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NIS-01

NIS-20  
NIS-40

NISHQ Procedures for the Initiation of Internal Security Investigations

1. Internal Security Investigations shall be initiated at NISHQ in accordance with the policy contained herein.
2. When derogatory loyalty information is developed on an individual who is the subject of an investigation requested by authority outside NAVINVSERV (e.g., a National Agency Check, a Personnel Security Investigation or a Criminal Investigation) the controlling division (NIS-21 or NIS-23) shall refer the material to NIS-22.

a. When the material refers to an NAC or investigation which has been closed, NIS-22 shall:

- (1) initiate a Category 3 investigation on the basis of the information furnished, with a copy of the NOCP being provided to NIS-42 (except in unusually important cases, more prompt notification), or
- (2) refer the material to NIS-42 for analysis to determine whether the reported information provides a basis for further investigation, or
- (3) determine that the material requires no further investigation, in which case no action will be taken, and it shall be routed to NIS-42

b. When the material relates to an investigation (PSI or criminal) which is open, NIS-22 in conjunction with the controlling division, will determine whether the investigation shall be changed to Category 3. If the Category is so changed, NIS-42 shall be apprised through a copy of the NOCP, unless more prompt notification is necessary due to the nature of the material.

3. Likewise, specific requests from competent authority outside NAVINVSERV for Internal Security Investigations shall be routed to NIS-22. When such a request contains an obvious need for investigation, that investigation shall be initiated by NIS-22, with notification to NIS-42. In the event the request contains

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material which requires analysis prior to the initiation of an investigation, NIS-22 shall request NIS-42 to furnish that analysis and to draft an NOCP.

4. Derogatory information or raw intelligence of an S.E.C. nature received from other federal agencies, by NIR's, by NSG Interview Reports, or other sources on individuals who are not already the subject of an ongoing investigation shall be routed to NIS-40. That department is charged with evaluating, collating and processing the material as appropriate. In this area it shall be the responsibility of NIS-40 to determine the security significance of the information and to act as the DIRNAVINSERV requester in those cases where initiation of an Internal Security Investigation is warranted. In the event NIS-40 considers the received information to be the basis for investigation, that department shall submit a draft NOCP to NIS-22. Only when urgency so dictates should NIS-20 act as the DIRNAVINSERV requester in this area, and in all such cases coordination shall be effected with NIS-40 at the earliest possible time.

5. NIS-40 shall act as the central point of contact for the receipt of other counterintelligence information received by NISHQ (i.e., reports on organizations, incidents, trends, etc.), except for that material related to an active NIS investigation or requested by another division within NIS-20.

J. Q. EDWARDS  
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