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TM 30-218
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TECHNICAL MANUAL

COUNTER INTELLIGENCE INVESTIGATIONS

CHANGES
No. 1

DEPARTMENT OF THE ARMY
WASHINGTON 25, D. C., 15 June 1948

TM 30-218, Counter Intelligence Investigations, 20 October 1947, is changed as follows:

Remove pages 3 through 8 and substitute page 3, revised page 4, page 5, revised pages 6 and 7, and page 8.

Remove pages 19 through 26 and substitute page 19 and revised pages 20 through 26.

Remove pages 65 and 66 and substitute revised page 65 and page 66.

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CHAPTER 1

INTRODUCTION

1. Counter Intelligence Mission

Security is a responsibility of command. Within the scope of its mission, counter intelligence is an aid in the discharge of this responsibility. In war and peace, the counter intelligence mission is to impede and destroy the action of enemy agents or hostile elements whose intent it is to penetrate the Army Establishment for purposes of espionage, sabotage, or subversion; to detect evidence of treason, sedition, subversive activities, and disaffection within the ranks and among the civilians employed by, or in the facilities operating for, the Army Establishment; and to investigate the background of military and civilian personnel who are, or are about to be, placed in positions of trust within the jurisdiction of the Army Establishment, and whose security reliability cannot otherwise be determined.

2. Purpose

This manual, in conjunction with special directives, outlines the sphere of Army investigational jurisdiction, the types of counter intelligence investigations and the control thereof, and the procedures to be employed by intelligence personnel within the jurisdiction of the Army Establishment in administering the counter intelligence investigative mission and to—

a. Inform all concerned of the general procedural principles governing the conduct of counter intelligence investigations, security surveys, and inspections.

b. Insure uniformity in the preparation of counter intelligence reports.

c. Set forth Department of the Army counter intelligence policies which pertain to the classification, requests for, and reports of such investigations.

3. Scope

This manual outlines counter intelligence operations and activities with respect to both Army personnel and civilian employees of, or in facilities operating for, the Army Establishment, and other civilians who are, by directive or agreement, within the jurisdiction of the Army Establishment, such as civilians employed on classified contracts for the Army.

4. Investigative Jurisdiction

The responsibility for investigation of all activities coming under the category of counter-espionage, subversion, and sabotage within the United States and its territories is assigned to the Federal Bureau of Investigation and the Armed Services. The Delimitation Agreement, which has been arrived at jointly by the Federal Bureau of Investigation and the Armed Services and which is revised periodically to conform to changing conditions of command and jurisdiction, defines the exact scope of authority of the signatories as to investigative jurisdiction over personnel and geographic areas. This agreement, as amended by current Department of the Army directives, provides the basic investigative jurisdictional authority for the Army.

5. Delegation of Responsibility

a. GENERAL STAFF, UNITED STATES ARMY. Acting for the Secretary of the Army, the Intelligence Division, General Staff, United States Army, will discharge its responsibility with respect to the counter intelligence mission by prescribing policies and exercising general staff supervision.

b. COMMANDERS. Subject to the policies and supervision of the Department of the Army, commanders are responsible for counter intelli-

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gence activities and for taking or recommending appropriate action toward the accomplishment of the counter intelligence mission.

6. Counter Intelligence Corps

The Counter Intelligence Corps is the counter intelligence investigative agency of the Army Establishment. It consists of trained investigative personnel under the assignment jurisdiction of the Director of Intelligence, General Staff, United States Army. The components of this agency are under the operational jurisdiction of the army commanders and the Chief, Transportation Corps.

Note. The term "army commanders" as used throughout this manual includes army commanders within the zone of interior, and oversea commanders where appropriate and where the procedures contained herein are applicable.

7. Background Investigations

a. When it is necessary to inquire into the loyalty, discretion, and integrity of an individual because of the duties to which such individual is assigned, or is to be assigned, the inquiry made is one in which background information is required. This inquiry may be limited to a review of the files and records containing information previously obtained either by investigations and reports in the possession of Army investigative agencies or by those of other Government investigative agencies. However, an inquiry of such limited scope frequently is inconclusive with respect to the particular point at issue if positions of great trust are involved. In these cases further background information is required and personal contact with possible sources of information usually is necessary. Therefore, these inquiries may vary in completeness from a limited file check to one in which all important phases and activities of a subject's life are scrutinized.

b. In the past, these types of inquiries have been referred to as "loyalty checks," "loyalty investigations," and "special investigations" (when carried to their fullest extent). Since they are concerned with discretion and integrity (character) as well as loyalty, and inquire into the subject's background, these types of inquiry will be referred to hereafter as *background investigations*. They will be divided into five classes, progressively increasing in completeness, as follows:

(1) Local agency checks (LAC). (See par. 22.)
(2) National agency checks (NAC). (See par. 25.)
(3) General agency checks (GAC). (See par. 27.)
(4) Partial background investigations (PBI). (See par. 30.)
(5) Complete background investigations (CBI). (See par. 33.)

8. Complaint Investigations

When information is developed in the course of a background investigation, or is obtained from any source, which arouses reasonable doubt as to an individual's loyalty to the Army Establishment or the Government of the United States, or where there are grounds to suspect sabotage, espionage, treason, sedition, subversive activity, or indication of disaffection, the resulting investigation will be referred to as a *complaint investigation*. Such investigation will be as complete as is necessary to support fully the doubt or suspicion, or disprove it and, if supported, to provide sufficient evidence on which appropriate action may be taken.

9. Changes in Terminology

The basic material upon which the results of an investigation are based is the report submitted by the agent investigator to the control office. This in the past has been accomplished by the submission of memoranda which became a part of the case report which in turn was the basis upon which the summary report was constructed. This memorandum of the agent investigator is a report and will hereafter be referred to as such, namely the *agent report*. The file heretofore referred to as a "Case Report" is not a "report" but rather a file which remains in the control office, and to avoid confusion, will hereafter be called the *control file*. The final product of an investigation heretofore referred to as a "summary report" is more than

this title implies since the word "summary" denotes a digest. To make it clear that full results of an investigation are included, this report hereafter will be called the *report of investigation*. The short form of report of investigation will be called a *letter report*, and the digest of reports and files will be called the *summary of information*. All these types of reports, files, and digests will be explained in this manual under their appropriate headings.

10. Security Surveys and Inspections

a. A *security survey* is a counter intelligence investigation conducted for the purpose of establishing security procedures to protect against espionage and sabotage of Army or civilian installations and offices containing classified information or material, or to make recommendations to improve on those already in force.

b. A *security inspection* is an investigation conducted to determine how established security procedures are being enforced. This category includes violations of security under AR 380–5.

11. Action Agency

a. The *action agency* is the command which is responsible for taking the administrative or disciplinary action warranted by the facts produced in a counter intelligence investigation.

b. Clearance of personnel for access to classified information is a function of the command to which the individual in question belongs and not a function of the Intelligence Division, General Staff, United States Army, or of any intelligence agency within the Army. A function of counter intelligence within the Army is to provide results of investigation on the basis of which the responsible command may predicate such clearance.

12. Release of Information

a. Information Concerning the Progress or Outcome of a Complaint Investigation. No information concerning the progress or outcome of a complaint investigation made by the Army will be released to the press, to the public, or to anyone not requiring the information for the discharge of his official duties without the specific authorization of the Department of the Army in each case.

b. Release of Information. Release of information of this character so authorized will be made only by the Public Information Division, Special Staff, United States Army, after approval by the Director of Intelligence, General Staff, United States Army.

CHAPTER 2

CONTROL AND JURISDICTION OF INVESTIGATIONS

13. Control Office

The headquarters having investigative jurisdiction is known as the *control office*. It is the headquarters responsible for integrating and coordinating all phases of the investigation.

14. Assignment of Jurisdiction and Designation of Control Office

In all background and complaint investigations of personnel over whom the Department of the Army has investigative jurisdiction, the following control offices will have jurisdiction and responsibility for carrying out such investigations:

a. GENERAL. Except as provided in *b* and *c* below, the army command within the geographical limits of which the person being investigated is stationed or within which the incident occurred.

b. FOR TRANSPORTATION CORPS PORTS OF EMBARKATION. The port of embarkation within whose jurisdiction the person being investigated is stationed or within which the incident occurred. (The port of embarkation will coordinate all investigations made outside Transportation Corps channels and ports of embarkation jurisdiction with the appropriate army commander.)

c. FOR COUNTER INTELLIGENCE CORPS PERSONNEL (background investigation only). When an individual is assigned to the Counter Intelligence Corps, or is under consideration for such assignment, the Intelligence Division, General Staff, United States Army.

d. FOR SPECIAL CASES.

(1) When an individual is stationed, or an incident occurs overseas, and an investigation in the zone of interior is required, the oversea commander will designate the appropriate army command in the zone of interior as control office and will forward request for investigation of the case directly to that army. Oversea commands will not thereafter send leads to any other army pertaining to a case so forwarded. The control office so designated normally will be the army in the area in which the greatest number of leads are to be developed. An exception to the above is in the case of a civilian concerning whom a *complaint* type investigation is required. Such civilian complaint cases will be forwarded to the Intelligence Division, General Staff, United States Army, for appropriate action. Should a change of status of an individual occur, or an incident case be closed overseas prior to receipt of report of investigation, the oversea command will notify the appropriate army (or the Director of Intelligence for civilian complaint cases) by a rapid means of communication, in order that no unnecessary investigation is conducted.

(2) The port of embarkation which is to act as control office will be designated by the Chief of Transportation for those cases in which the Transportation Corps undertakes the investigation of personnel or matériel under his investigative jurisdiction but not under the jurisdiction of a particular port of embarkation.

(3) The Director of Intelligence, General Staff, United States Army, will designate the control office in the case of all investigations initiated by the Intelligence Division, General Staff, United States Army.

15. Subcontrol Office

The control office may, at its discretion, delegate the duties of controlling and coordinating that part of the investigation of a case which can be done within the geographical limits or scope of responsibility of the control office. The subordinate command so designated will be referred to as the *subcontrol office*.

CHAPTER 3

BACKGROUND INVESTIGATIONS

Section 1. GENERAL

16. Types

A background investigation is one that is conducted when an inquiry into the loyalty, discretion, and integrity of an individual is necessary, and his reliability as to security cannot otherwise be reasonably determined. Five types of background investigations may be conducted. These vary principally in the thoroughness of their inquiry into the subject's background. They are defined as follows:

a. Local Agency Check. A local agency check (LAC) is an investigation of records and files located in the area of the principal residence of the individual being investigated. (See pars. 22 through 24.)

b. National Agency Check. A *national agency check* (NAC) is an examination of the files of such national investigative agencies as may be pertinent (See pars. 25–26.)

c. General Agency Check. A general agency check (GAC) consists of a local agency check supplemented by an investigation of the records and files of such national agencies as may be pertinent to the purpose for which the investigation is conducted. (See pars. 27 through 29.)

d. Partial Background Investigation. A partial background investigation (PBI) is an inquiry into specific phases of an individual's life history. (See pars. 30 through 32.)

e. Complete Background Investigation. A complete background investigation (CBI) includes a partial background investigation and is one in which all important facts with regard to the subject's life history are inquired into and checked. It includes the investigation of all records concerning the subject and verification, to the greatest extent possible, of all statements made in his personal history statement. (See pars. 33 through 35.)

17. Determining Extent of Investigation

Various duties and assignments entail varying degrees of security risk, and therefore require a determination of the risk involved in each individual case. Economical and adequate security for the Army Establishment can be effected only by concentration of investigative effort on personnel under consideration for sensitive assignment whose reliability cannot otherwise be reasonably determined. The determination by responsible commanders of the required type of background investigation can be made only when the provisions for initiating a background investigation as set forth in paragraphs 18 and 19 are complied with in full.

18. Requests for Initiation of Investigation

A commanding officer, his designated representative, or higher authority, upon determining that a background investigation of either military or civilian personnel is necessary, will forward a request that an investigation be conducted to the commanding general of the army area in which the individual is stationed (Attention: Assistant Chief of Staff, G–2), or to the port of embarkation when appropriate. (See par. 14.) This request will state clearly and completely the reasons for such request and specify the type of investigation desired. (See par. 16.) It also will include a statement as to the highest classification of the information and material to which the individual will be allowed access. All requests for background investigation will be accompanied by a minimum of two copies of the appropriate form designated as follows:

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a. DA AGO Form 643A (Personal History Statement) which will be completed by all military and civilian personnel, both citizens and aliens (except as expressed in *b* and *c* below) of the Department of the Army, when an investigation is to be requested.

b. NME Form 48 (Personnel Security Questionnaire), which is completed by all United States citizens when subject to investigation for employment on classified contracts.

c. NME Form 49 (Alien Questionnaire), which is completed by all aliens to be investigated for proposed employment on work covered by aeronautical or classified contracts of the Army, Navy, or Air Force, or having access to plans, specifications, or trials under such contracts.

19. Eliminating Unnecessary Background Investigations

Unnecessary background investigations will be eliminated by proper screening and the assumption of calculated risks.

a. SCREENING. Requesters [redacted] are enjoined to screen requests for investigations in accordance with *b* below, and to refrain from requesting investigations except when they are thoroughly justified.

b. CALCULATED RISKS. In initiating investigations, a calculated risk may and should be taken in those instances where substantial damage to the national security is not likely to result, except when such investigations are made mandatory by regulation or statute. Decision to take a calculated risk is arrived at by making a reasonable determination of the likelihood of the subject's disloyalty (assisted by any information already available concerning the subject) and balancing that likelihood against the extent of the injury to the national security because of the subject's employment or contemplated employment.

c. REJECTIONS OR SUBSTITUTIONS. The commanding general of the army area may reject requests when the reasons given for the investigation are insufficient to indicate to his satisfaction that an investigation is justified. Likewise, at his discretion, any of the other types of background investigations may be substituted for the type requested if such substitution does not violate requirements of higher authority.

20. Case Classification

Regardless of type "background" will be considered as the case classification for all background investigations.

21. Change of Case Classification

During the course of a background investigation, if credible information reflecting on the loyalty of the subject is received, the classification of the case will be changed to one of those listed in paragraph 43, and thenceforth will be developed as a complaint investigation under appropriate investigative jurisdiction as established in separate instructions. The classification will not be changed because information is developed reflecting adversely on the character, integrity, or discretion of an individual, which may render him unacceptable for the duties to which he is assigned or to which it is contemplated he will be assigned, unless the element of disloyalty as indicated above also is developed by the evidence.

Section II. LOCAL AGENCY CHECKS (LAC)

22. Scope

The minimum requirement for a local agency check consists of a check of the records and files of—

a. Intelligence files of the army area concerned;

b. Appropriate field office of the Federal Bureau of Investigation;

c. Local police; and

d. In those cases which indicate previous service or employment—

(1) Appropriate district office of the Office of Naval Intelligence.

(2) Appropriate District Office, Office of Special Investigations, Inspector General, Air Force.

23. When Conducted

A local agency check ordinarily will be conducted in, but not limited to, the following cases:

RESTRICTED

a. As investigation for assignment to sensitive duties when the reliability of the individual under consideration cannot otherwise be reasonably determined.

b. As a component of a general agency check, partial background investigation, or complete background investigation.

c. When specifically required by higher authority.

24. Evaluating Local Agency Checks

If a local agency check provides merely a negative report, it establishes only that there exists no derogatory information concerning the character and background of the individual in the files checked. This check therefore is of limited value, since it fails to disclose anything concerning subject individual not hitherto a matter of record within those files.

Section III. NATIONAL AGENCY CHECKS (NAC)

25. Scope

a. A *national agency check* (NAC) consists of an examination of the files and records of such of the following national agencies as may be pertinent: Intelligence Division, General Staff, United States Army; Office of Naval Intelligence; Air Force; House Committee on Un-American Activities; Department of Justice (Federal Bureau of Investigation and Bureau of Immigration and Naturalization); Social Security Board; Civil Service Commission; Veterans' Administration; Treasury Department; The Adjutant General; and the Departments of Commerce, Labor, Agriculture, Interior, and State.

b. A national agency check is, in some cases, deemed an adequate basis in itself on which to predicate clearance for certain duties. It is, however, more often a component part of a general agency check.

26. Obtaining Check of National Files and Records

Control offices only are authorized to request national agency checks. After a careful study of DA AGO Form 643A (Personal History Statement), the control office should request on WD AGO Form 340 (Report of Agency Check) a check of only those files listed in paragraph 25*a* which may reasonably be expected to contain information. Form 340 should be transmitted in duplicate, with a copy of the completed Form 643A attached, to the Director of Intelligence, General Staff, United States Army, Attention: Chief, Training and Security Group, who will cause the desired check to be made.

Section IV. GENERAL AGENCY CHECKS (GAC)

27. Scope

A general agency check consists of both a local agency check and a national agency check.

28. When Conducted

A general agency check ordinarily will be conducted, but is not limited to, the following cases:

a. As a component part of all partial and complete background investigations.

b. When specifically requested by higher authority.

29. Evaluating General Agency Checks

A general agency check differs from local and national agency checks only in degree, since it covers a check of more files. It must be remembered, however, that its value as a basis for granting clearance is limited by the fact that it can reveal no information which is not already a matter of record.

Section V. PARTIAL BACKGROUND INVESTIGATION (PBI)

30. Scope

A partial background investigation (PBI) is a limited inquiry into an individual's life history, including as a minimum—

a. A local agency check in each area where subject has resided for more than 1 year during the 10 years prior to initiation of the investigation or the inception of subject's military

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service if he is on active duty. The investigation ordinarily will not go back beyond subject's eighteenth birthday.

b. A check of records and files of such national agencies as may be pertinent.

c. Personal interviews with a minimum of two competent informants, whose names were not furnished by subject, in each area where subject resided for 1 year or more during the 10 years prior to the initiation of the investigation. Informants will be interviewed whose combined knowledge embraces substantially the 10-year period or the period back to subject's eighteenth birthday unless it is deemed necessary to go back beyond that date.

d. Character references ordinarily will be interviewed only to secure the names of other individuals with whom the subject has been closely associated and such other leads as may assist in the investigation.

31. When Conducted

Partial background investigations are conducted when the individual has access to sensitive matter, and information concerning his background or character is not considered sufficient for security or it appears desirable to verify information concerning the individual.

32. Methods

Contact with present and past employers, employees, or other qualified informants will be direct by personal interviews. Similarly, it is preferable to make contact with references by personal interview, but when distance and expense make it impracticable, contact may be made by mail. This method of soliciting information must be held to a minimum. Letters addressed to specific individuals should be individually typed whenever possible; however, when work load precludes this, one of the better-type reproduction methods, such as printing, multigraph, or ditto in black ink, on bond paper, may be used. Mimeographed letters to organizations and institutions are permissible; however, a better type of reproduction should be used if available. All letters will be authenticated by the signature in ink of the senior officer responsible for requesting the information. This signature should be placed above his name, grade, and position, and it should be shown that the information is requested by the direction of the appropriate commander. Bureaus of vital statistics and investigative agencies with whom liaison has been established may be contacted as a matter of routine practice by form letters or telephone.

Section VI. Complete Background Investigation (CBI)

33. Scope

A *complete background investigation* is an investigation in which all important facts of the subject's life history are inquired into. A completed DA AGO Form 643A (Personal History Statement) will serve as a guide in the conduct of this investigation, and all pertinent claims made on this statement should be verified. A complete background investigation will include as a minimum—

a. Partial background investigation (in accordance with par. 30).

b. Verification of all records concerning birth, education, employment, naturalization, Government service, credit rating, etc.

c. Contact with all references and all former employers.

d. Contact with as many individuals as practicable whose names are not provided by the subject.

34. When Conducted

a. Complete background investigations are conducted in the following general types of cases:

(1) When derogatory information is disclosed in one of the other types of background investigations bearing on an individual's character or integrity.

(2) When an individual is selected for Counter Intelligence Corps assignment.

(3) When directed by higher authority.

b. Distinction between complete background investigation and complaint case investigation

should be noted. When evidence of sabotage, espionage, treason, sedition, subversive activity, or disaffection has been detected and the case classification is changed from "background" to one of the "complaint" type cases, the resulting investigation will include all those matters which bear directly on the issue or are relevant to it.

35. Methods

Contacts with educational institutions, former employers, fellow employees, or other qualified informants will be by personal interview. Similarly, it is preferable to make contact with references by personal interview; but when distance and expense make it impracticable, contact may be made by mail. This method of soliciting information must be held to a minimum. Letters addressed to specific individuals should be typed individually whenever possible; however, when work load precludes this, one of the better-type reproduction methods, such as printing, multigraph, or ditto, in black ink on bond paper, may be used. Mimeographed letters to organizations and institutions are permissible; however, a better type of reproduction should be used if available. All letters will be authenticated by the signature in ink of the senior officer responsible for requesting the information. This signature should be placed above his name, grade, and position, and it should be shown that the information is requested by the direction of the appropriate commander. Bureaus of vital statistics and investigative agencies with whom liaison has been established may be contacted as a matter of routine practice by form letter or telephone.

CHAPTER 4

COMPLAINT INVESTIGATIONS

Section I. NATURE AND CONTENT

36. Definition

Complaint investigations are defined as those in which either sabotage, espionage, treason, sedition, subversive activity, or disaffection is suspected. They may concern individuals or an incident affecting the Army Establishment. The latter is defined as an act committed by an unknown person or group of unknown persons.

Note. Investigative jurisdiction in complaint type investigations is covered in separate Department of the Army instructions.

37. Development of Information Upon Which Appropriate Action Can Be Based

The purpose of each complaint investigation is to produce information of such nature, form, and reliability that the requesting agency may determine the extent and nature of action, if any, which may be necessary in each case properly to protect the security of the United States. To accomplish this purpose, all responsible officers will exercise strict and detailed supervision over the conduct of investigations.

38. Full Development of Pertinent Material Bearing on Guilt or Innocence

Any pertinent material bearing on the guilt or innocence of a subject, or on the probable loyalty of a subject to the United States, will be fully developed. In the development of evidence of violation of the United States Code, advice will be sought, as required, from Federal enforcement authorities for guidance concerning the requirements of admissible evidence.

39. Developing Admissible Evidence

Investigation of cases so classified as to make them, if proved, an offense under the United States Code or Articles of War, will be conducted with a view to developing information admissible as evidence in Federal or military courts and which will sustain the complaint or charge under the statute or article which is the basis for the proceeding. All personnel who conduct or supervise investigations should be familiar with the elements of proof necessary for taking action under each of the offenses falling in the "complaint" category in order that the investigation may be conducted with a view to obtaining *such proof*.

40. Investigation Not Limited to Production of Evidence

Investigation will not be limited to the production of evidence. The basic and primary purpose is to produce reliable information on which the requesting agency can base action in regard to subject.

41. Investigation Directed Specifically to Point at Issue

The investigation will be directed specifically to the point at issue, although matters relevant to other acts of counterintelligence interest may be developed collaterally. Such additional information as contributes toward a better evaluation of the evidence, even though not directly pertinent to the point at issue, also may be developed; however, this information (generally dealing with character, personal conduct, and disciplinary or administrative matters) should be evaluated judiciously and, if possible, excluded from the report of investigation.

to a highly classified station or project of the Department of the Army, consent to continue the investigation must be obtained from the commanding officer of this installation. Since the strict observance of this policy can result in serious embarrassment to an investigation, through delays or refusals by commanding officers, army and other commanders should establish working agreements in the field which will avoid such an occurrence. These agreements should be sufficiently flexible to insure that the investigative work in the field is not hampered by lines of jurisdiction which are binding upon Army personnel but invisible to the enemy agent and they should be called to the attention of and clearly understood by subordinate commanders who may be faced with the practical problem on the ground.

47. Interviews with Subjects of Counterintelligence Investigations

Direct interviews of the subjects of counterintelligence investigations generally are to be avoided. When necessary to establish facts otherwise unobtainable or when prescribed for certain categories of personnel by current directives, such interviews will be undertaken by selected, mature personnel and will be limited to a predetermined field. Questions should be prepared, insofar as possible, in advance of interviews and should be carefully reviewed to delete references to topics which are outside the scope of Army interest. Controversial matters, such as politics and labor union affiliation, are to be avoided unless essential to determining facts which have direct bearing on the case under investigation. Before conducting an interrogation, it must be determined that the person in question is within the investigative jurisdiction of the Army. Special care will be taken to insure that the subject of an interview does not gain information which will reveal the identity of informants or sources of information. Under no circumstances will he be allowed access to any portion of his intelligence file or be furnished information therefrom.

48. Disseminating Information Regarding Subject of Complaint Investigation

a. Every effort will be made not to disseminate information concerning a person who is the subject of a complaint until the report of investigation has been reviewed by the control office.

b. Exceptions to the requirement stipulated above are made in the following instances:

(1) When the control office considers the information to be of immediate significance to another command or agency entitled to receive it.

(2) When request for information is made by Headquarters, Department of the Army.

c. The dissemination of information after completion of investigation as outlined above will be limited to intelligence agencies and to the command levels necessary for taking appropriate action.

49. Disseminating Information Obtained on Collateral Matters

Information obtained during the course of a complaint investigation concerning a collateral matter of interest to another command or agency should be forwarded promptly in summary form by letter or summary of information. The preparation of letter reports is discussed in paragraphs 84 and 85; the preparation of summaries of information in paragraphs 86 through 92.

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CHAPTER 5

INVESTIGATIVE REPORTS

Section I. GENERAL

50. Types

There are four forms of counter intelligence *investigative reports* (including summary of information) for both background and complaint investigations:

a. Agent report. (Pars. 59–74, and fig. 2.)

b. Report of investigation. (See pars. 75 through 83, and fig. 3.)

c. Letter report. (Pars. 84, 85 and fig. 5.)

d. Summary of information. (See pars. 86 through 92, and fig. 6.)

51. Composition and Content

a. Counter intelligence reports and summaries must contain only clearly phrased, accurate, impartial, pertinent, complete, and concise information. Errors may be the cause of failure to take necessary and appropriate action when required. Conclusions, hearsay, and opinions ordinarily will be rejected. Hearsay statements and opinions, however, should be used as the basis for further investigation; and, if relevant and material to the issue, must be confirmed or disproved; or, if standing alone, must, due to evaluation of the source, meet reasonable tests of credibility. Except as stated in paragraph 69, no report will contain any expression of the investigating agent's opinion. Facts must not be distorted by manner of expression. Simple, direct, standard English leads to easy comprehension and reduces the risk of misinterpretation. Slang phrases, colloquialisms, and technical or trade terms should be avoided. Only those abbreviations which are officially authorized by the Army or those currently in general and familiar usage, such as CIO, FBI, etc., will be used. When brevity is appropriate, however, the name should be spelled out when first used and the abbreviation placed in parentheses directly after it; thereafter, throughout the report such abbreviation may be used.

b. The surname of the subject of investigation will be written in upper-case letters wherever it is used in report writing. When, in the body of the report, the subject of investigation is referred to as "SUBJECT," the word SUBJECT will be written in upper-case letters.

52. Evaluating Information and Sources Used in Reports

There is a tendency to place greater credence in the written word than often is justified. For this reason, the principles which govern evaluation should be clearly understood and strictly adhered to in all circumstances. A thoroughly reliable source may transmit information of doubtful truth or of truth that cannot be judged, while a source whose reliability is unknown may transmit information that is probably true. For the benefit of those who must form a judgment on the information contained in reports and summaries, great care must be taken to carefully weigh and appraise both the source and the information itself. For this purpose, the following schedule will be used:

Evaluation of-

Source	*Information*
Completely reliable---A	Confirmed by other sources ----------1
Usually reliable------B	Probably true--------2
Fairly reliable-------C	Possibly true---------3
Not usually reliable--D	Doubtfully true------4
Unreliable ----------E	Improbable ----------5
Reliability unknown--F	Truth cannot be judged----------6

Agent reports and summaries of information may contain information from a variety of

sources in which event an evaluation should be shown after each item where a different source is quoted. Thus, one paragraph may be evaluated A–2, while the next may be F–3.

53. Arrangement

The content of reports and summaries of information must be arranged in logical order. This insures that important facts will not be buried in a mass of extraneous detail and that they will be presented in the order of their relation to other facts, which may not necessarily be in the chronology of their investigational development.

54. Completeness

Omissions of pertinent information or a gap in a chain of facts may mislead. Every fact and circumstance necessary to a complete understanding of the case should be stated. Facts which the reporting agent, because of his proximity to the source of the information, takes for granted, should not be omitted in a report if they are material. All pertinent favorable and negative information must be included. When a course of inquiry is fruitless, this fact should be reported with a brief statement of the reason for the inquiry and the reason no information was obtained. Similarly, the agent should report his reason for failing to follow obvious leads.

55. Information Obtained From Agencies

Charges or allegations which have been received from various governmental agencies on personnel subject to Department of the Army jurisdiction, should be reported with evaluation and investigated if warranted and practicable.

56. Biographical Data

a. When a complaint investigation is conducted to prove the commission of specific acts, biographical data other than that necessary for identification ordinarily need not be reported. There are many cases, however, where some comprehension of the background of a subject of a complaint investigation is important. In such cases, the biographical data should be reported but should be limited to facts which throw light on the question at issue or aid in further investigation. However, if there is any doubt as to relevancy of background information, it should be included.

b. When a complete background investigation is conducted, full biographical data must be included.

57. Security of Information

Intelligence reports are to remain in intelligence channels until a specific command is required to take action as the "action agency," at which time the command concerned will be furnished an investigative report. Disclosures of the nature, sources, or even the existence of such counter intelligence information to persons mentioned in such a report or to other persons not normally entitled to such information may be made only when clearly authorized by the Director of Intelligence, General Staff, United States Army, or higher authority. Unauthorized disclosure of such information will be considered to be a violation of AR 380–5. Every transmittal of an investigative report will invite the attention of the recipient of the report to this paragraph of this manual in order to warn him of its provisions and avoid embarrassment to him and to the reporting organization. This action is necessary since there is frequently a tendency on the part of persons taking action on the basis of such reports to seek to shift responsibility from themselves by disclosing that their action is dictated by an intelligence report.

58. Classification of Reports

All files, reports, or other communications concerning investigations conducted in accordance with this manual will be classified at least CONFIDENTIAL, except that when background investigations result in negative or favorable reports, an unclassified statement to this effect may be issued. Likewise all personal history documents, such as letter requests for investigation, WD AGO Form 643, DA AGO Form 643A, and NME Forms 43 and 49, are to be so classified when comments or remarks concerning the individual or concerning the investigation of him are made thereon by the investigative agency.

Section II. AGENT REPORT

59. Definition and Purpose

An *agent report*, formerly referred to as a "memorandum," is a concise recording of information obtained by a single investigator. It is used to report the results of any type or types of investigative activity—interviews, observations, surveillances, examination of records, etc. The agent report or group of agent reports, as the case may be, becomes a component of the report of investigation. (See par. 75.) Agent reports should state what the agent *found out*—who, what, where, when, and why, and how—*not* what he *did*.

60. The Paragraph

Each individual interview, examination of record, or similar investigative component will be recorded in a single paragraph with necessary subparagraphs. These may be prepared either as individual agent reports on separate sheets of paper or may be typed in logical sequence as parts of a specific phase (par. 61) on the same sheet or sheets of paper. The inclusion of more than one source in a paragraph which deals with a single fact or issue, and expresses or reveals identical facts, is not prohibited provided the sources have the same evaluation.

61. Phase of Investigation

A phase of an investigation is defined as investigative coverage of a single aspect or partition of a case. It may be a single paragraph (as defined in par. 60) or it may combine several related paragraphs, for example: a single phase may include interviews with several teachers together with a check of the records of the school. Another phase might include an interview of business associates together with a check of the individual's employment records for a particular position. Separate phases may be included in a single agent report, but only if they follow in logical order and represent the work of a single agent.

62. Preparing Agent Reports

Agent reports are prepared on WD AGO Form 341. (See fig. 2.) Subsequent sheets, when required, will be made up on the same form. Paragraphs and pages of agent reports will remain unnumbered at the time of preparation of agent reports. These numbers will be filled in when the agent reports are incorporated into the report of investigation. (See par. 79.)

63. Including Sufficient Information

Since agent reports underlie the report of investigation which in turn is the basis upon which the action agency will rely in making disposition of the case, sufficient information must be included in them, not only to justify the report of investigation, but also to satisfy any questions with respect to that report which may be raised by the action agency. It must be recognized that facts which are favorable or unfavorable to the subject are of equal consequence and that material which conflicts with the recommendation for action made by the control office is as important as information which sustains the recommendation.

64. Preparing Paragraphs Concerning Interviews with Individuals

A paragraph containing an interview will contain, except for confidential informants, the name, address, and occupation of the individual interviewed, plus his grade, Army serial number, and organization if he is in the military service, the date of the interview, and, if pertinent, the circumstances under which the information secured was given. Information as to the duration and extent of the informant's knowledge of, and acquaintance with, the incident or person under investigation will also be reported; and, if such information is not obtained during the interview, it will, where important, be otherwise ascertained. Names and addresses must be given accurately and in full. Statements made by informants or subject of investigation will be reported in substance except when it is recorded as a direct

quotation. When a direct quotation is used in the paragraph, it is essential that the question be reported exactly as it was stated by the person interviewed. It is desirable, where possible, to make a *verbatim* record of any interview with the subject of a complaint investigation. The transcription will be marked as an exhibit and attached to the report. A notation will be made of all signed statements obtained from persons interviewed in order that the action agency will be apprised of the existence and availability of such documents. Any *facts* which have a bearing, particularly adverse, on the credibility of the person interviewed should be clearly stated, but without comment (for example, a description of the witness' manner). All information concerning which the individual interview normally would be expected to testify, if called as a witness, will be included.

65. Preparing Paragraphs Concerning Interviews with Subject of Investigation

Paragraphs concerning interviews with the subject of an investigation should contain all information pertinent to the issues of the investigation, including a statement of all admissions or denials made by the subject and assertions made by him which tend either to corroborate or to negate information obtained from other sources. Any actions indicating the attitude of the subject, as noted by the interviewing agent, may be described. Extracts of direct quotations from a verbatim record may be included when desirable. Originals of transcriptions of interviews will not be made a part of the body of the agent report, but will be attached as an exhibit.

66. Preparing Paragraphs Concerning Facts Obtained by Surveillance

Paragraphs containing information procured by surveillance or similar methods will not go into detail on the way in which the surveillance was made, although a general description is not prohibited in those cases where the method of surveillance either had a bearing on the competency of the evidence, or affects its weight. Except as stated in paragraphs 67 and 71, the observer will be identified.

67. Preparing Paragraphs Concerning Documents, Photographs, Physical Evidence, and Records

Paragraphs concerning documents, photographs, physical evidence, or the examination of records may contain general descriptions of such evidence. Where copies of the evidence will aid the action agency in reaching a correct decision, they should be attached, if possible, to the agent reports as exhibits, together with a statement of the exact location of the original evidence, its custodian's name, and the names of persons who can testify to its authenticity. When the source of information is a written record, it should be identified by office, location, title, volume, page number, and date. A copy of a portion of a record may be included as a part of a paragraph and will be designated as an "extract." Care will be exercised in making extracts to insure that divorcing the passage from its context does not affect its meaning. A complete copy of a record which is incorporated in an agent report will be designated as a "copy." Copies or extracts of records will be designated as exhibits rather than incorporated as part of a paragraph. If the source of information obtained from written records is classified, or if the revelation of such source would compromise counterintelligence operations or embarrass the agency furnishing such records, the material in the reports may be paraphrased, and the source referred to by symbol. The exact reference to the source will be maintained in such manner, consistent with the required security in each instance, as may be determined by the responsible intelligence officer in charge of the investigative agency or in the control file, whichever such intelligence officer may deem appropriate. This information should be accessible, however, if required by further developments in the case.

68. Indication of Leads

Whenever a lead (including routine leads of which further investigation may not be necessary) susceptible of development by another office is mentioned in the agent report, a note consisting of the word "lead" in parentheses will be made in the right-hand margin.

69. Agent's Notes

a. At the conclusion of the agent report, or appropriate paragraph under the heading "Agent's Notes," the agent may make comments for the purpose of aiding in the evaluation of the facts related in the report. The agent should give his reasons for questioning the reliability of the informant or of the information contained in the report, or he may draw attention to conflicts or discrepancies in different accounts of the same incident and state his opinion, supported by reasons, as to which is the more reliable version. He should also indicate under the topic "Agent's Notes" his opinion as to which of the leads contained in the memorandum should be developed; and, if not obvious, the reason for his opinion. Specimens of "Agent's Notes" are not illustrated in this manual.

b. When one or several agents, working as a team, have been working over an extended period of time on one case, the reviewing authority should require that, in addition to the agent reports, there be submitted a statement reflecting conclusions to be drawn from the investigation made and recommendations for disposal of the case by the action agency. This statement will not be included as part of any one of the agent reports but will be a separate document to form a part of the files on the case and to serve as an aid to the reviewing authority. The provisions of this paragraph do not apply to a situation where a number of agents have been engaged on separate phases of a single investigation without knowledge of the over-all picture.

70. Cumulative and Corroborative Information

When interviews of several persons concerning one individual or one incident produce substantially identical information with respect to a single phase which is not derogatory or incriminating, one paragraph may cover all of the interviews. The names and addresses of all individuals interviewed, the duration and extent of each individual's knowledge of, or acquaintance with, the subject or incident, and the fact that the information given by them is substantially the same, should be stated. However, a separate paragraph will be made for each report of an interview containing derogatory or incriminating information, significant new information, or information which conflicts with information previously received.

71. Identification of Confidential Sources of Information

a. Since investigative reports are often disseminated outside intelligence channels, confidential informants and confidential processes will be referred to in the body of reports by code symbols. The symbol "Y" may be used to designate the source of information, and differentiation may be established among the various sources in any one report by addition of a number immediately after the symbol. For example, information obtained from an informant whose identity should not be disseminated with the report might be introduced by a statement such as "Informant Y–1 states that . . .;" or for information obtained through a confidential process: "Information obtained from Y–2 indicates that . . ." Any system of symbols may be used, but it should be explained on a separate key sheet, classified confidential or higher, to be included in the control and central files only.

b. Identity of such routine informants as those discovered in neighborhood checks, employers, co-workers, should normally be indicated in reports. Their names, addresses, occupations, and other pertinent data in each case should accompany the first reference to the informant.

72. Evidence in Support of Courts Martial

In any investigation upon which action of a court martial, military board, or civil court is expected to be based, signed statements should be taken when feasible. The originals of these documents should be included as exhibits.

73. Exhibits

Documents, photographs, transcripts of interviews, and other items of evidence which confirm and amplify information in agent reports

and which cannot be incorporated in the paragraphs, are known as "exhibits." Exhibits are available for use in any proceedings arising out of the investigation and should be classified as required by the provisions of AR 380–5.

Note. Agents will number copies of exhibits in a single series of Roman numbers and forward the unmarked originals to the Control Office.

74. Evaluating Sources and Information

Each paragraph of the agent report will be evaluated as provided for in paragraph 52.

Section III. REPORT OF INVESTIGATION

75. Definition

A *report of investigation* (formerly summary report, CIR1) is the complete report which presents the accumulation of all agent reports prepared for a given case.

76. When Prepared

Reports of investigation are prepared after completion of an entire investigation, except as set forth in paragraph 77, in the following cases:

a. All complaint investigations.

b. All background investigations where sufficient evidence has been developed to warrant a recommendation adverse to the interests of the subject.

c. All background investigations where, because of the importance or complexity of the investigation, a letter report (pars. 84 and 85) would not furnish the requesting agency with an adequate picture of the results of the investigation.

d. All instances when directed by higher authority.

77. Reports of Investigation Prepared Prior to Completion of Investigation

Exceptions to the requirement that reports of investigation are to be prepared only after completion of an entire investigation (par. 76) are as follows:

a. In urgent cases where the situation requires that precautionary or preventive measures or other emergency action be taken immediately.

b. In cases involving espionage, sabotage, treason, and sedition, a report of investigation is to be prepared within 30 days of the date of discovery, notwithstanding the incompleteness of the investigation. Additional reports of investigation will be submitted if and when new and important material on the case is developed before the investigation is completed.

c. When directed by higher authority.

78. Status of Investigation When Preparing Report of Investigation

The status of an investigation at the time of preparation of a report of investigation is defined as one of the following:

a. CLOSED. An investigation is closed when no further investigation is necessary to determine administrative or legal action.

b. TERMINATED. An investigation is terminated when investigative jurisdiction passes elsewhere or where the request for the information is negated or withdrawn.

c. SUSPENDED. An investigation is suspended when all tangible leads result in inconclusive findings and, consequently, positive action cannot be recommended and subject is to be kept under surveillance.

d. PENDING. An investigation is pending when any further investigative action remains to be taken. This will be applicable in only those cases referred to in paragraph 77.

79. Preparing Report of Investigation of Individuals

Reports of investigation of individuals are prepared by the control office or in its name by a subcontrol office. Figure 3 illustrates a completed report of investigation for a background case, and figure 4 illustrates a completed report of investigation for a complaint case. The first (covering) page is prepared on WD AGO Form 342, followed by any continuation sheets required to complete the information called for on the face of the form. Following this, the agent reports prepared for the case are arranged, as closely as is consistent with a logical exposition of the facts, in the order set forth below. Inasmuch as complaint cases should in-

clude only information pertinent to the complaint, the order suggested applies more specifically to background investigations. However, this arrangement will also be adhered to as closely as possible in complaint cases. When the agent reports have been arranged in proper sequence, the paragraphs, which have been left unnumbered (par. 62), will be numbered consecutively throughout the report of investigation.

a. Birth check.

b. Family interview.

c. Education (chronological).

d. Interviews with teachers, principals, and fellow students. (Agent reports covering interviews with teachers, etc., at high school attended will follow directly after the check of records of the high school. This should be followed by a check of records of the next school attended; for instance, State college. Interview of State college teachers would follow, etc.

e. Employment (chronological).

f. Office check; that is, interviews with former business associates, partners, foremen, supervisors, subordinates, etc. (Such interviews will follow directly the records check of the employment concerned in the same manner as explained in *d* above.)

g. Residence checks (chronological).

h. Acquaintances.

i. Character references.

j. Organizations checks (social and political).

k. Credit references or records.

l. Court records.

m. Police records (in the following order: local police, State police).

n. Records of local Federal Bureau of Investigation, Office of Naval Intelligence, Air Force A–2, Intelligence Division G–2 in army area and national agency checks.

o. Military records.

p. Barracks and unit check.

80. Preparing Report of Investigation in Incident Cases

Where possible, the instructions given in paragraph 79 will be followed. However, incident cases are so variant that they are not susceptible to standard treatment. The following questions are suggested as guides to the facts which should be set forth:

a. What is the nature of the incident (fire, explosion, distribution of seditious pamphlets, introduction of acid into de-icing system of an airplane, secret maps missing, etc.)?

b. What facility or equipment is involved (specific designation and serial number)?

c. Where did the incident occur?

d. When did the incident occur?

e. What damage did it do to the military effort?

f. What was the value of the property destroyed?

g. What repairs are necessary; how much time is required to accomplish these repairs?

h. Was anyone killed or injured?

i. Who discovered the incident—when, how?

j. Were there any witnesses?

k. What was the cause; if known, was it accidental, deliberate, malicious mischief, sabotage?

l. Who are the logical suspects (those to whom evidence points); what were their motives?

81. Synopsis of Agent Reports

The synopsis of agent reports is entered on the report of investigation. It is written in narrative style and contains the essence of the pertinent verified information contained in the agent reports. The synopsis tells who, what, when, where, why, and how. It contains parenthetical references to the numbered paragraphs in attached agent reports to facilitate ready reference to them.

82. Exhibits

No original exhibits will be forwarded with the report of investigation, but they will be retained in the control file until required by the action agency or higher authority.

83. Distributing Reports of Investigation

a. When a report of investigation is prepared, copies will be distributed by the control office as follows:

(1) One copy to action agency.
(2) One copy to field office of the Federal Bureau of Investigation (for complaint cases and civilian background cases when terminated or referred to the Federal Bureau of Investigation).
(3) One copy to Intelligence Division, General Staff, United States Army. This copy should be stamped in the space under item 24 (of Form 342) in the lower right-hand corner "ID Central File Copy."
(4) One copy to the control file.
(5) One copy to the appropriate Army command.
(6) One copy to individual's intelligence field file (complaint cases only).
(7) One copy to the district office of the Office of Naval Intelligence or to the appropriate district office, Office of Special Investigations, Inspector General, Air Force, when pertinent.

b. Distribution of reports of investigation will be made through intelligence channels. In complaint cases, distribution of reports of investigation to the Federal Bureau of Investigation field offices, district offices of the Air Force Office of Special Investigations, and district Office of Naval Intelligence offices will be made through the appropriate Army command.

Note. When two copies of a report of investigation of CIC personnel are sent to the CIC Center, Camp Holabird, no additional copies of such reports of investigation need be sent to the Intelligence Division, General Staff, United States Army, since the CIC Center is a part of the Intelligence Division and shares the same central files.

c. In order to comply with the appropriate provisions of TM 12–230A, and 12–425A and Civilian Personnel Regulations, the control office, upon completion of a favorable background investigation only, is responsible for notifying the office maintaining the subject's personnel records of the type of investigation, date of completion, and the army area or oversea command in which the report is filed.

Section IV. LETTER REPORT

84. Purpose

a. In cases concerning individuals, with the exception of those instances described in paragraph 76, military correspondence may be used by a control office to transmit the results of investigation to the action agency—

(1) When insufficient evidence has been developed in the course of a background investigation to warrant a recommendation adverse to the interest of the subject.

Note. In such instances it will be made clear that, except for the matter so developed, nothing derogatory to the subject was uncovered by the investigation. The letter report will enumerate the full extent of the investigation.

(2) To render a favorable report.

b. Military correspondence, when used for these purposes, will be referred to as a *letter report.* The letter report may be either an original letter or simply an indorsement to a letter of request. Letter reports follow the forms prescribed for military correspondence in TM 12-253. An example of a letter report is shown in figure 5. Letter reports must contain sufficient detail to positively identify the individual on whom the report is being submitted. The minimum requirement is full name, place and date of birth, present or last known address, military grade and serial number (if applicable).

85. Distributing Letter Reports

When a letter report is prepared, copies will be distributed through intelligence channels:

a. One copy to the action agency.

b. One copy to the appropriate army.

c. One copy of the Intelligence Division, General Staff, United States Army.

Section V. SUMMARY OF INFORMATION

86. Purpose

A *summary of information* is used to transmit the following types of information:

a. A summary of files or records.

b. Information obtained which it is desired to forward to any agency within the Army Establishment which has a proper interest in the facts.

c. Information obtained from any agency within the Army Establishment which it is desired to forward to any agency of Government which has a proper interest in the facts.

d. Information on collateral matters discovered during the conduct of an investigation by an agency of the Army Establishment which it is desired to forward to any agency of Government which has a proper interest in the facts.

Note. Summaries of information will not be used as, or in place of, letter reports or Reports of Investigation.

87. Preparation

Summaries of information will be prepared on WD AGO Form 568. An example is shown in fig. 6. They will not be signed.

88. Requests for Summaries of Information

Requests for summaries of information should be specific as to what files or records are to be reviewed.

89. Content

The summary of information will contain a complete but concise statement of all the facts developed after the exploitation of available or specifically appropriate files and records. It should be sufficiently detailed and clear enough for a reader totally unfamiliar with the facts of the case and with the individuals or organizations mentioned in such summary to understand what is contained therein without refer-

ence to other documents or records. The summary of information is not intended to prove a point, but is to record information of the files and records exploited. If only derogatory information is brought out, perspective will be distorted. A summary of information should be written in such a fashion that, if read years later, the reader may be sure that, as of the date it was prepared, the summary contained all the information then available in the files reviewed, both good and bad.

90. Including Information From Other Government Agencies

a. Information secured from other governmental agencies will be included only in summaries of information prepared for a requesting or receiving agency within the Army Establishment or for the Federal Bureau of Investigation. When so prepared, the name of such source will not be given, but will be referred to only as a "reliable source." These summaries of information will contain the following statement: "Information derived from sources other than the Department of the Army is included in this summary. This information will not be passed to any agency outside the Department of the Army."

b. Information secured from other Government agencies will not be included in summaries of information when the requesting or receiving agency is another Government bureau or department. Only information from Department of the Army sources will be included in such summaries of information. The summary will include the following statement: "Only information derived from Army sources is included in the above summary."

91. Identifying Sources

Since the office preparing the summary of information may later need to refer to it to ascertain the specific files and records exploited in its preparation, there should be added to the copy of the summary of information retained, and to *only* this copy, a memorandum for the record which identifies sources used. Extreme care will be exercised in the preparation of summaries to insure that sources of information are not compromised or embarrassed.

92. Evaluating Sources and Information

Each paragraph of a summary of information will be evaluated as provided for in paragraph 52.

CHAPTER 6

INVESTIGATIVE FILES

Section I. GENERAL

93. Files Maintained

a. Three separate record files are maintained regarding counter intelligence investigations:

(1) Control files. See pars. 96 through 101.)
(2) Central files. (See pars. 102 and 103.)
(3) Intelligence field files. (See pars. 104 through 110.)

b. Control files and central files will be maintained for all background and complaint investigations of individuals. Intelligence field files will be maintained only for all complaint investigations of individuals and those background investigations which contain derogatory information.

94. Security of Information

No information from classified counter intelligence files will be given to private individuals or commercial companies except those cleared and approved to have access to classified information.

95. Duplicate Investigation

All offices conducting investigations will maintain adequate indexes of all investigations made by them to insure that no duplicate investigations are conducted.

Section II. CONTROL FILE

96. Definition

The *control file* is a file prepared on each subject of an investigation by the control office or one of its subordinate echelons in connection with an investigation. In the past, this file has been referred to as the "case report." However, this is a file or repository of the material which has been accumulated in the course of an investigation or series of investigations. For the sake of clarity, therefore, the term "case report" will cease to be used; and hereafter the term "control file" will be employed.

97. Purpose

The purpose of the control file is to provide a repository into which is placed all data pertaining to the particular investigation. It forms the basis from which is derived the information that is used in the preparation of a report of investigation or a summary of information. It should contain all information developed during the initial and all subsequent investigations of a subject, together with copies of all reports and summaries made up from the material which it contains. It should further contain copies of all reports received from sources other than the investigative agency making the initial or subsequent investigation. This will include reports from the Federal Bureau of Investigation, other Government bureaus and departments, and a copy of DA AGO Form 643A, when such is available.

98. Location of Control Files Concerning Individuals When Investigation Is Incomplete

During the course of an investigation of an individual, the control file will be kept by the control or subcontrol office. Upon transfer of any individual into the jurisdiction of another Army command or port of embarkation, the former control office will forward to the new control office that portion of the control file already compiled, together with a record of all outstanding leads. When the control file is

99. Location of Control Files Concerning Individuals When Investigation Is Complete

The Army command within the geographical limits of which the subject is stationed at the time the investigation is closed will keep the completed control file, except that, in the case of a background investigation of individuals assigned to or under consideration for assignment to the Counter Intelligence Corps, the control file will be kept by the Director of Intelligence, General Staff, United States Army. A port of embarkation, which is the control office, will forward the completed control file to the appropriate Army command when the investigation is closed and action has been taken or determined to be unnecessary. However, this will not be done in cases which were begun as incident cases involving sabotage or suspected sabotage. (See par. 100.) When the subject is stationed overseas at the time that the investigation in the zone of interior is closed, the control file will be kept by the army command where the investigation is completed.

100. Location of Control Files Concerning Incidents

Control files on incidents, where sabotage or suspected sabotage is involved, whether individuals are concerned or not, will be maintained by the control office which conducted the investigation. They may be withdrawn as provided in paragraph 101.

101. Withdrawal of Completed Control Files

a. Completed control file may be withdrawn only when—

(1) A new investigation of the subject is initiated.

102. Location of Central File

The Intelligence Division, General Staff, United States Army, will maintain a central permanent file concerning all investigations.

103. Content of Central File

In order that this *central file* may be created and maintained, commanding generals of all Army areas, the Chief of Transportation, and all oversea commanders (in cases involving United States personnel), will forward to the Intelligence Division, General Staff, United States Army, the following, when prepared:

a. A copy of the report of investigation (or letter report). (See pars. 75 and 84.)

b. A copy of the recommendation for action. (See par. 119.)

c. A copy of the report of action taken. (See par. 124.)

d. A copy of DA AGO Form 643A (to be furnished, when procurable, at the same time as those listed in *a*, *b*, and *c* above, but not required until usefulness to investigative and action agency is exhausted).

Section IV. INTELLIGENCE FIELD FILE

104. Definition

An *intelligence field file* is one which opened upon receipt of derogatory information concerning an individual and is maintained as long

as there is any derogatory information concerning that individual which is not disproved.

105. Purpose

The intelligence field file provides for the benefit of commanders whatever information is available concerning individuals in their commands on whom derogatory information has been developed.

106. Preparation

The control office responsible for conducting the investigation is responsible for assembling the intelligence field file.

107. Content

a. When an intelligence field file has been prepared on an individual, it will include—

(1) A copy of the report of investigation. (See pars. 75 and 84.)

(2) A copy of the recommendation for action. (See par. 119.)

(3) A copy of the report of action taken. (See par. 124.)

(4) Copies of other pertinent information, nonderogatory as well as derogatory, regarding the individual.

(5) A copy of DA AGO Form 643A, when procurable.

b. During the course of any new investigation, an intelligence field file will contain a statement that such investigation is in progress; a statement of the facts which provide the reason for the investigation; and, in cases where reports of investigation prior to completion are prepared (par. 78), a copy of such report.

108. Location

Intelligence field files will be maintained at command levels prescribed by the commanding generals of the army areas and oversea commands, taking into consideration the importance of security with respect to the information contained in these files. At levels lower than those prescribed, only such minimum records will be maintained as are essential; and the officer responsible for the maintenance of such records will hold them in his personal custody. Access to these files may be had only with the permission of the officer charged with their custody or his commanding officer.

109. Transfer

Upon the transfer of the individual, the intelligence field file will be transferred through normal intelligence channels to the appropriate command level of his new assignment. This procedure also applies to transfers to, from, and between oversea departments and commands.

110. Location of Intelligence Field File Upon Discharge of Individual

a. An intelligence field file of a discharged military individual will be forwarded through intelligence channels to the army headquarters in whose area the individual has his permanent residence. If permanent residence is unknown, the intelligence field file will be sent to Intelligence Division, General Staff, United States Army, for appropriate disposition. In all cases of discharge, the army area which is the ultimate custodian of the intelligence field file, will prepare a summary of information to be forwarded to the local field office of the Federal Bureau of Investigation and the Intelligence Division, General Staff, United States Army. In no case will the intelligence field file be turned over to the Federal Bureau of Investigation or sent to The Adjutant General.

b. Intelligence field files of discharged military and separated civilian personnel will be forwarded through intelligence channels to the G–2 of the army area in which the individual has his permanent residence.

CHAPTER 7

INVESTIGATIVE LEADS

111. Authority for Requesting Development of Leads Outside Control Office Jurisdiction

An army command or port of embarkation is authorized to direct a request to any other army command or port of embarkation to develop such specific leads as may be required in connection with any of its own investigations. In cases where the control office delegates the duties of controlling and coordinating an investigation to a subcontrol office, this delegation may include the authority to make direct request for development of leads outside the jurisdiction of the control office. The use of intelligence channels for correspondence in the development of leads is authorized.

112. Development of Subsidiary Leads Within Army Command or Port of Embarkation Jurisdiction

An army command or port of embarkation, when requested to develop a lead by a control office, under provision of paragraph 111, will, as a matter of standard procedure, also develop any additional significant and pertinent leads within its own jurisdiction which arise during the course of the requested investigation.

113. Development of Subsidiary Leads Outside Army Command or Port of Embarkation Jurisdiction

An army command or port of embarkation which is requested by a control office to develop leads and which uncovers subsidiary leads outside its jurisdiction will not make direct request for the development of such outside leads, but will furnish the control office the necessary information relating thereto.

114. Transmission of Requests for Development of Leads

The lead sheet (fig. 7) will be given preference in the transmission of requests for the development of leads or requests for investigation made by one investigative agency to another. However, requests may be transmitted by telephone, radio, or teletype where the urgency of the situation demands. The use of radiograms or teletypes in requesting the development of leads in sabotage cases is encouraged.

115. Preparation and Format of Lead Sheet

The body of DA AGO Form 339 (Lead Sheet) is divided into three parts. Detailed instructions for making the proper entries appear on the reverse of the form (see fig. 7).

116. Inclosures Accompanying Lead Sheet

Personal history statements, photographs, summaries of information, extracts from personnel records, or other documents which will aid in the development of leads, may be transmitted by the requesting agency with the lead sheet as inclosures. Inclosures will accompany the lead sheet only if it is more expeditious to transmit leads in this manner than on the face of DA AGO Form 339. If a personal history statement is sent with the lead sheet, the requesting agency should underline the items it wants the reporting agency to develop or verify.

117. Agent Reports Covering Material Gathered in Development of Leads

When material is gathered in the devolpment of leads, it will be compiled as an agent report (See pars. 59 through 74.)

118. Transmittal of Agent Reports to Requesting Agency

There are two ways in which an office may make a report on a request to develop leads:

a. LEAD SHEET. When the reporting agency uses the lead sheet to transmit the report of the development of leads, the inclosures, such as agent reports, exhibits, etc., will be listed in item 10 of the lead sheet (DA AGO Form 339) and attached to the lead sheet. Item 9 of the lead sheet will then be signed by the officer in charge of the reporting agency, and the lead sheet with inclosures, forwarded to the requesting agency.

b. LETTER OF TRANSMITTAL. When requests for the development of leads are made by means other than the lead sheet, the reporting agency may transmit the agent reports prepared in the development of such leads by a letter of transmittal.

CHAPTER 8

RECOMMENDATIONS AND ACTION

119. When Recommendations Are Prepared

Upon the completion of all investigations, including the preparation of the report of investigation or letter report, recommendations will be prepared (or included in case of letter report). When the urgency of the situation requires that precautionary, preventive, or other emergency action be taken, and a pending report of investigation is prepared prior to completion of investigation, this report will be accompanied by recommendations.

120. Recommendations for Action

a. Recommendations for action (fig. 8) are prepared by or on behalf of the commanding officer of the control office and are signed by or for him. A recommendation contains—

(1) A terse statement of the conclusions drawn from facts produced by the investigation.

(2) The recommendation of the commanding officer of the control office as to the action to be taken by the action agency. Only recommendations for positive action, that is, removal, transfer to nonsensitive duties, or transfer to another unit or organization, should be made. Recommendations that no action be taken will not be made. When reports of investigation are negative or unsubstantial, they will be forwarded for information, or for such action as may be deemed appropriate.

(3) A request for notification as to action taken. (See par. 124.)

(4) Invitation of attention to paragraph 57 (TM 30–218) regarding disclosure of information contained in the report. While this item is not illustrated in figure 8, it never should be omitted.

b. In those cases where the commanding officer of the control office is also the officer responsible for taking action, a memorandum for record will be prepared to contain that which normally would be included in a recommendation for action.

121. Recommendations in Cases Concerning Individuals

Recommendations will be made in accordance with current Department of the Army policy governing the disposition of subjects of investigations, or in the event that the situation is not covered by existing policy, in accordance with the exigencies of the situation.

122. Recommendations in Incident Cases

a. When investigation in an incident case indicates subversive activity but does not produce evidence which definitely identifies the individual or individuals responsible for the incident, the commanding officer of the control office will make recommendations for the purpose of indicating possible preventive action, other administrative action, or that no action is deemed necessary.

b. When, as the result of an investigation of an incident case, the control office has reached conclusions indicating specific individuals responsible for the incident, the commanding officer of that office will make recommendations for the action to be taken with respect to the individuals involved.

123. Distributing Recommendations for Action

When recommendations for action are prepared, the control office will make the same distribution as given for reports of investigation. (See par. 83.) Memoranda for record, when prepared in accordance with paragraph 120*a* (3), likewise will be given the same distribution as given to reports of investigation.

124. Requesting and Distributing Reports of Action

When forwarding recommendations to the action agency, request will be made that a report of action taken or reasons for taking no action on recommendation be returned to the control office by the action agency. The control office is responsible for making the same distribution of such reports of action as given for reports of investigation. (See par. 83.)

CONFIDENTIAL

HEADQUARTERS FIRST ARMY
Governors Island, New York 4, N. Y.

FILE NO. 1A-004578

SPD/OS/aj
22 July 1947

SUBJECT: ANDERSON, Robert John

TO: Commanding General
Fort Monmouth, New Jersey
Attention: AC OF S, G-2

1. Reference is made to letter your office dated 25 May 1947, in which a Partial Background Investigation was requested to determine the suitability of the following named SUBJECT for a position of trust:

ANDERSON, Robert John M/Sgt 9304389
Last name First Middle Rank ASN

10 June 1918 Woodbridge, New Jersey
Birth date Birth place

21 South Orange Street, Mt. Ephriam, New Jersey
Present or last known address

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2. Investigation has been conducted and the following sources have been interviewed or examined:

a. G-2 First Army, Governors Island, New York 4, N.Y.
b. Federal Bureau of Investigation, New Jersey
c. Office of Naval Intelligence, Third District, New Jersey
d. Police Department, Mt. Ephriam, New Jersey
e. Police Department, New Jersey State Police
f. U.S. Civil Service Commission, New York, N.Y.
g. Dr. Thomas R. Olsen, 27 Gilmore St., Paterson, N.J.
h. Mr. Oscar W. Ridgeway, 199 McArthur Ave., Clifton, N.J.
i. Mr. Sam Sheplow, 2130 Park Rd., Mt. Ephriam, N.J.
j. Bell Telephone Co., 3345 Main St., Newark, N.J.
k. Mr. Dennis Dwyer, 3345 Main St., Newark, N.J.
l. Wright Aero Corp., Paterson, N.J.
m. Mr. Donald Sanders, Wright Aero Corp., Paterson, N.J.
n. Mr. Fred Connors, 118 Maple Ave., Mt. Ephriam, N.J.

3. No information reflecting adversely upon the loyalty, integrity or discretion of SUBJECT was revealed in the course of this investigation.

FOR THE AC OF S, G-2:

L. R. Burns
L. R. BURNS
Colonel, GSC
Chief, Area Intelligence Division

[redacted]

Figure 5. Letter report.

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SUMMARY OF INFORMATION	DATE 19 April 1947
PREPARING OFFICE: Operations Branch, Security Group, ID, General Staff, U.S. Army	

SUBJECT

BROWN, Margaret Pierce
Clerk-typist
Stockton Ordnance Depot

CODE FOR USE IN INDIVIDUAL PARAGRAPH EVALUATION

OF SOURCE:		OF INFORMATION:	
COMPLETELY RELIABLE	A	CONFIRMED BY OTHER SOURCES	1
USUALLY RELIABLE	B	PROBABLY TRUE	2
FAIRLY RELIABLE	C	POSSIBLY TRUE	3
NOT USUALLY RELIABLE	D	DOUBTFULLY TRUE	4
UNRELIABLE	E	IMPROBABLE	5
RELIABILITY UNKNOWN	F	TRUTH CANNOT BE JUDGED	6

SUMMARY OF INFORMATION

William Roger Brown was born on 21 September 1901 in Newark, New Jersey. He attended grammar and high school in Newark. In 1922 Brown was graduated from Rutgers University, New Brunswick, N.J., and in 1923 he received a Master's degree from Columbia University. From 1924 to 1929 Brown was an instructor at the University of Kentucky, Louisville, Ky. In 1925 he married Margaret Jane PIERCE. From 1930 to 1936 William Brown was a professor of Sociology at New York University. From 1936 to 1942 he was self-employed as a public relations counselor. His office was in New York City although its location is not known. (C-3)

On 21 March 1942 SUBJECT's husband was inducted into the Army of the United States. When inducted he listed his party affiliation as "Communist". On 3 June 1942 it was recommended that Brown not be assigned any duties which would afford him access to classified material. On 2 December 1945 he was honorably discharged at Stockton Ordnance Depot, Stockton, Cal., in the grade of Sergeant, under the demobilization act of 1945. (A-1)

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Figure 6.—Summary of information.

LEAD SHEET

1. SUBJECT
MARTIN, Robert Murray
Capt., FA, O-1164665

2. DATE
1 April 1947

3. CONTROL SYMBOL OR FILE NO.
C-78966

4. TYPE OF AND REASON FOR INVESTIGATION (*See instructions on reverse side for completion of items 4, 5, and 6*)
CBI for position of unusual trust, military; Priority II-2.

5. LEADS TO BE VERIFIED:

a. Educational record at Accounting School of the University of Chicago where SUBJECT was in attendance 1938-39.

b. Neighborhood check in the vicinity of 44 S. 10th St., Evanston, Ill., where SUBJECT resided from June 1938 to January 1941; interview two neighbors and apartment superintendent.

c. Banking activities and credit rating at the Merchants' Bank of Evanston, Evanston, Illinois.

d. Employment record at Sears Roebuck & Co., W. Wacker Drive, Chicago, where SUBJECT was employed from August 1938 to January 1941.

e. Check local police in Evanston and in Chicago.

6. BACKGROUND INFORMATION:

a. White; male.

b. Born 8 May 1916 at Middletown, Ohio.

c. Present home address 16 Carlisle St., Middletown, Ohio.

SPECIMEN

7. REQUESTING AGENCY	9. REPORTING AGENCY
OFFICE: AC of S, G-2, Hq. Second Army	OFFICE: AC of S, G-2, Hq. Fifth Army
ADDRESS: Fort George G. Meade, Md.	ADDRESS: Chicago, Ill.
FOR THE AC OF S, G-2, Second ARMY	FOR THE AC OF S, G-2, Fifth ARMY
SIGNATURE: Paul T. Avant	SIGNATURE: James McMahon
TYPED NAME, GRADE, AND TITLE: PAUL T. AVANT, Capt., Inf., Chief, Investigation Section	TYPED NAME, GRADE, AND TITLE: JAMES MCMAHON, Capt., Inf., Chief, Investigation Section
8. INCLOSURES (*For requesting agency*): None	10. INCLOSURES (*For reporting agency*): Agent Report

DA AGO FORM 1 SEP 48 339 REPLACES WD AGO FORM 339, 1 JUN 47, WHICH MAY BE USED. 16—66368-1

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① Front

Figure 7. Lead sheet.

INSTRUCTIONS

Items 5 and 6 have not been printed on the face of this form to permit flexible spacing of these items.

ITEM 1.—In background and individual complaint cases, enter subject's name and such additional identifying data as grade and serial number, in the case of military personnel, or duty or job assignment in the case of civilian personnel. In incident cases enter title (*fire, explosion, etc.*), and time and location of incident.

ITEM 2.—Enter date of completion of lead sheet.

ITEM 3.—Enter control symbol or file number assigned to case.

ITEM 4.—In complaint cases, state the nature of the complaint. In background cases, specify type of investigation desired, together with reason for the investigation (*e. g., "Regular Army Integration"; "Cryptographic, Military"; "Position of Trust, Civilian"*).

ITEM 5.—Skip two spaces after item 4 and type in "5. Leads to be verified." Specify leads for which verification is desired, such as birth, school, and employment checks. Specify interviews desired and any other information which the control office may wish. Do not use such general language as "Follow up all leads in your area" or "See attached Personal History Statement."

ITEM 6.—Skip two spaces after item 5 and type in "6. Background information." Under this heading, when no Personal History Statement (*Form 643A*) is attached, enter complete information concerning the individual or case (*such as: (a) Race and Sex; (b) Army serial number, grade and arm or service; (c) date and place of birth; (d) permanent and temporary addresses; (e) recent previous addresses; (f) occupation and place of employment*) which might be helpful in identifying the individual and in developing the leads listed under item 5. Include also specific instructions regarding the proper manner of carrying out the investigation, such as precautions and pretexts to be used. State the number of copies of report desired.

ITEM 7.—When an authorized requesting agency signature is entered in this item, this form may be sent without a letter of transmittal.

ITEM 8.—List requesting agency inclosures, such as photographs and personal history statement.

ITEM 9.—When an authorized reporting agency signature is entered in this item, no other indorsement is necessary.

ITEM 10.—List reporting agency inclosures, such as agent reports, exhibits, summaries of information, etc.

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② Back

Figure 7—Continued.

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