____."

"Subject persons stole this secret device from the Naval Proving Ground at Dahlgren, Virginia, on or about 1 May, 1940 and transported it to Baltimore in subject DOE's Buick Sedan (1938) Reg. No. Maryland 132-471; subject persons were apprehended in the act of actually transferring this secret device to Herman ROE, a _____ espionage agent at the "Traveler's Hotel" (Room 326) in Baltimore, Maryland, at 1830 at which time all three (3) subjects made statements incriminating each other and identifying the _____ Government as the principal")

(n) "Comment and Recommendations:" (Case Construction - Theories - Conclusions or Opinions and Recommendations. A brief statement of the Operative's deductions and reconstruction of the investigation (or case) as based on the contents of the Report, classified downgrade to information contained in preceding

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Investigation Reports on the case, and on supplementary obtained from investigative files and indexes. The Operative should not only include his personal comments based on his special and intimate knowledge of the investigation but should include any pertinent investigative or other suggestions for the future handling of the investigation which he may consider especially expedient.

5. At the end of every Investigation Report where the Operative considers it advisable to institute or request further investigative action, a special list of "Investigative Leads," together with appropriate notations as to the action desired, should be set out.

6. The body of the Investigation Report will be submitted on regular 8"x10-1/2" paper, each sheet having a notation at the top identifying the investigation by file number, title, or otherwise.

7. The cover page of a Summary Report is shown as enclosure (B). Summary Reports are special reports inserted in a voluminous Case Jacket or File at appropriate intervals for the benefit of those wishing to review a particular case in considerable detail without having to read every part of each Investigation Report in the file. They are complete chronological histories of the case up to the point of their insertion, but they are non-cumulative, i.e., they do not reflect the contents of any previous Summary Reports. Case Files should be closed by a final Summary Report (Case Summary) which summarizes the entire case.

8. Summary Reports are, therefore, complete, chronological summarizations of the "essential" facts contained in the preceding Investigation Reports and should not be confused with the "Synopsis" appearing on the cover page of all "Investigation Reports." Summary Reports are also often desirable where it is advisable to furnish a cooperating agency, etcetera, with a complete itemization of the facts in a case without sending them a full set of Investigation Reports complete with confidential operations detail.

9. The general form of a Summary Report is very similar to that of an Investigation Report except that it has a space on the cover page designated as - "Investigation Reports Included in this Summary:", where an itemized list of the Investigation Reports summarized together with essential identifying descriptive material is shown. In addition there is no space for a "Synopsis" on the cover page of a Summary Report. Instead, the summarization itself commences on the cover page in the space marked "Summary" and is continued on regular 8"x10-1/2" white pages, each page being identified by the file number and descriptive title or otherwise to avoid confusion.

10. At the end of a summary the Operative should include a paragraph (s) setting forth in brief his comments and recommendations in a similar manner to the procedure described in Paragraph 4, (n) "Comment and Recommendations," followed by a list of the undeveloped leads both "District" and "Out of District" as set forth in Paragraph 5.

11. It is essential to proper dissemination of appropriate intelligence... and investigative information that a sufficient number of copies of NCD 22

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Investigation or Summary Reports be made to permit of comprehensive distribution according to the nature of the matter and the exigencies of the situation. In instances where copies of such Reports are disseminated, the distribution should be clearly indicated, and particular attention should be paid to insuring that all pertinent information is properly disseminated to all Naval Districts or other Naval Investigating Activities concerned, M.I.D. and F.B.I.

12. The cover pages of Investigation Reports will be on green paper and the cover pages of Summary Reports on pink paper. Both the cover pages of the Reports, and the continuing sheets (regular white 8"x10-1/2" pages) should be on onion skin paper so that a sufficient number of copies of appropriate Reports may be prepared in one run for proper distribution.

(Signed) E. B. Nixon

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