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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
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

SIGNATURE (acknowledging receipt of above documents)

DATE OF RECEIPT

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SECRET

Briefing 2/14/78

Bill Donnelly - Chief of Information Services Staff

Mike Cleffey?

Lee Doyle

Virginia Jones

Opening of 201

Operational interest

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

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

Also open 201?

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

If the 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.

Prog. H.I -

• Pt. II -

- might indicate sp. involvement

There should be a doc. indicating reasons why a part-person is not recruited.

There should be a reference in 1st file to document in 2nd file if there is one.

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Central
Cover Staff

CIA - State Dept. integration

"Fig leaf" cover - where S.D. employees are aware that CIA emp. is in fact employed by ^{not}
 more integrated cover where a person would do a full-time S.D. job & also
 at CIA job which is unbeknownst to rest of S.D. employees. - could be
 a "deep official cover" as well as a "deep cover"

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

OCR

Shapley -

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

Business Office Vouchered / Unvouchered Funds

P&L: Prescribed & Limited - refers to communications which are
 compartmentalized
 Opening of P&L channel of comm. is determined by one of 3 persons
 - Chief of PLS, 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.

P&H 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. 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 hyp. ^{Am} soldier lets his give 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 hyp based on ZRRIFLE:

574A form: request to put doc. into system

? 1997 " " " " " " into index

In op. such as ZRRIFLE, docs may be severely P&H - might ^{never} go into system except upon determination of officer handling case.

"Sleeper agent" hyp: to run 2 or 3 sleepers in comm. China [station here]] 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 - CO. in E. Ger. -

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KMC

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(7)

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

F&H 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.

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Pseudo: false name used for purposes of communication

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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.

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'Sleeper agent' hypo: to run 2 or 3 sleepers in comm. China [Station ²⁴ here] doesn't necessarily have to know @ it since it is being run from Hqtrs. - from ADP to CI staff - reasonable scenario

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1/24

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(5)

Plans would take place in small room in CI staff.
Form must be signed by ASD — would be put into op. file on the sub.
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 & Home Personnel file? yes

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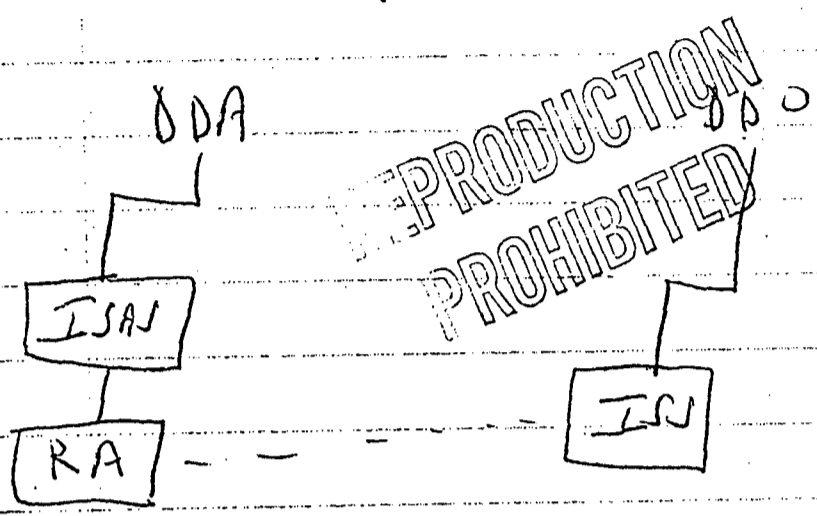
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SECRET

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

RIO - defunct designation for part of Info
Services staff at handles 000 records



000 has a filing sys unto itself

Any 00 can call upon RA to give assistance. But 00 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.

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

P+L designation - deep cover agent in
 hostile territory might receive 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 a
 P+L file is no longer active when a
 - lost, destroyed, or archived to locate.

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

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George Frater
" "

Cryptonym would be in 201 file.

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

Source

used

adversary

KGB

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Counterintelligence threat

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

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

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

If ~~source~~ ^{source} in Ger is actually sleeper who was ~~not~~ in no 201 file & open # assigned to him, it is poss. that his ~~own~~ case officer would prevent opening of a 201 file #.

points to all your agencies

→ Intragency 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 usually contain
pictures.

See
next
page

There is no ^(central) name index
correlated to graphics

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

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 presence

Bob Barton.

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

Files other
than
201

subject files - particular target.
project files
policy + suggestion

5
0001740

SECRET

SECRET

Project files

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

cover staff - involved in creation of cover.

of ^{people} involved in setting up deep cover ~~plans~~ would be at least 12.
- unless you close 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 ^{dup} ~~dup~~ of 201's
"Tail of ^{agents} ~~agents~~ will include ^{preparation}."
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There is no back filing sys by true name, pseudonym, crypt, & 201.

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

Continues
employee
relationships
w/ US
govt.

Case files = SA in FBI

Contract ~~and~~ support capacities

agents ~~and~~ unpaid people who

are controlled by CIA.

agent & asset may be the same.

agent bec " " is not widely known
" " always controlled

source - provider of info

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

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

- involves a ck of ~~all~~ files

As files ~~are~~ go into 201 file if there is ~~any~~

201 files are generally in sequence.

Name cks are always done w/ opening of 201.

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

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There is a
true name, procedure
- called a true name

[Sec of
filing 143]

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0001700

Fretas

201

Subject - countries, projects

exist for all projects that CIA is involved in.

Finance

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Receipts, automobiles, clothing, supplies
Communications - ~~also~~ chron file on cables; microfilm.

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

Overt

Covert

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

Anything that he does

when he's overseas ie. 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, mgrs, secretaries, officers

ODP (Office of Data Processing) - put log papers
used by agencies to report related to computers

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Betsy Wolf

CIA Briefing - January 26, 1978

Records Admin. Branch - w/in DDA

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

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DDA

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 & compartmentalized 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

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"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 need. 201 file #

201 #'s: assigned by ISS; were assigned by RTD 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 references to a part. document

when did system start?

onetime in '60's

p.3

Central Source Register

Ask Hugg
for details

Extraneous 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.

Snapshots collection in DDT

Ask Hugg

Indiv. desks will collect photos of persons of interest
may contain photos of terrain, etc. Not particularly interested in group pics, etc.

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

Ref. Hugg

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 → Official Personnel File

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 covered & would

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

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

Subject files:

Project files:

Policy & mgmt. files

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Project file: operational mgmt. record of a given project

A. Administration

B. Support

C. Production

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

See Gregg

Operational Details

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

Hard file: Official information

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

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

Personnel file contains: 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:

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George Fratas

Subject Files: countries, projects, case.

201 Files: individuals

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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: accts., 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

Started to eliminate dual filing @ mid '60s

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

Overt - true name Covert - pseudonym - listed in index

ask ASD

- Would an agent ever operate under a pseudonym

If it has pseudonym -> he is in file

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

(covert) Pseudonym: contains everything the person did -> dists where

SECRET

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

0001761

SECRET

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