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TRANSMITTAL AND DOCUMENT RECEIPT

HSCA

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

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

THE DOCUMENTS LISTED HEREON ARE FORWARDED FOR:

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

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19570

RECEIPT

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DATE OF RECEIPT

**RETURN TO**  
OFFICE OF LEGISLATIVE COUNSEL  
CENTRAL INTELLIGENCE AGENCY  
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WASHINGTON, D.C. 20505



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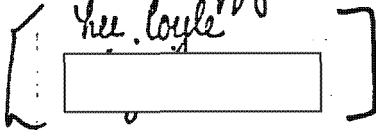
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Briefing 2/14/78

Bill Donnelly - Chief of Information Services Staff

Mike Cleary?

Lee. Doyle



Opening of 201

Operational interest

Trace would be conducted -> using original existing materials -> open 201

Trace produces computer printout w/ refs., not documents. In early '60's, it produced index cards.

Who open 201?

Case officer - it's his judgement which determines whether if of 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 require 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.

8001742

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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 would not have more comprehensive files.

Project file

Graphics -

OCR

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

Photos of prominent persons - ex. Bushaw

Photos of tourists 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

0001744

SECRET

(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. If this, 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. <sup>Am</sup> 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.

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 <sup>never</sup> go into system except upon determination of officer handling case.

'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 Hqts. - from ADP to CI staff - reasonable scenario

Would a 201 be opened on sleeper?

Competing ' of secrecy or being able to keep track of sleeper

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

- no 201 opened - C.O. in L. etc. -

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0001745

V MC

SECRET

(A)

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P&H communication may, in time, be downgraded; may never be destroyed.

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- AD 201 based - CO in L.S. -

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0001745

(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 suby.

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 Personnel file? yes

REPRODUCTION  
PROHIBITED

6001746

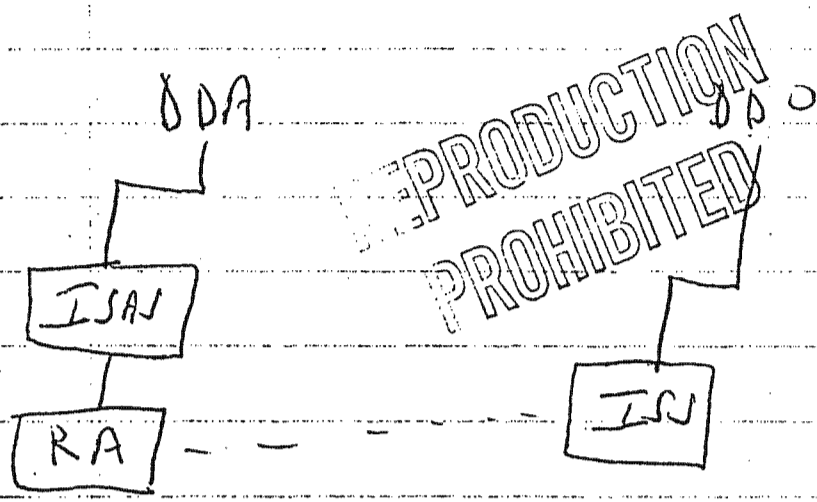
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11/26/28: 700 of Frates

SECRET

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

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



DDO has a filing sys unto itself

Any DD 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. mail) systems.

- for items of record value

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

0001747

SECRET



Prescribed & Limited info  
 - highly sensitive info - limited distrib  
 to certain indivs  
 designation as P+L is made by ADO  
 & 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.

poss to the extent 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 irresponsible.

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

→ 2a 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 #.

REPRODUCTION  
PROHIBITED

If ~~source~~ <sup>Asset</sup> in Ger is actually  
sleeper who works for CIA in no 201 file &  
open # assigned to him, it is possi-  
ble that his 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.

SECRET

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

201 files will not really contain pictures.

See next page

There is no <sup>(central)</sup> name index correlated to ~~names~~ <sup>names</sup>

did say ~~that~~ <sup>you</sup> not certain, but he retained for record purpose

REPRODUCTION PROHIBITED

poss: for 201 file not to contain crypt.

deepcover - these people did have 201's in their true name.

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

Bob Barton.

There is <sup>no</sup> ~~copy~~ <sup>copy</sup> ~~of~~ <sup>of</sup> a 201 file working files. Local offices have

REPRODUCTION PROHIBITED

subject files - partic target.  
project files  
policy + request

Files other than 201

5  
0001740

SECRET

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COPY NO. \_\_\_\_\_

SECRET

Project files

↳ for every project <sup>in wh.</sup> run by Agency, <sup>is</sup> involved, even if project run by another org (i.e. DOD).

Cover staff - involved in creation of cover.

# of <sup>people</sup> involved in setting up deep cover <sup>ops</sup> would be at least 12.  
- unless you show 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 duplication of 201's

"Mail of <sup>agents</sup> <sup>for</sup> <sup>at</sup> <sup>operations."</sup> will include

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

SECRET

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SECRET

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

continuous  
employee  
relationships  
w/ us  
govt.

Case officer = SA in FBT

Contract ~~and~~ support capacities

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

agent & asset may be the same.

agent bec " " is not really " " 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 files

results ~~and~~ 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.

SECRET

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

[Sec of filing sys] **REPRODUCTION PROHIBITED** *is being its level*

**REPRODUCTION PROHIBITED**

001753

Fretas

201

Subject - countries, projects

exist for all projects that CIA is involved in.

Finance <sup>support</sup> - ~~receipts~~ receipts, ~~the~~ will be a crypt file  
 Logistics - ~~receipts~~ automobiles, clothing, supplies  
 Communications - ~~charts~~ charts, file on cables; microfilmed.  
 Security - security files; under pseudonym. personal files on applicants & agency employees. for agents - 2 file in office of security

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Overt  
 covert  
 investigation. as assignments, prog data, 10-15 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

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training - agents, typists, secretaries, officers

ODP (Office of data processing) - out log papers used by agencies to ~~the~~ response related to computers

CCA Briefing - January 26, 1978

Records Admin. Branch - w/AA AOA

RIA → subsumed into ISS - Inf. Services Staff - only AOO

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PROHIBITED

AOA

1

ISAS - Info. Systems Analysis Staff

1

Records Admin. Branch

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

"Family Jewels Collection":

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

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

↳ P&L

0001755



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 mid. 201 file #

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

Basis for opening a 201 file:

Some sense of "continuing interest" either as a potential source, agent, KGB official - can be either <sup>or</sup> 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 Stragg  
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.

Maple collection in DDT

Ask Stragg

Indiv. desks will collect photos of persons of interest

Contains 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. Stragg

DDO 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 desc. 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.

0001750

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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 Buzz

PRO: 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 Open Approval

Also do name checks w/ other agencies

Negative AM/LASA name trace -

Check check list:

0001759

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p.6

George Fratas

Subject Files: countries, projects, etc.

201 Files: individuals

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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: a/c'ts, vouchers, receipts; will have a cryptonym file

Logistics: support-a/c'ts, 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 - started under pseudonym if an agent

" true name if an employee

Started to eliminate dual filing @ mid '60's

Agents - ~~had~~ 2 files - each with the same #

Overt - true name Covert - pseudonym - listed in index

has ASO

- Would an agent ever operate under a pseudonym

If it has pseudonym -> he is in file

(overt) True name: biog. data, results of bckgrd. 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  
Use 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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