

NAVY DEPARTMENT
Office of the Chief of Naval Operations
Office of Naval Intelligence
Washington

In reply refer to No.

00-16-B

11/NO

Serial No. 386/16

17 September, 1940

RESTRICTED

From: Chief of Naval Operations
(Director of Naval Intelligence)
To: District Intelligence Officers,
All Naval Districts.
Subject: Naval Intelligence Service Employees and Applicants,
Investigations of.
Enclosure: (A) Copy of sub-Section A, Chapter II, Section 1 of
Investigating Section Training Manual for Naval
Intelligence Service Personnel.

1. The investigations of the persons in the subject-named class, conducted by the District Intelligence Services, have in most cases been far too brief and, therefore, unsatisfactory.

2. The enclosure, containing instructions for making investigations of this character, is forwarded for your information and use. It is directed that all Operatives of the Naval Intelligence Service in each District be required to study the instructions contained in the enclosure, which will be promulgated in the near future as a part of the Investigating Section Training Manual.

E. B. Nixon
E. B. Nixon,
By direction.

UNCLASSIFIED

Declassified / Downgrade to

Auth: EO12958

Date 21 SEP 98 Unit: NCTM22

DECLASSIFIED
Authority AND 73643

UNCLASSIFIED

Sub-Section A. - Applicants for Intelligence Service

22105

The secret introduction, by an espionage organization, of an agent into the intelligence service of another country, is properly regarded as a great achievement. In spite of the difficulties involved, however, this feat has been accomplished many times and often with rich rewards. Used against our own Naval Intelligence, these tactics might enable an enemy to win unchallenged access to all of our secret information, including the knowledge of our points of greatest vulnerability. The value of such information is obvious and Operatives must always be alert to prevent infiltration of this kind into our own Service.

22106

We may expect such attempts at penetration to be directed at our weakest point, which is the enrollment of new Intelligence personnel. We may also expect the most favorable time to be chosen, that is, during rapid expansion in times of emergency. For this reason, the investigation of I-V(S) Officer applicants and civilians applying for appointment, either as Clerical Assistants or as Operatives of the Service, is one of the most important tasks to which an Operative may be assigned. It is not to be regarded lightly, nor to be carried out in a perfunctory manner.

22107

Every application should be scrutinized minutely and the first fact to be determined is why the applicant desires a position in the Intelligence Service. If careful study of the applicant reveals that motives of loyalty, patriotism and desire to be of service are paramount, and that there are no direct or indirect connections with foreign or subversive elements, the investigation may proceed along routine channels. If however, the applicant has alien connections or sympathies, or if he has falsified his application, or if he repeatedly attempts to enter the Intelligence Service after having been denied admission thereto, he should be placed upon the Suspect List and investigated accordingly.

22108

After the above considerations, the most important is the character of the applicant, and moral turpitude of any kind should be considered disqualifying. To enroll a gambler, a drunkard or a philanderer is to invite the corruption of an agent and the betrayal of the Service.

Declassified / Downgrade to

Auth: EO 12958

Date: 21 SEP 98 Unit: NCIS 22

DECLASSIFIED
Authority NND 73043

Declassified and Upgrade to

Auth: ... EO 12958

Date: 22 SEP 98 Unit: NCIS 22
22110

UNCLASSIFIED

Applicant investigations must be conducted discreetly. Inasmuch as they are only preliminary surveys confined to ascertaining the character, connections and qualifications of an individual for whom an officer's commission may be in prospect, the "inquiries" (not "investigations") must be made as a strictly confidential matter. They must, however, be thorough. Persons interviewed should be selected and interviewed with care and full information regarding the status, local reputation and relationship to the applicant of each of those sources of information should be shown in the body of the Investigation Report. This will aid in evaluation and the determination of any element of favoritism, prejudice or undue influence which may have affected their statements. The list of persons interviewed should include, not only references given in the application, but also a number of disinterested persons qualified to testify regarding the applicant.

22110

For the sake of completeness, it is desirable to follow some orderly procedure in carrying out the investigation. Work in a methodical and systematic fashion. Do not cut corners or rely upon second or third-hand testimony. The following outline is suggested, and includes the personal history of the applicant, a study of his reputation and character and his professional or technical ability.

22111

Personal history should include:

- (a) Name and address(es).
- (b) Age.
- (c) Place of birth.
- (d) Race and nationality.
- (e) Legal residence.
- (f) Names of parents, including mother's maiden name.
- (g) Record of marriages, divorces, and close relatives.
- (h) Education, showing institutions and degrees, with dates.
- (i) Political and religious affiliations.
- (j) Profession, business or trade, with records of previous employment.
- (k) Clubs, societies and fraternal organizations.
- (l) Professional and charitable organizations.
- (m) Business connections, significant stock-holdings or investments etc.
- (n) Record of travel, residence abroad etc.
- (o) Records of previous military or naval service.
- (p) Miscellaneous information.

(The items listed above will furnish an abundance of leads which may be followed as far as circumstances require).

DECLASSIFIED

Authority NND 73643

Declassified / Downgrade to

Auth: EO 12958

Date: 21 SEP 98 Unit: NCIS 22

UNCLASSIFIED

of the applicant should be definitely established. School and college records show the age, given at a time when a motive for misrepresentation is unlikely. It is sometimes necessary to verify the birth record with the proper State Bureau of Vital Statistics etc., particularly in case of discrepancy in the report of age, nationality or nativity in the record or suspected. These records usually also reveal the marital status and nativity of the parents.

(2) Check the records, or other clear reflections, as to how to be living under the jurisdiction of any totalitarian power, a special note to that effect should be included in the investigation report.

(3) The political and religious affiliations of the applicant are of concern to the investigation only in the political party in question is expressly radical, or if the religious sect is of the fanatical variety.

(4) Obtain a complete itinerary of all foreign travel. If any extended absence, or special contacts or prolonged stop-overs abroad, check the deposits made to the applicant's bank account upon his return to his country, and trace them to their source. At the same time, make other investigations to detect improved financial status.

(5) Obtain an official transcript of the applicant's military service record, if in this country. If served elsewhere, obtain his discharge report and other official documents for examination and verification.

(6) If the applicant has long been a resident in a city, check the Yellow Pages ("Haugen") for additional items of his personal history. The New York Times is one of the best and most reliable of the applicant is of some prominence, the "Obituary" files of local and national newspapers.

(7) If the applicant is a professional man, biographical data may be obtained from business and professional directories. A few examples are given below:

- (a) Who's Who in America.
- (b) Who's Who in (State, City or Section).
- (c) Who's Who in (particular profession or industry).
- (d) Directory of Directors.
- (e) Biographies of American Biography.
- (f) Biographies of American Law Directory.
- (g) Directory of Federal, State, County and Municipal Administrations.
- (h) National Legal Directory.
- (i) Directory of the American Banker's Association.
- (j) Directories of various Insurance and Underwriting groups.
- (k) Medical, Dental and Dental, Local and National Association Directories.
- (l) Trade Associations and other Professional Directories.

22112

Character and Integrity - The honesty, personal integrity and strength of character of the applicant are the most important considerations with which

UNCLASSIFIED

the investigation is concerned. The investigator should collect the following data:

- (a) General reputation.
- (b) Social and professional standing.
- (c) Family relationships.
- (d) Criminal and police records.
- (e) Personal life and mode of life.
- (f) Character and temperament.
- (g) Financial and credit standing.
- (h) Civic and patriotic enterprises.
- (i) Close friends and companions.
- (j) Membership in secret societies, associations or movements of political significance.

(1) In contacting references it must be remembered that their opinions are probably biased in favor of the applicant (check their statements with disinterested sources). Politicians usually do not know much about individuals they are recommended. After writing a complimentary recommendation, a reference may tell things that he would not put on paper. Do not interview relatives unless you believe them to be unfriendly to the applicant. Maximum never agree, in an interview, any opinion concerning the applicant in his chances of obtaining the appointment.

(2) Generally, the opinion of an immediate subordinate is usually more accurate than that of the applicant's superiors. For that reason taken, a current employer knows more about a man than does his wife. Learn from the applicant's application his professional standing, reputation or honesty, moral standards and his reaction to social, political or financial pressure and influence. Consider carefully the motives and sentiments underlying these opinions - enmity, jealousy, friendship, sense of obligation, etc. See reference statements.

(3) If the investigation reveals any business activity or employment which the applicant has failed to mention in his application, find out why it was omitted. Interview the employer in these cases. Learn if the applicant was well liked and respected; if not, why not? Was he a complainant, an employee, a leader or a leader? Did he "watch the clock"? Why was he promoted? Learn from each of the applicant's former employers, under what circumstances he left their employ.

(4) If possible, determine whether the applicant's family relationships are honest and creditable. Are all close relatives citizens; are any of them engaged in disreputable or questionable activities? Any scandal, rumor or charge reflecting unfavorably on the character of the applicant should be investigated to a logical and reasonable conclusion.

(5) The Police and Court Records of each town or city in which an applicant is known to have resided should be checked, as well as the County Sheriff's Office in any county where he lived or made his summer (vacation) home. If a summary is made, it will be found convenient to interview former friends and business associates to further determine the reputation and character of the applicant. Unless police records show an extensive number of minor traffic violations or other petty misdemeanors, these need not be included in the Investigation Report. However, all serious misdemeanors, felonies and other criminal offenses should be reported in detail.

Auth: EO 12958Date: 21 SEP 98 Unit: NCIS 22

UNCLASSIFIED

(6) If the applicant is a candidate for an I-V(5) commission, an Information Request should be sent to the Office of Naval Intelligence (Reserve Section) requesting a complete check of the records of the Federal Bureau of Investigation. This request must be accompanied by a set of the applicant's fingerprints.

(7) Much may be gained from a study of the applicant's personal habits. It is important to note if he is a heavy drinker, an habitual gambler, or if he frequents the society of many women. Equally important is the question whether he has extravagant tastes which cause him to live beyond his means. Such a type would be dangerous in the Service, where he might be tempted to spend his Naval pay in dissipated ways. Discreetly question managers, bartenders, waiters, hat-check girls, doormen, hall-boys, etc., at the cafes, restaurants, night clubs and hotels regularly patronized by the applicant.

(8) If the applicant is a journalist, writer, lecturer or teacher, a careful review of his contributions may disclose radical or otherwise objectionable opinions.

(9) "It runs its course to the company he keeps" and the kind of persons with whom the applicant associates reveals more of his character than will many of the opinions which may be expressed about him. This is also true of the friends to whom he is known. If any of these are mentioned in the application, he should be asked to either substantiate or explain.

(10) A visit to the local merchants credit association will give the investigator information concerning the applicant's financial standing, reliability and business integrity. Other leads may be obtained from the applicant's banker and business associates.

22112

Professional or Technical Ability. Information regarding the subject's experience and skill is not only necessary to determine his fitness for the Service, but also is needed, after his appointment, for an "Operative's Avocation Order" which should include a complete record of all former experience in business and various trades, and, in addition, a list of hobbies, avocations and special interests. (See Part Two, Paragraph). The following data should be supplied:

- (a) Professional standing and experience in present occupation.
- (b) All previous occupations, with dates. Names of employers and length of time employed.
- (c) Evidence of psychological aptitude for intelligence work.
- (d) Estimate of applicant's sound judgment, intelligence, integrity, common sense, executive ability, fairness, dignity, poise, personal appearance and neatness.
- (e) Note of any handicapping physical or mental defects.
- (f) Special technical knowledge or skill of value in Intelligence work.

- (1) Knowledge of the applicant's mental characteristics as well as his

Declassified / Downgrade to

Auth: EO 12958

Date: 21 SEP 98 Unit: NCIS 22

UNCLASSIFIED

professional standing is best obtained from his business or professional associates.

(2) The subject's physician may be discreetly interviewed to determine any hidden physical or mental defects.

(300) Medical examination of applicants may not reveal epilepsy, stuttering, drug addiction etc.).

(4) Examples of the subject's psychological aptitude for intelligence work is only made by responsible and experienced Intelligence Officers. This may be obtained by a long conversation or interview conducted by the Intelligence Officer himself.

(5) The list of special technical knowledge and skills useful in intelligence work is almost infinite, but the following examples are suggested: experience as a lawyer, prosecutor or investigator; a reporter; photographer or writer; crime laboratory experience; radio, telegraphy and telephony; language expert, translator, interpreter; sound recording and interpretation; public accountant, bookkeeper; explosives, firearms and ballistics; forensic medicine, chemistry and toxicology; cryptography and cryptanalysis; macroscopy and spectrography; fingerprint classification and document experts; surveying and map-making. (All hobbies should also be listed).

DECLASSIFIED
Authority NND 73643