

School of Government

STRA 522
METHODS OF INTELLIGENCE
(15 Points)

Trimester 1 / 2009

COURSE OUTLINE

Names and Contact Details

Course Coordinator: **Associate Professor Jim Veitch**
Room RWW 504, Level 5, Railway West Wing, Pipitea Campus
Telephone: (04) 463 5394
Email: jim.veitch@vuw.ac.nz

Lecturer: **Jim Nockels**
Jim has over thirty years experience working in Intelligence and Defence policy positions in Australia. His early career includes service as an intelligence officer in DSD, JIO and the National Assessments Staff, where he was also Secretary of the National Intelligence Committee. He is an experienced intelligence manager, having oversighted a variety of issues, including Olympics security planning, responses to September 11 and the Bali bombing, and critical infrastructure security.

Jim has also been an intelligence user working as a senior Defence officer in a range of positions managing strategic and international policy issues, as well as three years in Washington as Counsellor Defence Policy at the Australian Embassy. He also served in Port Moresby and London, and is a graduate of the Royal College of Defence Studies.

Since his retirement from the Australian Public Service, he has acted as an advisor to Government and Business on a wide range of intelligence and security related issues. He lectures on Intelligence and Security at Australian Universities, is a visiting fellow at the University of Wollongong and a member of the Board of Future Directions International.

Administrator: **Darren Morgan**
Room RH 821, Level 8, Rutherford House, Pipitea Campus
Telephone: (04) 463 5458
Fax: (04) 463 5454
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School of Government Office Hours: 8.30am to 5.00pm, Monday to Friday

Trimester Dates

Monday 2 March to Wednesday 1 July 2009

Class Times and Room Numbers

Dates: Tuesday 30 June to Friday 3 July 2009 (inclusive)

Times: 8.30am to 4.00pm each day

Locations: Classes will be held on the Pipitea Campus of Victoria University in Wellington and you will be advised of your classroom one week prior to the course by email.

Withdrawal Dates

Students giving notice of withdrawal from this course after **Wednesday 1 July 2009** will NOT receive a refund of fees.

Students giving notice of withdrawal from this course after **Tuesday 1 September 2009** are regarded as having failed the course, unless the Associate Dean subsequently gives approval to withdraw.

Notice of withdrawal must be in writing / emailed to the Masters Administrator. Ceasing to attend or verbally advising a member of staff will NOT be accepted as a notice of withdrawal.

Course Content

The program will begin with a discussion of the concept on “intelligence” before moving on to an overview of its development and role in policy making and decision taking. Discussion will then move on to exploring the fundamentals of the intelligence process. Sources and uses of intelligence will be explored as will intelligence management and the relationship between intelligence and its users. An opportunity will be given to also consider some of the reasons for intelligence successes and failures, with particular emphasis on sources and analysis. Oversight, accountability and ethics in government intelligence activities will also be covered. In conclusion, the course will look at the changing nature of intelligence in the current heightened security environment, including terrorism, technological change and inter-agency cooperation.

Elements of the course will include:

- The intelligence process;
- Collection and collection disciplines;
- Intelligence analysis;
- The relationship between intelligence and policy making;
- Differences between law enforcement, security, national and business intelligence;

- Factors responsible for intelligence success and failure;
- Legal, ethical and moral issues associated with intelligence activities; and
- Implications of emerging technologies and security threats for intelligence collection and processing.

Time	Tuesday 30 June 2009	Wednesday 1 July 2009	Thursday 2 July 2009	Friday 3 July 2009
0830 – 1030	Session 1: Understanding Intelligence	Session 4: The Intelligence Process	Session 7: Foreign Intelligence	Session 10: Sources of Intelligence
1030 – 1100	Morning Tea			
1100 – 1300	Session 2: Intelligence: Past Practice and New Horizons	Session 5: The Intelligence Process	Session 8: Sources of Intelligence	Session 11: Intelligence Failures and Successes
1300 – 1400	Lunch (not provided)			
1400 – 1600	Session 3: The Intelligence Process	Session 6: Security Intelligence	Session 9: Sources of Intelligence	Session 12: The Ethics and Legality of Intelligence Collection

1. Understanding Intelligence

Objective

Allow participants to explore the concepts of intelligence, its elements and uses. It will set the parameters and foundations for the rest of the program. Opportunities will be taken for participants to discuss the meaning of intelligence and its utility as a means of informing actions and policy.

Scope

Main issues covered will be:

- Understanding what constitutes intelligence;
- Becoming familiar with the tools of intelligence;
- Understanding the intelligence process;
- Differentiating and contextualising Strategic, Security, Law Enforcement and Business Intelligence;
- Intelligence as an aid to policy making and decision taking,
- How can Intelligence “fail”;
- Business, Police and National Intelligence, are there differences? and
- The morality and legality of intelligence gathering and use.

A classroom exercise on intelligence: the role of intelligence in New Zealand.

Essential Reading

Gordon, Sandy: "Intelligence and Policy in the New Strategic Environment", *Security Challenges*, Vol. 3, No. 3, August 2007

www.securitychallenges.org.au/ArticlePDFs/vol3no3Gordon.pdf

Kahn, David: "The Rise of Intelligence", *Foreign Affairs*, September/October 2006

www.foreignaffairs.org/20060901faessay85511/david-kahn/the-rise-of-intelligence.html

Warner, M: "Wanted: A Definition of Intelligence", *Studies in Intelligence*

<https://www.cia.gov/library/center-for-the-study-of-intelligence/csi-publications/csi-studies/studies/vol46no3/article02.html>

"Can Spies Be Made Better", *Economist*, March 19th – 25th 2005

"Cats' Eyes in the Dark", *Economist*, March 19th – 25th 2005

Shulsky, A.N.: *Silent Warfare*, Brassey's, US, 2002, pp. 1 – 9

"Managing Threats to Domestic Security", Chapter 4, Report of the Controller and Auditor General, Wellington, 2003 www.oag.govt.nz/2003/domestic-security/docs/domestic-security.pdf

General Reading

Bennett, RM: *Espionage Spies and Secrets*, Virgin Books, London 2002

Sun Tzu: *The Art of War* (trs. T Cleary), Shambhala, Boston, 1998

Report of the New Zealand Security Intelligence Service, 2006, House of Representatives, Wellington.

2. Intelligence: Past Practice and New Horizons

Objective

Explore the growth of intelligence from its beginnings, noting the increasing reliance by states on intelligence. It will also begin discussion of security, law enforcement and business intelligence, and the operational and cultural changes brought about with the emergence of global terrorism.

Scope

The main issues covered will be:

- War, peace and intelligence;
- The Growth of national intelligence needs;
- The emergence of Law Enforcement Intelligence;
- The challenge of intelligence sharing and cooperation;
- Police, Security Agencies and Terrorism; and
- Business and Competitive Intelligence.

General Reading

Bobbitt, Phillip: *Terror and Consent – The Wars for the Twenty-First Century*, Allen Lane, Melbourne, 2008

Dulles, A: *The Craft of Intelligence*, Harper and Row, New York, 1963

Loewenthal, MM: *Intelligence: From Secrets to Policy*, Congressional Quarterly Press, Washington, 2000

Ratcliffe, JH (Ed): *Strategic Thinking in Criminal Intelligence*, Federation Press, Sydney, 2004

Keegan, John, *Intelligence in War*, Pimlico, London, 2004

Gordon, Sandy: “Reshaping Australian Intelligence”, *Kokoda*, Vol. 1, No. 1, Canberra, 2005

3. – 5. The Intelligence Process

Objective

To provide and understand the basic elements that drive the intelligence collection and assessment process, and how priorities are established and customers’ needs met. It will also draw attention to the growing importance of Information Technology to intelligence.

Scope

The main issues covered will be:

- The Intelligence Process;
- Asking the Right Questions;
- Knowing What You Don’t Know;
- Answering the Questions;
- Getting the Right Answers to the Right People; and
- IT and intelligence.

Essential Reading

Commission on the Roles and Capabilities of the US Intelligence Community: “Preparing for the 21st century: An Appraisal of US Intelligence”, Washington DC, 1996, Appendix B, www.access.gpo.gov/intelligence/int/pdf/int023.pdf

Flood, Philip: Report of the Inquiry into Australian Intelligence Agencies, Australian Government, 2004, pp. 1 – 8
www.pmc.gov.au/publications/intelligence_inquiry/docs/chapter1.pdf

Heuer, Richards, J.: “The Limits of Intelligence Analysis”, *Orbis*, 49 (1), 2004 (This article is available through the Victoria University Library online journals database - go to www.victoria.ac.nz/library/, select “Course Reserve” from the Quick Links side bar, find and select “STRA 522: Methods of Intelligence” in the Course box by using the drop down arrow, click on the Search button, select the article you want, then click the Electronic Resource link and view the article as a web page or PDF document)

General Reading

Laqueur, W: *A World of Secrets: The Uses and Limits of Intelligence*, Basic Books, New York, 1985

Kent, S: *Strategic Intelligence for American World Policy*, Princeton University Press, 1966

Tyson, K.W.M.: *Competitor Intelligence Manual and Guide*, Englewood Cliffs, NJ, Prentice Hall, 1990

Managing Threats to Domestic Security, Chapter 4, Report of the Controller and Auditor General, Audit Office, 2003, Wellington

6. Security Intelligence

Objective

Develop an understanding of the roles of security intelligence agencies, with particular reference to the current threat from terrorism.

Scope

The main issues covered will be:

- Roles and Functions;
- Setting Security Intelligence Priorities;
- Relationships and Information Flows; and
- Security Intelligence and Security Response.

Essential Reading

NZSIS: *About Us*, www.nzsis.govt.nz/about/

Annual Report of the New Zealand Security Intelligence Service

www.nzsis.govt.nz/reports/nzsis-ar07.pdf

Rolfe, Jim: “The Spy Catchers”, NZ Defence Quarterly, 22, Spring 1998, pp. 7 – 11

Opening Address – Warren Tucker, SiD Superstructure Group Intelligence Seminar, Wellington, 23 May 2007, www.nzsis.govt.nz/directorsaddress.aspx

About ASIO, www.asio.gov.au

Australian Security Intelligence Organisation: *Report to Parliament*, Commonwealth of Australia, Canberra, 2007

www.asio.gov.au/Publications/Content/CurrentAnnualReport/pdf/ASIOAnnualReport0607.pdf

Lyons, J: “Inside ASIO”, *The Bulletin*, 6 May 2003, pp. 20 – 29

General Reading

Allen, T & Polmar, N: *Merchants of Treason*, Delacorte Press, New York, 1998

Lowenthal, Mark, M.: *Intelligence: From Secrets to Policy*, CQ Press, Washington DC, 2000
(see chapters on Hansen and Wen Ho Lee cases)

7. Foreign Intelligence

Objectives

Develop an understanding of foreign intelligence, its utility and the various organisations which undertake foreign intelligence collection.

Scope

The main issues to be covered will be:

- Roles and Functions of Foreign Intelligence Collectors;
- Setting Priorities;
- Relationships and Coordination; and
- Contribution to Foreign Policy.

Essential Reading

Government Communication Security Bureau website

www.gcsb.govt.nz/about-us/history.html

NZSIS: *About Us*, www.nzsis.govt.nz/about/

Australian Secret Intelligence Organisation: “About ASIS’s Role”, www.asis.gov.au

Dudgeon, Ian: “Intelligence Support to the Development and Implementation of Foreign Policy and Strategies”, *Security Challenges*, Vol. 2, No. 2, Canberra, July 2006

www.securitychallenges.org.au/ArticlePages/vol2no2Dudgeon.html

General Reading

Johnson, LK: *America's Secret Power: The CIA in a Democratic Society*, OUP, New York, 1989

Wark, W.K. (ed): *Espionage Past, Present and Future?* Frank Cass, London, 1994

Hager, Nicky: *Secret Power: New Zealand's Role in the International Spy Network*, Nelson, 1996

8. – 10. Sources of Intelligence

Objective

Review of intelligence sources and explore why intelligence success depends, in part, on understanding where to acquire data, and the limits and pitfalls of the information available from differing sources.

Scope

The main issues to be covered will be:

- **Open Source** – A review of the publicly available information its utility for Intelligence. A classroom exercise to develop an Open Source Matrix of information available to meet the Intelligence needs of the New Zealand Government.

General Reading

Sands, Amy: “Integrating Open Source Into Transnational Threat Assessments”, *Transforming US Intelligence*, Sims, J.E. and Gurbey, B. Eds., George Town University Press, Washington, 2005

- **Human Intelligence (HUMINT)** – A review of the various means of gathering intelligence using human sources.

General Reading

MacGaffin, J.: “Clandestine Intelligence”, *Transforming US Intelligence*, Sim, J.E. and Gerber, B. Eds., George Washington University Press, Washington, 2005

- **Communications Intelligence (COMINT)** – Discussion of the various form of communications intelligence.

Essential Reading

Barnes, K: “The Defence Signals Directorate – Its Role and Functions” *Australian Defence Force Journal*, No. 108, Sep / Oct 1994, pp. 3 – 7

Australian Department of Defence: “About DSD”, www.dsd.gov.au

- **Imagery Intelligence (IMINT)**

Essential Reading

Richelson, JT: “The Spies in Space”, *Air and Space*, Dec 1991 / Jan 1992

“About DIGO”, www.defence.gov.au

General Reading

Richelson, JT: *America's Space Sentinels*, University of Kansas Press, 1999

- **Specialised Technical Collection**

General Reading

Richelson, JT: *America's Space Sentinels*, University of Kansas Press, 1999

Gosler, J.T.: “The Digital Dimension”, *Transforming US Intelligence*, op cit

11. Intelligence Failures and Successes

Objective

Explore the limitations of intelligence and draw lessons on the future uses of intelligence in policy making and decision taking.

Scope

Consideration of what constitutes an “Intelligence Failure” including:

- Operation Barbarossa 1941;
- Singapore 1942;
- Tet Offensive 1968;
- Yom Kippur 1973;
- Falklands Islands 1982; and
- Iraq War.

Essential Reading

Pillar, Paul R.: “Intelligence, Policy, and the War in Iraq”, *Foreign Affairs*, March/April 2006
www.foreignaffairs.org/20060301faessay85202/paul-r-pillar/intelligence-policy-and-the-war-in-iraq.html?mode=print

Kahn, D: “The Intelligence Failure of Pearl Harbour”, *Foreign Affairs*, Vol. 70, No. 5, 1991

Betts, RK: “Analysis, War and Decision: Why Intelligence Failures are Inevitable”, *World Politics*, Vol. 3, No. 1, 1978

Gladwell, M: “Connecting the Dots”, *The New Yorker*, 9 March 2003

www.gladwell.com/pdf/dots.pdf

Hughes-Wilson, J: *Military Intelligence Blunders*, Robinson, London, 1999, pp. 1 – 15

Hedley, John, H.: “Learning from Intelligence Failures”, *International Journal of Intelligence and Counter Intelligence*, 18 (3), 2005 (This article is available through the Victoria University Library online journals database - go to www.victoria.ac.nz/library/, select “Course Reserve” from the Quick Links side bar, find and select “STRA 522: Methods of Intelligence” in the Course box by using the drop down arrow, click on the Search button, select the article you want, then click the Electronic Resource link and view the article as a web page or PDF document)

General Reading

Report of the Select Committee on Intelligence on Post-war Findings About Iraq’s WMD Program and Links to Terrorism and How They Compare With Pre-war Assessments, United States Senate, 8 September 2006 – read selectively

Keegan, J.: *Intelligence in War*, Hutchison, London, 2004 – read selectively

The Assessment of the British Government on Iraq’s Programme for Weapons of Mass Destruction (the “Blair Dossier”), September 2002.

www.pm.gov.uk/output/Page271.asp

Address by US Secretary of State Powell to the UN Security Council on 5 February 2003

www.whitehouse.gov/news/releases/2003/02/20030205-1.html

Parliament of Australia: Hansard, 4 February 2003, pp. 10642 – 10652, Ministerial Statements: Iraq

12. The Ethics and Legality of Intelligence Collection

Objectives

Explore the moral and ethical issues around the uses of intelligence and the legal frameworks which exist in democratic states to oversight intelligence collection activities.

Scope

The main issues covered will be:

- Who will guard the Guardians? Accountability and Oversight;
- New Zealand and Australian legal constraints on Intelligence Agencies; and
- Participants will be asked to consider legal and ethical issues raised by collection methods and discuss what means justify what ends.

Essential Reading

Office of General Counsel, US Department of Defence: “An Assessment of International Legal Issues in Information Operations”, May 1999

www.au.af.mil/au/awc/awcgate/dod-io-legal/dod-io-legal.pdf

Richelson, JT: “When Kindness Fails: Assassination as a National Security Option”, *International Counter Intelligence*, Vol. 15, No. 2, 2002

Godfrey, ED: “Ethics and Intelligence”, *Foreign Affairs*, No. 3, April 1978

Pfaff, T: “Bungee Jumping off the Moral High Ground: The Ethics of Espionage in the Modern Age”, www.usafa.edu/isme/JSCOPE02/Pfaff02.html

General Reading

Hersh, S M: “The Gray Zone”, *The New Yorker*, 24 May 2004

Barr, H., Johnson, L.K. and Leigh, I.: *Who’s Watching the Spies*, Potomac Books, Washington, 2005

Parliamentary Joint Committee on Intelligence and Security, Annual Report of Committee Activities 2006 – 2007, Canberra, 2007

Course Learning Objectives

The last decade has seen an increasing recognition of the important role in Government and Business of information-based enquiry, informed decision making, planning, policy development and implementation and service delivery. The challenges of Global change and interdependence require individuals and multi-disciplinary teams to conduct analysis of complex issues in a responsible and accountable manner. Their outputs inform decision makers in formulating policies and actionable responses.

Against this background the course seeks to develop a generic knowledge of the processes and skills used in information gathering, collation and analysis for the purpose of developing and producing accurate, timely and relevant processed information – intelligence. It will seek to provide an overview of the concept of intelligence, its process and methods, management, uses and current relevance. It will also raise the question of whether the secrecy inherent in some government intelligence processes can compromise democratic values.

Expected Workload

The learning objectives set for each course are demanding and, to achieve them, candidates must make a significant commitment in time and effort to reading, studying, thinking, and completion of assessment items outside of contact time. Courses vary in design but all require preparation and learning before the first day of contact. Intensive courses usually also require further study after the contact period. Expressed in input terms, the time commitment required usually translates to 65-95 hours (excluding class contact time) per course.

Group Work

During the module, there will be a range of exercises requiring participants to undertake group work to produce outcomes for general discussion.

Readings

There are a wide range of books, journals and websites on “intelligence” but few “textbooks”. For this reason, significant selected material is provided as set course reading. It is expected that “essential readings” will be undertaken before the course. In addition, for each session additional reading sources are provided to allow further exploration of the subject. The University Library also provides a useful Subject Guide for Political Science and International Relations, which has a detailed Intelligence and Security page with a wide range of useful references.

Materials and Equipment

No special requirements, although participants would benefit from an ability to produce printed versions of assignments during the course.

Assessment Requirements

The course will be assessed on:

1. Participation in class discussions and group work (15%);
2. A short essay of 450 words to be written on a set topic covered during the course and submitted IN HARD COPY directly to the lecturer at the close of the course on **Friday 3 July 2009** (35%); and
3. A long essay of 4,000 words from topics provided by the course lecturer and submitted IN HARD COPY by **Friday 24 July 2009** (50%) to:

Post Experience Programmes,
School of Government,
Victoria University of Wellington,
Level 8 Reception,
Rutherford House,
23 Lambton Quay,
P.O. Box 600,
Wellington.

Assignments that are submitted in person should be placed in the secure box at School of Government reception (Level 8, Rutherford House) during office hours of 8.30am to 5.00pm, Monday to Friday. The assignment box is cleared daily, and assignments will be date stamped.

Students should keep a copy of all submitted work.

Penalties

The ability to plan for and meet deadlines is a core competency of both advanced study and public management. Failure to meet deadlines disrupts course planning and is unfair on students who do submit their work on time. It is expected therefore that you will complete and hand in assignments by the due date. Marks may be deducted where assignments are submitted after the due date. For out of town students, two calendar days' grace is given to allow for time in the post.

If ill-health, family bereavement or other personal emergencies prevent you from meeting the deadline for submitting a piece of written work or from attending class to make a presentation, you can apply for and may be granted an extension to the due date. Note that this applies only to extreme unforeseen circumstances and is not necessarily awarded. You should let your Course Coordinator know as soon as possible in advance of the deadline if you are seeking an extension.

Mandatory Course Requirements

To fulfil the mandatory course requirements for this course, you are required to:

1. Submit all assignments by the due dates;
2. Attend all classes/contact sessions of the course.

Communication of Additional Information

Additional information may be provided in class, by post, by email or via Blackboard.

Faculty of Commerce and Administration Offices

Railway West Wing (RWW) – FCA Student and Academic Services Office

The Faculty's Student and Academic Services Office is located on the ground and first floors of the Railway West Wing. The ground floor counter is the first point of contact for general enquiries and FCA forms. Student Administration Advisers are available to discuss course status and give further advice about FCA qualifications. To check for opening hours, call the Student and Academic Services Office on (04) 463 5376.

Easterfield (EA) – FCA/Education/Law Kelburn Office

The Kelburn Campus Office for the Faculties of Commerce and Administration, Education and Law is situated in the Easterfield Building on the ground floor (EA 005). This counter is the first point of contact for:

- Duty tutors for student contact and advice.
- Information concerning administrative and academic matters.
- Forms for FCA Student and Academic Services (e.g. application for academic transcripts, requests for degree audit, COP requests).
- Examinations-related information during the examination period.

To check for opening hours, call the Student and Academic Services Office on (04) 463 5376.

Use of Turnitin

Student work provided for assessment in this course may be checked for academic integrity by the electronic search engine www.turnitin.com. Turnitin is an online plagiarism prevention tool which identifies material that may have been copied from other sources including the Internet, books, journals, periodicals or the work of other students. Turnitin is used to assist academic staff in detecting mis-referencing, misquotation, and the inclusion of unattributed material, which may be forms of cheating or plagiarism. *At the discretion of the Head of School, handwritten work may be copy-typed by the School and subject to checking by Turnitin.* You are strongly advised to check with your tutor or the course coordinator if you are uncertain about how to use and cite material from other sources. Turnitin will retain a copy of submitted materials on behalf of the University for detection of future plagiarism, but access to the full text of submissions will not be made available to any other party.

General University Policies and Statutes

Students should familiarise themselves with the University's policies and statutes, particularly the Assessment Statute, the Personal Courses of Study Statute, the Statute on Student Conduct and any statutes relating to the particular qualifications being studied. See the Victoria University Calendar or go to www.victoria.ac.nz/home/about/policy/students.aspx

For information on the following topics, go to the Faculty's website www.victoria.ac.nz/fca, under Important Information for Students:

- Academic Grievances
- Student and Staff Conduct
- Meeting the Needs of Students with Impairments
- Student Support

Academic Integrity and Plagiarism

Academic integrity is about honesty – put simply it means *no cheating*. All members of the University community are responsible for upholding academic integrity, which means staff and students are expected to behave honestly, fairly and with respect for others at all times.

Plagiarism is a form of cheating which undermines academic integrity. The University defines plagiarism as follows:

The presentation of the work of another person or other persons as if it were one's own, whether intended or not. This includes published or unpublished work, material on the Internet and the work of other students or staff.

It is still plagiarism even if you re-structure the material or present it in your own style or words.

Note: including the work of others will not be considered plagiarism as long as the work is acknowledged by appropriate referencing.

Plagiarism is prohibited at Victoria University and is not worth the risk. Any enrolled student found guilty of plagiarism will be subject to disciplinary procedures under the Statute on Student Conduct and may be penalised severely. Consequences of being found guilty of plagiarism can include:

- an oral or written warning
- cancellation of your mark for an assessment or a fail grade for the course
- suspension from the course or the University.

Find out more about plagiarism, and how to avoid it, on the University's website at www.victoria.ac.nz/home/studying/plagiarism.html

Manaaki Pihipihinga Programme

Manaaki Pihipihinga is an academic mentoring programme for undergraduate Māori and Pacific students in the Faculties of Commerce and Administration, and Humanities and Social Sciences. Sessions are held at the Kelburn and Pipitea Campuses in the Mentoring Rooms, 14 Kelburn Parade (back courtyard), Room 109D, and Room 210, Level 2, Railway West Wing. There is also a Pacific Support Coordinator who assists Pacific students by linking them to the services and support they need while studying at Victoria University. Another feature of the programme is a support network for Postgraduate students with links to Postgraduate workshops and activities around Campus.

For further information, or to register with the programme, email manaaki-pihipihinga-programme@vuw.ac.nz or telephone (04) 463 6015. To contact the Pacific Support Coordinator, email pacific-support-coord@vuw.ac.nz or telephone (04) 463 5842.