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IDENTIFICATION FORM

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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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## 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 approval 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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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 6.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.

i. *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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ANNEX B

## THE 201 SYSTEM

Rescission: Annex B of Chapter III, CSHB 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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#### 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. SCSWIRL 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 55(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 ISG/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 DOSSIERS							
FROM:		EXTENSION		NO.			
				DATE			
TO: (Officer designation, room number, and building)		DATE		OFFICER'S INITIALS		COMMENTS (Number each comment to show from whom to whom. Do not fill across column after each comment.)	
		RECEIVED		FORWARDED			
1. IP/Files CC-52						(For guidance, see CSRB 70-1-1, Chapter III, Annex B.)	
2.							
3.						Volume(s) # _____ of _____ volume(s)	
4.						of 201-_____	
5.							
6.						<input type="checkbox"/> Restricted Dossier (Attach Form 2021 to Dossier)	
7.							
8.						<input type="checkbox"/> Non-Restricted Dossier	
9.							
10.						For Split Charge Dossiers:	
11.						All documents prior to _____ (date)	
12.						forwarded to IP/Files. All	
13.						documents after _____ (date)	
14.						retained at _____ desk.	
15.							
CL BY: CUF522							
22-24 SIDE		<input checked="" type="checkbox"/> SECRET		<input type="checkbox"/> CONFIDENTIAL		<input type="checkbox"/> INTERNAL USE ONLY	
						<input type="checkbox"/> 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	SADSE	COMPONENT	ROOM	TUBE	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: _____ 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	CHARGE PERM OR TEMP	REQ. NO.

FORM 2977 USE PREVIOUS EDITIONS  
CONFIDENTIAL  
CL BY: 007622

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/FI CC-52 TUBE DT-6 IP/DCU CC-40 TUBE ET-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			
SECTION A RESTRICT TO: (Use country or non-country code number. See CSI 70-28)			
RESTRICTED BY: (NAME) Date:			
COMPONENT: Date:			
SECTION B REMOVE RESTRICTION (AUTHORIZED BY) R.O. No.			
COMPONENT: Date:			

FORM 2021 USE PREVIOUS EDITIONS  
CONFIDENTIAL  
E-2, IMPDET CL. BY: CG7022 (13)

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.

FOI A CHINA 201 SURNAME ALPHS LIST 03 OCT 1973			SECRET/ORGANIZATION INTERNAL USE ONLY									
NAME	TYPE	DOB	BIRTHPLACE	OCC.	CIT.	201	01-1	01-2	ACT.	LOC.	INT.	
		MM/YY	CTRY CITY						CTRY	CTRY	CTRY	
CHEN, SHOU I. /7115/1343/50307		17JUL14	CHIN, KWANGTUNG		CHIN7	0165901			CHIN	HK		
CHEN, SHOU I. /7115/1343/00017				DIPT		0230059			CHIN	CHIN		
CHEN, SHOU I. /7115/1343/00017	A	24JAN11				0170653			CHIN			
CHEN, SHOU-JEN /6774/1102/0038		90	CHIN, AMOY	BUSP	CCOM	0033751			CHIN	HK		
CHEN, SHOU-MEI		06JAN19	CHIN, FUKIEN, PROV.		CHIN7	0234629			CHIN	CUBA		
CHEN, SHOU-MING /7109/1343/590		21OCT08	CHIN, MANCHURIA, PORT ARTH		CHIN7	0179620			CHIN	CHIN		
CHEN, SHOU SHIN /7115/1102/001	A	12NOV22	CHIN, HUNAN		CHIN7	0069725			CHIN			
CHEN, SHOU-TAO		18MAR45	CHIN	DIPT	CCOM	0925190			CHIN	HAIT		
CHEN, SHOU-TSUNG /7115/1102/1		C41	CHIN, CANTON	ENGR	CHIN7	0832655			CHIN	HK		
CHEN, SHOU TZE /0701/1343/1807		02SEP26	CHIN, LIANGKING PROV		CHIN7	0130615			CHIN	TAIW		
CHEN, SHOU-YEI /7115/1109/435		12JAN18	CHIN, FUKIEN		CCOM7	0091803			CHIN			
CHEN, SHOU-YI		09JUN99	CHIN, CANTON	PROF	CHIN7	0040208			CHIN	USA		
CHEN, SHU-GAN	A	19DEC19	CHIN, KWANGTUNG PROV		CHIN7	0952638			CHIN	HWA		
CHEN, SHU-CHEN /7115/2095/59307		02JUL30	CHIN, KWANGTUNG PROV.	ARMY	CHIN7	0328328			CHIN	TAIW		
CHEN, SHU CHUAN /7115/2225/2		19	CHIN, KUANG TANG IS		CHIN7	0126538			CHIN	HK		
CHEN, SHU CHUN /7115/2225/2797	A	NOV30	HK	TEEA	CHIN7	0797335			CHIN	HK		
CHEN, SHU FEN	R	19C022	CHIN, PHILIPP		CHIN7	0200223			CHIN			
CHEN, SHU HAO /7115/2225/31857		08JUL14	CHIN, KWANGTUNG		CHIN7	0448577			CHIN	ETHI		
CHEN, SHU HSIANG /7115/2575/74		10	CHIN, FUKIEN		CHIN7	0064759			CHIN	CHIN		
CHEN, SHU-HSIUNG /7115/2225/7		23FEB07	CHIN, KWANGTUNG		CCOM7	0073195			CHIN			
CHEN, SHU HSUN /7115/2225/5133		05MAY18	CHIN, FUKIEN		CHIN7	0179622			CHIN	CHIN		
CHEN, SHU-HUA		30MAY28		DIPT	CCOM	0223161			CHIN	CHIN		
CHEN, SHU-I /7115/2225/50307	A	08FEB16	CHIN, HOPET	DIPT	CHIN7	0030156			CHIN	USA		
CHEN, SHU KUEI /7115/2225/2710		27NOV23	CHIN, FANG CHENG	PROF	CHIN7	0175623			CHIN	CHIN		
CHEN, SHU LAN	R		CHIN	CCOM	CHIN7	0221972			CHIN	CHIN		
CHEN, SHU LIANG /7115/0567/009		19C021	CHIN	DIPT	CHIN7	0223162			CHIN	CHIN		
CHEN, SHU LIN /7115/2575/25517		25NOV20	CHIN, FUKIEN		CHIN7	0179624			CHIN	TAIW		
CHEN, SHU-LING /7109/2273/010		01JUL22	CHIN, XIANGSU	MILA	CCOM	0054440			CHIN	USA		
CHEN, SHU-MIN	A	20SEP20	CHIN, HSIANG-HSIEN, XIANGSU		CHIN7	0076967			CHIN	USA		
CHEN, SHU-NAN /7115/2225/05897		15APR30	CHIN, CHENGHAI	CHIN7	CHIN7	0179625			CHIN	CHIN		
CHEN, SHU-NAN /7115/2575/02027		19DEC19	CHIN, KWANGTUNG PROV.		CHIN7	0052638			CHIN	HWA		
CHEN, SHU-SEN /7115/2225/27737	A	19DEC26	CHIN, KWANGTUNG		CHIN7	0073197			CHIN	TAIW		
CHEN, SHU-SHAN /7115/2575/001		27JAN25	CHIN, FUKIEN PROV		CHIN7	0103289			CHIN	CHIN		
CHEN, SHU-TE /7115/2225/17357		21DEC37	CHIN, SHANGHAI	GEOL	CHIN7	0763916			CHIN	RUSS		
CHEN, SHU TSH /M757	V	27MAR20	CHIN, CHANG-SHU		CHIN7	0013991			CHIN			
CHEN, SHU TUNG /7115/2225/76639		19C025	CHIN, JIANG CHIA		CHIN7	0152929			CHIN	CHIN		
CHEN, SHU TUN /7115/2225/27377		18MAR17	CHIN	FIN	CCOM	0767662			CHIN	CHIN		
CHEN, SHU TUN /7115/0067/00377	A	02FEB06				0131129			CHIN			
CHEN, SHU-YAN /7115/2655/1031		11NOV06	CHIN, KWANGTUNG		CHIN7	0033198			CHIN			
CHEN, SHU-YAN	V	05APR17	CHIN, PEIPING		CHIN7	0197195			CHIN	CHIN, HK		
CHEN, SHU-YI /7115/2045/53217		15JUN06	CHIN, FANG CHEN KW		CHIN7	0179626			CHIN	CHIN		
CHEN, SHU-YIN /7115/2575/69927		02OCT30	CHIN, HENG YANG HSIEN, HUN	ARMY	CHIN7	0103290			CHIN	TAIW		
CHEN, SHU-YIN		17FEB11	CHIN, CHANGHAI	INT	CHIN7	0113810			CHIN	CHIN		
CHEN, SHU-YIN		21APR21	CHIN, SHANGHAI		CHIN7	0154010			CHIN			
CHEN, SHU-YU /7115/2575/33627	V	04SEP28	CHIN, SHICHAN		CHIN7	0154738			CHIN	TAIW		

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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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CLANDESTINE SERVICES  
HANDBOOK NO. 43-1-1

70-1-1  
CSHB 43-1-1  
CHAPTER III

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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

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REPRODUCTION  
PROHIBITED

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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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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0002 CROIX, WILLIAM PENDLETON	4	201-0032671*	8
1 SEX M DOB 12 APR 26	4	TYPE NAME T	9
2 CIT GERM	5	OI CODES AA XX	10
3 REF AACD-12345, 20 JUN 53	5	RCO DATE 53	11
7 SUBJECT RECENTLY ATTENDED THE SEVENTEENTH ANNUAL			
CONFERENCE OF THE INTERNATIONAL ASSOCIATION OF CHEMISTS			
AND PHARMACISTS HELD IN MUNICH, GERMANY FROM 22 THROUGH			
12 29 OCTOBER.			
30 NOV 70	13	00833555	14

*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) MHFIXTURE 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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