

Folder 9
#2B

TRANSMITTAL AND DOCUMENT RECEIPT

HSCA

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

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

THE DOCUMENTS LISTED HEREON ARE FORWARDED FOR:

INFORMATION		ACTION	RETENTION	LOAN	
CONTROL NUMBER	DOC. DATE	SUBJECT (Unclassified preferred)			CLASS.
		Notes of Wolf and Goldsmith (HSCA request (Wolf) 25 Jun 78 0001742 -0001761			SECRET
		Information on 201 files HSCA request (Wolf_ 25 Jun 78 0001762 -)0001781_			SECRET

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RECEIPT

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

Bill Donnelly - Chief of Information Services Staff

Mike Claffey?

[Kee Coyle
Virginia Tores]

Opening of 201

Operational interest

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

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

Who opens 201?

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

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

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

There are certain criteria

- 1) Recruitment
- 2) High-level Communist officials

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

- PRQ Pt. I - ~~high level~~
- Pt. II - ~~more extensive~~
- 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.

0001742

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Central
Comm Staff

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

PLS - Policy & Co-ord. Staff

↳ would be involved in co-ord. of a project in which both the CIA's & another org. was involved.
To the extent of CIA involvement, files would be maintained. That is not to say that other orgs would not have more comprehensive files.
Project file

Graphlex -

OCR

OCR - Office of Central Registry - Reference - part of NAC
nature are maintained there. photos of ships, things of intelligence nature.
Photos of prominent persons - ex. Bushaw
Photos of terrorists or random groups would not be of interest

Special Office Vowelled / Unvowelled Words

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, ADAO, or DAO

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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. Yes, it is conceivable that many docs. could exist in the system & not be compiled into a 201 if there doesn't appear to be a reason for a 201

REPRODUCTION PROHIBITED

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 who 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.

Davis 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 never go into system except upon determination of officer handling case.

REPRODUCTION PROHIBITED

'Sleeper agent' hypo: to run 2 or 3 sleepers in comm. China. [redacted]] doesn't necessarily have to know @ it since it is being run from Hqtrs. - from AAP 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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YMC

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(4)

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"Sleeper agent" hypo: to run 2 or 3 sleepers in comm. China - 24
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- AD 201 opened - C.O. in L.H.S. -

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

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0001745

(1/24)

SECRET

(5)

Plans would take place in small room in CI staff.

Form must be signed by DSO - would be put into op. file on the subj.

Op. 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 & their Personal file? yes

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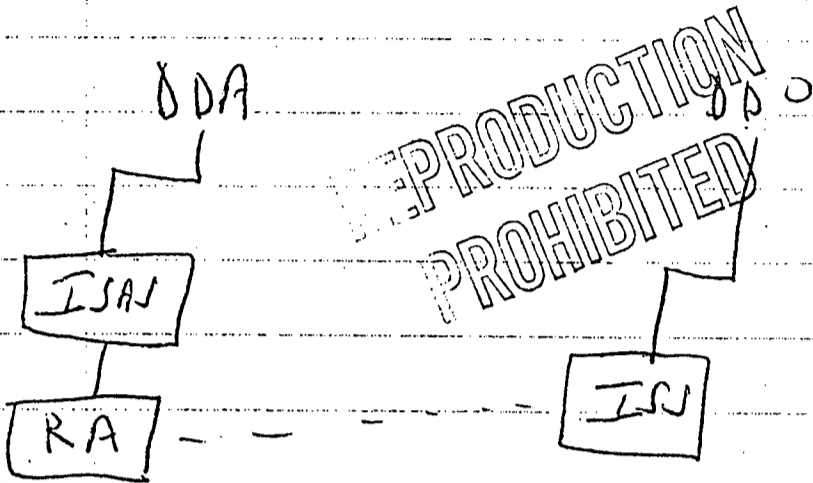
6001746

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Records Administration - helps diff directors set up
- Bruce Johnson records sys
& George Frates

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



DDO has a filing sys unto itself

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

Day to day maintenance of files is decentralized.

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

- for items of record value

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

6001747

Prescribed & Limited info
 - highly sensitive info - limited distrib
 to certain indivs
 Designation as P+L is made by DDO
 & senior staff officer

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

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

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

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

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

possi to the extent that
 P+L file is no longer 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.

0001748

Georg
Frater

Cryptonym would be in 201 file.

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

source
asset
adversary
KGB

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Counterintelligence threat

→ 201 file would be opened w/ matter of days or a wk - assuming source is accurate.

ie an American resident in Germany who is giving inf to Russians.

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

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

points to all these agencies

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

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

201 files will not necessarily contain
pictures.

See
next
page

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

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

poss. for 201 file not to contain
crypt.

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

201's are not opened in ~~production~~

Bob Barton.

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

REPRODUCTION
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Files other
than
201

subject files - particu target.
project files
policy + organization

5
0001740

SECRET

SECRET

Project file

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

Cover staff - involved in creation of cover.

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

such ~~too~~ deep cover programs ~~as~~ 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 dupl of 201's

"Mail ^{age} of ~~staff~~ ^{staff} will include ~~reproduction~~."

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

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0001751

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

Continued
employee
relationships
w/ US
govt.

Case files = SA in FBT

Contract as support capacities

agent or unpaid people who are controlled by CIA. agent & asset may be the same.

agent bec as " in " always controlled

source - provider of info

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

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

- involving a ck of files

results ~~will~~ go into 201 file if there is

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 cryptograms.

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0001752

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

[Sec
filing sys

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is being its dual

REPRODUCTION
PROHIBITED

0001700

Fretas

201

Subject - countries, projects

exist for all projects that CIA is involved in.

Finance

REPRODUCTION PROHIBITED

Logistics - ^{support} receipts, automobiles, clothing, supplies
Communications - ~~also~~ chron file on cables; microfilm.

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

Overt

Covert

investigation. as assignments, big data, results of sec.

Anything that he does

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

Medical - ^{medical} histories on all staffers
Some agents if they can get it.
psych profiles

Training - agents, typists, secretaries, officers

ODP (Office of Data Processing) - put log papers
used by agencies to ^{also} reports related to computers

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Betsy Wolf

CIA Briefing - January 26, 1978

Records Admin. Branch - w/in ODA

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

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ODA

1

ISAS - Info. Systems Analysis Staff

Records Admin. Branch

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

"Family Jewels Collection":

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

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

↳ P&L

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p.2

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

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

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

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

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

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

Bob Bartove-

Basis for opening a 201 file:

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

Could be either to consolidate several references in STAR system

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

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

"Files content listing" - supplemental listing from STAR system

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

when did system start?

outline in '60's

p.3

Central Source Register

Ask Stagg
for details

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

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

Maples collection in OAT

ask Stagg

Indiv. desks will collect photos of persons of interest

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

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

Ref. Stagg

OAO 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. ^{be converted & would}

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

0001757

p. 4

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

Does not contain specific operations in which employee was involved.

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p.5

Employees

↳ Case officers - intelligence officers

Contract employees

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

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

Source: Source of information

Ask Hugg

PRQ: Basic biog. info.

Way of ordering available info.

Fundamental doc. in an agent's 201 file.

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

STAR trace

Travel files

Office of Security

Provisional Oper. Approval

Also do name checks for other agencies

Negative AM/LASA name trace -

Check check list:

0001759

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p. 6

George Fratas

Subject Files: countries, projects, misc.

201 Files: individuals

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

Agent:

201:

Office of Security

" of Finance:

CI Staff might have info.

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

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

Communications: cables, telegraphs

Maintain a chrono. file on cables - on microfilm

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

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

Agents - 2 files - each with the same #

Overt - true name Covert - pseudonym - listed in index

- Would an agent ever operate under a pseudonym

If it has pseudonym -> he is in file

(overt)

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

(covert)

Pseudonym: contains everything the person did - lists where

SECRET

p. 7

he worked, what he did, etc.

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

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

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

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

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

Personnel: applicants for agency employ.
all agency employees

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

0001761

SECRET

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