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TRANSMITTAL AND DOCUMENT RECEIPT

HSCA

TO: Mr. Michael Goldsmith
Select Committee on Assassination
House of Representatives
3381 House Annex # 2
2nd & D Street, S.W.

FROM: Office of Legislative Counsel
Central Intelligence Agency
Room 7 D 35
Washington, D.C. 20505
26 Jun 78

THE DOCUMENTS LISTED HEREON ARE FORWARDED FOR:

INFORMATION	ACTION	RETENTION	LOAN
CONTROL NUMBER	DOC. DATE	SUBJECT (Unclassified preferred)	CLASS.
		Notes of Wolf and Goldsmith (HSCA request (Wolf) 26 Jun 78 0001742 -0001761	SECRET
		Information on 201 files HSCA request (Wolf) 26 Jun 78 0001762 -)0001781	SECRET
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RECEIPT

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OFFICE OF LEGISLATIVE COUNSEL
CENTRAL INTELLIGENCE AGENCY
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Briefing 2/14/78

Bill Donnelly - Chief of Information Services Staff

Mike Claffey?

Lee Coyle

Virginia Tores

Opening of 201

Operational interest

Trace would be conducted → bring together existing materials → open 201

Trace produces computer printout of info., not documents. In early '60's, it produced index cards.

Who opens 201?

Case officer - it's his judgement which determines whether if
if no intention of continuing interest, 201 may not be opened.

If it's an am. i. info. comes from a source such as FBI, CIA may
not open a 201.

If this type of info. comes in, it would go into index

There are certain criteria

1) Recruitment

2) High-level Communist officials

There are some operations which are run out of Headquarters, in which
case, a case officer is involved.

PRQ Pt. I - ~~high info~~

Pt. II - ~~more extensive~~

- might indicate sp. involvement

There should be a doc. indicating reasons why a part-person is not
recruited.

There should be a reference in 1st file to document in 2nd file if
there is one.

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③

CIA - State Dept. integration

"Big leaf" cover - when S.D. employees are aware that CIA emp. is in fact employed by S.D.
More integrated cover where a person would do a full-time S.D. job & also
at CIA job which is unbeknownst to rest of S.D. employees. - could be
a "deep official cover" as well as a "deep cover"

Central
Cover Staff

Am. citizens or most foreigners being used in some manner would, as a
general rule, have a security check.

If that person was an official of another govt. agency or from military,
that org. would have to be consulted.

Probably would use that org.'s

PLS - Policy & Co-ord. Staff

↳ would be involved in co-ord. of a project in which both the CIA &
another org. was involved

To the extent of CIA involvement, files would be maintained. That is
not to say that ^{the} other would not have more comprehensive files.

Project file

Graphex -

OCR

Office of Central Registry - part of NIAAC
photos of ships, things of intelligence
nature are maintained there.

Photos of prominent persons - ex. Eisenhower

Photos of tourists or random groups would not be of interest

Business Office Vouchered / Unvouchered Funds

P&L: Prescribed & Limited - refers to communications which are
compartmentalized

Opening of P&L channel of comm. is determined by one of 3 persons
- Chief of PLS, A.D.D., or D.D.O

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This has always been true - In earlier times, it may have been restricted by even fewer persons.

Diff communication may, in time, be downgraded; may never be destroyed.

as it possible, in context of a CI threat, in case of our hypothetical that info. would not be compiled in a 201 file? Yes, it is conceivable that many docs. could exist in the system & not be compiled into a 201 if there doesn't appear to be a reason for a 201.

Pseudo: false name used for purposes of communication

crypto: hard to id. one of sps. by digraph, followed by group of letters
You cannot assign a cryptonym w/out having a 201 #

If Supo. ^{Am} soldier ~~has~~ ^{has} give away mil. secrets & then defects, a 201 file would not necessarily have been opened - it might be a mil. matter.

CI staff may have had interests in defector

In early 60's, there was an interest in defectors.

Davis says based on ZEPHLE:

574 A form: request to put doc. into system

7 1997

In op. such as ZRRIFLE does, may be severely F.I.L - might ^{never} go into system except upon determination of office handling case.

"Sleeping agent" hypo: to run 2 or 3 sleepers in comm. China. Section title
doesn't necessarily have to know @ it since it is being run
from Hqtrs. - from AAP to CI stuff - reasonable scenario

Would a 201 be opened on sleeper?

competing of secrecy or being able to keep track of sleeper

Change of sleeper to Am. soldier defecting to E. Germans - report comes in from reliable source stating that sleeper is providing info.

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(K24)

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(5)

Plans would take place in small room in CI staff.

Form must be signed by DSO - would be put into op. file on the sub.
File would be held at CI staff desk or at action desk.

Problems: Communication
: Equipment

Op. files can generally be destroyed according to guidelines.

Is it possible for someone to have both a 201 file & a Personnel file? yes

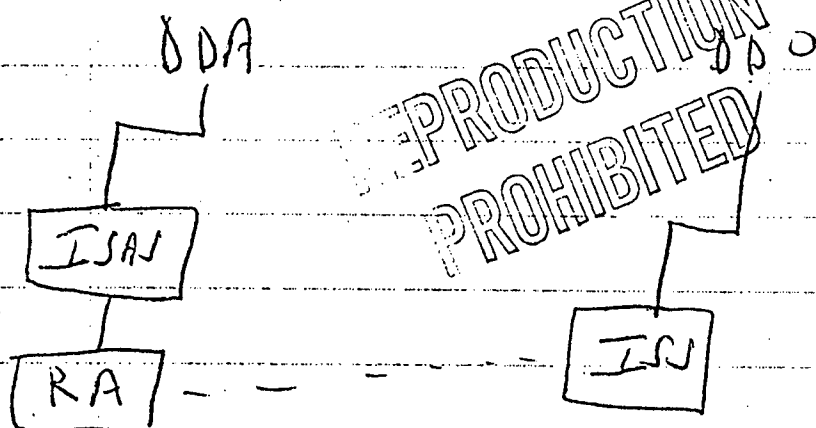
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Records Administration - helps diff. Directories set up
 - Bruce Johnson records sys
 + George Frates

RIO - Defunct designation for part of Info
 Services staff who handles DDO records



DDO has a filing sys unto itself

Any SS can call upon RA to give assistance. But DO can also design its own filing sys so long as RA's legal guidelines are followed. But RA usually is informed of how the other filing sys work.

Day to day maintenance of files is decentralized.

ISS central sys is also heart of indiv division (i.e. anal) systems.

- for items of record value

Special materials might not go into central file. i.e. special correspondence.

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Prescribed & Limited info

- highly sensitive info - limited distrib.
to certain indivs

Designation as P+L is made by DDO
& senior staff officer

P+L designation - deep cover agent in
hostile territory might receive this
designation.

- this designation would not
be uncommon in cases of this kind.

10 or 15 yrs ago, w/ super sensitive
operations, this was relatively common.

* Poss: for something to be so sensitive
that no 201 file is assigned.

CI staff has gone over accumulation of
many yrs & is now catching up to
place names in central index.

possi to that situation occurs when a
P+L file is no longer needed to locate.
- lost, destroyed, archived.

Could open 201 file w/o giving indication
of prior assoc w/ CIA. This, according
to Johnson, would be irresponsible.

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Cryptonym would be in 201 file.

201- need for a continuing interest
in order to open a file.

Source

asset

adversary

KGB

Counterintelligence threat
→ 2a file would be opened
w/ matter of days or a wk -
assuming source is accurate.

is an American newspaper
man in Germany who is giving info
to Russians.

To locate where documents were
filed prior to being placed in
file, refer to abstract sys under
document #.

If ~~source~~ ^{man} in Ger is actually
sleeper who works for KGB - no 201 file &
open # assigned to him, it is possi-
ble that his case officer would
prevent opening of a 201 file #.

Interagency source register exists →
avoids poss. of > 1 agency using same
agent.

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Graphics index - will not contain
routine pictures of tourists or groups

201 files will not necessarily contain
pictures.

See
next
page

There is no (centralized)
correlated to ~~the~~ ^{names} index

did say ~~that~~ ^{for} not certain, but
his info would not
be retained for record purpose.

poss. for 201 file not to contain
crypt.

deepcover - these people don't have 201's
in their true name.

201's are not opened in predominate

Bob Barton.

There is ^{only} one version of a 201 file
in no copies. Local offices have
working files.

Files other
than
201

subject file - person target.
project files
policy & organization

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Project file

for every project ^{in which} ~~run~~ by Agency, in
even if project run by another org
(i.e. DOD).

cover staff - involved in creation of cover.

of ~~Apple~~ **REPRODUCED** **PROHIBITED** in setting up
deep cover ~~person~~ no-ct be at least 12.
— unless you show to 000

such ~~too~~ deep cover programs do exist.

There is a central listing of cryptonyms. From this list you get the name, then go to 201 file if there is one.

staff personnel
↳ no direct exp of 201's

"Hairs of age 1 to 5 will include preerations."

There is no hard filing sys by
tree name, pseudonym, crypt, & so.

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There is no ~~pass~~ staff officer or
asset filing indicating what operations
/projects the staff officer/asset was
involved in.

continuous
employee
relationships
w/ US
govt.

Case Officer = SA in FBT

Contract ~~as~~ report capacities

agents or unpaid people who
are controlled by CIA.

agent & asset may be the same.

agent bec as " in " always, controlled

Source - provider of info

asset - ~~may~~ someone who may provide
a service or info.

Name ck process - procedure to learn what
is known about a person.

- involving a ck of all files

results would go into 201 file if
there is ~~one~~.

201 files are generally in sequence.

Name cks are always done w/
opening of 201.

True id may be kept out of 201, &
it would be worked in cryptonym.

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There is a centralized filing sys by
true name, pseudonym, crypt, & 201th.
- called a true name index

[Sec off. ~~REPRODUCTION~~
filing sys] ~~PROHIBITED~~ holding its dual

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Fratar

201

Subject - countries, projects

exist for all projects that CIA
is involved in.

Finance

Receipts, expenses, there will be a crypt file
Logistics - automobiles, clothing, supplies
Communications - ~~also~~ chronos file on
ables; microfilm.

Security - security file; under pseudonym.
Personal - file on applicants & agency employees.
for agents - 2 file in office of security

Overt

Covert

big data, results of sec.
investigation. assignments,

Anything that he does
when he's overseas i.e. writing a dispatch
assignment listed in a sec file.

Medical - medical histories on all staffers
Some agents if they can get it.
psych profile

Training - agents, mess, secretaries, officers

ODP (Office of data processing) - put together papers
used by agencies to do things related to computers

SECRET

Boyd Wolf

CIA Briefing - January 26, 1978

Records Admin. Branch - w/in DDA

RIA → subsumed into ISS - Info. Services Staff - only DDO

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DDA

1

ISAS - Info. Systems Analysis Staff

1

Records Admin. Branch

Can be used for any level w/in any Division, but anyone can design their own systems, providing they inform RAB so that they can monitor compliance.

"Family Jewels Collection":

Highly sensitive & compartmented info. tends to be diverted from central records.

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Guidelines for handling & maintaining secret but not for completing "bigot list" emphasis on limiting access.

→ P&L

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"Prescribed & Limited" Distribution (P&L): doesn't cover files but info., communication

"Sleeper" hypo: Operation could have been so sensitive as to be kept out of filing, indexing system, particularly 10-15 years ago.

May have been handled out of front office; may not have even read. 201 file #

201 #'s: assigned by ISS; were assigned by KID 10-15 yrs. ago
Files were not designated "P&L" but were "restricted" to confined jurisdictions

Cryptonym assignment: part of ISS - Central Top Secret & Cryptic Reference Staff

"Sleeper" would have to have a cryptonym for op. purposes. Would list cryptonym w/ 201 # → ∴ no name, not in STAR system

Bob Bartow-

Basis for opening a 201 file:

Some sense of "continuing interest" either as a potential source, agent, KGB official - can be either ^{for} operational or counter-intell. purposes

Could be either to consolidate several references in STAR system

Could be opened in response to one reference - Ex.: 1 credible source ref. to some suspected KGB person

201 could be opened in a matter of hrs., days or weeks if someone recognized info. of significance on part. person

"Files content listing" - supplemental listing from STAR system

Abstract system of STAR: could find prior references to a part. document

When did system start?

outline in '60's

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Central Source Register

Ask Hugg
for details

Interagency Source Register: in effect probably since beg. of CIA
(of Intelligence Agencies) - doesn't include regular personnel - only
assets - would be based on true names - wouldn't contain sensitive sources

201 files would not necessarily contain a photograph. Even if photo
existed, it may not have been in 201 file but may be x-ref. to a
specific desk.

Shapiro's collection in DAO

Ask Hugg

Indiv. desks will collect photos of persons of interest

may contain photos of terrain, etc. Not particularly interested in group pics, etc.

Listing of assets - would be maintained in a working manner at
separate desks.

Ref. Hugg

DAO would be only place where there would be access to this type
of listing.

By & large, no 201 files on employees, unless there was an op. interest
prior to employment. Official Personnel File

Opening docs. of 201 files would contain refs. to clearance papers (which
would be maintained in Sec. Office)

Emp. under deep cover → Staff Agent - his files would appear under
his pseudonym. ^{if converted & would}

Don't open 201's on pseudonyms, but could open one on cryptonyms.

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Only 1 copy of a 201 file; may be a working field copy

Subject files:

Project files:

Policy & mgmt. files

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Project file: operational mgmt. record of a given project

A. Administration

B. Support

C. Production

201 would have info. on asset involved in project; project file's info. is on operation itself.

See Gregg

Operational Details

Central list of cryptonyms - where they're registered - you can match the cryptonym with the true name. The more sensitive the asset in operation → the more difficult it will be to get to true name.

Hard file: Official information

Soft file: includes working papers - anything of record value in soft file would be included in hard file.

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?

Project files: where are approval, decision-making records filed?

Personnel file.

contains: where worked; supervisor's name; type of work done; evaluations

Does not contain specific operations in which employee was involved.

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Employees

↳ Case officers - intelligence officers

Contract employees

Agents: may or may not be paid, represent assets who are under their control

Asset: someone from whom they can get useful services, including

Source: Source of information

Ask Hugg

PRQ: Basic biog. info.

Way of ordering available info.

Fundamental doc. in an agent's 201 file.

Name check (=trace) process includes check of following:

STAR trace

Travel files

Office of Security

Provisional Approval

Also do name checks for other agencies

Negative AM/LASA name trace -

Check check list:

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George Fratas

Subject Files: countries, projects, misc.

201 Files: individuals

Would be a matter of routine to maintain files on another operation originating in another agency.

Agent:

201:

Office of Security

" of Finance:

CI Staff might have info.

Finance: accts., vouchers, receipts; will have a cryptonym file

Logistics: support-aides, clothing, etc. necessary to run operations

Communications: cables, telegraphs

Maintain a chrono. file on cables - on microfilm

Cables are logged in w/ a number, date, station

Security: Security files - listed under pseudonym if an agent
" true name if an employee

Started to eliminate
dual filing @ mid '60's

Agents -

2 files - each with the same #

Overt - true name Covert - pseudonym - listed in index

ask ABO

- Would an agent ever operate under a pseudonym

If it has pseudonym → he is in file

(overt)

True name: biog. data, results of background check, security violations & assignments

(covert)

Pseudonym: contains everything the person did - lists where

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he worked, what he did, etc.

If an agent, it would have a POA for each project the agent was involved in.

If a staff employee it will only have a list of assignments.

Medics: Medical histories on all staffers; on agents if they can get it
Psychological profiles

Training: Train agents, mgrs., secys., officers
Run all training centers

Office of Data Processing: Put together programs used by computers.

Personnel: applicants for agency employ.
all agency employees

(true name index)
DDO has central index which X-refs. true names, cryptonyms,
pseudonyms & 201 members.

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