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**Department of Peace Operations**
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# Policy

## Peacekeeping-Intelligence

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**DPO POLICY ON**
**Peacekeeping-Intelligence**

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## A. PURPOSE AND RATIONALE

1. This Policy sets out why and how United Nations peacekeeping operations acquire, collate, analyze, disseminate, use, protect and manage peacekeeping-intelligence in support of United Nations peacekeeping operations in the field. It establishes a framework that articulates a consistent and principled approach to peacekeeping-intelligence; ensures the most effective utilization of available resources; establishes a robust regime of oversight, accountability and continuous improvement; and enacts mechanisms to enable an effective, integrated and secure whole-of-mission approach.

2. As the mandates and operating environments of United Nations peacekeeping missions have evolved, so too have the capabilities, processes and procedures required to gather and analyze information. In high-tempo, complex and dangerous environments, where asymmetric and transnational threats pose serious dangers to peacekeepers and civilians, and negatively impact mandate implementation, there is a need for peacekeeping missions to better understand their operating environments and contexts, maintain a strategic overview of developments, and predict specific threats and opportunities to enable peacekeepers to effectively execute their mandates.

3. These evolving requirements have led the Security Council, Member States, and the Secretariat to give increasing consideration to peacekeeping-intelligence as a critical enabler to permit missions to operate safely and effectively. In resolution 1894 of 2009, the Security Council called on the Secretariat to give "priority in decisions about the use of available capacity and resources, including information and intelligence resources, in the implementation of mandates" for the protection of civilians. The Council has since highlighted the need for intelligence capacities for MINUSMA in light of its complex security environment, notably in resolution 2295 of 2016.

4. The Special Committee on Peacekeeping Operations (C-34) has also recognized the importance of enhancing information gathering and analysis. In its 2018 report (A/72/19), the Special Committee "recognizes that some peacekeeping missions have been deployed in fragile political and security environments with asymmetrical and complex threats. In this context, the Special Committee recalls its request [...] for the Secretariat to develop a more cohesive and integrated United Nations system for situational awareness [...]." In paragraphs 71 to 77 of the same report, the Special Committee has highlighted inter alia the importance of complementarity with other approaches to safety and security; that peacekeeping-intelligence policies and practices must uphold the principles of the UN Charter and of peacekeeping; that respect of the sovereignty of Host and neighbouring States must be ensured; and that the security and confidentiality of sensitive information must be carefully managed.

5. Consistent with relevant Security Council resolutions and the above-mentioned report of the Special Committee on Peacekeeping Operations (C-34), the fundamental purpose of peacekeeping-intelligence in United Nations peacekeeping operations is to enable missions to take decisions on appropriate actions to enhance situational awareness and the safety and security of UN personnel, and inform activities and operations related to the protection of civilians. Specifically, peacekeeping-intelligence is intended to:

   5.1. Support a common operational picture: Up-to-date, accurate peacekeeping-intelligence supports the establishment and maintenance of a coherent, real-time, operational understanding of the mission area to support planning and operations.

   5.2. Provide early warning of imminent threats: Peacekeeping-intelligence contributes to the early warning of an imminent threat to life, a major destruction of property, significant restrictions of movement, etc., in order to enable the mission to act appropriately in accordance with its mandate.

   5.3. Identify risks and opportunities: Peacekeeping-intelligence can provide mission leadership with an enhanced understanding of shifts in the strategic and operational landscape, and of associated risks and opportunities, with respect to the safety and security of UN and associated personnel, and the protection of civilians.

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## B. SCOPE

6. This Policy describes the overarching principles, processes and parameters to manage the intelligence needs of United Nations peacekeeping operations. Guidance on the tools and activities of individual mission components and the functions of DPO Headquarters offices in supporting, coordinating and backstopping mission peacekeeping-intelligence systems will be set forth in subordinate operational policies and standard operating procedures. This Policy shall be read alongside this guidance (see Annex A).

7. This Policy shall apply in respect to the operations and activities of missions for which the need for peacekeeping-intelligence capabilities and processes has been identified. Such a need may be identified by DPO Headquarters during the initial planning phase of a mission or in consultation between DPO Headquarters and the mission thereafter. Specific needs and requirements will be identified during the mission planning process or during the course of the mission's life cycle based on a number of considerations, including but not limited to the mandate; the nature of threats to UN personnel, assets and programmes; the nature of threats to civilians; and the political and security context in which the mission is deployed. The overarching principles, parameters and boundaries for the management of peacekeeping-intelligence described in this Policy shall be mandatory and shall be strictly observed by all personnel handling peacekeeping-intelligence.

8. This Policy applies only to data, information and products gathered and managed as part of the peacekeeping-intelligence cycle, as distinct from other information and reporting. Routine reporting and information-sharing is distinct from peacekeeping-intelligence, even if some peacekeeping-intelligence analysis may draw on routine reporting, and even if some routine reporting may include sensitive information. The Policy will not modify or limit standard information management, reporting and sharing practices in line with existing guidance in these areas, and will build upon them for the purpose of managing peacekeeping-intelligence.

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## C. POLICY

### 9. Principles of Peacekeeping-intelligence

**9.1.** This section describes the overarching principles that shall inform all activities of United Nations peacekeeping operations at all stages of the management of peacekeeping-intelligence. All subordinate guidance, directives, plans and operations will comply with and apply these principles.

9.2. **Under rules**: All peacekeeping-intelligence activities will be undertaken in line with the Security Council mandates of peacekeeping operations, in full compliance with the Charter of the United Nations. These activities shall be consistent with the overall legal framework governing United Nations peacekeeping operations, including the basic principles of Peacekeeping and all legal and human rights standards and obligations. Peacekeeping-intelligence activities must be conducted with full respect for human rights, including in particular the rights to privacy, freedom of expression, peaceful assembly and association and with particular care not to expose any sources or potential sources of information to harm.

9.3. **Non-Clandestine**: Clandestine activities, defined as the acquisition of information or intelligence conducted in such a way as to assure secrecy or concealment of the activities, because they are illicit and/or are inconsistent with the legal framework, principles, policies and mandates of United Nations peacekeeping operations, are outside the boundaries of peacekeeping-intelligence and shall not be undertaken by participating mission entities. Regular training and education, including standardized pre-deployment training for all personnel involved in all aspects of peacekeeping-intelligence, as well as regular audits and oversight of the peacekeeping-intelligence workflow, will reinforce this principle.

9.4. **Areas of application**: The acquisition and management of information or intelligence by United Nations peacekeeping operations will be conducted to enhance situational awareness and the safety and security of UN personnel, and to inform operations and activities related to the protection of civilians tasks of the Security Council mandates.

9.5. **Respect of State Sovereignty**: The sovereignty of states, including Host and neighbouring States, must be respected.

9.6. **Independence**: The peacekeeping-intelligence activities of peacekeeping operations will be fully autonomous from and independent in all aspects of any national intelligence system or other operations and will maintain their exclusively international character. Missions may liaise with non-mission entities for the purposes of receiving intelligence and may share specific peacekeeping-intelligence with non-mission entities, including Host States, provided they do so under conditions and within the parameters described in this document and related guidance.

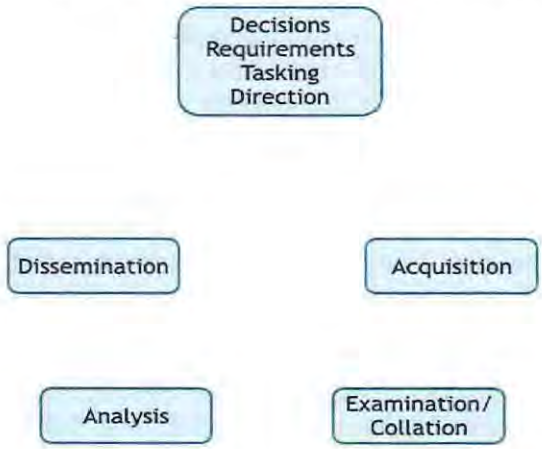
9.7. **Accountability, capability and authority**: Those who are given the authority to make decisions with regard to peacekeeping-intelligence activities must have the appropriate capabilities to execute these functions and remain accountable for the effective execution of these responsibilities within their respective chains of command to the Head of Mission and ultimately to the Secretary-General. Within the mission, the Head of Mission is accountable for the functioning of the peacekeeping-intelligence system. She/He is responsible for ensuring compliance with this Policy and associated guidance by personnel engaged with or using peacekeeping-intelligence products, through effective governance procedures, training and practices are in place for.

9.8. **Security and confidentiality**: Peacekeeping-intelligence shall be stored and shared in a secure manner, while ensuring access for those who require it for decision-making and operational planning. Based on an assessment of risk, missions will put in place procedural, technological and physical security tools in consultation with DPO and DOS Headquarters to ensure secure information management and communications within the peacekeeping-intelligence system. Confidential peacekeeping-intelligence products shall be shared and disseminated on the basis of the "need to know" and "need to share" concepts, which require that peacekeeping-intelligence should be disclosed to mission personnel if and only if access to said information is required for them to carry out their official duties. It also requires a written delegation of authority from the originator or staff member who originally applied the classification level. It implies that peacekeeping-intelligence is only disclosed to trusted individuals to ensure that it is not widely disseminated, in particular where disclosure is likely to endanger the safety or security of any individual or group, violate rights or invade privacy. In doing so, missions will seek to establish and maintain a high degree of confidence among all of their interlocutors in their ability to appropriately acquire, protect and manage peacekeeping-intelligence.

## 10. Process: The Peacekeeping-Intelligence Cycle

10.1. This section describes the peacekeeping-intelligence cycle, which is the process by which peacekeeping-intelligence is acquired, examined/collated, analyzed and disseminated based on clearly identified Peacekeeping-Intelligence Requirements. Standards, tools, techniques and procedures for the effective and efficient completion of each stage of the cycle by individual mission components are the subjects of subordinate operational guidance.

Figure 1. The Peacekeeping-Intelligence Cycle



10.2. Direction, requirements and tasking: Direction refers to the process of identifying questions that need to be answered, specifying outstanding "Information or Peacekeeping-Intelligence Requirements (IRs)" in relation to those questions, and seeking this information through a variety of means. Direction ensures strong central control of the peacekeeping-intelligence cycle, tying the requirements of the Head of Mission and his/her Senior Leadership Team to the management of peacekeeping-intelligence. Direction provides the basis for IRs. Prioritization of tasks and timeframes shall be determined through the peacekeeping-intelligence management mechanisms established in the mission. Decisions relating to peacekeeping-intelligence activities shall be taken under the authority and accountability of the Head of Mission or within the delegated authority that he/she designates.

10.3. Acquisition: Acquisition refers to the process of obtaining data and information to serve as the basis for analysis. Effective acquisition requires direction and planning to ensure resources are used in such a manner as to most effectively meet the IRs. This includes tasking assets according to IRs, ensuring data and information is reported in a timely manner, tasking assets within their capabilities, and putting in place mechanisms to ensure corroboration and/or verification of information and data as appropriate. The parameters for the effective, responsible and ethical acquisition of data and information shall be described in the mission's Peacekeeping-Intelligence Support Plan (see Section 12.8 and Annex C). In addition to being compliant with this and other United Nations policies and guidance, the latter will describe acceptable and unacceptable tools, techniques and procedures of information acquisition by the mission, applicable legal obligations, and considerations that shall be undertaken when acquiring peacekeeping-intelligence, based on the assets available to the mission and in line with operational guidance that is subordinate to this Policy.

10.4. In addition to the acquisition of information through the tasking of mission acquisition assets, missions may receive intelligence that is voluntarily provided by Member States as well as other non-mission entities and shall establish mechanisms to facilitate the secure receipt and handling of such products. In liaising with external parties for the acquisition of intelligence, mission personnel shall fully observe and shall act in consistence with the mission's mandate and all principles, rules and obligations of the Organization, including with regard to the promotion and protection of international human rights laws and norms. Liaison with non-mission entities for the purposes of sharing peacekeeping-intelligence may also be governed by written arrangements agreed between the United Nations and such parties, within these broader parameters.

10.5. Examination and collation: Data and information acquired by missions shall be recorded and stored in a manner that permits convenient comparison, evaluation, assessment, retrieval, analysis and reporting. Participating mission entities shall make use of standardized tools for the collation of data and information, including common databases, taxonomies, and planned indexing and menus. DPO will design and promulgate, in consultation with missions, common and, where necessary, specialized tools, which shall be supported by training.

10.6. Analysis: Analysis refers to the methodical breaking down of information into its component parts; examination of each to find inter-relationships; and application of reasoning to determine the meaning and relevance of the parts and the whole. Through the retrieval of collated information acquired through the tasking assets, peacekeeping-intelligence analysts shall apply processes of reasoning, integration and interpretation, using both qualitative and quantitative methodologies. Peacekeeping-intelligence analysis shall be a whole-of-mission process that makes full use of all resources available to the mission according to its comparative advantages. This should include expertise in the local situation, languages and cultures; military and police peacekeeping-intelligence analysis capabilities; and security threat information analysis techniques.

10.7. Dissemination: Dissemination[1] is the process of conveying peacekeeping-intelligence to mission decision-makers and other relevant mission personnel. Peacekeeping-intelligence products developed as part of the peacekeeping-intelligence cycle may be disseminated directly by individual participating mission entities to their respective managers (see Annex B), or jointly through the Mission Peacekeeping-Intelligence Coordination Mechanism. The delegation of authority to disseminate peacekeeping-intelligence products shall be clearly identified as part of the mission's Peacekeeping-Intelligence Support Plan and/or internal guidance for participating mission entities. The dissemination of peacekeeping-intelligence products shall be done in compliance with the "need to know/need to share" concepts, as well as the below organizational requirements for information classification, security, handling, ownership and sharing. The Head of Mission shall be ultimately responsible for the decision regarding the dissemination of all peacekeeping-intelligence products.

## 11. Information classification, security, handling and sharing

11.1. This section applies the United Nations Policy on Information Sensitivity, Security, Handling and Sharing to the management of peacekeeping-intelligence by missions. It identifies practices, authorities and control mechanisms that shall be put in place to permit the effective handling of and the timely, consistent and secure sharing of peacekeeping-intelligence. The classification, securing and handling of peacekeeping-intelligence should protect the safety and security of sources, minimize the risk of unauthorized dissemination or disclosure, protect the Organization's interests, and meet its obligations under international law when sharing peacekeeping-intelligence products.

11.2. Information classification and security

11.2.1. Data and information acquired, stored and shared as part of the peacekeeping-intelligence cycle is considered the property of the Organization, and is to be handled in strict compliance with the Secretary General's Bulletin on Information Sensitivity, Classification and Handling (ST/SGB/2007/6) and any subsequent relevant guidance. This includes the labeling of sensitive information as "strictly confidential" and "unclassified" by the originator of the information under the supervision of his/her chain of command/management. This includes the classification of information whose disclosure is likely to endanger the safety or security of any individual or group, violate rights, or invade privacy. It should be noted, however, that the default approach towards the dissemination of information within missions, including peacekeeping-intelligence products, should allow for the sharing of information within the mission; information should be classified "Confidential" or "Strictly Confidential" on an exceptional basis and only as required according to the criteria in ST/SGB/2007/6.

11.2.2. The Head of Mission or Heads of Components may, in consultation with DPO Headquarters and Member States contributing units to the mission if relevant, identify additional measures to execute their responsibilities with respect to the mission's peacekeeping-intelligence cycle to ensure the security, confidentiality and traceability of peacekeeping-intelligence based on a mission-specific analysis of information security risks and vulnerabilities. These may include but should not be limited to the use of dedicated, closed information management systems and physical security measures required to protect systems (e.g. access control, protection measures for cables, computers, servers); encrypted communications tools; customization of computing equipment to protect against the unauthorized duplication or transfer of information; the establishment of compartmented office areas with control mechanisms

[1] Also referred to as "distribution" in some UN and DPO and DOS information management guidance.

limiting access; and mandated training requirements for all technical officers involved in maintaining the technologies supporting the peacekeeping-intelligence system.

11.2.3. Where additional information security measures are put in place, they shall be documented and accompanied by the necessary guidance, expertise, resources and training required to effectively execute the measures, including clear roles and responsibilities and explicit rules on the gravity of unauthorized sharing of peacekeeping-intelligence within the peacekeeping conduct and discipline framework, as well as a regime for ensuring accountability for misconduct.

11.3. Peacekeeping-intelligence handling, sharing and use

11.3.1. Peacekeeping-intelligence shall be handled, stored and shared according to the rules, regulations, policies and procedures of the United Nations and subordinate guidance, and used exclusively as described in this document. Where uniformed units make up part of the mission's peacekeeping-intelligence system (for example, Peacekeeping-Intelligence Surveillance and Reconnaissance Units), all information acquired by these units and their contingents shall be handled accordingly. Where relevant, the United Nations shall enter into agreements with Troop and Police Contributing Countries specifying information handling procedures for data gathered by sensors to uphold this principle. Any such procedures must be in accordance with and be at a level not lower than those established in relevant UN guidelines/SOPs. Similarly, all information acquisition assets acquired by the United Nations through contracts with commercial vendors shall be covered by provisions clearly identifying all data gathered by these tools as the exclusive property of the United Nations and dictating the terms by which this data may be stored, managed and shared. Standards for these agreements shall be contained in subordinate Standard Operating Procedures.

11.3.2. The dissemination of confidential peacekeeping-intelligence products within peacekeeping missions shall be guided by 1) the concepts of "need to know/need to share" to minimize unauthorized disclosure, and 2) an assessment of the risks associated with the disclosure thereof. Managing access and distribution is outlined in the DPO-DOS Standard Operating Procedures on Access to Information, which shall be utilized in the implementation of peacekeeping-intelligence dissemination processes. The above notwithstanding, any information from the peacekeeping-intelligence cycle that could have an impact on the safety and security of UN personnel (both mission and other UN entities operating within the mission area) must be shared with the senior-most UNDSS representative present (or his/her designated representative) in a timely fashion.

11.3.3. To ensure the secure storage and handling of peacekeeping-intelligence, missions shall establish two mechanisms: 1) a registry to systematically record the receipt and dissemination of classified peacekeeping-intelligence products; and, 2) an access matrix to record and guide the dissemination of confidential peacekeeping-intelligence materials that shall be available for review by oversight mechanisms.

11.4. Peacekeeping-intelligence sharing with non-mission and non-United Nations entities

11.4.1. The decision to share peacekeeping-intelligence with non-mission United Nations (e.g. members of the United Nations Country Team) and/or non-United Nations entities (e.g. the Host State) rests with the Head of Mission, as the delegated official by the Secretary-General, in consultation with UN Headquarters as required. Should the Head of Mission elect to further delegate decision-making authority over peacekeeping-

intelligence sharing to subordinate personnel, this delegation shall be documented and accompanied by guidance on the principles and parameters for peacekeeping-intelligence sharing with partners.

11.4.2. In accordance with the UN Policy on the Framework of Accountability for the United Nations Security Management System, arrangements for the sharing of peacekeeping-intelligence with other UN entities shall include cases in which peacekeeping-intelligence relates to the safety and security of United Nations and associated personnel, premises and assets, and is therefore relevant to the broader United Nations system operating within the mission area. Such peacekeeping-intelligence shall be passed to the senior-most UNDSS representative (or his/her designated representative) and the Designated Official for security. These arrangements shall be included in the Mission Peacekeeping-Intelligence Support Plan.

11.4.3. Missions may share peacekeeping-intelligence with non-mission, non-United Nations entities, such as Host State security forces or parallel security operations insofar as doing so falls within the mission's mandate and is consistent with applicable rules, regulations, policies and procedures of the United Nations. When shared with such entities, products shall be accompanied by written arrangements ensuring originator control over any subsequent use or application. All instances of peacekeeping-intelligence sharing must be registered centrally by authorized and trained personnel, documented and justified in terms of the mandate, and approved by the Head of Mission or the delegated authority. Arrangements for decision-making and record keeping on the sharing of peacekeeping-intelligence shall be detailed in the Mission Peacekeeping-Intelligence Support Plan.

11.4.4. All decisions to share peacekeeping-intelligence products with non-mission entities shall be taken based on the rules, regulations and policies of the United Nations. Where peacekeeping-intelligence may be shared, either directly or indirectly, with non-United Nations security forces, the Human Rights Due Diligence Policy on United Nations Support to Non-United Nations Security Forces (HRDDP) applies. Mechanisms, structures and processes required to ensure compliance are included in the HRDDP. Where technical arrangements exist for the ongoing sharing of sensitive information between the mission and non-United Nations security forces, a general and preliminary risk assessment may be conducted but shall be regularly reviewed, and decisions to share peacekeeping-intelligence shall be taken on a case by case basis. The sharing of peacekeeping-intelligence products with third parties that could raise issues in terms of the mission's mandate, the UN Charter, UN rules and regulations, and any bilateral arrangements or agreements with non-UN parties, may be submitted for the guidance of the mission's Senior Legal Advisor for advice. Further advice may be sought from UNHQ, including the Office of Legal Affairs.

11.5. Information retention and disposal

11.5.1. All peacekeeping-intelligence products are assumed to be of permanent historical value and shall be retained for Organizational memory. Peacekeeping-intelligence planning, programmatic designs, distributions lists and products shall be retained and transferred to the UN Archives on a biannual basis throughout the lifecycle of the mission and at the closure of a mission. Information retention and disposal should be in line with ST/SGB/2007/5 on Record-keeping and the Management of United Nations Archives, the DPO-DOS Policy on Records Management, and the Peacekeeping Records Retention Schedule.

## 12. Peacekeeping-intelligence cycle management tools

12.1. This section sets out the key mechanisms that shall be used for the management of peacekeeping-intelligence in missions. Because requirements and capacities for the management of peacekeeping-intelligence differ significantly across mission settings, the mechanisms, leadership and tools required for the operationalization of this Policy may likewise differ. As such, the application of these tools to mission peacekeeping-intelligence systems shall be appropriately calibrated to the specific conditions of the mission.

12.2. Mission Peacekeeping-Intelligence Coordination Mechanism: In addition to participating mission entities responsible for information acquisition, collation and analysis, missions shall establish a Mission Peacekeeping-Intelligence Coordination Mechanism to direct and oversee the peacekeeping-intelligence cycle within the mission. The Mechanism includes the participating mission entities responsible for the acquisition, collation, analysis and dissemination of information with the role of meeting the objectives of peacekeeping-intelligence activities in the mission, i.e., the Joint Mission Analysis Centres (JMAC), relevant functions in the Force and Police Components, and UNDSS. The JOC should also be a permanent member of the Mechanism given its role in providing integrated situational awareness and supporting crisis-related deliberations. Other mission sections such as the Political Affairs Division, Office of the Legal Adviser, or the Human Rights Division, may be invited to participate on a permanent or *ad hoc* basis, and shall be consulted as required (see Annex B).

12.3. The purpose of the Mechanism is to operationalize the central control and direction of the mission's peacekeeping-intelligence system by ensuring a close connection between the acquisition and analysis activities of all participating mission entities and the requirements of senior mission leadership, while also operationalizing appropriate oversight and accountability in the mission's peacekeeping-intelligence management processes. The Mechanism does not conduct analysis, nor does it have analytical capacities of its own.

12.4. The functions of the Mission Peacekeeping-Intelligence Coordination Mechanism shall preferably be coordinated by the Mission Chief of Staff in his/her role as the Chair of the Mechanism, in line with paragraph 15.1. In some missions, the functions of the Mission Peacekeeping-Intelligence Coordination Mechanism may be played by the JMAC in line with its function as described in Paragraph 27(a) of the DPKO-DFS Policy on Joint Mission Analysis Centers. In other cases, a stand-alone function may be necessary.

**12.5.** In all cases, the Mechanism shall have dedicated resources, might they be *ad hoc*, for the purpose of coordination, **that are distinct from the mission's resources for information collection and analysis.**

12.6. The primary responsibilities of the Mission Peacekeeping-Intelligence Coordination Mechanism are:

12.6.1. Peacekeeping-Intelligence Requirements (IRs) Management: Through its direct links to senior mission leadership, the Mission Peacekeeping-Intelligence Coordination Mechanism solicits and translates decision-making requirements from senior mission leadership into mission IRs, which inform the IRs of individual components.

12.6.2. Acquisition planning and coordination: Based on the IRs, the Mission Peacekeeping-Intelligence Coordination Mechanism tasks the JMAC to lead the production of a Mission Information Acquisition Plan in collaboration with relevant members of the Mechanism. The Mechanism is responsible for validating the Plan, which allows the

Mechanism to control the process and also to ensure that various components are conducting information acquisition and analysis to satisfy all IRs. Furthermore, it allows the Mechanism to ensure that resources and sources are utilized efficiently, and that there is duplication only for purposes of confirmation and corroboration.

12.6.3. Task the JMAC to lead the development of the Mission Peacekeeping-Intelligence Support Plan in collaboration with relevant members of the Mechanism. The Mechanism is responsible for validating the Plan, in consultation with senior mission leadership and in coordination with UN Headquarters, to set out parameters for information acquisition, and identify responsibilities and accountabilities for directing the peacekeeping-intelligence cycle, acquiring information, and sharing peacekeeping-intelligence.

12.6.4. Maintain awareness of information acquisition and analysis assets, current priorities, areas of focus, comparative advantages, and workloads of Mission Peacekeeping-Intelligence Coordination Mechanism members or participating mission entities.

12.6.5. Task, coordinate and de-conflict the activities of Mission Peacekeeping-Intelligence Coordination Mechanism members for peacekeeping-intelligence purposes.

12.6.6. As needed, direct joint analysis involving two or more Mission Peacekeeping-Intelligence Coordination Mechanism members and produce joint peacekeeping-intelligence products.

12.6.7. Provide guidance on working-level coordination between and among Mission Peacekeeping-Intelligence Coordination Mechanism members, on facilitating horizontal peacekeeping-intelligence sharing at all levels, and on including the development of Standard Operating Procedures as necessary.

12.6.8. Provide guidance on appropriate levels of classification, procedures for sharing peacekeeping-intelligence products, and the application of United Nations information management, handling and classification policies.

12.6.9. Establish and maintain the central registry, distribution and access list and archive of classified peacekeeping-intelligence data and/or materials. Implement retention schedules of all information acquisition assets, including overseeing the transfer of records of permanent value and destruction of materials, as needed.

12.6.10. As required, seek legal advice from the mission's Senior Legal Adviser and, as necessary, the Peacekeeping-Intelligence Coordination Team in DPO and the Office of Legal Affairs at UNHQ, on issues in relation to peacekeeping-intelligence activities, including questions of compliance with the legal framework governing the United Nations and the mission.

12.7. Mission Information Acquisition Plan: The Mission Information Acquisition Plan translates the strategic direction provided by Senior Mission Leadership and requirements communicated by operational planners into tangible IRs and provides a roadmap for the fulfillment of these requirements through directed acquisition and analysis work by participating mission entities. It includes the peacekeeping-intelligence categories necessary to meet these requirements, key mission actors involved in fulfilling requirements, and a schedule of key Peacekeeping-Intelligence Requirement deadlines. The Mission Information Acquisition Plan serves as the primary basis for the development of acquisition plans by participating mission entities (e.g. Military Information Acquisition Plan, Police Information Acquisition Plan), which will be at a

greater degree of specificity and incorporates the IRs of the Primary Client of that participating mission entity (see Annex C). This document may be marked as Confidential or Strictly Confidential if deemed appropriate by the chair of the Mission Peacekeeping-Intelligence Coordination Mechanism, in consultation with the Head of Mission.

12.8. Mission Peacekeeping-Intelligence Support Plan: The Support Plan describes the boundaries within which the peacekeeping-intelligence cycle will be executed and identifies key considerations to be observed when providing direction to the peacekeeping-intelligence cycle or executing tasks within it (see Annex C for a model of a Mission Peacekeeping-Intelligence Support Plan). This document may be classified if deemed appropriate by the chair of the Mission Peacekeeping-Intelligence Coordination Mechanism, in consultation with the Head of Mission. The Support Plan shall be prepared in close consultation with DPO Headquarters and must include, but is not necessarily limited to, the following elements:

12.8.1. Acceptable and unacceptable methods for use by participating mission entities in acquiring data and information that specifically address the capabilities of the assets available to the mission.

12.8.2. Specific considerations that must be taken into account when conducting information acquisition activities (e.g. respect for international human rights standards including the rights of children, privacy considerations, criminal justice norms and standards, national and international laws and standards, and other obligations deriving from the United Nations Charter, etc.)

12.8.3. Additional peacekeeping-intelligence management, information management, and security tools and measures beyond those described in United Nations and DPO/DOS Policies (e.g. instructions for use of a secure information/communications system, structuring of secure/controlled access spaces, guidance on data retention, etc.).

12.8.4. Arrangements and parameters for the sharing of peacekeeping-intelligence with non-mission United Nations entities and non-United Nations entities, such as the Host State or non-United Nations armed forces. This should include measures for ensuring the application of the Human Rights Due Diligence Policy where applicable, sharing of relevant peacekeeping-intelligence with United Nations entities that are members of the Security Management Team, and any additional guidance on the sharing of peacekeeping-intelligence with non-mission entities if that authority has been delegated by the Head of Mission.

12.9. Peacekeeping-Intelligence Requirements (IRs): IRs derive from gaps or voids between what is known and what is not in relation to a problem or potential problem that should be resolved to ensure the effective, efficient and safe execution of the mission mandate. Usually phrased as questions, IRs shall form the basis of a Mission Information Acquisition Plan, which allows mission leadership and the Mission Peacekeeping-Intelligence Coordination Mechanism to ensure that acquisition is being conducted for all required IRs, and that resources are being used appropriately and in an effective, prioritized way. IRs and the Mission Information Acquisition Plan shall be reviewed periodically but at minimum annually. Ad hoc, one-off taskings outside of the peacekeeping-intelligence plan may also be issued in response to urgent requirements.

12.10. Classified Document Registry and Access Matrix: In line with Section 10, a registry shall be kept to systematically record the receipt and dissemination of classified peacekeeping-intelligence products. An access matrix shall be kept and systematically updated to provide a reference guide for the dissemination of peacekeeping-intelligence products.

### 13. DPO Headquarters support, coordination, oversight and backstopping

13.1. While the peacekeeping-intelligence cycle is focused around the requirements of peacekeeping operations, DPO Headquarters undertakes the following functions in the management of peacekeeping-intelligence, which shall be elaborated in a subordinate guidance:

13.1.1. Strategic planning: Peacekeeping-intelligence products generated by the peacekeeping-intelligence cycle may be used by DPO Headquarters to inform strategic mission planning and decision-making processes led or contributed to by DPO Headquarters. The use of peacekeeping-intelligence by DPO Headquarters shall be field focused, and exclusively for the purposes of supporting and enabling the effective planning, strategy and operations of the Headquarters and the mission in order to implement its mandate. The coordination of such activities shall be ensured by the Peacekeeping-Intelligence Coordination Team (PICT) in DPO.

13.1.2. Backstopping, support and oversight: Within the overall integrated strategic direction and oversight roles played by DPO Headquarters, individual DPO Offices will be responsible for backstopping the respective participating mission entities, (e.g. the UNOCC for JMACs, OMA for U2s, Police Division (OROLSI) for Police Components, Single Regional Mechanism (DPPA/DPO) for mission leadership, OLA for the Senior Legal Adviser, etc.). This will include acting as the primary point of contact at UN Headquarters for providing technical and strategic guidance; developing subsidiary guidelines and model approaches and products; identifying requirements for corporate technological solutions and leading the development of these tools, with the technical support of the Information and Communications Technology Division of DOS. The coordination of backstopping, support and oversight at Headquarters shall be ensured by the PICT in DPO, which will also provide support on the Policy Framework.

13.1.3. Receipt of intelligence from Member States: the Peacekeeping-Intelligence Coordination Team (PICT) shall be the primary point of contact at DPO Headquarters for the receipt of intelligence provided by Member States on a voluntary basis. A central registry of received intelligence products and a distribution and access list shall be maintained by the PICT. When provided to DPO Headquarters by Member States or other entities, intelligence will be systematically shared by the PICT with the appropriate mission(s) in accordance with information handling and classification standards.

## D. ROLES AND RESPONSIBILITIES

### 14. Head of Mission/SRSG

14.1. The Head of Mission is the primary client of the peacekeeping-intelligence cycle and is the most important client of the Mission Peacekeeping-Intelligence Coordination Mechanism. He/she is responsible for providing strategic direction to the Mission Peacekeeping-Intelligence Coordination Mechanism that can be translated into IRs to drive the peacekeeping-intelligence cycle.

14.2. The Head of Mission is accountable for decision-making on the sharing of peacekeeping-intelligence data, information and products within the mission and with non-mission entities, in compliance with the United Nations' legal framework, comprising the United Nations Charter, the mission's mandate, UN rules and regulations, the Human Rights Due Diligence Policy, and agreements with third parties, in consultation with the mission's Senior Legal Adviser and, as

necessary, the Peacekeeping-Intelligence Coordination Team in DPO and the Office of Legal Affairs at UNHQ.

14.3. The Head of Mission is ultimately accountable to the Secretary-General, through the Under-Secretary-General for Peace Operations, for the mission's execution of the peacekeeping-intelligence cycle in line within the parameters described in this Policy, relevant United Nations and DPO guidance, and the Mission Peacekeeping-Intelligence Support Plan.

15. **Chair of the Mission Peacekeeping-Intelligence Coordination Mechanism**

15.1. The Head of Mission shall designate a civilian Chair of the Mission Peacekeeping-Intelligence Coordination Mechanism, preferably the Mission Chief of Staff, to serve as the primary link between Senior Mission Leadership decision-making processes and the mission's peacekeeping-intelligence cycle. If, in line with paragraph 12.4, the function of the Mission Peacekeeping-Intelligence Coordination Mechanism is played by the JMAC, the Chief JMAC shall Chair the Mechanism. The Chair shall report to the SRSG. The Chair shall be supported by dedicated personnel to serve as the Secretariat for the Mechanism. The Chair of the Mission Peacekeeping-Intelligence Coordination Mechanism Chair is accountable to the Head of Mission and is responsible for:

15.1.1. Convening the Mission Peacekeeping-Intelligence Coordination Mechanism, directing its activities, and ensuring the execution of all functions as described in Section 12.6.

15.1.2. Overseeing operational adherence to this Policy, relevant United Nations and DPO guidance, and the Mission Peacekeeping-Intelligence Support Plan.

15.1.3. Maintaining ongoing awareness of all mission acquisition and analysis assets, including their capabilities, areas of focus, comparative advantages and workloads.

15.1.4. Serving as the primary working-level liaison between the mission and UNHQ on the management and sharing of peacekeeping-intelligence under the authority of the Head of Mission.

16. **Participating mission entities:**

16.1. The Mission Peacekeeping-Intelligence Coordination Mechanism is composed of participating mission entities responsible for the acquisition, collation, analysis of information and dissemination of Peacekeeping-Intelligence products as part of the mission's peacekeeping-intelligence cycle (see Annex B). Participating mission entities are responsible for:

16.1.1. Obtaining the ongoing and *ad hoc* IRs of their primary managers (e.g. the Force Commander for the U2 or the Police Commissioner for the relevant capacities in the Police Component).

16.1.2. Translating the Mission Information Acquisition Plan and primary clients' IRs into Acquisition Plans for their respective components (e.g. Military Information Acquisition Plan, Police Information Acquisition Plan).

16.1.3. Ensuring adherence to the Policy, relevant operational guidance, and the Mission Peacekeeping-Intelligence Support Plan.

16.1.4. Tasking, coordinating and de-conflicting the activities of the component's acquisition assets.

16.1.5. Maintaining individually or in coordination with other components a database of registered collated data/peacekeeping-intelligence gathered by the component's acquisition assets and ensuring the security of and access controls for those tools.

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## E. TERMS AND DEFINITIONS

17. Acquisition asset: An acquisition asset is any resource that is tasked as part of an Information Acquisition Plan by a participating mission entity or in support of a participating mission entity to gather data or information required to meet the Peacekeeping-Intelligence Requirements. This may include systems that employ technological assets such as aerial sensors, capacities involving specific expertise such as forensic analysis, or a human source.

18. Data: Factual elements or discrete pieces of information in their most atomized form, regardless of file format or structure.

19. Information: Any knowledge that can be communicated or any documentary material regardless of its physical form or characteristics that is owned by, produced by or for, or is under the control of the United Nations. "Control" means the authority of the department, office or mission that originates information, or its successor in function, to regulate access to the information.

20. Mission peacekeeping-intelligence system: The structures, tools, and activities which together make the mission peacekeeping-intelligence cycle work. These include the coordination Mechanisms responsible for directing the cycle; the participating mission entities and their respective acquisition assets; the policies and plans governing the mission's peacekeeping-intelligence activities; and the information management and communications infrastructure for handling data and information managed as part of the cycle.

21. Non-mission entities: Any actor that is not part of the mission structure. This could include members of the United Nations Country Team, Member States, civil society organizations, etc. For the purposes of this Policy, UNDSS shall be considered a mission entity because of its mandated responsibility to oversee the security of a mission where applicable.

22. Peacekeeping-intelligence cycle: The process used to determine and satisfy peacekeeping-intelligence requirements to support senior mission leadership decision-making.

23. Peacekeeping-intelligence framework: The normative and operational guidance which collectively govern the peacekeeping-intelligence activities of peacekeeping operations. The framework includes this Policy and subordinate UNHQ and mission guidance to operationalize it.

24. Peacekeeping-intelligence product: A peacekeeping-intelligence product is the result of the analysis stage of the peacekeeping-intelligence cycle where information is processed, and conclusions drawn. Peacekeeping-intelligence products may take many forms, such as written assessments, oral and visual briefings, data analysis, or even informal oral reports. Confidential peacekeeping-intelligence products are disseminated to clients of the peacekeeping-intelligence cycle on the basis of the "need to know/share" principle.

25. Participating mission entities: Elements of the mission that perform activities as part of the peacekeeping-intelligence cycle. In general, these entities form the membership of the Mission Peacekeeping-Intelligence Coordination Mechanism. Other mission or non-mission entities are not covered by the peacekeeping-intelligence cycle. However, this Policy identifies bridging points where threat reporting, trend analysis, and information sharing by non-peacekeeping-intelligence entities may inform the peacekeeping-intelligence cycle.

26. Protection of peacekeeping-intelligence: Efforts to identify and implement measures to protect peacekeeping-intelligence from risks to the effectiveness, continuity, confidentiality and operational security of the mission's peacekeeping-intelligence cycle and information within it.

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## F. REFERENCES

**General Assembly and Security Council References**

Report of the Special Committee on Peacekeeping Operations, 2018 Substantive Section (A/72/19)

Report of the Special Committee on Peacekeeping Operations, 2017 Substantive Section (A/71/19)

Report of the Special Committee on Peacekeeping Operations, 2016 Substantive Section (A/70/19)

Security Council Resolution 2295, 2016

Security Council Resolution 1894, 2009

**Normative or Superior References**

Human Rights Due Diligence Policy on United Nations Support to Non-United Nations Security Forces (A/67/775–S/2013/110)

Secretary-General's Bulletin ST/SGB/2007/6 on Information Sensitivity, Classification and Handling (2007)

Secretary-General's Bulletin ST/SGB/2007/5 on Record-keeping and the Management of United Nations Archives (2007)

Secretary-General's Bulletin ST/SGB/2004/15 on Use of Information and Communications Technology Resources and Data (2004)

DPKO/DFS Policy on Records Management (2016.19)

DPKO/DFS on Information Labelling, Filling and Clean Up (SOP 2016.20)

DPKO/DFS on Access and Declassification of Archives and Non-current Records (SOP 2006.3 (Amend.2)

**Related Policies**

Guidelines on Police Operations in United Nations Peacekeeping Operations and Special Political Missions (2015)

Joint Mission Analysis Centres Policy and Handbook (2015 / 2018)

Joint Operations Centres Policy and Guidelines (2014)
SOP on Integrated Reporting from DPKO-Led Field Missions to UNHQ (2012)

Standard Operating Procedure on Access to Information (2010)

Policy and Standard Operating Procedure on Monitoring and Surveillance Technology in Field Missions (2010)

Information Sensitivity Toolkit (2010)

Policy on Authority, Command and Control in United Nations Peacekeeping Operations (2008)

## G. MONITORING AND COMPLIANCE

27. Within missions, the Head of Mission is accountable for the mission's compliance with this Policy and shall establish mechanisms or processes to enable effective monitoring of compliance. All mission personnel participating in the peacekeeping-intelligence system are accountable through their chains of management/command for compliance with the Policy.

## H. CONTACT

28. Peacekeeping-Intelligence Coordination Team, Office of the Under-Secretary-General, DPO

## I. HISTORY

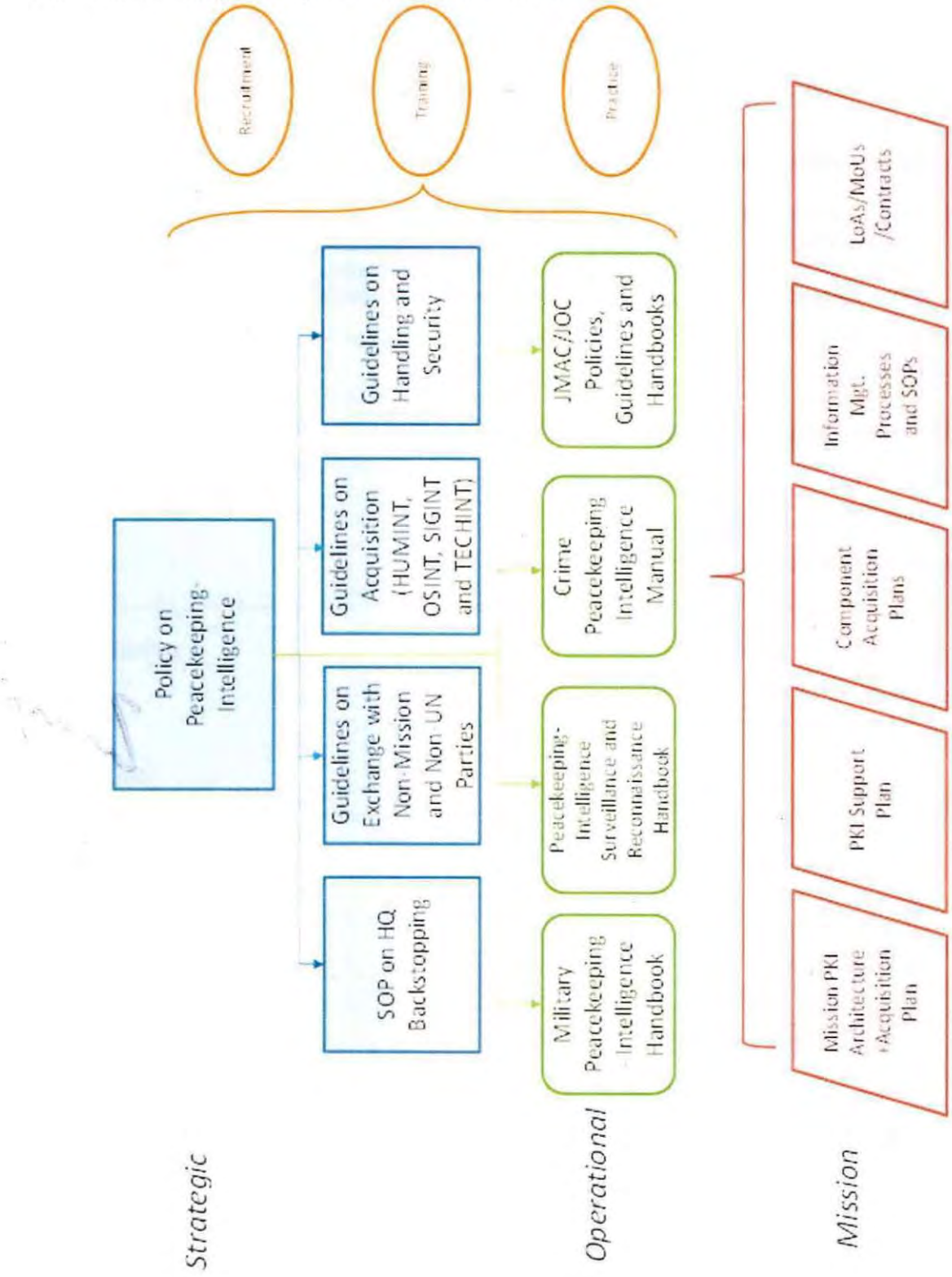
29. This is the second iteration of this Policy

**APPROVAL SIGNATURE:**

**DATE OF APPROVAL:**

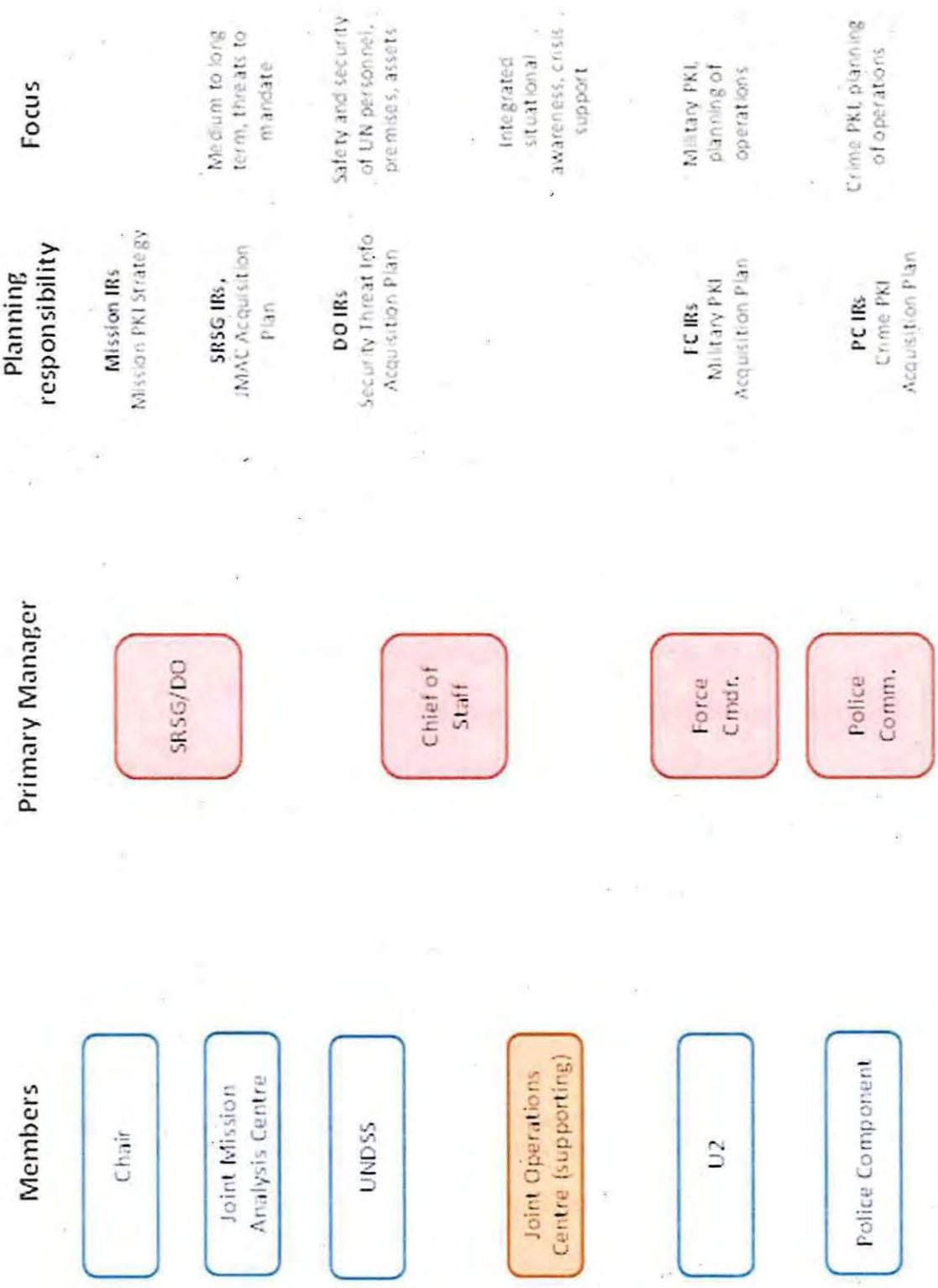
APR 2 2 2019

**ANNEX A**
**The Peacekeeping-Intelligence Policy Framework**



**ANNEX B**

**Core Members of the Mission Peacekeeping-Intelligence Coordination Mechanism**



ANNEX C
**Model Mission Peacekeeping-Intelligence Support Plan**

**Background**

1. The background details the circumstances leading to the development of the Mission Peacekeeping-Intelligence Support Plan (PKISP) and provides some basic detail of the concept of operations it is supporting. It is usually restricted to one or two paragraphs.

**Aim**

2. The aim of the PKISP is to describe the Peacekeeping-intelligence system supporting the mission and identify responsibilities for strategic, operational and tactical Peacekeeping-intelligence assets that may be assigned to, or provide support to, the mission.

**MISSION**

3. Describes the objectives of the mission's Peacekeeping-intelligence system, derived from the mission's mandate, concept of operations and other planning documents.

**EXECUTION**

**Area of Peacekeeping-Intelligence Interest**

4. Details the area of peacekeeping-intelligence interest.

**Peacekeeping-intelligence support concept**

5. Lists the critical facts and assumptions that form the foundations of the PKISP.

6. Any other relevant information as required.

**Peacekeeping-intelligence system mechanism**

7. Provides detail on the peacekeeping-intelligence support mechanism and functions at the tactical, operational and strategic levels.

8. Includes the mechanism and makeup of the Mission Peacekeeping-Intelligence Coordination Mechanism.

9. Includes a line diagram depicting the various components of the peacekeeping-intelligence system including how they link to lines of command and authority.

**Peacekeeping-intelligence responsibilities**

10. Covers the responsibilities of:

    a. The Mission Peacekeeping-Intelligence Coordination Mechanism

b. Participating mission entities within Headquarters (i.e.: Mission Peacekeeping-Intelligence Coordination Mechanism members)

c. Sector Headquarters, Heads of Office and other key authorities

d. Individual personnel involved in the peacekeeping-intelligence cycle

**Requirements and acquisition management**

11. Details the requirements and acquisition management processes.

12. Details the applicable methods that will be used as part of the information acquisition process, as well as those that are deemed specifically unacceptable for use of mission components.

13. Details the applicable considerations that must be taken into account by mission personnel when directing assets and making decisions on acquisition activities.

14. An appendix provides the request for information/peacekeeping-intelligence format.

**Peacekeeping-intelligence production and dissemination**

15. Details the positions responsible for ensuring generation and dissemination of products through various channels, including releasing authorities for the dissemination of products within and outside the mission.

16. Details the media and information technology, management and communications systems through which peacekeeping-intelligence products are to be released.

**Peacekeeping-intelligence command and control**

17. Lists technical control and liaison arrangements.

**Appendices:** (not included – but an example of what to include)

1. Request for information/peacekeeping-intelligence format.

2. Geospatial information and services support plan.

3. Others as required.