

~~SECRET~~CIA HAS NO OBJECTION TO
DECLASSIFICATION AND/OR
RELEASE OF CIA INFORMATION
IN THIS DOCUMENT AS SANITIZED

Briefing 2/14/78

[redacted] - Chief of Information Services Staff

Mike Claffey?
[redacted]
[redacted]
[redacted]
[redacted]

Opening of 201

Operational interest

Trace would be conducted → bring together existing materials → open 201
Trace produces computer printout of refs., not documents. In early '60's,
it produced index cards.

Who opens 201?

Case officer - it's his judgement which determines whether if
if no indication of continuing interest, 201 may not be opened.If it's an Am. i. info. comes from a source such as FBI, CIA may
not open a 201.

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

There are certain criteria

1) Recruitment

2) High-level Communist officials

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

PRQ Pt. I - [redacted]

Pt. II - [redacted]

- might have sp. involvement

There should be a doc. indicating reasons why a part-person is not
recruited.There should be a reference in 1st file to document in 2nd file if
there is one.

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(2)

Info. in PRQ I is info. elicited from others.

" " " II is info. from person if he is recruited → ∴ they want it separated, to be viewed only on "need-to-know" basis.

Standard form for opening 201 files - would not contain reason; would contain ref. to a document which would be the reason.

201 #'s are assigned by a particular office - they are opened in sequential numerical order as request for openings occur.

201 would contain photo if agency has one - if it has been sent in from field. If photo is sent in from field or another agency after 201 has been opened, it would be added to 201.

Doc. "Review of 201 file on U.S. Person" - Person is categorized by a review of the file using specific criteria.

PRQ I does not imply a PRQ II.

Normally PRQ I & PRQ II would exist in the same file. If PRQ II contains primarily op. info., then it would be maintained in separate file, to which would be a reference would be made.

If operational info. is ~~not~~ sensitive the entire 201 would have limited access

True name & cryptonym are not maintained on the same list. On 201 req. form, there is room for a cryptonym, but it is not filed in a true name file.

There is a table of contents list of what is available in 201 file. This is compiled from abstract record list - in computer system.

Green list check: info. gathered as a result of SIGINT or COMINT.

K list check: also a separate check, but Cluffy doesn't know what it checks.

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Central
Comm Sta

Am. citizens or most foreigners being used in some manner would, as a general rule, have a security check.
If that person was an official of another govt. agency or from military, that org. would have to be consulted.
Probably would use that org's

PLS - Policy & Co-ord. Staff

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

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

Project file

Shapiro -

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

Photos of prominent persons in Bureau

Photos of tourists or random groups would not be of interest

Business Office Voucher / Unvouchered Funds

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

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

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(4)
This has always been true - In earlier times, it may have been restricted by even fewer persons.

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

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

Pseudo: false name used for purposes of communication

Crypto: used to id. area of ops. by digraph, followed by group of letters
You cannot assign a cryptonym w/out having a 201 #

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

CI staff may have had interests in defector

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

Dan's hypo based on ZRRIFLE:

574 A form: request to put doc. into system

? 1997 " " " " " into index

In op. such as ZRRIFLE, docs. may be severely Pik - might not go into system except upon determination of officer handling case.

"Sleeper agent" hypo: to run 2 or 3 sleepers in [redacted]

doesn't necessarily have to know @ it since it is being run from Hqtrs. - from ADP to CI staff - reasonable scenario

Would a 201 be opened on sleeper?

Competing ' of secrecy vs. being able to keep track of sleeper

Change of sleeper to Am. soldier defecting to E. Germany - report comes in from reliable source stating that sleeper is providing info. - no 201 opened - C.O. in E. Ger. -

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(5)

Plans would take place in small room in CI staff.

Form must be signed by DDO — would be put into op. file on the suby.

File would be held at CI staff desk or at action desk.

Problems: Communication

: Equipment

Op. files can generally be destroyed according to guidelines.

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

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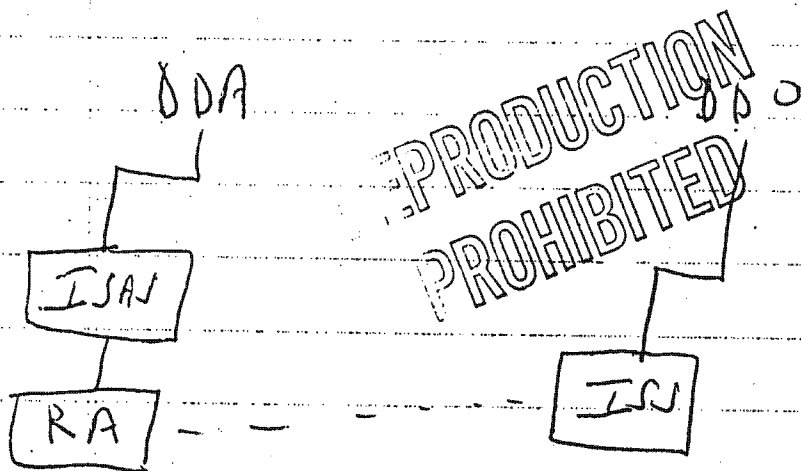
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11/26/78 To: [unclear]

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Records Administration - helps diff. directorates set up
- Bruce Johnson records sys
+ George Frutkin

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



DDO has a filing sys unto itself

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

Day to day maintenance of files is
decentralized.

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

- for items of record value

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

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Prescribed & Limited info
- highly sensitive info - limited distrib.
to certain indivs.

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

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

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

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

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

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

poss to that situation where a
P+L file is being sought to locate.
- lost, destroyed, archived.

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

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Georg
Fraser

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Cryptonym would be in 201 file.

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

Source

WHL

adversary

KGB

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Counterintelligence threat

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

in an American residence
in Germany who is giving info
to Russians.

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

If ~~source~~ in Ger is actually
sleeper who was not in 201 file &
open # assigned to him, it is possi-
ble that his case officer would
prevent opening of a 201 file #.

→ Intra-agency source register exists →
avoids poss. of > 1 agency hiring same
agent.

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

201 files will not necessarily contain
pictures.

See
next
page

There is no ^(centralized) ~~reference~~ name index
correlated to ~~files~~ ^{names}

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

poss. for 201 file not to contain
crypt.

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

201's are not opened in predomyn

Bob Barton.

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

Files other
than
201

subject files - particu target.
project files
policy & mgmt.

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Project files

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

Cover staff - involved in creation of
cover.

of ~~people~~ ^{involved} in setting up
deep cover ~~personnel~~ would be at least 12.
- unless you share to DOD

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

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

Staff personnel
↳ no ~~direct~~ ^{duplication} of 201's
age ~~group~~ ^{for} ~~tail~~ ^{of} ~~operations~~ ^{will include}
"Tail of operations."

There is no lead filing sys by
true name, pseudonym, crypt, & 201.

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

continuous
employee
relationships
w/ US
govt.

Case files = ~~SA~~ ~~in~~ ~~FBI~~

Contract ~~and~~ report capacities

agents ~~are~~ unpaid people who
are controlled by CIA.

agent & asset may be the same.

agent bec " " is not really an
agent bec " " always controlled

source - provider of info

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

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

- involves a ck of all files

results ~~are~~ go into 201 file if
there is ~~one~~

201 files are generally in sequence.

Name cks are always done w/
opening of 201.

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

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There is a controlled filing sys by
true name, pseudonym, crypt, + 201st.
- called a true name index.

[Sec of this file is being its dual
filing sys]

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Fretas

201

Subject - countries, projects

exist for all projects that CIA
is involved in.

Finance

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Logistics - ^{receipts} automobiles, clothing, supplies
Communications - ~~also~~ chronos file on
cables; microfilmed.

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

Overt
covert

big data, 10-15 of sec.
investigation. assignments

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

medics - ~~medical~~ histories on all staffers
some agents if they can get it.
psych profiles

training - agents, mgrs, secretaries, officers

ODP (office of data processing) - put together papers
used by agencies to the reports related to computers.

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Betsy Wolf

CIA Briefing - January 26, 1978

Records Admin. Branch - w/in DDA

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

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ADA

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ISAS - Info. Systems Analysis Staff

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Records Admin. Branch

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

"Family Jewels Collection":

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

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

↳ P&L

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

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

May have been handled out of front offices; may not have been need. 201 file #.

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

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

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

Bob Bartow - Basis for opening a 201 file:

Some sense of "continuing interest" either as a potential source, agent, KGB official - can be either ^{for} operational or counter-intell. purposes. Could be either to consolidate central references in STAR system. Could be opened in response to one reference - Ex.: 1 credible source ref. to some suspected KGB person.

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

"Files content listing" - supplemental listing from STAR system

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

When did system start?

sometime in '60's

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Ask Hugg
for details

Central Source Register

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

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

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Ask Hugg

Graphics collection in DAO

Indiv. desks will collect photos of persons of interest

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

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

Ref. Hugg

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

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

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

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

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

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

Subject files:

Project files:

Policy & mgmt. files

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Project file: operational mgmt. record of a given project

A. Administration

B. Support

C. Production

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

See Gregg

Operational Details

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

Hard file: Official information

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

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?

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

Personnel file

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

Does not contain specific operations in which employee was involved.

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Employees

↳ Case officers - intelligence officers

Contract employees

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

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

Source: Source of information

Ask Buzz

PRQ: Basic biog. info.

Way of ordering available info.

Fundamental doc. in an agent's 201 file.

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

STAR trace

Travel files

Office of Security

Provisional Spec. Approval

Also do name checks for other agencies

Negative AM/LASA name trace -

Green check list:

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George Fratas

Subject Files: countries, projects, misc.

201 Files: individuals

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

Agent:

201:

Office of Security

" of Finance:

CI Staff might have info.

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

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

Communications: cables, telegraphs

Maintain a chrono. file on cables - on microfilm

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

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

Started to eliminate
dual filing @ mid '60's

Agents -

2 files - each with the same #

Ask ASD

Overt - true name Covert - pseudonym - listed in index

- Would an agent ever operate under a pseudonym

If it has pseudonym → he is in file

(Covert) True name: biog. data, results of bgd. check, security violations & assignments

(Covert) Pseudonym: contains everything the person did - lists where

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he worked, what he did, etc.

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

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

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

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

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

Personnel: applicants for agency employ.
all agency employees

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

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