



AUTHORIZED RULES OF ENGAGEMENT FOR UNAC

Security Council Resolution

1. The Security Council, by its Resolution 1544 (20xx) decided to establish a United Nations Assistance Mission Carana (UNAC) with effect from 22 M+3 20xx. The successful completion of the UNAC mission will result in Carana achieving peace and security. The Security Council thereupon decided to establish by its Resolution 1544 (20xx), a United Nations Assistance Mission in Carana (UNAC) which is mandated to establish UNAC, for a period of 6 months and further decides that UNAC will consist of up to 6,800 United Nations military personnel, including up to 200 military observers and 160 staff officers, and up to 1250 United Nations police officers including formed police units to assist in the maintenance of law and order throughout Carana, and the appropriate civilian component.
2. The UN Security Council by its Resolution 1544 (20xx) appointment by the Secretary-General of his Special Representative for Carana to direct the operations of UNAC and coordinate all United Nations activities in Carana.

UNAC Mandate

3. Under the provisions of Security Council Resolution 1544 (20xx), the UNAC mandate consists of the following elements:
 - a. to observe and monitor the implementation of the ceasefire agreement and investigate violations of the ceasefire;
 - b. to establish and maintain continuous liaison with the field headquarters of all parties military forces;
 - c. to develop, as soon as possible, preferably within 30 days of the adoption of the resolution, in cooperation with relevant international financial institutions, international development organizations, and donor nations, an action plan for the overall implementation of a voluntary disarmament, demobilization, reintegration and repatriation (DDRR) programme for all

armed parties; with particular attention to the special needs of child combatants and women; and addressing the inclusion of non-Carana combatants;

- d. to carry out voluntary disarmament and to collect and destroy weapons and ammunition as part of an organized DDRR programme;
- e. to provide security at key government installations, in particular ports, airports and other vital infrastructure.

UNAC Objectives

4. To implement its mandate UNAC has the objective of giving full effect to the following four Programmes:

- a. Protection of United Nations' Staff, facilities and Civilians,
- b. Support for Humanitarian and Human Rights Assistance,
- c. Support for Security reform, and
- d. Support for Implementation of the Peace Process.

5. Protection of United Nations' Staff, facilities and Civilians:

- a. to protect United Nations personnel, facilities, installations and equipment, ensure the security and freedom of movement of its personnel and, without prejudice to the efforts of the government, to protect civilians under imminent threat of physical violence, within their capabilities;

6. Support for Humanitarian and Human Rights Assistance:

- a. to facilitate the provision of humanitarian assistance, including by helping to establish the necessary security conditions;
- b. to monitor the human rights situation, to contribute towards international efforts to protect and promote human rights in Carana, with particular attention to vulnerable groups including refugees, returning refugees and internally displaced persons, abductees, women, children and demobilized child soldiers, as well as provide human rights technical assistance as

needed in close cooperation with other United Nations agencies, related organizations, government organizations and non-governmental organizations;

- c. to ensure an adequate human rights presence, capacity and expertise within UNAC to carry out human rights promotion, protection, and monitoring activities;

7. Support for Security reform:

- a. to assist the new Carana government in monitoring and restructuring of the police force of Carana, consistent with democratic policing and international standards, to develop a civilian police training programme, and to otherwise assist in the training of civilian police in cooperation with interested organizations and interested States;
- b. to assist the new Carana government in the formation of a new and restructured Carana military in cooperation with international organizations and interested States;

8. Support for Implementation of the Peace Process:

- a. to assist the new Carana government in conjunction with other international partners, in reestablishment of national authority throughout the country, including the establishment of a functioning administrative structure at both national and local level;
- b. to assist the new Carana government in restoring proper administration of natural resources;
- c. to assist the new Carana government in preparing for national elections scheduled for no later than end 20xx;
- d. to assist the new Carana government in conjunction with other international partners in developing a strategy to consolidate governmental institutions, including a national legal framework and judicial and correctional institutions;

9. Acting under Chapter VII of the Charter of the United Nations, the Security Council, by its Resolution 1544 (20xx), authorized UNAC, for the duration of its mandate, to fulfill its tasks, and decided to review this issue and all other aspects of UNAC'S mandate after 6 months.

SPECIFIC RULES OF ENGAGEMENT FOR UNAC

10. The following ROE have been authorized for use by UN Security Force (UNSF) in UNAC:

Rule 1 — Use of Force

Rule No 1.1 Use of force, up to and including deadly force, to defend oneself and other UN personnel against a hostile act or a hostile intent, is authorized.

Rule No 1.2 Use of force, up to and including deadly force, to defend other international personnel against a hostile act or a hostile intent, is authorized.

Rule No 1.3 Use of force, up to and including deadly force, to resist armed attempts to abduct or detain oneself and other UN personnel, is authorized.

Rule No 1.4 Use of force, up to and including deadly force, to resist armed attempts to abduct or detain other international personnel is authorized.

Rule No 1.5 Use of force, up to and including deadly force, to protect United Nations installations, areas or goods designated by the SRSG in consultation with the Force Commander, against a hostile act, is authorized.

Rule No 1.6 Use of force, up to and including deadly force, to protect key installations, areas or goods designated by the SRSG in consultation with the Force Commander, against a hostile act is authorized.

Rule No 1.8 Use of force up to and including deadly force, in order to protect civilians under immediate threat of physical violence, is authorized.

Rule No 1.9 Use of force (not including the use of deadly force) to prevent the escape of any apprehended or detained person, pending hand-over to appropriate civilian authorities, is authorized. In case of necessity to act in self-defence, use of force, up to and including deadly force, is authorized.

Rule No 1.10 Use of force, up to and including deadly force is authorized:

- a. In order to protect the security of UNAC personnel; and

- b. Against any individual and/or group who limits or intends to limit the freedom of movement of UNAC personnel.

Rule No 1.11 Use of force up to and including deadly force, to resist armed/forceful attempts to prevent UNAC personnel from discharging their duties is authorized.

Rule 2 — Use of Weapon Systems

Rule No 2.1 Use of explosives in order to destroy weapons, ammunition, mines and unexploded ordnance, in the course of the disarmament exercise, is authorized.

Rule No 2.2 Indiscriminate pointing of weapons in the direction of any person is prohibited.

Rule No 2.3 Firing of weapons other than for organized training and as authorized in these ROE, is prohibited.

Rule No 2.4 Firing of warning shots is authorized.

Rule No 2.5 Use of riot control equipment and agents is authorized.

Rule No 2.6 Use of lasers for survey, range finding and targeting is authorized.

Rule No 2.7 Use of Grenades and Grenade 40 mm HE is authorized only when necessary for immediate self defence or the immediate defence of others authorized to be defended under these ROE against a hostile act or demonstration of hostile intent.

Rule 3 — Authority to Carry Weapons

Rule No 3.1 Carriage of loaded personal weapons is authorized.

Rule No 3.2 Overt carriage by individuals of hand-held support weapons such as machine guns, light mortars and hand held anti-tank weapons, is authorized.

Rule No 3.3 Deployment and carriage of weapons on or in vehicles, aircraft and vessels is authorized.

Rule 4 — Authority to Detain, Search and Disarm

Rule No 4.1 Detention of individuals or groups who commit a hostile act or demonstrate a hostile intent against oneself, one's unit or UN personnel is authorized.

Rule No 4.2 Detention of individuals or groups who commit a hostile act or demonstrate a hostile intent against other international personnel is authorized.

Rule No 4.3 Detention of individuals or groups who commit a hostile act or demonstrate hostile intent against any civilian, or against installations and areas or goods designated by the SRSG in consultation with the Force Commander is authorized.

Rule No 4.4 Searching of detained persons for weapons, ammunition and explosives, is authorized.

Rule No 4.5 Disarming of armed individuals or groups, when so directed by the Force Commander, is authorized.

Rule No 4.6 In the absence of police authority, warning and questioning of persons is authorized if those persons are known to be obstructing or otherwise interfering with the UNAC mission, or are believed, on reasonable grounds to be so doing.

Rule No 4.7 In the absence of police authority, detention and search of persons is authorized if those persons are known to be obstructing or otherwise interfering with the UNAC mission or are believed on reasonable grounds to be so doing.

Rule 5 — Reaction to Civil Action or Unrest

Rule No 5.1 In the absence of police authority, detention of any person who commits or threatens to commit a crime, is authorized.

Rule No 5.2 In the absence of police authority, warning and questioning of suspicious person or persons obstructing or otherwise interfering with the UNAC mission are authorized.

Rule No 5.3 In the absence of police authority, detention and search of suspicious person or persons obstructing or otherwise interfering with the UNAC mission are authorized.

Rule No 5.4 In the absence of police authority, security operations such as roadblocks, barriers, cordon and search and prohibition of entry, which may disrupt the normal pattern of civilian life, are permitted to the extent necessary for mission accomplishment.

Annex A to ROE



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**ANNEX A TO
RULES OF ENGAGEMENT FOR UNAC
DEFINITIONS AND AMPLIFICATIONS**

1. **Civil unrest:** the commission, perpetration or instigation of acts of violence, which affect public peace and order.
2. **Collateral Damage.** Incidental loss of civilian life, injury to civilians, or damage to civilian property not part of an authorized target.
3. **Cordon.** A deployment of UNAC personnel around an object or location with the intent to isolate an area and restrict and/or control both access and exit.
4. **Detainee:** A detainee or detained person means any person deprived of personal liberty except as a result of conviction of an offence.
5. **Force.** The use of, or threat to use, physical means to impose one's will. Such means are used by formed, armed and disciplined bodies of UNAC and generally imply the potential to use appropriate and authorized levels of violence.
 - a. **Armed Force.** The use of weapons, including firearms and bayonets.
Note: Such weapons are generally designed to inflict deadly force, but can also be used in a non-deadly manner.
 - b. **Deadly Force.** The level of force which is intended, or is likely to cause, death regardless of whether death actually results. This is the ultimate degree of force.
 - c. **Non-deadly Force:** The level of force which is neither intended nor likely to cause death, regardless of whether death actually results.
 - d. **Minimum Force.** The minimum degree of authorized force which is necessary and reasonable in the circumstances, to achieve the objective. The minimum degree of force is applicable whenever force is used.

Minimum force can be deadly force if appropriate.

- e. **Unarmed Force.** The use of physical force, short of the use of “armed force”.

NOTE: Riot control equipment and other ‘non-lethal weapons’ may be used as a means of unarmed force as they are designed and intended to be used so as not to inflict deadly force.

6. **Hostile Act.** An action where the intent is to cause death, serious bodily harm or destruction of designated property.

7. **Hostile Intent.** The threat of imminent and direct use of force, which is demonstrated through an action which appears to be preparatory to a hostile act. Only a reasonable belief in the hostile intent is required, before the use of force is authorized. Whether or not hostile intent is being demonstrated must be judged by the on-scene commander, on the basis of one or a combination of the following factors:

- a. The capability and preparedness of the threat.
- b. The available evidence which indicates an intention to attack.
- c. Historical precedent within the Mission’s Area of Operations (AO).

8. **Loaded Weapon.** A weapon that has ammunition attached to it but none of the ammunition has been placed into the chamber.

9. **Positive Identification.** Assured identification by a specific means. This can be achieved by any of the following methods: visual, electronic support measures, flight plan correlation, thermal imaging, passive acoustic analysis or Identify Friend or Foe (IFF) procedures.

10. **Proportionality.** The amount of force which is reasonable in intensity, duration and magnitude, based on all facts known to the commander at the time, to decisively counter a hostile act or hostile intent, or to achieve an authorized objective.

11. **Reasonable Belief.** Reasonable belief is when the Commander, or individual, logically and sensibly concludes, based on the conditions and circumstances in which he or she finds him or herself that a hostile threat exists.

12. Self-Defence. Self-Defence is the use of such necessary and reasonable force, including deadly force, by an individual or unit in order to protect oneself, one's unit and all UN personnel against a hostile act or hostile intent.

13. Preemptive Self-Defence. Action taken to pre-empt an imminent hostile act, where there is clear indication that an attack is about to be made against oneself, one's unit and UN personnel.

14. UN Personnel. All members of UNAC (including locally recruited personnel whilst on duty), UN officials and experts on mission on official visits.

15. Other International Personnel. Personnel belonging to international agencies associated with UNAC in the fulfilment of its mandate, and other individuals or groups formally and specifically designated by the SRSG in consultation with UN HQ, including:

- a. Members of organisations operating with the authority of the UN Security Council (SC) or General Assembly (GA);
- b. Members of authorized charitable, humanitarian or monitoring organisations;
- c. Other individuals or groups specifically designated by the Special Representative of the Secretary General (SRSG); but excluding foreign nationals such as businessmen and journalists.

16. Warning Shots. A warning shot is a signal demonstrating resolve, or a capability to convince persons to stop threatening actions, or as a warning and potential precursor to the actual use of deadly force. A warning shot is a shot fired at a safe point of aim with no intent to cause death, injury or severe damage.

AMPLIFICATIONS

17. General Amplification to Rule No 1: Rule No 1 generally allows the use of force up to and including deadly force in given circumstances. Any use of force must be graduated where possible and only the minimum force necessary to meet the threat must be used. This does not prevent the immediate use of deadly force if the threat to life is imminent and there is no alternative but to use deadly force immediately to remove that threat.

18. Amplification to Rule No 1.5 and Rule No 1.6: The minimum force necessary, NOT including deadly force, may be used to protect your property and property (including buildings and installations) it is your duty to protect. Deadly force, including

opening fire, may ONLY be used against an individual or group who:

- a. Attempts to damage or destroy property whose damage or destruction is likely to endanger the life of, or cause serious injury to, yourself or any other person; or
- b. Attempts to destroy property that has been declared 'designated property' by the Force Commander; and
- c. There is no other reasonable way to prevent the individual or group from so acting.

19. For the purposes of both Rule No 1.5 and Rule No 1.6, the following property has been designated by the SRSG and declared 'designated property' by the Force Commander:

- a. UNAC aircraft and vessels, including any aircraft and vessels of Troops Contributing Countries (TCC) that are deployed to the UNAC AO for the purpose of assisting UNAC to fulfill the mandate (whether occupied or not);
- b. Occupied UNAC vehicles, premises and compounds (including police stations, courts, and other central and district administration buildings);
- c. Occupied vehicles, premises and compounds of organizations and agencies who are assisting UNAC in the fulfillment of its humanitarian mandate, including United Nations specialized agencies, other international organizations, foreign government agencies and non-governmental organizations;
- d. Carana community power stations and water reticulation and purification plants (whether occupied or not);
- e. UNAC arming and refueling points (whether occupied or not); and
- f. UNAC and civil communication facilities essential for UNAC command and control between battalions, units and higher headquarters (whether occupied or not).

20. Amplification to Rule No 1.9: Deadly force may only be used (as part of a graduated response where possible) where the attempt to restrict movement if successful would likely result in the loss of life or serious injury to any person.

21. Amplification to Rule No 1.10: Deadly force may only be used (as part of a graduated response where possible) where the attempt to prevent UNAC personnel from discharging their duty if successful would likely result in the loss of life or serious injury to any person. This does not prevent you from using non-deadly force to resist the individual or groups attempt to prevent you from discharging your duties. If in so doing the response from that individual or group threatens yours or any other person's life, or is likely to cause serious injury, then deadly force may be used.

22. General Amplification to Rule No. 5: Action taken by PKF in relation to persons who are involved in civil actions or unrest shall only occur in the following circumstances: while performing routine activities PKF observe serious criminal activity; Force/Mission protection; providing assistance to Carana Security Agencies in accordance with agreed procedures; and while operating in the vicinity of the tactical coordination line/ border until border normalization is achieved. Persons who are detained are to be treated in compliance with Annex C and the Force Commander's Detention and Disarmament policy issued separately.

23. Amplification to Hostile Intent. Hostile intent will always be determined on a case-by-case basis and will be heavily dependent upon local conditions. Hostile intent can be demonstrated by:

- a. persons that carry out armed attacks against UN personnel and other international personnel or against those falling under the protection of UNAC;
- b. members of any military or paramilitary group or organization carrying personal weapons or manning weapon systems, whether or not they are engaged in attacks against UN personnel, other international personnel and/or those falling under the protection of UNAC;
- c. civilians that spontaneously take up arms against UN personnel, other international personnel or those falling under the protection of UNAC.

24. In the case of Militia or suspected Militia, at all times the determination of hostile intent shall require weapons being carried in a manner deemed ready for immediate use. When UNAC Security Force units are confronted by Militia or suspected Militia who are:

- a. Positively recognized, and
- b. Carrying firearms and/or grenades, and
- c. Operating in a tactical manner,

then such Militia or suspected Militia may be engaged on the basis that they are demonstrating hostile intent. In such circumstances the requirement to provide a warning in accordance with paragraph 6 of Annex C is not mandatory.

25. NOTE: '**Positively recognized**' means that a person is observed and is understood to be Militia or suspected Militia.

26. '**Operating in a tactical manner**' shall be determined on a case-by-case basis. The following examples would normally constitute operating in a tactical manner:

- a. Militia or suspected Militia patrolling in a tactical manner or military formation;
- b. Militia or suspected Militia in an ambush position;
- c. Militia or suspected Militia deployed or deploying at a road block(s);
- d. Militia or suspected Militia deployed or assessed as deploying as an armed sentry, or sentries to their position.

Annex B to ROE



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**ANNEX B TO
RULES OF ENGAGEMENT FOR UNAC
SUPPORTING DIRECTIVES AND PROCEDURES**

General

1. **Identification.** Assured identification (positive identification) of hostile forces (groups and persons) prior to engagement is required. Unobserved indirect fire is prohibited.
2. **Civil Action.** UNAC military personnel should avoid any action which would result in the disruption of legitimate civil activities in the mission area.
3. **Prohibitions.** The following prohibitions are to be observed, even when authorized ROE are being used:
 - a. Use of certain weapons and methods of combat under the relevant instruments of international humanitarian law, including, in particular, the prohibition on the use of asphyxiating, poisonous or other gases and biological methods of warfare; bullets which explode, expand or flatten easily in the human body; and certain explosive projectiles. The use of certain conventional weapons, such as non-detectable fragments, anti-personnel mines, booby traps and incendiary weapons is prohibited.
 - b. Use of weapons or methods of warfare which may cause superfluous injury or unnecessary suffering, or which are intended, or may be expected to cause, widespread, long-term and severe damage to the natural environment.
 - c. Use of weapons or methods of combat of a nature to cause unnecessary suffering.
 - d. Attacks on monuments of art, architecture or history, archaeological sites, works of art, places of worship and museums and libraries which constitute the cultural or spiritual heritage of peoples. In its area of operation, the UNPKO shall not use such cultural property or their

immediate surroundings for purposes which might expose them to destruction or damage. Theft, pillage, misappropriation and any act of vandalism directed against cultural property are strictly prohibited.

- e. Use of methods of warfare to attack, destroy, remove or render useless objects indispensable to the survival of the civilian population, such as foodstuff, crops, livestock and drinking water installations and supplies.
- f. Making installations containing dangerous forces, namely dams, dikes and nuclear electrical generating stations, the object of military operations if such operations may cause the release of dangerous forces and consequent severe losses among the civilian population.
- g. Engaging in reprisals against objects and installations protected under this paragraph above.
- h. Engaging in punitive use of force and retaliation.

4. **Cordon Principles.** Cordons may only be conducted if the Force Commander judges that the situation warrants isolation of the area and that such action is consistent with the mandate of UNAC.

WARNING PROCEDURES

5. **General.** The use of armed force is normally a measure of last resort, in response to a hostile act or hostile intent. If a confrontation threatens the UNAC military personnel on the scene, the UN aim must be to dissuade the parties concerned from carrying on.

6. **Graduation.** The following graduated procedures are to be observed:

- a. **Verbal Negotiation and/or Visual Demonstration.** Every effort must be made to warn any potential or actual aggressor before UNAC military personnel respond with force. The aim is to stop hostile activity.
- b. **Unarmed Force.** If the preceding step is unsuccessful, where possible, minimum unarmed force may be employed. If riot control equipment or other non-lethal weapons are possessed by UNAC personnel trained to use those weapons, and where they would be an effective means to bring the threat to an end before having to resort to deadly force, then they may be used if authorized by the on-scene

commander.

- c. **Charge Weapons.** An attempt should be made to make use of the visual and audible effect of charging weapons to convince any aggressor that failure to stop the aggressive activity may result in the use of deadly force.
- d. **Warning Shots.** If the threat continues, and subject to the orders of the commander on the scene, warning shots should be fired at a safe point of aim, to avoid causing personal injury or collateral damage.
- e. **Armed Force.** If all the preceding steps, including the use of unarmed force, are unsuccessful and there are no other choices available, the necessary armed force may be used. The decision to open fire will be made only on the order and under the control of the on-scene Commander, unless there is insufficient time. Before opening fire, a final warning is to be given as follows:
 - i. The warning may be given verbally (in English and in the local language and / or visually by a sign or by illumination (e.g. hand-held red flares, searchlights, etc).
 - ii. You are to challenge in English:
 - iii. **“UNITED NATIONS, HALT OR I SHOOT”.**
 - iv. This challenge will be repeated in French as follows:
 - v. **“NATIONS UNIES HALTE OU JE TIRE”.**
 - vi. The verbal or visual warning should be repeated as many (and at least three) times as necessary to ensure understanding or compliance.

FIRING PROCEDURES

7. **Opening Fire Without Warning.** The only circumstance, under which it is permitted to open fire without attempting to follow the warning sequence, would be if an attack by an aggressor comes so unexpectedly that, even a moment's delay could lead to death of, or grievous injury to oneself, UN personnel and those who are under the protection of UNAC as specified in this ROE.

8. **Procedures During Firing.** The use of firearms must be controlled, and there should be no indiscriminate firing. Automatic fire should only be used as a last resort. The following points must be kept in mind during fire:

- a. Fire must be aimed.
- b. Minimum rounds are to be fired to achieve the authorized objective.
- c. All necessary precautions are to be taken to avoid collateral damage.

9. **Procedures After firing.** After any weapon firing, the following actions are to be taken:

- a. **Medical Assistance.** All injured persons should be given first aid as soon as possible, when such aid can be given without endangering lives.
- b. **Recording.** Details of the incident are to be recorded, including:
 - i. Date, time and place of firing;
 - ii. Unit and personnel involved;
 - iii. The events leading up to firing;
 - iv. Why UNAC personnel opened fire;
 - v. Who or what was fired on;
 - vi. The weapons fired and the number of rounds discharged;
 - vii. The apparent results of the firing; and
 - viii. A diagram of the incident scene.

10. **Reporting.** Following an immediate report that firing has taken place, the above information and the current situation are to be reported through the UN chain of command, to the Force Commander and UN HQ (DPKO), as rapidly as possible.

SEARCH AND APPREHENSION PROCEDURES

11. See the Force Commander's Detention and Disarmament Policy issued separately.