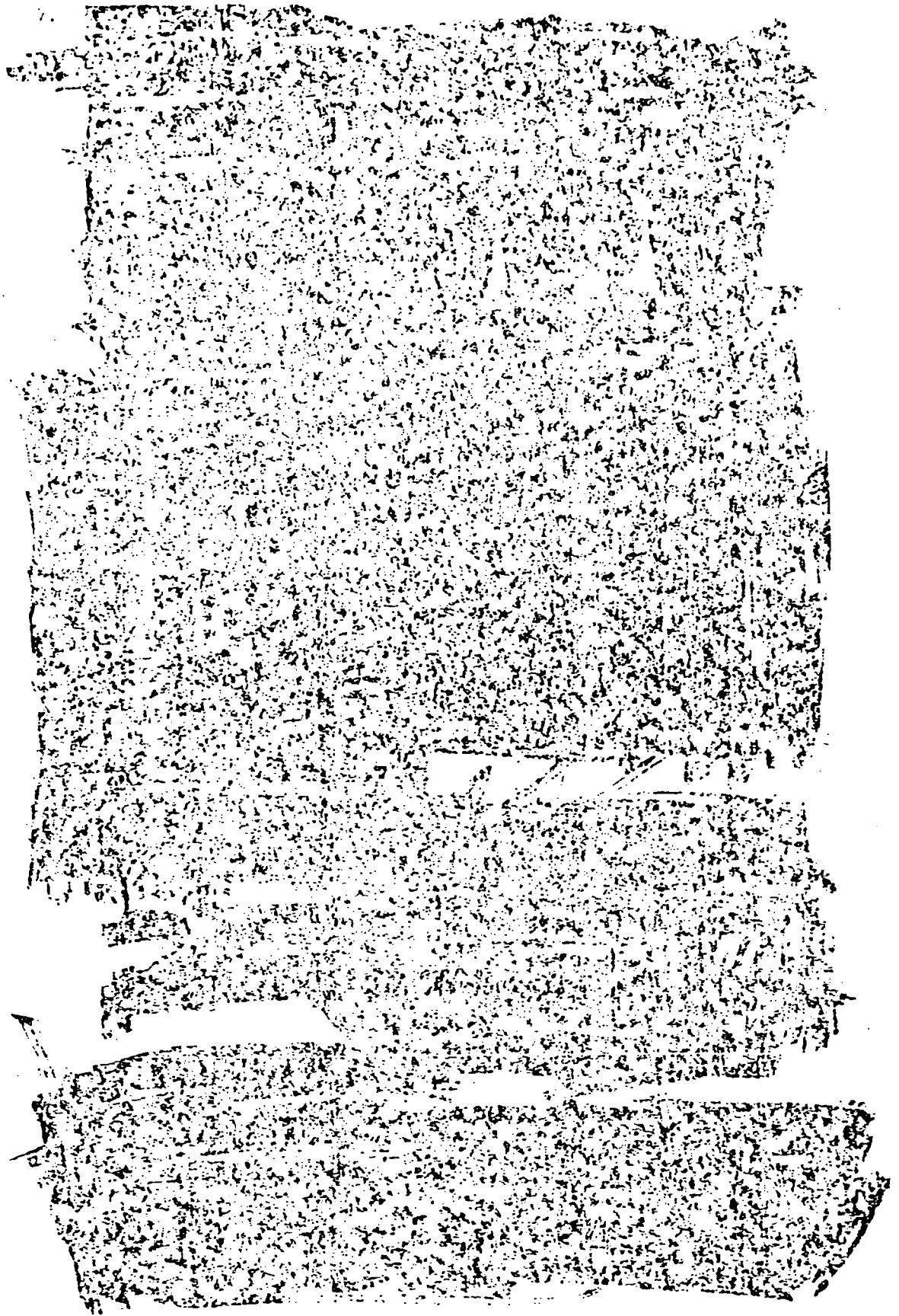
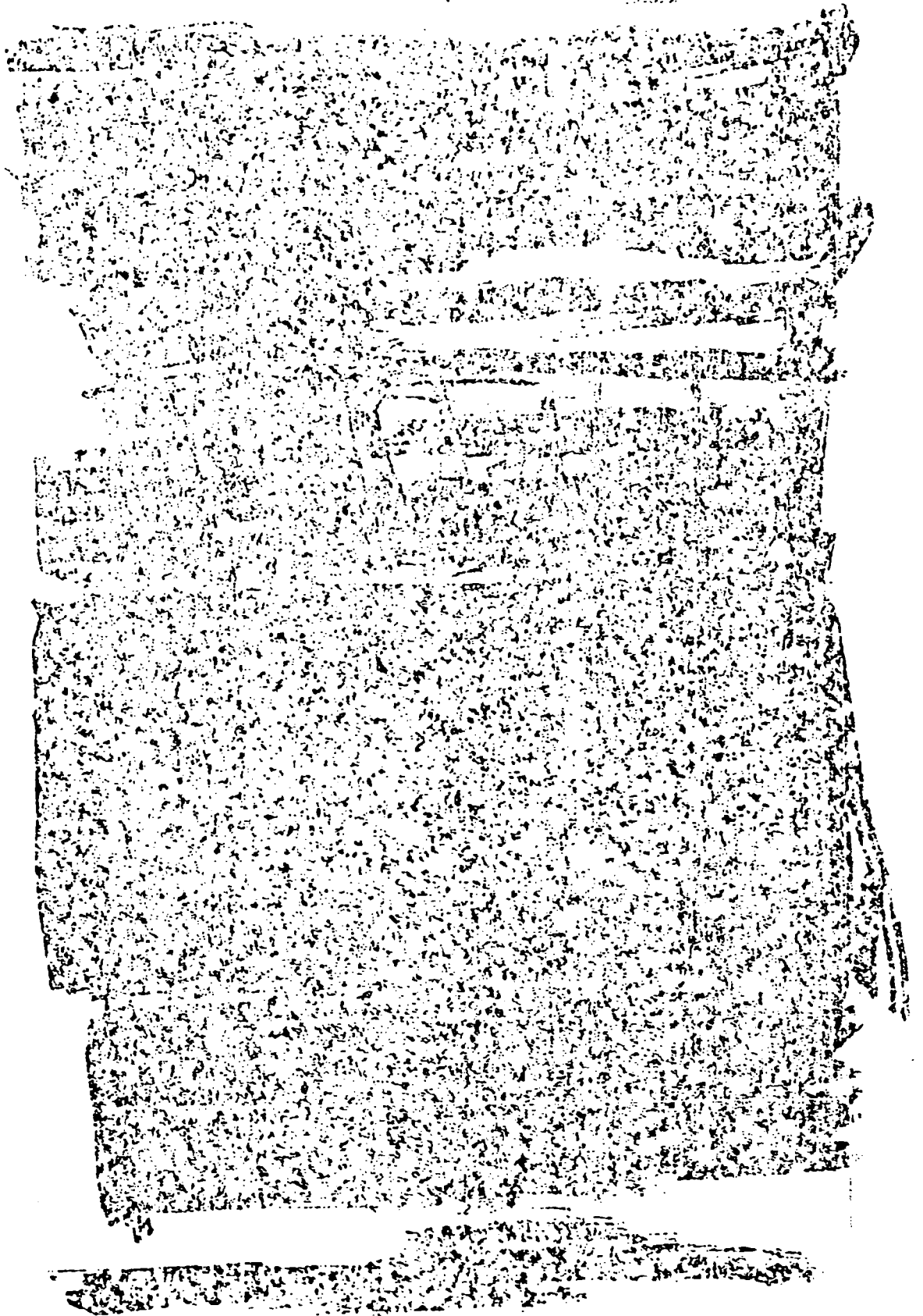


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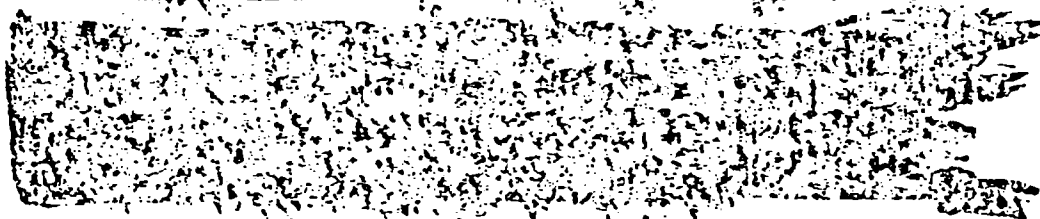
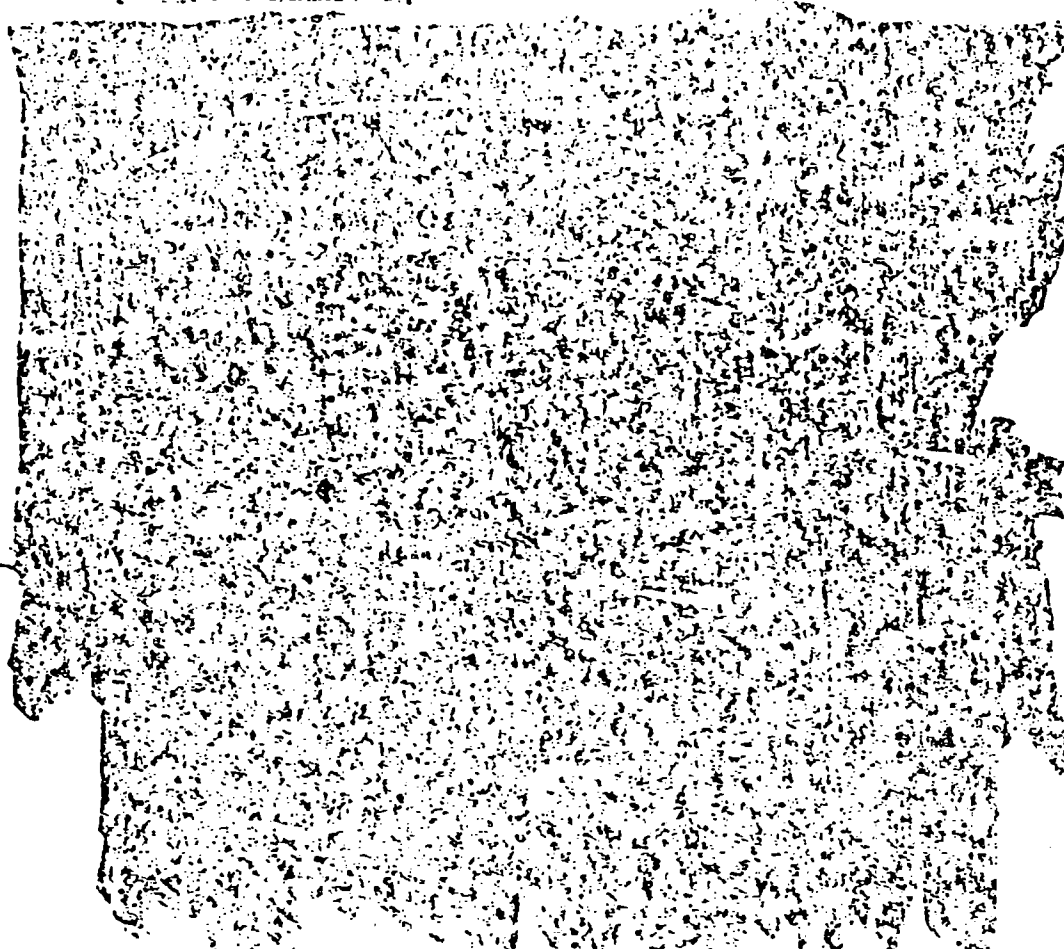
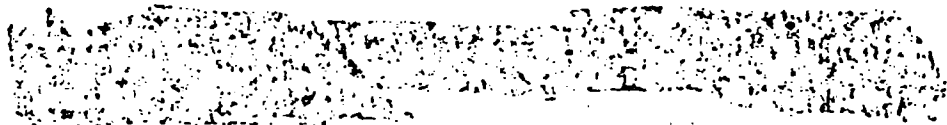
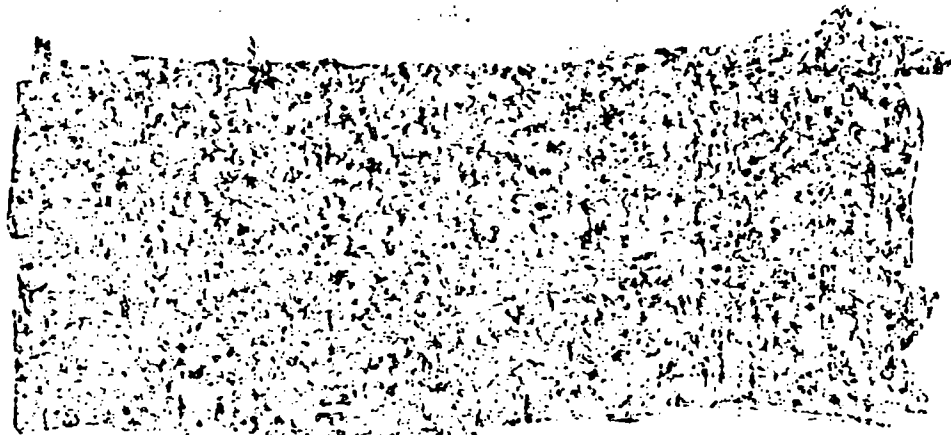
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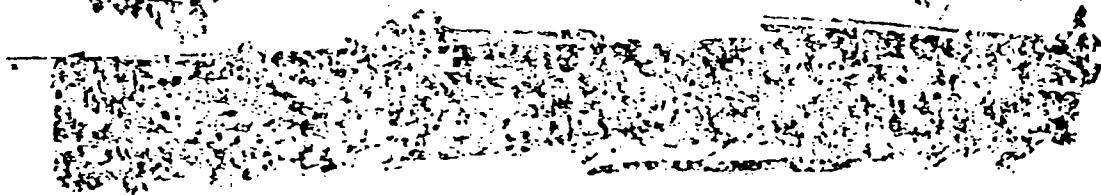
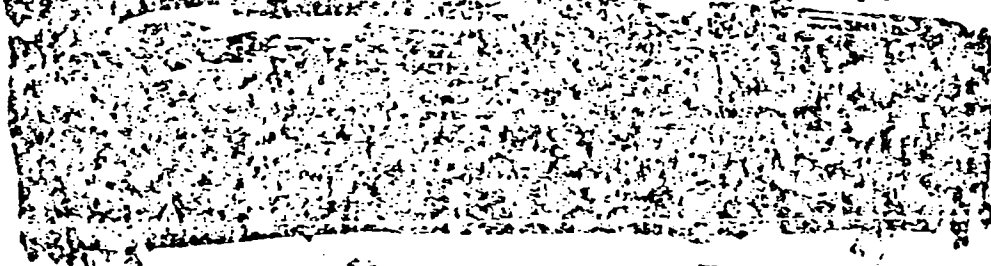
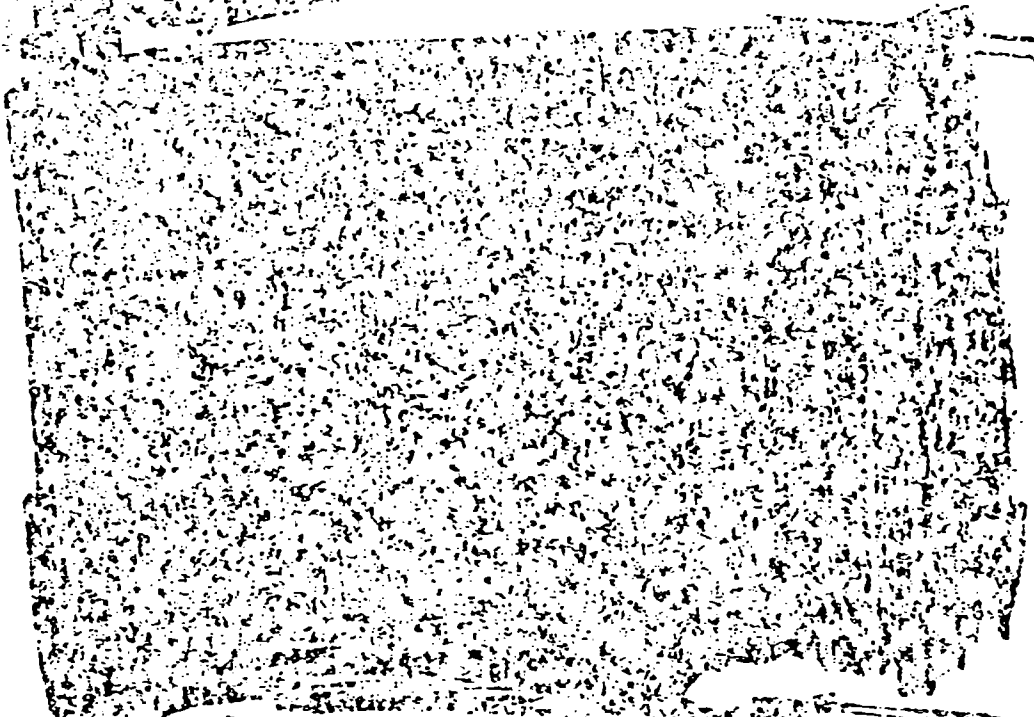
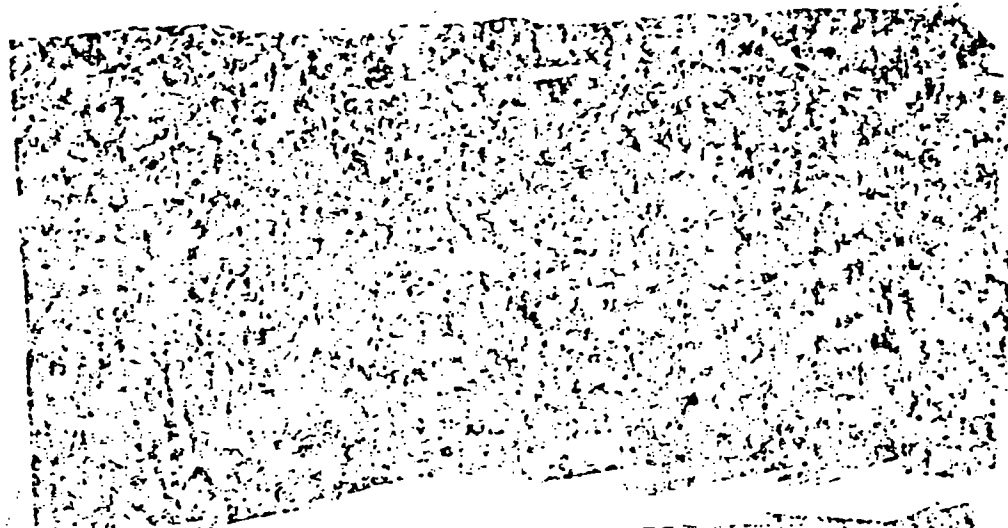
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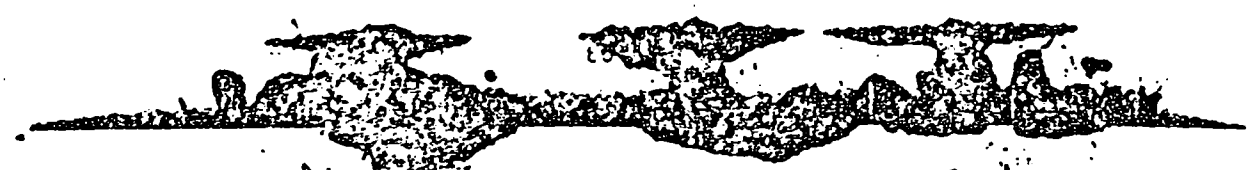
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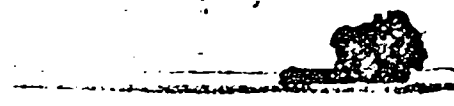
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D. [REDACTED]

1. Introduction

While in general terms corroborating NOSENKO's claims to service in both the GRU and the KGB, [REDACTED] has supplied some details which are incompatible with the statements by NOSENKO on his intelligence career. Although not as prolific a reporter on NOSENKO as [REDACTED], [REDACTED] has had several topics in common with NOSENKO: POPOV, PENKOVSKIY, CHEREPANOV, SHUBIN, SLESINGER, and the contacts between the GRU officer BOLSHAKOV and Attorney General Robert KENNEDY in 1962. When compared with NOSENKO's information, the reports by [REDACTED] on the case of POPOV, PENKOVSKIY, and CHEREPANOV are interlocking:

[REDACTED] and NOSENKO agree that POPOV was compromised after his return to Moscow from East Berlin in November 1958 and in consequence of KGB surveillance.

- CHEREPANOV and NOSENKO likewise agree about POPOV's compromise.

[REDACTED] concurred with NOSENKO by indicating that CHEREPANOV was a genuine source of American Intelligence, and this statement by [REDACTED]

[REDACTED] learned some of his details on the compromise of PENKOVSKIY, and [REDACTED] and NOSENKO have indicated that this compromise resulted from KGB surveillance of PENKOVSKIY's British contacts in Moscow.

Presented below are [REDACTED]'s remarks about NOSENKO, followed by a review of the topics common to these two sources.

2. Statements on NOSENKO

When discussing NOSENKO for the first time, [REDACTED] said on [REDACTED] that they were not personally acquainted, but that "various persons" in Moscow (whom he did not identify) had spoken to him about NOSENKO. The statements by [REDACTED] and NOSENKO on the latter's background are compared in the following tabulation:

[REDACTED]

As a young man, NOSENKO attended the GRU's Military-Diplomatic Academy (MDA) and then was in the GRU Information Department-- in all, perhaps a year of service in the GRU.*

NOSENKO

NOSENKO said his entire service in the GRU, in the years 1950-1953, consisted of duty in the Naval GRU, first in the Far East and then in the Baltic.**

*Until the late 1950's, the course at the MDA, the strategic intelligence school of the GRU, lasted for four years; more recently, the course has been of three years' duration.

**During the 1950-1953 period and before, the Naval GRU was separate from the rest of the GRU.

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NOSENKO

[REDACTED]
A "very undisciplined person" while in the GRU and "not very good," NOSENKO was to have been discharged from the GRU.

NOSENKO's statements about himself during the 1950-1953 period appear to agree with the evaluation, but he has said nothing about facing discharge by the Naval GRU.

NOSENKO's father, "a very influential person in the Ministry of Shipbuilding," was able to get NOSENKO transferred to the KGB.

His transfer from the Naval GRU to the KGB in 1953, NOSENKO said, was at the initiative of KGB General KOBULOV, a friend of his father; the elder NOSENKO was Minister of Shipbuilding.

NOSENKO was "an important boss" in the KGB (directorate or department unknown).

According to NOSENKO, his most recent KGB title prior to defecting was Deputy Chief, Tourist Department, KGB Second Chief Directorate.

[REDACTED] stated that NOSENKO gave "very, very good information" to the United States, having had "great access" to KGB information which included "all means of KGB coverage of people in Moscow, microphone systems in the embassies, etc." The U.S. Embassy, [REDACTED] continued, had found microphones on the basis of information that NOSENKO had provided.

3. Parallels with NOSENKO's Reporting

a. The CHEREPANOV Case

(i) Summary

One of the two ways in which [REDACTED] has corroborated NOSENKO on the authenticity of CHEREPANOV as a genuine source of American Intelligence was to cite information he had learned from [REDACTED]. [REDACTED] CHEREPANOV had formerly served in the KGB; CHEREPANOV gave some papers to the U.S. Embassy in Moscow, which returned them to the Soviet Ministry of Foreign Affairs (MFA); the MFA turned the papers over to the KGB, which traced them by analysis to CHEREPANOV; meanwhile, CHEREPANOV had tried to flee the USSR, but he was captured near the Turkish border and executed. In every major respect, therefore, [REDACTED] agrees with NOSENKO's version of the case. When asked whether the CHEREPANOV incident might have been "a trick" by the KGB to embarrass the U.S. Embassy, [REDACTED] replied that it was definitely not.

The second way in which [REDACTED] has certified that CHEREPANOV was a genuine source is indirect. Like NOSENKO and one of the CHEREPANOV documents, [REDACTED] had indicated that KGB surveillance of a U.S. Embassy officer brought about the compromise of POPOV.

(ii) Remarks

As stated in Part VIII.B.6., the CHEREPANOV incident was a KGB provocation against the U.S. Embassy, but it is conceivable that statements suggesting the contrary could have been made [REDACTED]

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[REDACTED] agreement with both CHEREPANOV and NOSENKO on the cause of POPOV's compromise, however, appears to be based on [REDACTED] direct involvement, and does not appear to be attributable to sub-sources having provided him with erroneous information; this is discussed further below.

b. The Compromise of PENKOVSKIY

[REDACTED] dates on the compromise of PENKOVSKIY are at variance with NOSENKO's and they disagree on whether the KGB knew American Intelligence to be involved in this operation before JACOB of CIA was apprehended at the Pushkin Street dead drop on 2 November 1962. Both sources stated, however, that surveillance led to the detection of PENKOVSKIY, although again they differ on the person with whom PENKOVSKIY was first seen by the KGB; [REDACTED] said this individual was the British businessman WYNN, while NOSENKO said it was the Englishwoman Mrs. CHISHOLM.

According to [REDACTED] PENKOVSKIY had been working openly with WYNN, explaining that he was trying to develop WYNN, and the KGB learned of their meetings through surveillance.* CIA records show that WYNN met PENKOVSKIY in Moscow during April-May 1961, May-June 1961, August 1961, and June-July 1962. [REDACTED] report that PENKOVSKIY came under suspicion in May 1962 therefore is not consistent with his statement about KGB surveillance of the WYNN-PENKOVSKIY meetings, nor does this report coincide with the evidence from WYNN himself that the KGB was sufficiently suspicious of their meetings to record a conversation they had had [REDACTED] 1961 (one year earlier than in the [REDACTED] version). NOSENKO dated the PENKOVSKIY compromise at a month or two after he was first seen, but at the time not identified, in contact with Mrs. CHISHOLM in November or December 1961.

Whereas NOSENKO said the KGB was unaware of the participation of American Intelligence in the PENKOVSKIY operation until JACOB was detained, [REDACTED] reported that while PENKOVSKIY was at a reception in Moscow, he was observed making contact with an American in a lavatory. [REDACTED] did not date this event, but CIA records show that it was on 27 August 1962. [REDACTED] added that the KGB "invented" the incident at Pushkin Street on 2 November 1962, the month after PENKOVSKIY's arrest, in order to catch the American unloading the dead drop.**

PENKOVSKIY was not personally known to him, [REDACTED] stated.

[REDACTED] no other sub-sources were named.

* The same statement was made by NOSENKO and in the official KGB document on PENKOVSKIY's compromise.

** This is obviously true, although the date of PENKOVSKIY's arrest may have been more than a month before.

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c. The Compromise of POPOV(i) Introduction

Of all the sources available to American Intelligence, [redacted] is the best placed to report on the compromise of POPOV: [redacted]

[redacted] information agrees with that provided by NOSENKO and CHEREPANOV, as well as that in the 16 September 1959 message from POPOV to CIA (believed to have been dictated by the KGB). These four sources have indicated that the compromise resulted from KGB surveillance of a U.S. Embassy official following the recall of POPOV in November 1958. [redacted] however, has not precisely dated the incident (dated by inference by the others at 21 January 1959), has associated it with an American Intelligence dead drop for POPOV (whereas the others have said it was CIA's mailing of a letter to POPOV), and has not named the CIA officer involved ([George WINTERS]). The evidence from [redacted] like that from NOSENKO, CHEREPANOV, and the POPOV message, conflicts with that from GOLITSYN whose statements on the compromise of POPOV are supported by analysis of events in 1957 and 1958 on which POPOV reported (see Pages 663-665).

(ii) Details

[redacted] reported [redacted] on the POPOV compromise. POPOV's correspondence with his Austrian girlfriend [redacted] appears to have been the prelude to the POPOV compromise; POPOV, said [redacted] had made a "very serious mistake" by using an accommodation address supplied by American Intelligence to receive mail from a girlfriend in Austria.** "In some fashion" this came to the attention of the Austrian police, [redacted] and it was determined that she had been sending mail to a Soviet officer in Berlin. The Austrian police notified the Soviets, and eventually POPOV was confronted by the chief of his GRU component in Berlin.*** GRU Headquarters was notified, POPOV was recalled

* In his first reference to POPOV's compromise [redacted] that POPOV made the mistake of providing information traceable to himself. No sub-source for this remark was given [redacted] and since then [redacted] has not resolved the discrepancy between this version and the other one treated at length here.

** CIA did not supply POPOV with an accommodation address, but he did secretly correspond with KOCHANEK.

*** [redacted] went to the Austrian police on 25 August 1958 with information that included the identification of POPOV as a Soviet Intelligence officer. POPOV's superior confronted him on 4 November 1958 about KOCHANEK and received from him an admission to having had some correspondence with her concerning his search for operational leads; the superior told POPOV that the Soviets believed "she was working for someone" and that "possibly she is the cause" of the Berlin unit's operational difficulties. POPOV was recalled to Moscow on 17 November 1958 ostensibly for a week's TDY to discuss the case of an American whom he was developing under CIA aegis. He did not return to Berlin.

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to Moscow to explain the situation, and when he was unable to do so, the facts were turned over to the KGB for full-scale investigation. ~~POPOV's correspondence with an Austrian woman~~ it not been for POPOV's correspondence with an Austrian woman, "they would never have caught him," and that POPOV was "arrested because of a connection with a girl;" also, ~~POPOV was recalled to Moscow "for something"~~ at the end of 1958 POPOV was recalled to Moscow "for something". While the foregoing KGB investigation was in progress, the KGB routinely placed under surveillance a U.S. Embassy official in Moscow. This person was observed renting a boat in Gorkiy Park, going to the vicinity of a new bridge near the Moscow Stadium, and there taking photographs of the bridge and surrounding area. Its suspicions aroused, the KGB covered this area and observed POPOV unloading a dead drop. He was arrested, doubled, and "operated" against American Intelligence for a year and one-half. Eventually, the KGB put in motion a plan to attempt to compromise the American official who was meeting POPOV. The KGB photographed a meeting in a Moscow restaurant, then arrested the official and showed him pictures of his meeting with POPOV and of POPOV unloading the dead drop at the bridge. After the American refused to work for the KGB, he was released and declared persona non grata.**

~~POPOV's~~ CIA questioned ~~POPOV~~ on POPOV's compromise. He said at this time that he had heard POPOV was apprehended through a dead drop. POPOV "apparently was under suspicion there in Berlin, and when they (presumably the GRU) recalled him to Moscow, they wondered who his future contacts would be, and they were told the following: 'KGB workers place American Embassy employees under surveillance.' They observed an American at the staircase... and they found a dead drop under the staircase. So they established coverage of the dead drop and observed POPOV come and unload the drop. They made a report, and after this POPOV was under surveillance... Then he was called in and told thus-and-so. They showed him photographs. They told him he was going to work for them to expose his contacts. He agreed to it..."***

* Since POPOV returned to Moscow in November 1958 and LANGELE was arrested the following October, he could not have been doubled against CIA for more than eleven months.

** Starting on 4 January 1959, POPOV had a series of six brush contacts in Moscow with the CIA officer Russell LANGELE of the U.S. Embassy, culminating in the detention and interview of LANGELE by the KGB on 16 October 1959.

***As previously stated, no Moscow dead drops were used by CIA in the POPOV operation, but LANGELE did survey the possibilities for dead drops to be used in other operations. One of these was located in Lenin Hills, an area of Moscow not far from the new bridge near Moscow Stadium, and it was situated beneath a staircase; ~~POPOV~~ LANGELE visited the area of the dead drop site on 24 and 28 May 1958, but the dead drop was loaded by a CIA legal travel agent (on 7 June 1958) rather than by LANGELE. The CHEREPANOV document, discussed on Pages 563-564, stated, in the course of reviewing LANGELE's operational activities in Moscow, that this dead drop was for use with an agent named REPNIKOV; in fact, it was not intended for the REPNIKOV case.

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(iii) Sub-sourcing by [REDACTED]

In [REDACTED] that he had learned these details about the compromise of POPOV from a conversation [REDACTED] who conducted some of the investigation of POPOV because at the time he was a [REDACTED]. The same sub-source was cited by [REDACTED] information he supplied CIA in [REDACTED].

[REDACTED]

(iv) Remarks

[REDACTED] reported, inaccurately, that American Intelligence gave POPOV an accommodation address in Berlin, that a dead drop was used in the Moscow phase of the operation, and that the KGB doubled POPOV for a year and one-half before terminating the case. Each of these incorrect items came to [REDACTED] since [REDACTED] participated in the investigation of POPOV, presumably he would have recognized them to be untrue. One explanation for the inaccuracies might be that [REDACTED] precisely what he had been told, but [REDACTED] deliberately misinformed him. There is, however, no evident reason why [REDACTED] would have done this. Another explanation might be that [REDACTED] misunderstood his sub-source, or in relaying the information to [REDACTED] garbled the details. This would mean that [REDACTED] was less than fully attentive to details on a personal acquaintance who had gained notoriety, details which he was told at a time when he was in a position comparable to POPOV's: in contact with [REDACTED] intelligence.

[REDACTED]

None of these explanations seems entirely satisfactory, and the answer may lie elsewhere.

[REDACTED] has been inconsistent about the degree of suspicion surrounding POPOV when he was recalled to Moscow in November 1958 in connection with his correspondence with [REDACTED]. On one hand, in 1962 [REDACTED] indicated that the KGB surveillance of the U.S. Embassy officer was coincidental with the separate investigation of POPOV's relationship with this Austrian woman. On the other hand, in [REDACTED] implied that as a result of the suspicion of POPOV in Berlin, there was interest in POPOV's future contacts in Moscow, an interest which would be covered by the KGB's surveillance of U.S. Embassy employees.

*However, in another version [REDACTED] said that as soon as the Illegals reported their compromise in January 1958, POPOV immediately fell under suspicion. The conflict between [REDACTED] statements has not been resolved.

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d. SHUBIN, SLESINGER, and BOLSHAKOV

In three instances, 1964 NOSENKO confirmed reports made by [REDACTED] the identification of SHUBIN as a GRU agent, the Soviets' suspicions that SLESINGER was in contact with the FBI, and the status of BOLSHAKOV as a GRU officer.*

SHUBIN was previously known to have been associated with two GRU illegals in the United States during the 1940's, but independent of NOSENKO and [REDACTED] there is no verification of his having more recently been an agent of the GRU.

[REDACTED] FBI.

BOLSHAKOV, the only claimed mutual acquaintance of [REDACTED] and NOSENKO, has not been named as a GRU officer by any other source, nor has he been observed in meetings with GRU agents. Both [REDACTED] and NOSENKO spoke of BOLSHAKOV's having met Attorney General Robert KENNEDY in 1962. NOSENKO added that, in initiating the contact, the Attorney General knew BOLSHAKOV to be a "military intelligence officer," but this report has not been corroborated.**

4. Comments on [REDACTED]

[REDACTED] confirmation that NOSENKO is a genuine KGB officer-defector is comprised of hearsay evidence, and hence the conclusion that NOSENKO was dispatched by the KGB would not necessarily bring [REDACTED] bona fides into question: much would depend upon [REDACTED] sub-sources, as yet unidentified.

[REDACTED] and NOSENKO are mutually supporting on the compromise of POPOV, a man [REDACTED], and both have authenticated [REDACTED] the validity of a CHEREPANOV document which concerned the POPOV compromise and which was prepared by the KGB for transmittal to American Intelligence. In addition, [REDACTED] and NOSENKO support one another about the PENKOV-SKIY compromise, about the contact between BOLSHAKOV [REDACTED] and Robert KENNEDY, and about SHUBIN and [REDACTED]. Their information on BOLSHAKOV and SHUBIN is unique; on SLESINGER it is corroborated by actions taken by the KGB, as reported by SLESINGER; on POPOV, PENKOVSKIY, and CHEREPANOV it is confirmed by KGB controlled sources.

With the exception of his details on POPOV, [REDACTED]'s reporting on NOSENKO and on common topics can be explained, individually, by misinformation [REDACTED] received and innocently passed along. These items taken together, however, in the light of [REDACTED] statements on the compromise of POPOV (which conflict with GOLITSYN's reporting and analytical evidence) are indications that [REDACTED] is controlled by the KGB.

[REDACTED]

[REDACTED]

**If Robert KENNEDY indeed knew BOLSHAKOV to be a GRU officer, the question remains as to how NOSENKO was aware of the fact, since [REDACTED] was the only source to have made this identification before the time when KENNEDY and BOLSHAKOV met.

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F. [REDACTED]

1. Introduction

[REDACTED] counterintelligence production has been extremely limited. For the most part she has provided only superficial reports, generally only in response to questioning and frequently citing her own lack of access to information of value. Her professed personal involvement in, and dramatic accounts of, certain situations on which NOSENKO's reporting is demonstrably false is therefore noteworthy in the context of her total performance. [REDACTED]'s reporting on NOSENKO, despite vagueness and contradictions, has the net effect of supporting his bona fides and affirming the importance of the information he has reported. Her accounts of the CHEREPANOV case emphasized the depth of his treason and the retribution of the KGB--themes which dominate the NOSENKO account [REDACTED]. Her reports on the compromise of PENKOVSKIY, while differing markedly from NOSENKO's in basis, scope, and detail, confirmed almost to the month NOSENKO's dating of the compromise. Her confessed participation as an agent of the KGB Second Chief Directorate, despite her repeated claims to know nothing of importance concerning its operations, has placed her in NOSENKO's milieu, and the KGB officers who figured in her reporting are (with two exceptions) personalities who have previously been identified as KGB officers only by NOSENKO.

2. NOSENKO's Background and Career

[REDACTED] has claimed no first-hand or authoritative knowledge of NOSENKO, reporting at various times that she had heard gossip, had heard about him from her KGB friend SVIRIN (who she believed only "knew about" NOSENKO, i.e. did not know him personally), or had heard about him from "someone from the Ministry of Foreign Affairs, not SVIRIN." She has reported fragments on NOSENKO's background: his father's position, his mother's ethnic background, and NOSENKO's non-KGB status. She initially said that NOSENKO's father was a general, later said she was not sure of that, and still later amended her description to "general or minister," adding that he was Ukrainian - thus approaching an accurate statement only after several conversations about him. Her consistent statement that NOSENKO's mother was Jewish and involved in black market activities has not been elsewhere reported, and her statement that NOSENKO was a civilian, rather than a KGB officer, contradicts his own account and that of other sources who have confirmed his KGB status. [REDACTED] sourcing of her limited information on NOSENKO to her KGB friend SVIRIN nevertheless demonstrates at least potential access to some information about NOSENKO. (SVIRIN was identified by NOSENKO as an officer of the Third Section of the American Department, Second Chief Directorate, since 1963, and before that of the Third Department of the Directorate of the KGB Second Chief Directorate, where he participated in and received an award for his part in the investigation of PENKOVSKIY.)

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3. NOSENKO's Knowledge - Damage to the KGB

[REDACTED] has mentioned NOSENKO's disclosures to the Americans concerning the microphones in the U.S. Embassy - her only reference to information he might have provided - on each occasion when she has discussed NOSENKO. She once attributed to SVIRIN the remark in October 1966 that NOSENKO had done considerable harm to the Soviet Union by revealing this information, thus (and specifically only in this context) underscoring the importance of NOSENKO's information. (NOSENKO himself has characterized this information as the most important he has provided.) The context in which she has discussed NOSENKO has been the general one of defectors from the Soviet Union; she has repeatedly emphasized that the Soviets attempt to convince all Soviet citizens that "anybody who defects will find his grave by the hand of KGB people"

[REDACTED] with reference to NOSENKO, she once quoted SVIRIN as having said that NOSENKO, too, would one day be exterminated, thus clearly implying that NOSENKO was a genuine defector.

4. Parallels with NOSENKO's Reporting

a. The CHEREPANOV Case

[REDACTED]'s account of CHEREPANOV's disaffection, treason, arrest, and execution confirms in general outline and in emphasis that of NOSENKO. [REDACTED] claims direct knowledge of the case through her own and her husband's personal friendship with CHEREPANOV and his wife. [REDACTED] described her husband, in fact, as the only friend of CHEREPANOV who remained faithful enough after CHEREPANOV's downfall to call on CHEREPANOV's widow, whose address [REDACTED] knew. This direct knowledge is comparable to that of NOSENKO and [REDACTED]

She introduced her account of the CHEREPANOV case, as in her discussions of NOSENKO, by references to the determination and effectiveness of the KGB in apprehending and executing those who were "running away"; she offered CHEREPANOV as an example of a Soviet traitor who had been caught and executed. Her account of the details, however, differs sharply from that of NOSENKO (and others). Her identification of CHEREPANOV as a classmate of her husband at the GRU's Military Diplomatic Academy (MDA) from 1956 to 1959 is unique among the sources who have reported on CHEREPANOV. For the period during which [REDACTED] said CHEREPANOV attended the MDA, NOSENKO has made no specific statements concerning CHEREPANOV's career; he has said only that at some unspecified date after CHEREPANOV's return from Belgrade (elsewhere reported as mid-1956) and before early 1960 CHEREPANOV had been assigned to the U.S. Embassy Section, American Department, KGB Second Chief Directorate. [REDACTED] also stated, however, that after his graduation from the MDA in 1959, CHEREPANOV "finally" obtained a job in the Ministry of Foreign Trade, suggesting that he had no intervening assignment. Where NOSENKO has failed to establish a clear motive for CHEREPANOV's having collected KGB documents during his assignment to the U.S. Embassy Section for later transmittal to the Americans, [REDACTED] has described his increasing bitterness from the date of his entering the MDA in 1956. She was not sure that he had been a KGB officer; she neither mentioned nor did her account allow for his assignment to the U.S. Embassy Section in 1960-1961 (as stated by

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by NOSENKO); and she described the documents which he turned over to the Americans as having come from the Ministry of Foreign Trade. She stated, therefore, rather than demonstrated, the point that "these were such important documents, important enough that...he was shot."

During her second account of the CHEREPANOV affair, [REDACTED] sourced her information differently and added first-hand details which she had previously disclaimed having. She said that "In two days this man was arrested...In two months he was shot." This is also at variance with NOSENKO's account of a KGB investigation of up to 20 or 25 days, followed by the KGB officer's visit to CHEREPANOV on 8 December 1963, CHEREPANOV's flight, and a seven-day search for him before his arrest.

b. The Compromise of PENKOVSKIY

Closely conforming in this respect to NOSENKO's account of PENKOVSKIY's compromise, [REDACTED] placed the date of initial suspicion of PENKOVSKIY at about October or November 1961. Her statements of the basis for this suspicion, however, differ completely from the reasons advanced by NOSENKO (and other sources). Her account is vague, in consonance with her claimed lack of any first-hand contemporary knowledge of the investigation leading to his arrest, and is colored by her expressed personal dislike for PENKOVSKIY the man and by the professional misfortunes of her husband which resulted from PENKOVSKIY's arrest. [REDACTED] cited her KGB friend SVIRIN as the source of some of her information, as the source of the indirect warning to her husband to stay away from PENKOVSKIY, and as someone who knew about PENKOVSKIY's trial and had been somehow associated with the investigation - thus confirming NOSENKO on SVIRIN's participation in the PENKOVSKIY investigation.

c. Reports on KGB Personnel

[REDACTED] has named relatively few KGB officers who have figured in her career as a KGB agent or about whom she could report any substance. Of her KGB handlers:

- CIA has been unable to identify one, Gennadiy Fedorovich, whose last name she did not know, her handler while she worked at the Embassy of Nepal in 1964. NOSENKO has not referred to operations against this Embassy.

- Two KGB handlers were assigned to [REDACTED] in Leningrad - V. I. DEMIDOV and Georgiy PCHELIN. Both of these officers had previously been identified by NOSENKO as officers of the Leningrad KGB and have not been identified by any other source. They were two of the total of four Leningrad KGB officers named by NOSENKO.

- Her KGB handler while she was employed by a Canadian correspondent in Moscow was Vladimir Ivanovich KOSTYRYA. Only NOSENKO has identified KOSTYRYA as the KGB officer who had been in the United States under the name Vladimir Viktorovich VLADIMIROV; NOSENKO considered this, as he said in 1965, his most important identification among KGB personnel.

[REDACTED] KOSTYRYA was in the U.S. under Inturist cover; [REDACTED] relationship with him was not related to her earlier Inturist work, however, but her connection with a foreign correspondent, which was KOSTYRYA's responsibility after his return to Moscow.

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Of the four other KGB officers on whom [REDACTED] has reported in any depth, three were previously identified by NOSENKO and only by NOSENKO:

- V.G. SVIRIN, her KGB friend, is an ubiquitous figure in much of her reporting on other subjects and in her account of her personal life, as well as her primary candidate for a Western recruitment approach. SVIRIN had previously been identified by NOSENKO as a KGB officer of the American Department, Second Chief Directorate, previously involved in the PENKOVSKIY investigation (both of which assignments [REDACTED] has confirmed).

- In connection with SVIRIN, [REDACTED] recounted an incident in which a KGB officer whom she described in derogatory terms, Valentin MUZEYNIK, had narrowly escaped dismissal as a result of a drunken brawl with a militiaman. MUZEYNIK had not only survived, however, but continued to bear a higher KGB rank than his former friend, colleague, and subordinate, SVIRIN. NOSENKO said MUZEYNIK was an officer of the Directorate of the KGB Second Chief Directorate.

- Vadim BIRYUKOV was identified by [REDACTED] as the KGB officer under Novosti cover assigned to report on the interview in August 1966 of [REDACTED]

[REDACTED] NOSENKO had previously given information concerning BIRYUKOV, a KGB officer of the Tenth Department, KGB Second Chief Directorate, targetted against foreign correspondents.

5. Remarks

There is confusion in [REDACTED]'s sub-sourcing for her information on NOSENKO and inconsistency in her statements that, on one hand, he was a civilian but on the other, he was aware of microphones in the U.S. Embassy. These facts indicate that if she was briefed by the KGB to report to American Intelligence on NOSENKO, [REDACTED] was inadequately prepared. Otherwise, however, [REDACTED] personally supported the bona fides of NOSENKO by offering direct confirmation of the bona fides of CHEREPANOV, by corroborating NOSENKO's details on the PENKOVSKIY compromise, and by verifying his identification of KGB Second Chief Directorate personalities.

Note: Aside from her support of NOSENKO and CHEREPANOV, there are many aspects of the [REDACTED] case which independently led CIA and other Western services to conclude that she is a KGB-dispatched agent. Some of these aspects are as follows:

- The circumstances of her claimed relationship with the KGB contradict KGB practice as known from other sources.

- [REDACTED] description of her husband's recall from Stockholm and his punishment for having previously worked as a GRU colleague of PENKOVSKIY in the GQNNR fit neither the treatment of other GRU officers whom PENKOVSKIY also identified nor the logic of the situation: Her husband was sent to Stockholm after PENKOVSKIY was uncovered and even after he was arrested. (That the brief

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assignment in Stockholm may have been a KGB-organized prelude to the defection of [REDACTED] is also suggested by the fact that the one operational contact her husband is known to have had there was a Western double agent, and [REDACTED] was able to provide identifying data on this agent.)

- Nearly all of [REDACTED]'s identifications of Soviet Intelligence personalities were previously known.

- She has given conflicting accounts of her motivation for defecting, of her relationship with her husband, and of her associations with KGB personnel.

- Against the background of the claimed difficulties in which she and her husband found themselves, it seems unlikely that [REDACTED] would have been permitted to leave the USSR.

- There are oddities in her relationship with the Canadian correspondent who employed her in the USSR and who was her alleged KGB target, as well as in her conduct in the West and in her husband's situation and behavior since the defection.

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6. General Considerations

1. Qualitative Evaluation

a. Introduction

In examining the above information on intelligence sources, it is necessary to evaluate the quality of the leads to Soviet illegals and to Soviet agents. The evaluation of NOSENKO's identifiable and original leads is as set out in Part VIII.B., should that with one exception--the JOHNSON-MINER complex--he did not identify current penetrations of the U.S. Government. Considering the conclusion that the bona fides of NOSENKO, the assumption can be made that the KGB found it feasible to sacrifice the JOHNSON-MINER operation. The reasons may have lain in the circumstances that the operation was under threat of compromise because of various security factors, the agents posed difficult handling problems, MINER-NAMER had no current access, and JOHNSON had not been exploited for some time before the NOSENKO lead was received. The rest of NOSENKO's identifiable leads to recruited Americans involved agents who had been previously compromised, who were inactive, or who had already lost their access to classified information.

b. [REDACTED]

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sensitive sources

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sensitive sources....

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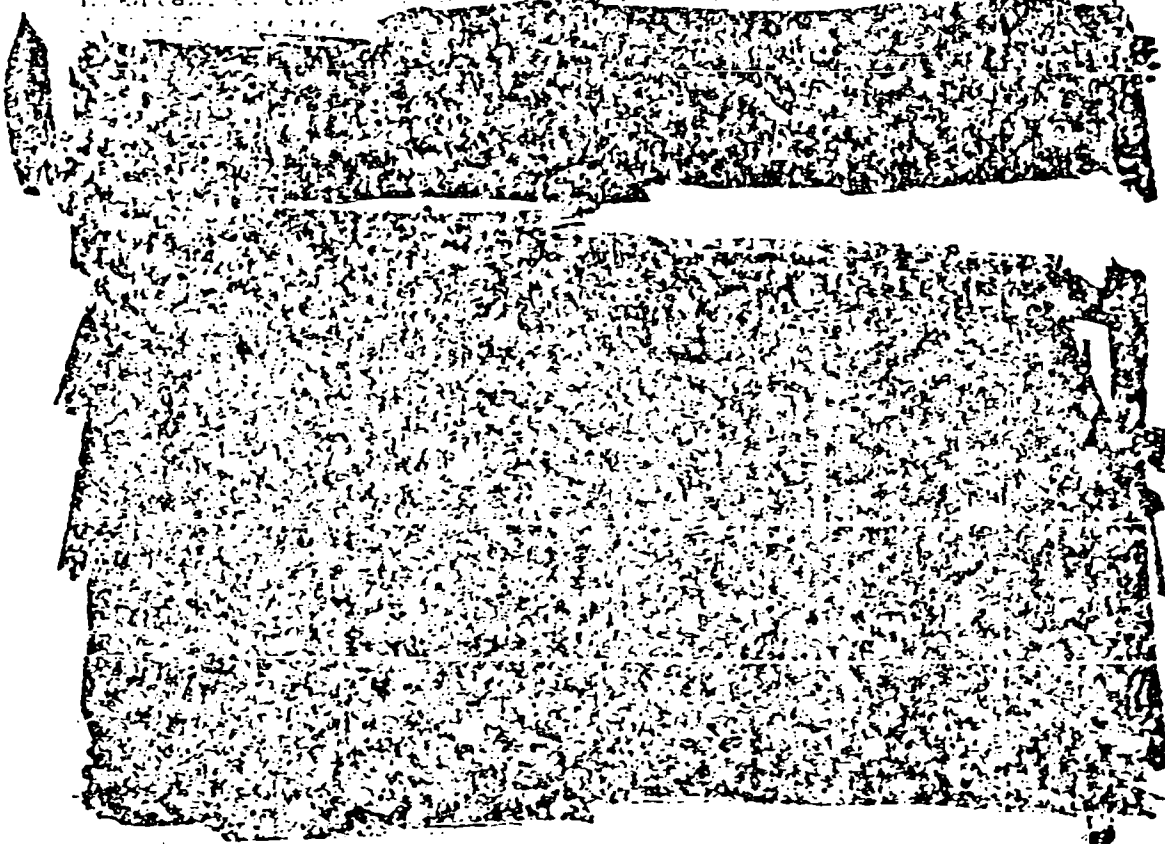
sensitive sources

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...with frequenting of ... and ... activities ...
... in 19... and ... operation ...
... information was a ... from the ...
... who were involved with the ...
... detailed information on ... particularly ...
... organization and operations of the ...
... unique ... in early 1961. This in-
... following his defection ...
... organized organiza-
... a sizeable ...
... provided leads to ...

... and other ...
... and agent sources ...
... with KGB ...
... the most ...



* A Polish ... SOLENIWSKI was also a ...

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Other techniques on which various sources have confirmed one another include the following:

[redacted] reported [redacted] that the surveillance equipment used by the KGB Surveillance Directorate includes special paint invisible to the naked eye but visible through use of a special device. It is used in conjunction with helicopters, closed circuit television at bridges, tunnels, etc. A similar technique was described by GORENBERG.

- NOSENKO [redacted] and the GORENBERG papers have described a special chemical compound sensitive to dogs but not to humans. This is used in surveillance.

[redacted] reported [redacted] that microphones and transmitters are installed in Soviet automobiles in the Soviet Union by personnel of the KGB Surveillance Directorate. GORENBERG further provided many details on this technique.

[redacted] the KGB had developed a transmitter using paper-thin batteries so shaped that they can fit in the shoulder pads of a man's suit. They also can be concealed in the inner covers of pens. Thus concealed, they are used in Moscow by the KGB to listen to conversations between foreign diplomats, particularly at the Hotel Metropol and the Hotel National. Such miniaturized devices have also been described by GORENBERG, GOLITSYN, NOSENKO [redacted] and the GORENBERG papers. Inter alia, [redacted] and the GORENBERG papers gave the KGB cryptonym as "NORSEPA".

- NOSENKO and [redacted] have reported the KGB technique of switching telephone calls intended for the U.S. Embassy in Moscow to a KGB installation where they are intercepted by a Soviet posing as an American.

Where the bulk of NOSENKO's reporting on KGB operations was concerned with those of the Second Chief Directorate, this has been true with only two of the other sources named here. [redacted] and [redacted] however, have also given details on specific KGB internal counterintelligence activities in addition to their statements on the compromise of CIA assets within the USSR (a topic of reporting by [redacted] and GORENBERG as well). The information from [redacted] and [redacted] is summarized below.

[redacted] has been able to provide details of KGB Second Chief Directorate activity. He reported the KGB's discovery of an American employed at the Sokolniki Exhibition in Moscow in

* The existence and feasibility of such a substance has not been verified.

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clandestine contact with an unidentified Soviet female. (This contact is not identified with any CIA operation at the Exhibition in 1959.) He spoke of the KGB's knowledge of an American Intelligence deadrop under a bench in the area of the Agricultural Exhibition. He said that the KGB controlled all U.S. agent contacts in Moscow, including one with an old man in his 60's (NOSLWKO reported on an individual who may be identical with this agent).

[REDACTED] and [REDACTED] claimed to have fulfilled functions which NOSLWKO and others have described as standard procedure in operations against foreigners and Soviets inside the Soviet Union. [REDACTED] said she was a Second Chief Directorate agent targeted against the Nepalese Embassy in Moscow and later against the Canadian correspondent who employed her.

[REDACTED]

c. Remarks

As previously indicated, it was only after the defections of the genuine sources GOLITSYN and GILBERTSKI in 1961 that American Intelligence began to receive voluminous and mutually corroborative information from others on the activities of the KGB Second Chief and Surveillance Directorates. The timing of this information therefore appears to be significant in addition to the overlap of specific details. The fact that so many of these sources, even including [REDACTED], provided KGB Second Chief Directorate information may reflect a centralized KGB decision to emphasize or sacrifice it.

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sensitive source(s)

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H. Evaluation

The conclusion that NOSENKO is on a KGB mission could carry damaging implications for the American intelligence sources who have supported his bona fides. Unless their statements on NOSENKO can be convincingly explained as innocent repetition of misinformation spread by the KGB within the Soviet services, these sources might be concluded to have been deliberately misleading either as promoters of their own personal interests or as parties to a KGB conspiracy.

Regarding GOLITSYN, the opinion of CIA is that he purposefully gave false support for NOSENKO in an attempt to make his opinions more authoritative. This is not a satisfactory explanation for the remarks on NOSENKO by [REDACTED] however, there seem to be no personal interests which their support of NOSENKO's bona fides might have served. The choice thus seems to lie between these three officers being genuine sources of American intelligence but unwitting channels of KGB misinformation and, on the other hand, one or more of them being in league with the KGB.

The possibility that [REDACTED] are under KGB control was tested further in the context of the NOSENKO operation by reviewing parallels in their reporting and his, and general correlations that appear from one case to another. At the same time, the NOSENKO-[REDACTED] connections were shown for comparative purposes. Here nothing was found that would eliminate [REDACTED] from consideration as possibly being KGB provocation agents.

This examination against the conclusion that NOSENKO is under KGB control, has brought the bona fides of [REDACTED] into serious question. If NOSENKO is a dispatched agent of the KGB, these other sources seem also to be.

DISPATCH		CLASSIFICATION SECRET	PROCESSING ACTION
TO	Chief, ME Division	XX	MARKED FOR INDEXING
INFO			NO INDEXING REQUIRED
FROM	Chief of Station, Mexico City		ONLY QUALIFIED DESK CAN JUDGE INDEXING
SUBJECT	FBQ Part I - Alfonso Dibildox Torres		MICROFILM
ACTION REQUIRED - REFERENCES			
<p>Attached herewith is FBQ Part I on Subject. Provisional Operational Approval is requested, along with 201 number. Subject's cryptonym, assigned 15 October 1963 by the Station, follows under separate cover.</p> <p>Willard C. Curtis</p> <p>Distribution: 3 - WED, v/att. h/v and u/s/c 2 - Files</p>			
<p style="text-align: center;">SECRET/NOFORN</p>			
CROSS REFERENCE TO	DISPATCH SYMBOL AND NUMBER MEQA-22488	DATE 13 November 1963	
	CLASSIFICATION SECRET	HQS FILE NUMBER 201-	

DISPATCH		CLASSIFICATION S E C R E T		PROCESSING ACTION	
TO : Chief of Station, Mexico City		X		MARKED FOR INDEXING	
INFO.				NO INDEXING REQUIRED	
FROM : Chief, WH Division				ONLY QUALIFIED DESK CAN JUDGE INDEXING	
SUBJECT : LIENVOY-8				INDEXABLE	
ACTION REQUIRED - REFERENCES					
<p>1. As a result of the recent review done of the LIFEAT and LIENVOY Project, it came to Headquarters attention that LIENVOY-8, who was believed to have been terminated, was still covered by the LIENVOY Project.</p> <p>2. According to HEMA-14876, LIENVOY-8 was the cause of a security problem for LIENVOY in February 1960 when he requested release from LIENVOY and a transfer to his parent organization, the General Staff of the Presidency. LIENVOY-8 was described as a "sour" nationalist who disapproved of ODIORE's sharing of the LIENVOY take.</p> <p>3. Headquarters now notes that LIENVOY-8's clearance has never been cancelled and there is no Agent Service Record or termination report in his file. LIENVOY-8 was included in the LIENVOY Project renewal request for the 1961/62 project year, but not for the 1962/63 year. The field project renewal request for the 1963/64 year included him again.</p> <p>4. It is requested that the Station inform Headquarters of the present status of LIENVOY-8 (201-118406). If he has been terminated, please forward an Agent Service Record. If he is still being used, please provide a current analysis of his reliability and comments on any security problems present in light of his actions and reputation in 1960.</p> <p style="text-align: center;">END OF DISPATCH</p> <p>Distribution: C81 - COS, Mexico City</p> <p style="text-align: right;"><i>31 Oct 63</i></p>					
CROSS REFERENCE TO		DISPATCH SYMBOL AND NUMBER		DATE	
		HEMA-12027		23 October 1963	
		CLASSIFICATION S E C R E T		HQ'S FILE NUMBER 201-118406	
ORIGINATING					

ED/P. 1-122

MEMORANDUM FOR: Deputy Director (Plans)
 SUBJECT : Related Mission Directive for Mexico

1. Attached is the revised Related Mission Directive for Mexico.
2. Your approval is requested.

J. C. King
 J. C. King
 Chief, AM Division

CONCUR:

W. H. King

Chief, DDP/PA

Rayd George
 Chief, PA

J. H. Collins
 Chief, CA

A. H. Horton
 Chief, CI

APPROVED:

Richard Helms
 Deputy Director (Plans)

3 JAN 1961

Date Approved

24 January 1961

Distribution:

Orig & 2 - WHD

1 - PG

1 - CA

1 - CI

1 - SR

1 - FI/Plans

1 - FI/INT

1 - RI

3 COPY

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RELATED MISSION DIRECTIVE FOR MEXICO

I. GENERAL PROVISIONS

- A. National Policy. The long-range national policy objectives of the U.S. Government toward Mexico are to reduce to an ineffectual level the influence of international Communism, to encourage democratic government, and to keep the Mexican government friendly and favorably inclined toward U. S. policies. Further guidance is given in the current CCB Regional Operations Plan for Latin America.
- B. Operational Emphasis. The Station's primary emphasis will continue to be placed on clandestine collection operations and covert action operations against the Sino-Soviet bloc, Cuban, and Communist elements in Mexico.
- C. Changes in the RMD. This basic policy instruction for activities in Mexico has been revised in light of the Station's last Annual Assessment of Progress Report and to reflect more accurately operational conditions, capabilities and direction. In view of the importance and threat presented by Communist Cuba to U. S. interests in Latin America, coverage of Cuban revolutionary activities in Mexico has been made a specific requirement under Priority A. Priority B objectives and tasks include refinements of desired efforts and also provide for covert action operations against Cuban targets in Mexico. The former task for production of motion pictures and their distribution has been deleted, as it is no longer a valid requirement; two former tasks pertaining to the possible use of foreign diplomats have been combined; a task to develop young potential political leaders (ZREAGER) has been added. Two previous Priority C objectives have been eliminated, as there is no established Mexican intelligence service, and the Station regularly reports on activities of the security services. Coverage of Chinese Communists has been raised to Priority B coincident with the elimination of the former Priority C section.
- D. Contingency Reporting. In addition to the specific objectives set forth in Section II, the Station will from time to time be called on to attempt to satisfy Intelligence

Guides and Intelligence Directives, but it is expected that these requirements be satisfied utilizing existing assets. Of particular interest on a continuing basis is information on: (a) any indications that Mexico may be used as a base for clandestine activity directed against the U. S. (CI Back Messages 23 and 115); (b) activities of non-bloc intelligence services, especially those that are potentially harmful to U. S. interests; (c) the plotting of revolutionary groups according to their current importance in attempts to overthrow the regimes of their respective Latin American countries; (d) the current alignment and activities of political forces with the potential for assuming control of the Mexican Government; (e) U. S. Communists residing in Mexico; and (f) the Spanish Communist group.

It will be noted that certain previous contingency reporting requirements have been amended as follows: The former levy for reporting on the stability of the Mexican Government has been changed to a more realistic and meaningful statement as reflected by (d) above. This modification is appropriate, as political changes in Mexico are most likely to occur within the framework of constitutionality. The previous charge for reporting on secret shipments of strategic materials from Mexico to bloc countries is no longer specifically required and has been deleted.

II. OBJECTIVES

PRIORITY A

1. Obtain information on Sino-Soviet bloc plans and activities in Mexico, including those of bloc intelligence services.
 - a. Continue and, where possible, increase physical and technical surveillance of bloc installations and residences.
 - b. Through controlled agent assets, identify and monitor the activities of bloc personnel; if conditions warrant, attempt recruitment or defection of bloc personnel.

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- c. Continue CI operations against bloc intelligence personnel.
 2. Seek to reduce and, if possible, eliminate Communist and leftist control or influence in key governmental and non-governmental organizations, political parties, mass media outlets, and other elements that influence public or official opinion and policies.
 - a. Develop political action penetration agents in key functional groups, such as students, teachers and organized labor, in order to disrupt and reduce their capacity for carrying out action harmful to U. S. objectives and interests.
 - b. Expose and discredit illegal or subversive Sino-Soviet bloc activities and representatives in Mexico, as well as the activities and personnel of international and local Communist front organizations.
 - c. Identify, discredit, and if possible eliminate Communists and pro-Communists from strategic positions in government, educational institutions, state-controlled industrial and agricultural enterprises, labor unions, and student organizations.
 - d. Provide support and give guidance to individuals and organizations that can be induced to produce and disseminate anti-Communist, pro-Free World propaganda via radio, television, newspapers, or other media, and carry out political action operations against Communist or other anti-U. S. elements.
 - e. Identify, develop, and utilize important non-Communist political, business or civic leaders to carry out propaganda, economic or political actions against Communist influence and induce them to support views coinciding with U. S. Government policy interests.
 - f. Continue to support and guide anti-Communist youth and student organizations, publications or agents, and when necessary, develop additional assets in key schools in Mexico City and selected provinces.

g. Develop and support covert press assets in the staffs of influential newspapers.

h. Develop access to individuals and organizations in the labor field and support non-Communist leaders and groups in key unions.

3. Obtain information on the organizational structure, key personnel, financing, covert plans and activities of the Communist Party of Mexico (PCM), Communist front organizations and groups, especially the Partido Popular Socialista (PPS), and non-Communist and/or anti-U. S. groups that may be susceptible to exploitation by International Communism.

a. Exploit and extend existing penetrations in the PCA and the PPS.

b. Maintain penetrations of the PCM and seek to penetrate the anti-EMCINA wing of the PCM.

c. Develop and, if conditions warrant, recruit a key source in the Workers' University capable of monitoring cultural contacts between the University and bloc diplomatic installations.

d. Continue to monitor the activities of selected Communist-influenced labor unions and front groups through the penetration in the PFS; if conditions warrant, make selected recruitments in the unions or groups.

4. Continue to obtain information on Cuban Revolutionary activities in Mexico and support U. S. Government efforts against the CASTRO regime.

8. Continue to conduct penetration operations of Cuban Embassy and induce defections of Cuban diplomats.

b. Recruit agents in Mexico for operational use in Cuba.

6. Secure support of high Mexican Government officials for the conduct of operations against Cuba.

d. Continue to provide operational support for activities

directed against the CASTRO regime in Cuba.

- e. Utilize propaganda media, political action assets, and other covert means to combat the influence of Cuban revolutionary ideologies in Mexico.

PRIORITY D

1. Combat ultra-nationalistic and anti-U. S. activities in Mexico, and propagandize the dangers of Communism.
 - a. Utilize existing media and political action assets to combat anti-U. S. propaganda or activities.
 - b. Utilize existing media and political action assets to prevent or negate collaboration between ultra-nationalists and Communists.
 - c. Utilize media and political action assets to prevent or negate the socio-economic and cultural penetration plans or activities of the Sino-Soviet bloc.
 - d. Spot and develop for future covert collaboration young local figures who show potential for political leadership and who may be influenced to become generally favorable to U. S. interests.
2. Obtain information on the secret intentions and activities of the Mexican Government in foreign affairs, particularly toward the U. S., the Sino-Soviet bloc, and Cuba.
 - a. Continue to develop and influence high level contacts in the Mexican Government, particularly the Office of the President and the Foreign Ministry.
3. Collect information on the Sino-Soviet bloc.
 - a. Continue penetration of airline and steamship offices and official government agencies to obtain advance information on travellers.
 - b. Recruit or obtain the willing collaboration of selected travellers to bloc countries, especially those who will remain in bloc countries for an extended period and who may be on scientific missions.

- c. Recruit third nationals and Latin American diplomats to be assigned or transferred to bloc countries.
- d. Obtain communications intelligence on bloc diplomatic traffic.
- 4. Obtain information on the Chinese Communists in Mexico.
 - a. Spot, assess and recruit or develop sources in the Chinese community.
 - b. Exploit the Gobernacion files on Chinese living in Mexico and effect penetration of the SHACP.

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CHAPTER III

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ANNEX B

THE 201 SYSTEM

Rescission: Annex B of Chapter III, CSIB 70-1-1, 27 October 1968

1. INTRODUCTION

The 201 system provides a method for identifying a person of specific interest to the Operations Directorate and for controlling and filing all pertinent information about that person. The system also provides a means for identifying subjects of 201 files from various categories of information about them and for producing lists of 201 personalities according to those categories. Only a relatively small number of personalities indexed are of sufficient interest to justify opening a 201 dossier. These are normally subjects of extensive reporting and CI investigation, prospective agents and sources, members of groups and organizations of continuing target interest, or subjects on whom a volume of correspondence has accumulated.

2. THE 201 SYSTEM

The principal features of the 201 system are:

- a. *The 201 Number:* a unique number, i.e., 201-1234567, assigned to each individual in the system to serve as identifying file number for reporting on that individual.
- b. *The 201 Dossier:* the official file containing the 201 opening form (Form 831) and all biographic reporting on and references to the individual, i.e., personal history, current status, and prospects.
- c. *The Master 201 Record:* a machine record generated by the opening of a 201 file. This record produces the master 201 reference for the Main Index and stores the pertinent information which may later be retrieved for special listings.
- d. *Main Index Master 201 Reference:* this reference, printed in reply to an Index Search Request, is printed as illustrated below. When data are absent within the record, succeeding data items or lines will be moved up and the reference consolidated.

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0002 CROIX, WILLIAM PENDELTON SEX M DOB 12 APR 26 CIT GERM REF AACG-12345, 20 JUL 53 SUBJECT RECENTLY ATTENDED THE SEVENTEENTH ANNUAL CONFERENCE OF THE INTERNATIONAL ASSOCIATION OF CHEMISTS AND PHARMACISTS HELD IN MUNICH, GERMANY FROM 22 THROUGH 29 OCTOBER.	POB CERM, BERLIN OCC PHARMACIST OCC CODE CHEM	201-0032671 TYPE NAME T OI CODES AA XX RCD DATE 53
30 NOV 70	00833555	

Information About Subject

1. Sequence Number and Name
2. Sex and Date of Birth
3. Citizenship
4. Place of Birth
5. Occupation
6. Occupation Code
7. Text

Document Reference Data Group

8. 201 Number
9. Name Type Indicator
10. OI Codes
11. Record Date (year only)
12. Reference

ISC Control Information

13. Date of latest update of the record
14. STAR Index Record Number

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e. *OI Code*: a two letter symbol used in conjunction with the 201 personality records in the 201 system to record the association of an individual with organizations or activities of operational interest. OI codes cover intelligence and security service affiliation, whether staff or agent, or known or suspect, as well as activities of DDO interest. There are two categories of OI codes for use by components:

(1) general OI codes (Attachment 4)

(2) OI codes assigned to a specific component for intelligence services or other specific organizations.

A component may request an OI code be established by submitting a memorandum to the DDO/RMO through the component Records Management Officer.

A 201 personality may be assigned two OI codes. An OI code may be assigned when the 201 Personality File Action Request (Form 831) is initiated (see paragraph 3b below) by filling in Box 13 or a code may be assigned or added at a later date by a Form 831 amendment.

The 201 system has the capability of producing machine listings of 201 personalities by OI codes. For example, if an OI code has been opened for the security service of a certain country a listing may be compiled of all members of that service.

f. *201 Machine Lists*: produced from the mechanized 201 Index, based on names or other identifying information of personalities on whom 201 dossiers exist.

3. OPENING A 201 DOSSIER

a. *General*

The opening of a 201 dossier is the prerogative of an operational component, in coordination with the Information Services Group. An opening creates a master 201 record. Changes to the master record and the occasional closing of a 201 dossier are controlled jointly by the desks and ISC. 201 dossiers may be opened on persons who meet the carding criteria described in Chapter II of this handbook, when there is a reasonable expectation that additional information will be acquired and filed in such a dossier. Generally dossiers are opened on persons about whom counterintelligence information is being reported, and persons of operational interest to the Operations Directorate, specifically those persons for whom provisional operational approvals and operational approvals are requested (see exception below). 201 files are not to be opened on staff employees, staff agents and most categories of contract employees. Files on

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persons who are only of local interest to a field station or Headquarters desk and on whom no DDO records correspondence exists are not a part of the DDO records system and are to be maintained by that unit. Some desks levy requirements on ISG for automatic 201 openings on certain categories of persons whose names appear in incoming dispatches. These are listed in Attachment 2. 201 dossiers should be opened in the following categories:

- (1) Subjects of provisional operational approval and operational approval requests. However, a file need not be opened when a POA is requested for persons being trained for a foreign liaison service and who are of operational interest for training purposes only.
- (2) Persons for whom the field requests a 201 opening.
- (3) MHFLIXTURE personalities: bonafide diplomats of other than denied area countries, in close association with staff personnel.
- (4) Subjects of a Personal Record Questionnaire Part I.
- (5) Persons on whom a Main Index search reveals information in five or more documents (see DOI 70-20).
- (6) Subjects of Interagency Source Register memoranda from LSN/ISR (opened only by IP/RMS).

b. Requesting a 201 File Opening

Headquarters desks may open a 201 file by filling out and submitting a 201 Personality File Action Request (Form 831) to the Records Maintenance Section (IP/RMS). Form 831 is also used to create or amend the master 201 record and 201 machine listings and to register the assignment of a cryptonym to a 201 personality. Attachment 3 consists of sample 201 Personality File Action Requests for opening and amending 201's. A field station may request the opening of a 201 file by writing 201- in the Headquarters file or cross-reference box on the dispatch form and/or after the subject's name in the body of the dispatch. A telepouch request for a 201 opening is made by indicating 201- in the file number line. A cable request is made by placing 201- after the term "File" on the last line of the transmission. IP/AN will open 201 files as requested by dispatch or telepouch but it is the responsibility of the desk to respond to cable requests. Field stations are notified of 201 openings through receipt of the field master 201 record.

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4. CONTENTS OF THE DOSSIER

Information about a 201 personality should be filed or cross-referenced into his dossier. When additional information is discovered on a 201 subject through a name trace or other process, i.e., review of predecessor documents, it must be consolidated into his personality dossier. See DOI 70-20 for consolidation procedures.

Material which is filed in the dossier includes but is not limited to:

- a. 201 Personality File Action Request (Form 631).
- b. Biographic information including photographs, fingerprints, and handwriting samples.
- c. Personal Record Questionnaire Parts I and II.
- d. Operational and other security approvals.
- e. Name check replies, requests, clearances, and approvals.
- f. Acknowledgement of pseudonym.
- g. 201 personality assessments and evaluations.
- h. Copy of contract and termination papers.
- i. Secrecy agreement.
- j. Agent Duty Status Report.
- k. Training and evaluation.
- l. SGSWIRL report.
- m. Newspaper clippings.
- n. Any information which helps provide a better understanding of the subject and our interest in him; this may include operational reporting.

5. MAINTENANCE OF 201 DOSSIERS

The 201 personality dossier contains, in document date order, papers which have been made a part of the Central Records System as well as those which have not. Record documents may range from newspaper or magazine articles on the subject to finance and other administrative papers.

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a. *Purging*

Purging a 201 dossier is the responsibility of the desk officer. It requires discrimination in recognizing operationally useful material, rather than the simple distinction between official and unofficial papers; it will therefore take place under the supervision of a Records Officer. Purging should be done periodically. A 201 dossier being forwarded to Central Files for retention should be purged. A 201 dossier should be purged of the following:

- (1) Duplicate material, i.e., exact copy(s) of a document.
- (2) Name trace form (Form 362) unless it has been the basis for the opening.
- (3) All abstract slips.
- (4) All document restriction notices (Form 1884).
- (5) The disseminated version of positive intelligence information if a copy of the raw report is contained in the 201 file; the dissemination number then must be transferred to the first page of the raw report.
- (6) Routing slips, routing and record sheets (Form 610) and dispatch cover sheets unless there are remarks such as coordinations or comments.
- (7) Record copy documents which only repeat substantive information contained in other documents in the file; authorization for destruction is by the Records Officer.
- (8) Top Secret documents are not to be retained in a 201 dossier forwarded to Central Files; the document must be downgraded for retention in the 201 dossier. To downgrade a Top Secret document, an authorized officer in the originating office or the Records Officer having jurisdiction over the contents of the material must possess Top Secret classification authority. If the document cannot be downgraded the file should be retained at the desk or the copy of the TS document should be removed, retained in a desk TS file or forwarded to the Top Secret Control Officer, and a cross-reference sheet (Form 867) placed in the 201 file giving the location of the TS document.
- (9) Deferred documents (see 5b(2)).

b. *Maintenance Procedures*

- (1) All material in a 201 dossier will be filed in document date order. In the case of document attachments which have been classified into a 201

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dossier and separated from the basic document by the assignment of a slash number, the attachment will be filed by the date of the basic document.

(2) Deferred documents will not be filed in a 201 dossier. If they are to be retained in the dossier they should be sent to IP/RMS for classification into that 201.

(3) Field index cards (held by some desks) and area desk cards may be retained in the 201 as part of a consolidation procedure. These cards should be mounted on a full-size sheet of paper for filing in the 201.

(4) A 201 dossier previously opened on a person who becomes a staff employee and which contains Record Copy documents will be restricted to the ISC/DIP unless the desk retains the restriction. The dossier should be closed if there are no Record Copy documents in it.

(5) A 201 opened in pseudonym should be consolidated into the true name 201 if one exists or converted to the true name.

(6) Field and duplicate (shadow) 201 files no longer of active interest should be incorporated into the official 201 after the duplicate material has been purged by the desk officer and the remaining information classified to that 201 by the Analysis Section (IP/AN).

(7) Any document with a predecessor organization cover sheet or an OPC (Office of Policy Coordination) cover sheet from the Archives and Disposition Section (IP/ARD) must be returned to IP/ARD for processing to the 201.

(8) Desk memoranda (with or without a document source number) containing substantive or derogatory information on the subject of the 201 should be sent to IP/AN to be classified officially into the 201 file.

(9) An attachment which should be separated from its basic document for inclusion in a 201 personality dossier will be forwarded with the basic document to IP/AN for processing into the 201.

(10) To retain the P&L, RYBAT, or KAPOK sensitivity of a document remaining in a 201 dossier being retired to Central Files, place that document in an envelope sealed with black tape (see DOI 70-17). Any RYBAT, P&L, or KAPOK document sent to Central Files not in a black-taped envelope will automatically be handled as desensitized. A black-taped envelope may contain only one document and must be filed in chronological order within the file. If there are numerous documents of this type the desk officer may black-tape the entire dossier rather than individual documents (see DOI 70-10).

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Black-taped dossiers or dossiers with black-taped documents will be handled as restricted dossiers.

(11) An inactive 201 dossier or an inactive volume of a large 201 dossier on permanent charge should be returned to Central Files under a Routing and Record Sheet with the notation shown below.

<input type="checkbox"/> UNCLASSIFIED <input type="checkbox"/> INTERNAL USE ONLY <input type="checkbox"/> CONFIDENTIAL <input checked="" type="checkbox"/> SECRET			
ROUTING AND RECORD SHEET			
SUBJECT: (Optional) TRANSMITTAL OF INACTIVE 201 DOSSIER			
FROM:	DATE:	TO:	NO:
TO: (Other designation, name number, and building)		OFFICE: (Optional)	COMMENTS: (Optional) (For guidance see CSER 70-1-1, Chapter III, Annex B.)
1. IF/Files GC-52			Volume(s) # _____ of _____ volume(s) of 201- _____ <input type="checkbox"/> Restricted Dossier (Attach Form 2021 to Dossier) <input type="checkbox"/> Non-Restricted Dossier For Split Charge Dossiers: All documents prior to _____ (date) forwarded to IF/Files. All documents after _____ (date) retained at _____ desk.
2.			
3.			
4.			
5.			
6.			
7.			
8.			
9.			
10.			
11.			
12.			
13.			
14.			
15.			

FORM 1010E ☒ SECRET ☐ CONFIDENTIAL ☐ INTERNAL USE ONLY ☐ UNCLASSIFIED

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6. 201 DOSSIER CHARGES

A 201 dossier may be kept on permanent charge at the desk during any period of active interest. If the dossier is transferred to another desk, the desk officer who is transferring the dossier must notify Central Files of the transfer. Central Files will then send the Notice of Transfer of Document or File Accountability (Form 2977) to the new action desk officer.

CONFIDENTIAL (When filled in)						
NOTICE OF TRANSFER OF DOCUMENT OR FILE ACCOUNTABILITY						
TO: NAME	DATE	COMPONENT	ROOM	FLOOR	EXT.	
This is to notify you that accountability for the document(s) and/or file(s) cited below has been transferred to you by:						
NAME DATE COMPONENT EXT.						
Accordingly, IP's records now reflect you as the custodian. Please contact IP/Files, Ext. 4362, if you have any questions regarding this transfer.						
SUBJECT OF REQUEST	FILE NO.	DOC. SYMBOL & NUMBER	DOC. DATE	DATE OF TRANSFER	COPIES FROM OLD FILE	PAGE NO.

FORM 2977 USE PREVIOUS EDITIONS

CONFIDENTIAL

CL. BY: 007672

The new action desk officer must then fill out a 201 Personality File Action Request (Form 813) to change the action desk designation to insure that the 201 personality will be included in the Headquarters and field machine listings for his component.

7. RESTRICTED DOSSIERS

a. Access to a sensitive 201 dossier may be restricted by holding the file at the desk or placing it on restriction in Central Files.

(1) The dossier may be restricted by checking Box 2 on the 201 Personality File Action Request (Form 831) when the file is opened.

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(2) The dossier may be restricted by holding it on permanent charge from Central Files. (Note: To maintain the restriction of a dossier being returned to Central Files for retention, a File Restriction Notice (Form 2021) must accompany the dossier.)

(3) The dossier may be restricted and held in Central Files by submitting a File Restriction Notice (Form 2021).

CONFIDENTIAL (When Filled In)			
TO	DATE	INITIALS	FILE RESTRICTION NOTICE
IP/YI			
OC-52 T-32 DT-6			
IP/DCU			
OC-40 T-32 DT-4			
ACTION DESK: 1. To restrict a file, complete Section A (signature of R.O. not necessary). 2. To remove a restriction, complete Section B (R.O. signature necessary).			
FILE NUMBER <div style="border: 1px solid black; height: 20px; width: 150px; margin: 0 auto;"></div>			
SECTION A			
RESTRICT TO: (Use country or non-country code number. See CSI 73-23) _____			
RESTRICTED BY: _____ (name) Date: _____			
COMPONENT: _____			
SECTION B			
REMOVE RESTRICTION (AUTHORIZED BY) _____ R.O. No. _____			
COMPONENT: _____ Date: _____			
FORM 2021 USE PREVIOUS EDITIONS			
CONFIDENTIAL			
U.S. GOVERNMENT PRINTING OFFICE: 1973			

b. Access to a restricted dossier located in Central Files is limited to the personnel of the restricting desk or persons authorized by that desk. Any request for the charge of a restricted dossier or any document within a restricted dossier held in Central Files will be forwarded with the entire dossier and a multiple-routed cover sheet to the restricting desk. This desk may then forward the file to the requester or deny the request and return the dossier to Central Files. The desk will notify the requester of a denial.

c. Anyone requesting a restricted dossier, or a document within a restricted dossier, permanently or temporarily charged to a desk, will be referred to that desk by Central Files.

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8. REQUESTS FOR INFORMATION ON 201 PERSONALITIES

The Automated Index Section (IP/AIS) will provide the identity of the subject of a 201 number unless the 201 file is restricted, in which case the requester will be referred to the restricting desk.

IP/AIS will also provide the 201 number assigned to a name, unless the 201 file is restricted, or state that there is no 201 number assigned. Requesters should supply identifying information whenever available for each name submitted.

Requests pertaining to five or fewer names or numbers may be made by telephone by calling the IP/AIS red line extension; IP/AIS will provide the information by return call to the requester's extension as listed in the Badge Table. Requests for more than five names or numbers must be listed and sent by tube or courier to IP/AIS; IP/AIS will reply by return mail.

9. 201 DOSSIER CANCELLATION

A 201 file may be authorized for cancellation by a Records Officer, after appropriate coordination. The file should be forwarded to IP/RMS which will destroy the folder and the cards leading to it and will remove the name and number from machine lists. Any Record Copy document contained in the folder will be reclassified to another appropriate file or sent to the Destruction Unit (IP/DU) as directed by the desk Records Officer.

10. 201 MACHINE LISTINGS

Machine listings provide field stations and Headquarters desks with names and 201 numbers in the requester's particular geographic or functional area of interest. If a component wishes to exclude a sensitive 201 personality from its alphabetic, numeric, and cryptonym listings, this may be done when opening the 201 or later by a 201 amendment. On the 201 Personality File Action Request (Form 831) leave the country of location (Box 15) and interest desk (Box 16) blank, use the non-country code 900 in the action box (Box 14), and indicate permanent charge to the responsible desk. The only listing which will include the 201 number is the IP/201 record for the Vital Records program. 201 listings are categorized as standard or nonstandard and as scheduled or special.

a. *Standard Listings*

Issued semi-annually to Headquarters and the field; based on a component's interest as indicated in the "Action Desk," "Country of Location," and "Interest

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Desk" blocks on the 201 Personality File Action Request (Form 831). The standard listings available are:

- (1) Alphabetical by surname, leading to a 201 number;
- (2) Alphabetical by given name, leading to a 201 number;
- (3) Alphabetical by cryptonym, leading to a 201 number;
- (4) Numerical, leading to a surname;
- (5) Numerical, leading to a cryptonym.

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All standard listings are cumulative; previous editions *must be* destroyed upon receipt of current editions. These listings are by their very nature extremely sensitive compilations of information and must be given every possible safeguard.

b. Non-Standard Listings

Based on one or more of the following selection criteria:

- (1) Country of location
- (2) OI codes (organization and/or intelligence affiliation)
- (3) Citizenship
- (4) Year of birth (plus or minus a given number of years)
- (5) Occupation.

These selection criteria may be used singly or in combinations. For example, a user could obtain a list of all 201 personalities who have been assigned the OI code of XX or codes of XX, XY, or XZ. A 201 personality list could also be produced of all persons who were born in Germany between the years 1915 and 1920, with the occupation computer specialist, who are now citizens of the United States, located in Mexico, and who had been assigned the OI code AA. Note however that the listing would contain only those personalities with an OI code AA. Those personalities with an OI code other than AA and those with no OI code would be excluded. The requester could however ask that persons who have not been assigned an OI code also be included. Note also that when retrieving lists based on occupation, the listing will be only as specific as the occupation code (Attachment 1). The occupation code for a courier covers only a documented courier. Some occupation codes cover more than one occupation. For example, the occupation code CRAF covers those who practice some trade or manual occupation, i.e., carpenters, bricklayers, painters, mechanics and electricians. If a list is requested for electricians, all others in this category will be included in the printout. These non-standard listings may be sorted (arranged) according to any, but not more than three, of the following keywords:

- (a) Surname
- (b) Given name
- (c) Date of birth
- (d) Country of birth
- (e) Citizenship
- (f) OI code
- (g) Location

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Sorts can be made within sorts. For example, 201 personalities may be sorted alphabetically by surname within OI codes for given countries of location. Because two OI codes may be listed for each personality, those names with two OI codes would be listed twice.

c. Scheduled Listings

Standard and non-standard listings printed semiannually.

d. Special Listings

Unscheduled, usually non-standard, listings produced on a one time basis in response to special operational requirements.

e. Request for Listings

All requests for standard or non-standard alphabetical and numerical 201 listings for Headquarters and the field, for changes in periodic listings, and for information on the 201 machine list system should be made to the component Records Management Officer.

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AUTOMATIC 201 DOSSIER OPENINGS

Note: 201 files will be opened automatically by IP/AN on the following categories of people.

1. Arab Republic of Egypt (ARE)

- a. Diplomats with rank of third secretary or above.
- b. Military attaches and assistant military attaches.
- c. Intelligence officers of the General Intelligence Department (GID).

(Prior to opening of an ARE 201 file, check with NE/E for correct spelling of name and additional biographic data.)

2. British Commonwealth

- a. All positively identified members of MI-5 and MI-6, the British Intelligence Services.
- b. All positively identified members of the Irish Military Intelligence Service (IMIS).
- c. Canadian Communist Party officials on national or provincial levels and officials of the Canadian Communist Party front organizations. Do not open unless there is at least a date of birth given.
- d. All members of the Security Service of the Royal Canadian Mounted Police (RCMP-SS).

3. Cuba

Intelligence service employees (DSE, DGI).

4. Israel

- a. All Israeli diplomats. C/NE/ISR should be indicated as the originating office with CI/SP always indicated as the secondary office of interest.
- b. Military attaches.
- c. Assistant military attaches.
- d. Identified intelligence officers.

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5. *North Vietnam*

All diplomats and NFLSV (PRG) officials stationed abroad.

6. *USSR*

- a. All Soviets assigned PCS to an official representational installation, i.e., embassy, consulate, commercial representation, national airline (Aeroflot) office, news media office.
- b. All Soviets assigned PCS to the United Nations in New York, Paris, Geneva, and Vienna.
- c. Audio technicians, after coordination with SE desk concerned.
- d. Students who will be studying abroad for a full academic year at institutions of higher learning.

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ANNEX B

PERSONALITIES - 201 AND IDN NUMBERS

1. A relatively small proportion of the total number of personalities indexed by the CS are of active operational interest at any given point in time. These are normally subjects of extensive reporting and CI investigation, prospective agents and sources, and members of groups and organizations of continuing target interest. Each of these personalities is assigned either a 201 number or an IDN number.

2. The 201 number serves a dual purpose. It brings the files on these personalities into the CS records system. A single number, e.g., 201-123456, is assigned to each person, and a dossier controlled by this number is established which contains, or has cross referenced to it, all of the reporting on the individual's personal history, current status and prospects. Once the 201 number is assigned, it is used in future reporting on the individual both as a file number and in place of other identifying data. Up-to-date machine listings are published periodically to help field stations and headquarters desks keep book on those 201 personalities falling in their particular geographic or functional area of interest.

3. It has become apparent that the 201 machine listings should include the identities of persons of operational interest because of their connection with a target group or organization even though there may not be sufficient information or specific interest to warrant opening a file. For example: A considerable number of stations are concerned with the activities of Cuban exiles. Coverage of their movements, factions and objectives can be assisted by furnishing all participating stations up-to-date listings containing information under the control

*Rec'd by
Annex B to Chap III
to CSHB 70-1-1
10-1-62*

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of the Cuban desk on the dramatis personae. In addition to 201 personalities, such lists should contain the names and identifying data of persons who should be kept track of, although they may only be of tangential interest or on whom there may be little or no data other than that given in the listing itself.

4. To accommodate this type of requirement in the 201 system, identifiable personalities concerning whom enough information is not yet available to require the opening of a file may be assigned numbers of the following type but in the same series:

IDN-123457

These are relabeled "201" if a file is opened. IDN numbers are carried with 201 numbers in appropriate general or special listings, where they are identified by the letter "I" in the "Type of Name" column. IDN numbers are not CS file numbers.

5. All 201 code numbers are assigned by RID at headquarters, either upon receipt of Form 831, or of a field dispatch. If a dispatch is written about a personality not yet in the system, a 201 number for it may be requested simply by writing under headquarters file number in the dispatch form as follows:

Dispatch Symbol and No.
XYZA-12345
Headquarters File No.
201-

6. IDN numbers are assigned by RID at headquarters upon the request of stations or desks which are developing special identification programs within the 201 system. The field receives current notification of new 201 openings and IDN numbers through the Field Index Card Service.

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7. Stations or branches often are concerned with personalities not of general CS concern. Files on these may be kept in any desired order. Should such personalities become of general CS interest, they must be brought into the 201 system.

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DOI 50-10

DDO INSTRUCTION
NO. 50-10OPERATIONS-GENERAL
4 September 1973**RESTRICTIONS ON OPERATIONAL USE OF CERTAIN
CATEGORIES OF INDIVIDUALS**

Rescission: CSI 50-10, 13 July 1970

1. GENERAL

- a. Elemental in the conduct of clandestine operations is the use of human agents to accomplish the missions of the Operations Directorate. In general, it is DDO policy to select agent assets with primary regard to the agents' abilities, target access, and security, and with few restrictions as to their origins, professions or status as members of particular groups. The basic rule is that any consenting adult may be used by the Operations Directorate. There are, however, certain sensitive categories of individuals or groups whose operational use by the Operations Directorate is prohibited or in some way restricted for reasons not necessarily related to security considerations.
- b. These prohibitions or restrictions stem from one of the following:
- (1) The Agency has been directed by U.S. Governmental authority to restrict or avoid the operational use of a particular category of individuals.
 - (2) The Agency has entered into a special restrictive agreement with an organization, government, corporation, or official responsible for a category of individuals.
 - (3) The Director or the Deputy Director for Operations has imposed restrictions on the operational use of a certain category of individuals due to the extreme risk or sensitivity of such exploitation.

2. PURPOSE

The purpose of this instruction is to set forth the prohibitions and policy restrictions (as distinguished from security restrictions) which currently pertain to the operational use of various categories of individuals, together with the special approval procedures to be followed in certain cases. Where appropriate, reference has been made to another publication which provides more detailed guidance than has been attempted in this instruction. The special approval procedures set forth in this instruction do not supersede or alter in any way the requirements for covert approvals contained in DOI and DOI-F 10-5.

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3. DEFINITIONS

Within the context of this instruction, the definitions listed below will apply. Special note must be taken of the fact that the key term "operational use" employed throughout this instruction has been defined in the most succinct manner consistent with clarity. It has not been feasible, however, to cover in a definition the entire scope of possible variations in operational circumstances which may be encountered in DDO activities. The definition of "operational use" is intended to provide guidance for the majority of cases, and must be employed with responsible operational judgment. Issues involving a determination of "operational use" which cannot be resolved with reasonable assurance by the responsible operating components will be referred to the Deputy Director for Operations for decision.

a. Operational Use

Operational use is interpreted to mean the recruitment, utilization, or training of any individual or group for DDO purposes on either a witting or unwitting basis by or on the behalf of an element of the Operations Directorate. Utilization is made of an individual or group whenever that individual or group, responding to the direction or solicitation of a DDO element, provides information, performs services, provides cover, or supplies financial, material, or other support necessary for the accomplishment of DDO operational objectives either directly or indirectly, to or for an element of the Operations Directorate.

b. DDO Element

Any person or group who or which is responsible to, owned or controlled either directly or indirectly by the Operations Directorate. Included under this definition are employees or members of Agency proprietary mechanisms.

c. Operational Contact

Any association having as its purpose the initiation or furtherance of DDO operations.

4. RESTRICTIONS ON OPERATIONAL USE

a. Restrictions on the operational use of individuals or groups are of four types and cover twenty five separate categories as outlined below and as described in greater detail in paragraphs 5 through 8 of this instruction:

(1) *Operational Use is Prohibited* (see paragraph 5):

- (a) Members and trainees of ACTION;
- (b) Fulbright grantees;

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- (c) Officials or employees of the International Association for Cultural Freedom;
 - (d) Officials, employees, or grantees of the Ford, Rockefeller and Carnegie Foundations;
 - (e) Employees of U.S. private detective investigative agencies.
 - (2) *Operational Use Requires Special Extra-Agency Concurrence* (see paragraph 6): *AND APPROVAL OF SA/ADDO.*
 - (a) Employees of other U.S. Government agencies;
 - (b) DDO agents or assets in the United States;
 - (c) Agents and human sources of foreign intelligence registered by — other U.S. agencies;
 - (d) Citizens (or persons documented as citizens) of Australia, Canada, the United Kingdom (including its overseas dependent territories) and New Zealand;
 - (e) Citizens of Norway, West Germany and The Netherlands;
 - (f) Merchant seamen on ships of certain countries.
 - (3) *Operational Use Requires Special Approval by the DDO* (see paragraph 7):
 - (a) Publishers, producers, journalists or employees of public information media;
 - (b) CARE employees;
 - (c) Individuals engaged in public relations activities;
 - (d) Officials, representatives, or employees of Communist countries in the United States;
 - (e) Foreign delegates or employees of the United Nations assigned in the U.S. and U.S. citizen delegates or employees wherever assigned;
 - (f) Staff members or officials of Red Cross societies;
 - (g) Officials of the Vatican State;
 - (h) U.S. Government-funded professors, lecturers, students or grantees;
 - (i) Members of educational or private voluntary organizations;
 - (j) Officials or employees of the African-American Institute;
 - (k) Volunteers to America.
 - (4) *Operational Use Requires Approval by Chief of Area Division* (see paragraph 8):
 - (a) Citizens or alien residents of the U.S. in denied areas;
 - (b) Non-U.S. citizen delegates or employees of United Nations organizations not assigned in the U.S.;
 - (c) Members of the academic community.
- b. Operational use of an individual who comes under more than one type of restriction will be controlled by the highest type of restriction applicable in his particular case.

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5. OPERATIONAL USE PROHIBITED

a. *Members and Trainees of ACTION*

- (1) It is Agency policy that members and trainees of ACTION will not be used in any capacity, with or without remuneration, by the Agency or by organizations under its jurisdiction. (The term "members of ACTION" will be understood to mean anyone employed by or associated with ACTION except trainees.)
- (2) It is Agency policy that former members of ACTION may be employed or used by the Agency or by organizations under its jurisdiction only in accordance with the following:
 - (a) Except as stated in (b) below, a former member of ACTION may be employed or used operationally by any element of the Agency only if a period of five full years has elapsed since his separation from ACTION.
 - (b) An Agency-controlled organization may hire a former member of ACTION, but only for duties related to the overt purposes of such organization, if a period of at least twenty-four months has elapsed since his separation from ACTION.
 - (c) The employment or use of a former member of ACTION under the provisions of subparagraph (a) or (b) above must have the specific prior approval of the Deputy Director for Operations.
- (3) Former trainees whose ACTION service included duty or training overseas are subject to the rules governing employment or use of former members of ACTION (subparagraph (2) above). Former trainees who did not serve at any time as members of ACTION and whose ACTION service did not include duty or training overseas may be employed or used operationally by DDO elements provided the specific prior approval of the Deputy Director for Operations is obtained.
- (4) A former member or trainee of ACTION whose employment or use is permitted by subparagraph (2) or (3) above may not be assigned to or used in a country for which he had been trained or to which he had been assigned while with ACTION.
- (5) Information may be received by the Domestic Collection Division from private corporations and other organizations employing former ACTION personnel, notwithstanding the fact that the information may originate with former ACTION personnel. However, any direct briefing or debriefing of or contact with former members or trainees of ACTION is subject to the following:
 - (a) The specific prior approval of the Deputy Director for Operations must be obtained.

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- (b) If the individual is a former member of ACTION, or a former trainee whose ACTION service included duty or training overseas, five years must have elapsed since his separation from ACTION.

If contact with a former ACTION member or a former trainee whose ACTION service included duty or training overseas should be unavoidable during the required five year waiting period, the Deputy Director for Operations may request an exception from the Director of Central Intelligence. Among the possible reasons for such unavoidable contact would be the designation of a former member or trainee as the liaison officer to the Domestic Collection Division.

b. Fulbright Grantees

DDO policy prohibits the operational use of individuals who are receiving U.S. Government support under certain provisions (see below) of the Mutual Educational and Cultural Exchange Act of 1961, as amended, commonly known as the Fulbright-Hays Act. Falling under this prohibition are teachers, research scholars, lecturers and students (including student artists and student musicians) who have been selected to receive scholarships or grants by the Board of Foreign Scholarships appointed by the President of the United States. Operational use of such individuals is prohibited only during the period when they are participating in the educational and cultural exchange program. This prohibition specifically does not apply to the several other categories of grantees supported by other provisions of the Fulbright-Hays Act such as artists, athletes, leaders, specialists or participants at international trade fairs or expositions who do not come under the aegis of the President's Board of Foreign Scholarships (see 7.j., below).

c. Officials or Employees of the International Association for Cultural Freedom
DDO policy prohibits the operational use of the officials or employees of the International Association for Cultural Freedom. Contacts with such individuals which DDO officers are obliged to make in their cover capacities must be limited to their cover assignments.

d. Officials, Employees, or Grantees of the Ford, Rockefeller and Carnegie Foundations

DDO policy prohibits the operational use of grantees of the Ford Foundation, the Rockefeller Foundation or the Carnegie Foundation or of other persons actively participating in programs which are wholly sponsored and controlled by any of these foundations. Additionally, there will be no operational use made of the officials or employees of these organizations. In general, however, there is no restriction on nonoperational contacts or consultations with such individuals.

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e. Employees of U.S. Private Detective Investigative Agencies

DDO policy prohibits the operational use either in the United States or overseas of the employees of any U.S.-owned or -controlled private detective investigative agency. This policy does not apply to operational use of employees of organizations which are engaged strictly in commercial or credit investigations.

6. EXTRA-AGENCY CONCURRENCE REQUIRED

a. Employees of Other U.S. Government Agencies

Approval for the operational use of staff or contract (including foreign) employees of other U.S. Government agencies will be granted only in cases where the employee's parent agency in Washington has been notified of and has approved of the intended operational use in accordance with the provisions of DOI 10-5.

b. DDO Agents or Assets in the United States

In accordance with the agreement existing between the Federal Bureau of Investigation and this Agency, the restrictions listed below apply to the operational activity of the Operations Directorate conducted in the United States. Coordination with the FBI of appropriate information on DDO operational activities in the United States is the responsibility of the Chief, Liaison Group, Operations Staff.

- (1) All investigations by this Agency of foreign officials in the United States require the prior concurrence of the FBI. In this context, the term "investigation" means systematic and direct inquiries or procedures (such as physical or technical surveillances or neighborhood inquiries) aimed at developing information concerning an individual's activities or background; "investigation" does not include the acceptance or the development of information through social contacts or contacts normally made by Agency officials in discharging their cover functions.
- (2) Any approach in the United States by a DDO element for recruitment of any foreign official or of any visitor from a Communist country requires the prior concurrence of the FBI.
- (3) Any planned meeting in the United States for assessment and social development between a DDO element and a foreign official of known or presumed interest to the FBI or between a DDO element and an official or visitor from a Communist country requires that prior notification be provided to the FBI.
- (4) Whenever domestic DDO operations involve matters pertaining to the national security of the United States, appropriate identification of persons engaged in the operations in the United States will be

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provided to the FBI. In accordance with this policy, the following categories of DDO assets will be identified to the FBI: DDO personnel, agents of the Operations Directorate who are either U.S. citizens or alien residents, and foreign agents of the Operations Directorate recruited abroad who come to the United States for operational purposes.

c. Agents and Human Sources of Foreign Intelligence Registered by Other U.S. Agencies

The Interagency Source Register (ISR) has been established at headquarters to provide for United States Intelligence Board (USIB) agencies a centralized record of agents and human sources of foreign intelligence. A principal purpose of the ISR is to register primacy of interest and prevent multiple recruitment or unintentional duplicate operational use of such agents and human sources. It is USIB policy that no individual registered in the ISR by one USIB agency will be used for operational purposes by any other USIB agency without the specific prior approval of the agency having primacy of interest. If a DDO element desires to arrange the transfer or joint operational use of a registered individual, the ISR will contact the agency having primacy of interest to determine whether there is a willingness to discuss this matter.

d. Citizens (or Persons Documented as Citizens) of Australia, Canada, the United Kingdom (including its Overseas Dependent Territories) and New Zealand

- (1) The operational use of citizens of the above-named countries (including the overseas dependencies of the United Kingdom) is restricted by agreements with the intelligence or security authorities of such countries, which require the prior approval of the appropriate liaison authority. Such approval will be obtained at the earliest feasible stage of development through the European Division (in the case of citizens of Canada or the United Kingdom), or through the East Asia Division (in the case of Australian or New Zealand citizens).
- (2) The above restriction also governs the use of false documentation representing DDO staff or agent personnel as citizens of the above-named countries. Approval for the use of such documentation will be sought through the same channels as stated in subparagraph (1) above.
- (3) Authority to make operational use of the persons or documentation described in the above subparagraphs without obtaining the prior approval of the liaison authority concerned may be granted only by the Deputy Director for Operations or by the Director.

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to be handled only by Division only

e. *Citizens of Norway, West Germany and The Netherlands*

The operational use of any citizen of Norway, West Germany or The Netherlands is, under certain conditions, contingent on prior approval of the national intelligence service concerned. These countries are particularly sensitive in cases involving the operational use of their citizens who are merchant seamen and who are serving on ships carrying their flags. Each case involving the proposed operational use of a citizen of one of these countries will be reviewed by the Chief of the European Division in the light of the agreements existing between this Agency and the national intelligence service concerned. After weighing all of the equities, the Chief of the European Division will decide whether approval is required from the national intelligence service concerned. When required, approvals for the operational use of such individuals will be obtained from the appropriate national intelligence services by the European Division.

f. *Merchant Seamen on Ships of Certain Countries*

The operational use of merchant seamen, regardless of their citizenship, who are serving on ships carrying the flags of Australia, Canada, the United Kingdom (or its overseas dependencies), New Zealand, Norway, West Germany or The Netherlands is, under certain conditions, subject to provisions of the agreements existing between this Agency and the national intelligence service concerned. Each case involving the proposed operational use of such a merchant seaman will be reviewed by the Chief of the European Division or the Chief of the East Asia Division, as appropriate, in the light of the pertinent interservice agreements. After weighing all of the equities, the Chief of the European Division or the Chief of the East Asia Division will determine the course of action to be taken with regard to the national intelligence service concerned.

7. APPROVAL BY THE DDO REQUIRED

Approval by the Deputy Director for Operations for the operational use of any individual who falls into one of the categories described in this paragraph will be requested by memorandum. The individual's covert approval status will be described in the memorandum to the Deputy Director for Operations, together with a concise explanation of the intended operational use. (In connection with this paragraph, contacts by the Domestic Collection Division with individuals or firms do not require approval by the Deputy Director for Operations provided they constitute merely briefing or debriefing for the purpose of obtaining information acquired by an individual or representative of a firm in the course of his normal activities. If, however, in any case the contact is on behalf of another element of the Operations

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Directorate or another agency; or if an individual or firm will be requested to perform an operational task or to deviate from his or its normal pattern of activity; or if the activity, even though consistent with the individual's or firm's normal pattern of activity, will take place because requested or funded by the Domestic Collection Division; that case will be subject to the requirement for approval by the Deputy Director for Operations.)

a. *Publishers, Producers, Journalists, or Employees of Public Information Media* (see DOI 240-6)

(1) Operational use of publishers or producers of public information media requires prior approval by the Deputy Director for Operations whenever there is danger that such activity might serve in any way to influence U.S. public opinion. Such activities include but are not limited to the publishing of books, newspapers, or magazines, the making of films, the production of TV or radio programs or the issuance in the United States of any public opinion influencing information media. The operational use abroad of publishers or producers of public information media for non-U.S. audiences does not require approval by the Deputy Director for Operations even though such activities may have some unintended and unsolicited fallout in the United States.

(2) Approval by the Deputy Director for Operations is also required prior to the operational use of journalists, newspaper, TV, radio, or news service correspondents or stringers, and employees of news media including TV and radio stations, whenever the individual is a U.S. citizen or when the news medium involved is under U.S. ownership or control.

b. *CARE Employees*

It is DDO policy to avoid operational use of employees of the CARE organization including indigenous employees. Exceptional individual cases involving priority operational objectives will be considered on their merits. Prior approval by the Deputy Director for Operations will be required in all cases.

c. *Individuals Engaged in Public Relations Activities* (see DOI 50-18)

Individuals engaged in public relations activities which in any way have or seek to have an influence on public opinions in the United States are considered to be in a separate sensitive category. In view of the peculiar aspects of public relations activity, including the special requirements of the Foreign Agents Registration Act, approval by the Deputy Director for Operations is required prior to the operational use in a public relations capacity of any individual who is engaged in public relations activities and who is located in or operating into the United States.

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d. Officials, Representatives, or Employees of Communist Countries in the United States (see DOI 60-11)

Prior approval of the Director or the Deputy Director for Operations is required for operational contact in the United States with or operational use of officials, representatives, or employees of the USSR, its satellite countries, Communist China, or any other country under Communist control. If, while in the United States, such individual is to be investigated, approached for recruitment, or contacted for operational purposes, the prior concurrence of the FBI will also be required in accordance with paragraph 8.b., above.

e. Delegates or Employees of the United Nations

It is DDO policy that the operational use of delegates or employees of the United Nations, including those of its various main organs and of its related intergovernmental agencies, is of such sensitivity as to require special consideration by the Deputy Director for Operations. In especially worthwhile cases wherein operational use of a particular UN individual is deemed essential for the accomplishment of the DDO mission, approval may be obtained. In each case involving a non-U.S. citizen assigned in the U.S. or a U.S. citizen wherever assigned, the prior approval of the Deputy Director for Operations will be required. (See paragraph 8.b. regarding use of non-U.S. citizen delegates or employees not assigned in the U.S.) If, while in the United States, the UN individual is to be investigated, approached for recruitment, or contacted for operational purposes, the prior concurrence of the FBI may also be required as outlined in paragraph 8.b., above.

f. Staff Members or Officials of Red Cross Societies

The operational use of staff members or officials of the International Red Cross or its affiliated national Red Cross, Red Crescent, or other equivalent societies requires special consideration and prior approval by the Deputy Director for Operations. DDO elements should make every effort to avoid the operational use of staff members or officials of Red Cross societies. However, when especially high priority objectives are at stake and alternative agent assets are not available, approval for the use of such individuals may be granted by the Deputy Director for Operations.

g. Officials of the Vatican State

Operational contact with officials of the Vatican State will be made only with the prior approval of the Deputy Director for Operations. Operational use of Vatican officials will be contingent on prior approval by the Deputy Director for Operations.

h. U.S. Government Funded Professors, Lecturers, Students or Grantees

U.S. or foreign professors, lecturers or students and other persons participating in U.S. Government-sponsored academic, cultural, athletic or other

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exchange programs (except certain Fulbright grantees—see paragraph 5.b., above) are considered to be in a separate sensitive category. Operational use of such individuals while they are actively participating in an exchange program funded by the U.S. Government requires special consideration and approval by the Deputy Director for Operations prior to such use. In certain especially worthwhile cases wherein the operational use of a particular U.S. Government supported exchange is considered essential to the accomplishment of the DDO mission, the Deputy Director for Operations may grant approval. Memoranda requesting such approval will be forwarded through the Chief, Foreign Resources Division. In such cases the Deputy Director for Operations will determine whether or not to seek the concurrence of the U.S. Government sponsor.

l. Members of Educational or Private Voluntary Organizations

- (1) It is U.S. Government policy that no federal agency shall provide any covert financial assistance or support, direct or indirect, to any of the nation's educational or private voluntary organizations. This policy applies to all foreign as well as domestic activities of such organizations. In compliance with the above proscription, DDO policy requires the most careful scrutiny of all cases involving operational contact with U.S. educational or private voluntary organizations including trade and professional organizations. The operational use of any employee, staff member or official of such an organization requires prior approval by the Deputy Director for Operations. The Deputy Director for Operations will determine whether or not to seek extra-Agency approval for the conduct of such operations.
- (2) Operational use including covert funding abroad of foreign-based international voluntary organizations and the personnel thereof is permitted even if the organization is also funded by U.S. private voluntary organizations.

j. Officials or Employees of the African-American Institute

Operational use of the officials or employees of the African-American Institute requires prior approval of the Deputy Director for Operations. Contacts with such individuals which DDO officers are obliged to make in their cover capacities will not involve operational matters until the approval of the Deputy Director for Operations has been secured.

k. Volunteers to America

Operational use of or operational contact with members of Volunteers to America while they are on assignment in the United States will not be made without the prior approval of the Deputy Director for Operations. Volunteers to America are participants in programs established by various foreign countries in collaboration with the Department of State as a

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counterpart to the U.S. Peace Corps. Such volunteers are sent to the U.S. for a period of service in schools and community development programs. The name of the organization may vary by country.

8. OPERATIONAL USE REQUIRES APPROVAL BY CHIEF OF AREA DIVISION

Operational use of any individual in the categories listed in this paragraph is considered of such sensitivity as to require special consideration and approval by the appropriate Area Division Chief. This authority may not be delegated. The request for approval will be by memorandum in which the individual's covert approval status will be described, together with a concise explanation of the intended operational use.

a. Citizens or Alien Residents of the U.S. Used in Denied Areas (see DOI 50-19)

The operational use in denied areas of U.S. citizens, or of aliens who have been admitted for permanent residence or have resided for a prolonged period in the U.S., requires the prior approval of the Chief of the Area Division under whose jurisdiction the intended use is to take place.

b. Non-U.S. Citizen Delegates or Employees of the United Nations not Assigned in the U.S.

The operational use of non-U.S. citizen delegates or employees of the United Nations who are not assigned in the U.S. requires the prior approval of the Chief of the Area Division under whose jurisdiction the intended use is to take place.

c. Members of the Academic Community

(1) Within the context of this instruction a member of the academic community is defined as: any student, faculty member, administrative officer or staff official of a college, university or similar institution of higher learning including their associated research centers. Persons associated with institutions such as police or military training centers (except the four college-level military service academies) or undergoing specialized technical training with business or commercial firms are not considered to be members of the academic community.

(2) Operational use of members of the academic community, especially those cases wherein an individual is to be made witting of Agency interest, will be on a highly selective basis. Each case will be examined to ascertain its essentiality to the DDO mission in terms of the price of possible disclosure, and to ensure that proper security procedures can be observed. When it has been determined that the operational use of a member of the academic community as defined above is

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operationally feasible and without suitable alternative, prior approval in the following cases will be obtained as indicated below:

- (a) Any U.S. citizen who is a member of the academic community and who is associated in any way with any U.S. or foreign college, university or similar institution of higher learning;
- (b) Any non-U.S. citizen who is a member of the academic community and who is associated in any way with any U.S.-owned or U.S.-affiliated college, university or similar institution of higher learning which is located either in the United States or abroad.

If the individual is located in the United States, approval will be requested by memorandum to the Chief, Foreign Resources Division. The memorandum will include a statement that the individual is, or is not, a DCD asset or contact, and in the event he is will include the concurrence of the Chief, Domestic Collection Division. If the individual is located outside the United States, approval will be requested by memorandum to the Chief of the Area Division who has jurisdiction over the area concerned. Operational use of foreign members of the academic community who are not associated in any way with U.S.-owned or U.S.-affiliated institutions of higher learning is also considered sensitive. The operational use of such individuals also requires the approval of the Chief of the Area Division. In any case involving a well known person or having special security implications, the Division Chief to whom the request is referred under the above provisions will consult with the DDO and obtain the latter's approval.

- (3) The provisions of paragraph (2) do not apply to Domestic Collection Division contacts with members of the academic community, but such contacts are subject to the following requirements:
 - (a) If a member of the academic community would be asked to perform an operational task or to alter his normal pattern of activity in order to serve Agency purposes, prior approval of the Chief, Domestic Collection Division is required. Additionally, if such an individual will be in a foreign area, the concurrence of the Chief of the Area Division concerned will be obtained.
 - (b) Prior concurrence will be obtained from the appropriate Area Division Chief if an individual is to be utilized in a politically sensitive area where his presence or activities could potentially embarrass the interests of the U.S. Government.
 - (c) The requirements of paragraph 8.a. apply if a citizen or alien resident of the United States would be used in a denied area.
- (4) At the end of each calendar year, Chiefs of Divisions will submit a report to the Deputy Director for Operations (via Chief, Foreign Resources Division) on the number of individuals recruited from the

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academic community during that year. This audit will permit the DDO to keep abreast of major quantitative changes in the number of potentially sensitive operational cases in each Division.

- (5) It should be noted that the provisions of this paragraph do not apply to DDO employees who wish to study or teach privately. Approval for such activity will be obtained in accordance with the provisions of HR 10-7.

9. INDIVIDUAL CHANGES OF STATUS OR CATEGORY

When an individual undergoes a change of status which places him in one of the restricted categories described above, or transfers him from one category to another, his operational use or continued operational use is contingent upon approval or reapproval as prescribed for his new status.

10. INTERPRETATION OR MODIFICATION OF RESTRICTIONS

Certain of the policy restrictions described in this instruction are subject to interpretation, extension or modification by the Deputy Director for Operations depending on the conditions and the atmosphere for DDO operations at any particular time. Especially when dealing on the edges of policy rulings and within the guidelines set forth herein, particular heed should be paid to the price of disclosure, including careful consideration of the sensitivities of the individuals involved. When there is any doubt concerning the application of these restrictions, guidance should be obtained from the Deputy Director for Operations.

**William E. Nelson
Deputy Director for Operations**

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2 August 1978

MEMORANDUM FOR : General Counsel
Director of Security

FROM : S.D. Breckinridge

SUBJECT : HSCA Request of 20 July 1978 -
OLC-78-2728

1. Attached is correspondence from the DDO focal point on the HSCA investigation, responding to Question #2 of reference. It states that there are and have been no agreements (at least not as described in the HSCA request) between CIA and the FBI, or other government agencies, that pertain to the Agency's responsibilities to report on U.S. citizens abroad who contact Communist embassies or officials. It also states that current legislation forbids such reporting.

2. Attached are copies of papers collected by O/IG during the Rockefeller Commission's inquiry; I recall that there was a 1966 agreement, which is not in these papers. In any event they do not seem to contain a specific provision such as is envisioned in the report. It is possible that interpretations of NSCID and DCID provisions resulted in routine reporting of such contacts, although there were no agreements, per se, for such action. Since the promulgation of Executive Orders 11905 and 12036 there have been limitations on reporting on U.S. persons, which may affect past practice. However, this office is not in a position to provide an Agency position on this issue.

3. It is requested that you coordinate with the DDO in preparing an answer to an Agency response to the HSCA question.


S.D. Breckinridge

Distribution:

- 1 - General Counsel
- 1 - D/Security
- 1 - OLC/Subj.
- 1 - OLC/Chron
- 1 - Mr. Gregg w/o/ATP
- 1 - Mr. Shepanek

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TO	NAME AND ADDRESS	DATE	INITIALS
1	Mr. Breckinridge		
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ACTION	DIRECT REPLY	PREPARE REPLY	
APPROVAL	DISPATCH	RECOMMENDATION	
COMMENT	FILE	RETURN	
CONCURRENCE	INFORMATION	SIGNATURE	
Remarks: Expansion of DCD-FBI Relationship Book Dispatch 9335 of 18 Feb 1975 Two sanitized copies ready for Mr. Knoche.			
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FROM: NAME, ADDRESS AND PHONE NO.			DATE
Walter F. Little			3/18/75
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Remarks:			
<p>2 copies each of the attached sent to Mr. Locke via IG 3/18/75</p>			
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FR/LOS ANGELES, FR/NEW YORK, FR/WASHINGTON.

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DATE: 18 FEBRUARY 1974

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TO: CHIEF OF BASE, ATLANTA; CHIEF OF BASE, BOSTON; CHIEF OF BASE, LOS
ANGELES; CHIEF OF BASE, CHICAGO; CHIEF OF BASE, CLEVELAND; CHIEF OF
BASE, SAN FRANCISCO; CHIEF OF BASE, NEW YORK; CHIEF OF BASE, WASHINGTON
FROM: CHIEF, FOREIGN RESOURCES DIVISION

SUBJECT: RELATIONS WITH THE FBI

1. ATTACHED HERewith IS THE SUBSTANCE OF A LETTER FROM FBI HQS
TO ITS EIGHT FIELD OFFICES IN CITIES WHERE FR BASES ARE LOCATED. THIS
LETTER IS AIMED AT CLARIFYING A NUMBER OF BASIC FACTS REGARDING THE
MISSION OF DDO IN GENERAL AND FR DIVISION ACTIVITIES IN THE USA
IN PARTICULAR, AND IT SPELLS OUT IN SOME DETAIL OUR AGREED INTERPRE-
TATION OF SOME OF THE HISTORICALLY MORE TROUBLESOME ASPECTS OF THE

1966 AGREEMENT.

DATE: 15 FEB 74
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EXT: 5885

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2. WE WERE ESPECIALLY GRATIFIED WITH THE OPENING PARAGRAPHS OF THE LETTER WHICH EMPHASIZE THE FACT THAT FR IS CARRYING OUT A U.S. GOVERNMENT REQUIREMENT IN ITS RECRUITMENT OF FOREIGN INTELLIGENCE SOURCES, AND THAT THIS ACTIVITY IS BEING CONDUCTED IN THE USA WITH FULL BUREAU CONCURRENCE. ANOTHER BASIC POINT WHICH THE LETTER MAKES IS THAT THE PURPOSE OF THE GUIDELINES (1966 AGREEMENT) IS TO PROTECT THE BEST INTERESTS OF THE U.S. GOVERNMENT, NOT ENABLE THE BUREAU TO MONITOR OUR OPERATIONS.

3. THERE WAS CONSIDERABLE DISCUSSION INVOLVED IN DRAFTING THIS LETTER, BUT NO REAL STICKY DIFFERENCES AROSE. WE BELIEVE IT MIGHT BE USEFUL TO GIVE ADDRESSEES SOME OF THE HIGHLIGHTS OF THESE DISCUSSIONS AS BACKGROUND FOR ANY TALKS YOU MAY HAVE ON THESE SUBJECTS WITH YOUR FIELD OFFICE CONTACTS. THESE ARE SET OUT BELOW:

A. PAGE 2, LAST PARAGRAPH: ON THE QUESTION OF WHAT FOREIGN OFFICIALS ARE OF "PRESUMED INTEREST" TO THE BUREAU; WE AGREED THAT THIS CATEGORY CHANGED WITH WORLD DEVELOPMENTS AND THAT FR WOULD SIMPLY USE A COMMON SENSE JUDGMENT TO MAKE ITS CASE BY CASE DETERMINATION. WE AGREED THAT TRYING TO BROADEN OR LIMIT THE CATEGORY BY

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FURTHER DEFINITION WAS NOT PRACTICAL.

B. PAGE 3, TOP PARAGRAPH: PLEASE NOTE THAT THE CRITERION OF OVERLAP AND/OR CONFLICT IS USED THERE THE SAME AS IN THE '66 AGREEMENT PARAGRAPH TWO CONCERNING BUREAU CONCURRENCE FOR RECRUITMENT APPROACHES.

C. PAGE 3, BOTTOM PARAGRAPH: ALTHOUGH WE ARE REQUIRED ON TO KEEP FBI APPRISED OF INFORMATION RELATING TO ITS COUNTERINTELLIG AND INTERNAL SECURITY RESPONSIBILITIES, WE CONCURRED IN THIS REQUEST FOR MORE DETAILED AND TIMELY REPORTING ON CERTAIN CASES SINCE WE CONSIDERED THE DETAIL ASKED FOR TO BE OF DEMONSTRABLE CI VALUE AND TIME LIMITS TO BE REASONABLE. THE BUREAU WAS COMPLETELY AMENABLE TO LIMITING SUCH REQUIREMENTS TO CASES WHEREIN THEIR STATUTORY RESPONSIBILITIES WERE CLEARLY INVOLVED, AND WE WERE PARTICULARLY PLEASED THE ADDITIONAL AGREEMENT ALLOWING THE FIELD OFFICES AND THE FR BUREAU TO WORK OUT THE LOCAL HANDLING OF ALL OTHER CASES, INCLUDING ESPECIALLY THE "PRIOR NOTICE" REQUIREMENT OF PARAGRAPH THREE OF THE AGREEMENT. (NOTE THAT THIS ENTIRE PORTION OF THE LETTER INVOLVED TARGETS WHICH ARE HISTORICALLY AS WELL AS PRACTICALLY, IN THE BUREAU'S INTERESTS.)

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"COUNTERINTELLIGENCE TERRITORY". IT SHOULD ALSO BE NOTED THAT THE BUREAU HAS ALREADY AGREED TO PROVIDE US WITH CERTAIN TYPES OF OPERATIONAL INFORMATION IN EXCESS OF ANY EXISTING AGREEMENT, AND WE HAVE RECEIVED INITIALLY FAVORABLE REACTION TO PROPOSALS FOR ADDITIONAL ITEMS IN THE FUTURE. WE DO NOT BELIEVE THIS REPORTING AGREEMENT WILL CAUSE YOU ANY SERIOUS PROBLEMS, BUT IF IT SHOULD BE BROADENED OR INTERPRETED IN A WAY THAT YOU CONSIDER UNREASONABLE OR BURDENSOME, PLEASE ADVISE AND WE WILL TRY TO HAVE THE CRITERIA DEFINED MORE CLEARLY.

D. PAGE 4, BOTTOM PARAGRAPH: WE HAD CONSIDERABLE DISCUSSION ON THIS SUBJECT. THE BUREAU FELT THAT IN SOME INSTANCES WE WERE "STRETCHING" THE ASSESSMENT PROCESS INTO THE FIRST STAGES OF RECRUITMENT, AND IN SOME OTHERS WE WERE MOVING INTO RECRUITMENT WITHOUT FORMALLY SEEKING BUREAU CONCURRENCE AND COORDINATION. GOOD FAITH BEING PRESUMED, IT BECAME APPARENT THAT OUR PROBLEM WAS BOTH SEMANTIC AND ONE OF DEFINITION. THE BUREAU INSISTS, AND WE RECOGNIZE, THAT CONCURRENCE IN OUR PROCEEDING WITH ASSESSMENT CANNOT BE INTERPRETED AS CONCURRENCE TO MOVE BEYOND ASSESSMENT. THEY EXPLAIN THAT THEY

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OFTEN CONCUR IN OUR ASSESSMENT OF TARGETS IN WHOM THEY HAVE A VE
 ACTIVE "RECRUITMENT INTEREST" WITH BUREAU SOURCES IN TOUCH, ETC.
 HENCE, BEFORE THE AGENCY MOVES INTO THE ACTUAL RECRUITMENT OPERA
 THE BUREAU NEEDS SPECIFIC NOTICE IN ORDER TO ASSESS ITS OWN COUN
 INTELLIGENCE OR INTERNAL SECURITY EQUITIES AND MAKE A DECISION.

THE DEFINITIONS OF "ASSESSMENT" AND "RECRUITMENT" IN THE LE
 SHOULD BE CONSIDERED TOGETHER; THE ONLY POSSIBLE AREA OF CONFUSI
 WOULD SEEM TO BE IN THE "PROCESS" OF RECRUITMENT. A SIMPLIFIED
 COMMON SENSE BREAKDOWN WOULD BE THAT ASSESSMENT IS THE OBTAINING
 AND ANALYZING OF INFORMATION CONCERNING A TARGET INDIVIDUAL TO E
 US TO DETERMINE WHETHER OR NOT IT IS DESIRABLE AND/OR FEASIBLE T
 MOUNT A RECRUITMENT APPROACH; IF OUR ASSESSMENT IS AFFIRMATIVE,
 THEN MOVE INTO THE RECRUITMENT PHASE - PRIOR TO WHICH MOVE WE MU
 SEEK BUREAU CONCURRENCE AND COORDINATION.

WE INTERPRET MANIPULATION OF A TARGET VIA SOCIAL CONTACTS,
 MANY CASES BY OVERT, LEGAL, NONCOMPROMISING BUSINESS ARRANGEME
 TO BE PART OF THE ASSESSMENT PROCESS; THAT IS, AN ATTEMPT TO OBT
 INFORMATION REGARDING HIS VULNERABILITY, STRENGTH, IDEOLOGY,

DATE:	COORDINATING OFFICERS	IF USE ONLY
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RELEASING OFFICER		
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CROSS REFERENCE	FILE NUMBER	

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MESSAGE HANDLING INDICATOR
TELEPOUCH

DATE - TIME GROUP

DISPATCH NUMBER

BD-9335

0 INDEX 0 NO INDEX

0 RETURN TO:

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E 2 IMPDET

CL BY:

ASPIRATIONS, ETC., ALL OF WHICH ARE PERTINENT TO OUR DECISION TO OR NOT GO FOR A RECRUITMENT APPROACH. ON THE OTHER HAND, WE INTERPRET A COMMERCIAL ARRANGEMENT WHICH IS IN ANY WAY COVERT OR QUASI-LEGAL OR IS A PLANNED STEPPING STONE TO THE PLANNED INTRODUCTION OF U.S. GOVERNMENT INTEREST, TO BE PART OF THE RECRUITMENT PROCESS, TO REQUIRE PRIOR BUREAU CONCURRENCE.

E. PAGE 4, BOTTOM PARAGRAPH: BASES WILL NOTE THAT WE AGREED TO CONSIDER AGENTS RECRUITED IN THE U.S. WHO REMAIN HERE-SAME AS AGENTS RECRUITED ABROAD WHO COME HERE FOR TOURS OR VISITS. ALTHOUGH ONLY THE LATTER ARE SPECIFIED IN THE AGREEMENT, WE FELT IMPLICITLY IT INCLUDED THE FORMER. WE FEEL THAT OUR EQUITIES ARE ADEQUATELY PROTECTED BY THE VERY SPECIFIC TERMINOLOGY OF PARAGRAPHS FIVE AND SIX OF THE 1966 AGREEMENT. NOTE ALSO THAT ALTHOUGH THE PROVISIONS OF PARAGRAPHS FOUR, FIVE AND SIX OF THE 1966 AGREEMENT ARE ALL-ENCOMPASSING, WE ARE IN PRACTICE CONCERNED ONLY WITH THOSE AGENTS, OPERATIONS AND SOURCES WHO HAVE REAL OR POTENTIAL CONTACT OR CAPABILITY IN THE FIELDS OF COUNTERINTELLIGENCE AND/OR INTERNAL SECURITY; THAT IS, WHO ARE OF KNOWN OR PRESUMED INTEREST TO THE

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7 77

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BUREAU. IT IS INCUMBENT UPON US, HOWEVER, TO BE METICULOUS IN (DETERMINATION OF "PRESUMED" INTEREST AND TO LEAN TOWARDS THAT PRESUMPTION WHEREVER THERE IS ANY DOUBT

4. FILE: 100-002-090.

ATTACHMENT - FBI LETTER, AS STATED ABOVE - H/U

E2 IMPDET-H

DIST:

- 1 - FR/REG, W/ATT
- 1 - FR/COPS W/ATT
- 1 - 100-002-090

DATE: ORIG: UNIT: EXT:	COORDINATING OFFICERS	IP USE ONLY
RELEASING OFFICER CLASSIFICATION SECRET		

☐ UNCLASSIFIED ☒ INTERNAL USE ONLY ☐ CONFIDENTIAL ☐ SECRET

ROUTING AND RECORD SHEET

SUBJECT: (Optional)

House Select Committee on Assassinations Request for
Information on 201 Criteria (S

FROM:

C/ISS
1D4124

EXTENSION

FEB 28 4 50 PM '78

DATE

28 February 1978

TO: (Officer designation, room number, and building)

DATE

OFFICER'S
INITIALS

COMMENTS (Number each comment to show from whom to whom. Draw a line across column after each comment.)

1. O/SA/DO/O

2.

3. OLC

Att: Pat. Carpenter

4.

5.

6.

7.

8.

9.

10.

11.

12.

13.

1 to 3:
attached is the
response to OLC
78-0070/19,
23 Feb 1978.
The attached
regulations answer
all of the questions
posed. Please
note the classification
SECRET.
We assume
that HSCA Staff
will review here.

10 USE PREVIOUS
EDITIONS☐ SECRET☐ CONFIDENTIAL☐ INTERNAL
USE ONLY☐ UNCLASSIFIED

SECRET

DO/ISS 78-098

28 February 1978

MEMORANDUM FOR: O/SA/DO/O
Attention: Mr. Shepanek

FROM: William F. Donnelly
Chief, Information Services Staff

SUBJECT: House Select Committee on Assassinations
Request for Information on 201 Criteria (S)

REFERENCE: OLC 78-0070/19, 23 February 1978

1. (S) With reference to the conversation of 27 February between Mr. Shepanek and Mr. Cleffi of ISS, attached are copies of DOHB 70-1-1, 15 November 1974, and an earlier version, CSHB 43-1-1 dated 15 February 1960. A close study of the list of questions submitted by the HSCA Staff has led us to conclude that the most complete and effective way to respond would be by inviting the Staff to review our regulation governing the criteria for opening, maintaining, controlling and closing 201 files by the Operations Directorate. A careful reading of the regulation provides an answer to every question posed by the Staff.

2. (S) The earlier version of the regulation is included to reflect the situation as it existed in the period of their primary concern (1958-1964). The later version provides an expansion, clarification and refinement of the earlier versions.

William F. Donnelly
William F. Donnelly

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DOHB 70-1-1
CHAPTER III

15 November 1974

ANNEX B

THE 201 SYSTEM

Rescission: Annex B of Chapter III, CSIB 70-1-1, 27 October 1966

1. INTRODUCTION

The 201 system provides a method for identifying a person of specific interest to the Operations Directorate and for controlling and filing all pertinent information about that person. The system also provides a means for identifying subjects of 201 files from various categories of information about them and for producing lists of 201 personalities according to those categories. Only a relatively small number of personalities indexed are of sufficient interest to justify opening a 201 dossier. These are normally subjects of extensive reporting and CI investigation, prospective agents and sources, members of groups and organizations of continuing target interest, or subjects on whom a volume of correspondence has accumulated.

2. THE 201 SYSTEM

The principal features of the 201 system are:

- a. *The 201 Number*: a unique number, i.e., 201-1234567, assigned to each individual in the system to serve as identifying file number for reporting on that individual.
- b. *The 201 Dossier*: the official file containing the 201 opening form (Form S31) and all biographic reporting on and references to the individual, i.e., personal history, current status, and prospects.
- c. *The Master 201 Record*: a machine record generated by the opening of a 201 file. This record produces the master 201 reference for the Main Index and stores the pertinent information which may later be retrieved for special listings.
- d. *Main Index Master 201 Reference*: this reference, printed in reply to an Index Search Request, is printed as illustrated below. When data are absent within the record, succeeding data items or lines will be moved up and the reference consolidated.

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15 November 1974

0002 CROIX, WILLIAM PEARLTON
 SEX M DOB 12 APR 26
 CIT GERM
 REF AACD-12345, 20 JUL 53
 SUBJECT RECENTLY ATTENDED THE SEVENTEENTH ANNUAL
 CONFERENCE OF THE INTERNATIONAL ASSOCIATION OF CHEMISTS
 AND PHARMACISTS HELD IN MUNICH, GERMANY FROM 22 THROUGH
 29 OCTOBER.

POB GERM, BERLIN
 OCC PHARMACIST
 OCC CODE CHEM

201-00326710
 TYPE NAME 1
 OF CODES AA XX
 RCD DATE 53

30 NOV 70

00833555

Information About Subject

1. Sequence Number and Name
2. Sex and Date of Birth
3. Citizenship
4. Place of Birth
5. Occupation
6. Occupation Code
7. Text

Document Reference Data Group

8. 201 Number .
9. Name Type Indicator
10. OI Codes
11. Record Date (year only)
12. Reference

ISC Control Information

13. Date of latest update of the record
14. STAR Index Record Number

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e. *OI Code*: a two letter symbol used in conjunction with the 201 personality records in the 201 system to record the association of an individual with organizations or activities of operational interest. OI codes cover intelligence and security service affiliation, whether staff or agent, or known or suspect, as well as activities of DDO interest. There are two categories of OI codes for use by components:

- (1) general OI codes (Attachment 4)
- (2) OI codes assigned to a specific component for intelligence services or other specific organizations.

A component may request an OI code be established by submitting a memorandum to the DDO/RMO through the component Records Management Officer.

A 201 personality may be assigned two OI codes. An OI code may be assigned when the 201 Personality File Action Request (Form 831) is initiated (see paragraph 3b below) by filling in Box 13 or a code may be assigned or added at a later date by a Form 831 amendment.

The 201 system has the capability of producing machine listings of 201 personalities by OI codes. For example, if an OI code has been opened for the security service of a certain country a listing may be compiled of all members of that service.

f. *201 Machine Lists*: produced from the mechanized 201 Index, based on names or other identifying information of personalities on whom 201 dossiers exist.

3. OPENING A 201 DOSSIER

a. *General*

The opening of a 201 dossier is the prerogative of an operational component, in coordination with the Information Services Group. An opening creates a master 201 record. Changes to the master record and the occasional closing of a 201 dossier are controlled jointly by the desks and ISG. 201 dossiers may be opened on persons who meet the carding criteria described in Chapter II of this handbook, when there is a reasonable expectation that additional information will be acquired and filed in such a dossier. Generally dossiers are opened on persons about whom counterintelligence information is being reported, and persons of operational interest to the Operations Directorate, specifically those persons for whom provisional operational approvals and operational approvals are requested (see exception below). 201 files are not to be opened on staff employees, staff agents and most categories of contract employees. Files on

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persons who are only of local interest to a field station or Headquarters desk and on whom no DDO records correspondence exists are not a part of the DDO records system and are to be maintained by that unit. Some desks levy requirements on ISG for automatic 201 openings on certain categories of persons whose names appear in incoming dispatches. These are listed in Attachment 2. 201 dossiers should be opened in the following categories:

(1) Subjects of provisional operational approval and operational approval requests. However, a file need not be opened when a POA is requested for persons being trained for a foreign liaison service and who are of operational interest for training purposes only.

(2) Persons for whom the field requests a 201 opening.

(3) MHFLXTURE personalities: bonafide diplomats of other than denied area countries, in close association with staff personnel.

(4) Subjects of a Personal Record Questionnaire Part I.

(5) Persons on whom a Main Index search reveals information in five or more documents (see DOI 70-20).

(6) Subjects of Interagency Source Register memoranda from LSN/ISR (opened only by IP/RMS).

b. Requesting a 201 File Opening

Headquarters desks may open a 201 file by filling out and submitting a 201 Personality File Action Request (Form 831) to the Records Maintenance Section (IP/RMS). Form 831 is also used to create or amend the master 201 record and 201 machine listings and to register the assignment of a cryptonym to a 201 personality. Attachment 3 consists of sample 201 Personality File Action Requests for opening and amending 201's. A field station may request the opening of a 201 file by writing 201- in the Headquarters file or cross-reference box on the dispatch form and/or after the subject's name in the body of the dispatch. A telepouch request for a 201 opening is made by indicating 201- in the file number line. A cable request is made by placing 201- after the term "File" on the last line of the transmission. IP/AN will open 201 files as requested by dispatch or telepouch but it is the responsibility of the desk to respond to cable requests. Field stations are notified of 201 openings through receipt of the field master 201 record.

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4. CONTENTS OF THE DOSSIER

Information about a 201 personality should be filed or cross-referenced into his dossier. When additional information is discovered on a 201 subject through a name trace or other process, i.e., review of predecessor documents, it must be consolidated into his personality dossier. See DOI 70-20 for consolidation procedures.

Material which is filed in the dossier includes but is not limited to:

- a. 201 Personality File Action Request (Form 831).
- b. Biographic information including photographs, fingerprints, and handwriting samples.
- c. Personal Record Questionnaire Parts I and II.
- d. Operational and other security approvals.
- e. Name check replies, requests, clearances, and approvals.
- f. Acknowledgement of pseudonym.
- g. 201 personality assessments and evaluations.
- h. Copy of contract and termination papers.
- i. Secrecy agreement.
- j. Agent Duty Status Report.
- k. Training and evaluation.
- l. SGSWIRL report.
- m. Newspaper clippings.
- n. Any information which helps provide a better understanding of the subject and our interest in him; this may include operational reporting.

5. MAINTENANCE OF 201 DOSSIERS

The 201 personality dossier contains, in document date order, papers which have been made a part of the Central Records System as well as those which have not. Record documents may range from newspaper or magazine articles on the subject to finance and other administrative papers.

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a. Purging

Purging a 201 dossier is the responsibility of the desk officer. It requires discrimination in recognizing operationally useful material, rather than the simple distinction between official and unofficial papers; it will therefore take place under the supervision of a Records Officer. Purging should be done periodically. A 201 dossier being forwarded to Central Files for retention should be purged. A 201 dossier should be purged of the following:

- (1) Duplicate material, i.e., exact copy(s) of a document.
- (2) Name trace form (Form 362) unless it has been the basis for the opening.
- (3) All abstract slips.
- (4) All document restriction notices (Form 1884).
- (5) The disseminated version of positive intelligence information if a copy of the raw report is contained in the 201 file; the dissemination number then must be transferred to the first page of the raw report.
- (6) Routing slips, routing and record sheets (Form 610) and dispatch cover sheets unless there are remarks such as coordinations or comments.
- (7) Record copy documents which only repeat substantive information contained in other documents in the file; authorization for destruction is by the Records Officer.
- (8) Top Secret documents are not to be retained in a 201 dossier forwarded to Central Files; the document must be downgraded for retention in the 201 dossier. To downgrade a Top Secret document, an authorized officer in the originating office or the Records Officer having jurisdiction over the contents of the material must possess Top Secret classification authority. If the document cannot be downgraded the file should be retained at the desk or the copy of the TS document should be removed, retained in a desk TS file or forwarded to the Top Secret Control Officer, and a cross-reference sheet (Form 867) placed in the 201 file giving the location of the TS document.
- (9) Deferred documents (see 5b(2)).

b. Maintenance Procedures

- (1) All material in a 201 dossier will be filed in document date order. In the case of document attachments which have been classified into a 201

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dossier and separated from the basic document by the assignment of a slash number, the attachment will be filed by the date of the basic document.

(2) Deferred documents will not be filed in a 201 dossier. If they are to be retained in the dossier they should be sent to IP/RMS for classification into that 201.

(3) Field index cards (held by some desks) and area desk cards may be retained in the 201 as part of a consolidation procedure. These cards should be mounted on a full-size sheet of paper for filing in the 201.

(4) A 201 dossier previously opened on a person who becomes a staff employee and which contains Record Copy documents will be restricted to the ISC/DIP unless the desk retains the restriction. The dossier should be closed if there are no Record Copy documents in it.

(5) A 201 opened in pseudonym should be consolidated into the true name 201 if one exists or converted to the true name.

(6) Field and duplicate (shadow) 201 files no longer of active interest should be incorporated into the official 201 after the duplicate material has been purged by the desk officer and the remaining information classified to that 201 by the Analysis Section (IP/AN).

(7) Any document with a predecessor organization cover sheet or an OPC (Office of Policy Coordination) cover sheet from the Archives and Disposition Section (IP/ARD) must be returned to IP/ARD for processing to the 201.

(8) Desk memoranda (with or without a document source number) containing substantive or derogatory information on the subject of the 201 should be sent to IP/AN to be classified officially into the 201 file.

(9) An attachment which should be separated from its basic document for inclusion in a 201 personality dossier will be forwarded with the basic document to IP/AN for processing into the 201.

(10) To retain the P&L, RYBAT, or KAPOK sensitivity of a document remaining in a 201 dossier being retired to Central Files, place that document in an envelope sealed with black tape (see DOI 70-17). Any RYBAT, P&L, or KAPOK document sent to Central Files not in a black-taped envelope will automatically be handled as desensitized. A black-taped envelope may contain only one document and must be filed in chronological order within the file. If there are numerous documents of this type the desk officer may black-tape the entire dossier rather than individual documents (see DOI 70-10).

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Black-taped dossiers or dossiers with black-taped documents will be handled as restricted dossiers.

(11) An inactive 201 dossier or an inactive volume of a large 201 dossier on permanent charge should be returned to Central Files under a Routing and Record Sheet with the notation shown below.

<input type="checkbox"/> UNCLASSIFIED <input type="checkbox"/> INTERNAL USE ONLY <input type="checkbox"/> CONFIDENTIAL <input checked="" type="checkbox"/> SECRET	
ROUTING AND RECORD SHEET	
SUBJECT: (Optional)	
TRANSMITTAL OF INACTIVE 201 DOSSIER	
FROM:	DATE:
TO: (Officer designation, room number, and building)	DATE:
1. 1P/Files GC-52	(For guidance see CSDB 70-1-1, Chapter III, Annex B.)
2.	Volume(s) # ____ of ____ volume(s)
3.	of 201- _____
4.	
5.	
6.	<input type="checkbox"/> Restricted Dossier (Attach Form 2021 to Dossier)
7.	<input type="checkbox"/> Non-Restricted Dossier
8.	
9.	
10.	
11.	For Split Charge Dossiers:
12.	All documents prior to _____ (date)
13.	forwarded to 1P/Files. All
14.	documents after _____ (date)
15.	retained at _____ desk.
16.	

FORM 10-74 610E ☒ SECRET ☐ CONFIDENTIAL ☐ INTERNAL USE ONLY ☐ UNCLASSIFIED

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6. 201 DOSSIER CHARGES

A 201 dossier may be kept on permanent charge at the desk during any period of active interest. If the dossier is transferred to another desk, the desk officer who is transferring the dossier must notify Central Files of the transfer. Central Files will then send the Notice of Transfer of Document or File Accountability (Form 2977) to the new action desk officer.

CONFIDENTIAL (When Filled In)						
NOTICE OF TRANSFER OF DOCUMENT OR FILE ACCOUNTABILITY						
TO: NAME	GRADE	COMPONENT	ROOM	FLOOR	EXT.	
This is to notify you that accountability for the document(s) and/or file(s) cited below has been transferred to you by:						
NAME: _____ GRADE: _____ COMPONENT: _____ EXT.: _____						
Accordingly, IP's records now reflect you as the custodian. Please contact IP/Files, Ext. 4362, if you have any questions regarding this transfer.						
SUBJECT OF REQUEST	FILE NO.	DOC. SYMBOL & NUMBER	DOC. DATE	DATE OF TRANSFER	EXT. OF TRANSFER	PER. NO.

FORM 2977 USE PREVIOUS EDITIONS

CONFIDENTIAL

CL BY: 007477

The new action desk officer must then fill out a 201 Personality File Action Request (Form 813) to change the action desk designation to insure that the 201 personality will be included in the Headquarters and field machine listings for his component.

7. RESTRICTED DOSSIERS

a. Access to a sensitive 201 dossier may be restricted by holding the file at the desk or placing it on restriction in Central Files.

(1) The dossier may be restricted by checking Box 2 on the 201 Personality File Action Request (Form 831) when the file is opened.

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(2) The dossier may be restricted by holding it on permanent charge from Central Files. (Note: To maintain the restriction of a dossier being returned to Central Files for retention, a File Restriction Notice (Form 2021) must accompany the dossier.)

(3) The dossier may be restricted and held in Central Files by submitting a File Restriction Notice (Form 2021).

CONFIDENTIAL (When Filled In)			
TO	DATE	INITIALS	FILE RESTRICTION NOTICE
IP/PI			
OC-52 TUBE DT-6			
IP/DCU			
OC-46 TUBE ET-A			
ACTION DESK: 1. To restrict a file, complete Section A (signature of R.O. not necessary). 2. To remove a restriction, complete Section B (R.O. signature necessary).			
File Number <div style="border: 1px solid black; height: 20px; width: 150px; margin: 0 auto;"></div>			
SECTION A RESTRICT TO: (Use country or non-country code number. See CSI 70-26) _____ RESTRICTED BY: _____ (name) Date: _____ COMPONENT: _____			
SECTION B REMOVE RESTRICTION (AUTHORIZED BY) _____ R.O. No. _____ COMPONENT: _____ Date: _____			
FORM 2021 1-74 11-11-74 CONFIDENTIAL U.S. GOVERNMENT PRINTING OFFICE: 1974			

b. Access to a restricted dossier located in Central Files is limited to the personnel of the restricting desk or persons authorized by that desk. Any request for the charge of a restricted dossier or any document within a restricted dossier held in Central Files will be forwarded with the entire dossier and a multiple-routed cover sheet to the restricting desk. This desk may then forward the file to the requester or deny the request and return the dossier to Central Files. The desk will notify the requester of a denial.

c. Anyone requesting a restricted dossier, or a document within a restricted dossier, permanently or temporarily charged to a desk, will be referred to that desk by Central Files.

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8. REQUESTS FOR INFORMATION ON 201 PERSONALITIES

The Automated Index Section (IP/AIS) will provide the identity of the subject of a 201 number unless the 201 file is restricted, in which case the requester will be referred to the restricting desk.

IP/AIS will also provide the 201 number assigned to a name, unless the 201 file is restricted, or state that there is no 201 number assigned. Requesters should supply identifying information whenever available for each name submitted.

Requests pertaining to five or fewer names or numbers may be made by telephone by calling the IP/AIS red line extension; IP/AIS will provide the information by return call to the requester's extension as listed in the Badge Table. Requests for more than five names or numbers must be listed and sent by tube or courier to IP/AIS; IP/AIS will reply by return mail.

9. 201 DOSSIER CANCELLATION

A 201 file may be authorized for cancellation by a Records Officer, after appropriate coordination. The file should be forwarded to IP/RMS which will destroy the folder and the cards leading to it and will remove the name and number from machine lists. Any Record Copy document contained in the folder will be reclassified to another appropriate file or sent to the Destruction Unit (IP/DU) as directed by the desk Records Officer.

10. 201 MACHINE LISTINGS

Machine listings provide field stations and Headquarters desks with names and 201 numbers in the requester's particular geographic or functional area of interest. If a component wishes to exclude a sensitive 201 personality from its alphabetic, numeric, and cryptonym listings, this may be done when opening the 201 or later by a 201 amendment. On the 201 Personality File Action Request (Form 831) leave the country of location (Box 15) and interest desk (Box 16) blank, use the non-country code 900 in the action box (Box 14), and indicate permanent charge to the responsible desk. The only listing which will include the 201 number is the IP/201 record for the Vital Records program. 201 listings are categorized as standard or nonstandard and as scheduled or special.

a. Standard Listings

Issued semi-annually to Headquarters and the field; based on a component's interest as indicated in the "Action Desk," "Country of Location," and "Interest

