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**EXERCISE RULES OF ENGAGEMENT
FOR THE MILITARY COMPONENT OF
THE UNITED NATIONS IN MISSION X**

INTRODUCTION

1. This document, including all of its Annexes (A–E), constitutes the entire Rules of Engagement (ROE) for the United Nations Mission X (MISSION X).
2. This document provides the authority for the use of force and explains the policies, principles, responsibilities and definitions of the ROE.
3. These ROE are directions to operational commanders, which delineate the parameters within which force may be used by the military component of MISSION X while executing its mandated activities. They are founded on Security Council resolution (S/RES/XXXX) and all subsequent relevant resolutions, including Security Council resolution XXXX (S/RES/XXXX). Where issued as prohibitions, they are orders not to take specific actions. Where issued as permissions, they are the authority for commanders to take certain specific actions if they are judged necessary to achieve the aim of the Mission. While remaining predominantly defensive in nature, the ROE allow for offensive action, if necessary, in order to ensure the implementation of the tasks assigned to MISSION X's military component. The ROE also provide the circumstances in which the use of force by MISSION X military personnel may be justified.
4. In addition to the main document, the key elements are attached as follows:
 - a. Annex A: Authorised Numbered ROE for the Military Component of MISSION X;
 - b. Annex B: Definitions;
 - c. Annex C: Supporting directions and procedures, including those for challenging, warning shots, search and apprehension;
 - d. Annex D: Weapon States;
 - e. Annex E: Aide-Mémoire.

AUTHORITY

5. The powers and authority of MISSION X are provided for in Security Council resolution XXXX (S/RES/XXXX), and all subsequent resolutions of the Security Council on MISSION

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X, including resolution XXXX (S/RES/XXXX). They must be exercised in a manner consistent with MISSION X's Mandate.

MANDATE

6. MISSION X was established by the Security Council in its resolution XXXX (2011). Its current mandate is provided for in resolution XXXX (2014). The circumstances in which force may be used by MISSION X to implement its mandate are set out in annex A – "Authorised Numbered Rules."

EXECUTION OF ROE

7. Principles

a. General

- 1) The conduct of MISSION X military operations is governed by the purposes of the Charter of the United Nations and relevant principles of international law, including the Law of Armed Conflict.
- 2) MISSION X military personnel must operate within the framework of this document, which has been formulated in accordance with the parameters established in Security Council resolution XXXX (2011) as revised by subsequent relevant resolutions, including resolution XXXX (2014).
- 3) MISSION X ROE provide direction to commanders at all levels, governing the use of force within the Mission Area. They define the degree of force that may be used and the manner in which it may be applied. They are designed to ensure that the application of force is controlled and legal. The ROE inform commanders of the constraints imposed and the degrees of freedom they have, in the course of carrying out their mission.
- 4) The ROE is to be translated in a clear and concise way into the language(s) of each participating nationality. Throughout the conduct of military operations, where armed force is to be used, MISSION X military personnel must comply with the international legal principles of proportionality, the minimum use of force and the requirement to minimize the potential for collateral damage.
- 5) While the ROE may restrict the maneuver and operation of specific weapons systems, they do not:
 - i. Describe specific doctrine, tactics and procedures;
 - ii. Address safety-related restrictions.

b. International Law, including Law of Armed Conflict.

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MISSION X military personnel are required to comply with International Law, including the Law of Armed Conflict, and to apply the ROE in accordance with those laws.

c. Self-Defence

- 1) Nothing in these ROE negates a commander's right and obligation to take all necessary and appropriate action for self-defence. All personnel may exercise the inherent right of self-defence.
- 2) Pre-emptive self-defence against an anticipated attack must be supported by credible evidence or information that justifies a reasonable belief that hostile units or persons are about to launch an immediate attack.
- 3) Self-defence against a hostile force(s) may be exercised by individuals or by individual units that are under attack or in danger of being attacked, as well as by other UN forces that are able to assist those individuals or individual units. Potentially hostile forces which are beyond the range of their known weapon systems or which are not closing on friendly forces are not to be attacked without authority from a superior commander or clear and credible evidence or information that justifies a reasonable belief that a hostile act from those forces is imminent.

d. Military Necessity. The principle of military necessity authorizes the use of only that amount of force which is required to accomplish the authorized objective. Military necessity does not and cannot authorize acts that are otherwise prohibited under international law, including the Law of Armed Conflict.

e. Alternatives to the Use of Force. Whenever the operational situation permits, every reasonable effort must be made to resolve a potentially hostile confrontation by means other than the use of force (e.g. through negotiations or assistance from the local authorities).

f. Duty to Challenge and Warn. Before resorting to the use of force, every reasonable step must be taken to deter a person or group from committing a hostile act. The procedure required by the UN to challenge and warn is given at Annex C.

g. Duty to Identify Target - Observe Fire. Positive identification of hostile forces is required before opening fire. All fire must be aimed and controlled, and only the minimum number of rounds necessary is to be fired. Firing procedures are given at Annex C.

h. Duty to Use Minimum and Proportional Force

- 1) Any force used must be limited, in its intensity and duration, to that which is necessary to achieve the authorized objective. In some circumstances, operational urgency may dictate the immediate use of deadly force.
- 2) The use of force must be commensurate with the level of the threat. However, the level of response may have to be higher than the level of the threat in order to minimize UN casualties and civilian casualties and/or losses.

3) Commanders should, where appropriate, consider the use of alternatives to the use of physical force, such as deception, psychological methods, negotiation and other non-lethal means, including the deployment or maneuver of larger forces in order to demonstrate resolve.

i. Avoidance of Collateral Damage. When force is used, all feasible precautions are to be taken with a view to avoiding and in any event to minimizing, collateral damage.

j. Duty to Report. Each and every confrontation resulting in a detention, or involving the use of force, is to be reported through the chain of command as soon as possible, whether it results in casualties or not. More details are contained in Annex C.

k. Right to Maintain Position. MISSION X military personnel may maintain their position, personnel and equipment when confronted with a hostile act or intent. In such circumstances, they may also use necessary force to maintain their position, as authorised in these ROE.

l. Use of Force Beyond Self-Defence

1) The use of force beyond self-defence may only be applied in the circumstances set out in paragraph 2 of Annex A of these ROE and is subject to the conditions set out in these ROE.

2) The Force Commander, or the commander to whom the authorisation has been delegated, retains direct control over the use of force in these circumstances.

8. Applicability. The ROE set out in this document apply to all military personnel assigned to the military component of MISSION X as authorised by the Security Council.

9. Responsibility of Force Commander and Subordinate Commanders

a. The implementation of these ROE is a command responsibility. These ROE are addressed to the Force Commander, who is then responsible for issuing them to all subordinate commanders. **The Force Commander is ultimately responsible for the enforcement of these ROE.**

b. The Force Commander and his/her subordinate commanders are not permitted to exceed the limits of these ROE, but may, when and as appropriate, authorize more restrictive limits on the actions of assigned forces, subject to United Nations Headquarters (UNHQ) approval. A commander may issue these ROE as received from UNHQ, may add additional guidance or amplification, or may incorporate them into appropriate orders or instructions.

c. All commanders have an obligation to seek clarification if these ROE are considered to be unclear or inappropriate for the military situation.

d. It is the responsibility of the commanders of all National Contingents to ensure that all those under their command understand these ROE. To assist in this process, they must issue a ROE

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Aide-Mémoire (Blue Card), translated into the language(s) appropriate for their own contingent, to each individual under their command. This must be done before the contingent can be considered to be fully operational.

e. Training in the application of these ROE is the responsibility of commanders at all levels. ROE training sessions should be conducted on a regular basis and, at a minimum, once per month and whenever MISSION X military personnel, including individual replacements or reinforcements as authorised by the Security Council, are deployed into the Mission Area.

10. **ROE Contravention.** The following procedures apply in dealing with ROE contravention:

- a. Any ROE contravention is to be reported to DPKO at United Nations Headquarters (UNHQ) through the UN chain of command, by the quickest possible means.
- b. Flanking and subordinate commands should be informed, if the consequences are likely to affect them.
- c. Remedial measures, including training, should be taken in order to avoid reoccurrence.
- d. Any contravention must be subject to a formal investigation. The Force Commander is to convene a board of inquiry (BOI), which is to forward its findings together with the Head of Mission's comments to the Under-Secretary-General for Peacekeeping Operations as soon as possible. The findings will also be forwarded to the Troop Contributing Countries concerned for follow-up and disciplinary action as appropriate.

11. **Security Classification.** The ROE should be classified as CONFIDENTIAL.

12. **ROE Changes.** These ROE can only be amended or changed with the authority of the Under Secretary-General for Peacekeeping Operations.

Under-Secretary-General
for Peacekeeping Operations

Annex A: Authorised Numbered Rules. Annex B: Definitions.

Annex C: Supporting directions and procedures, including those for challenging, warning shots, search and apprehension.

Annex D: Weapon States.

Annex E: Aide-Mémoire.

RULES OF ENGAGEMENT FOR MISSION X

AUTHORIZED NUMBERED RULES

SECURITY COUNCIL RESOLUTION

1. The United Nations Mission X (MISSION X) was established by the Security Council in its resolution XXXX (2011). The current mandate of MISSION X is set out in Security Council resolution XXXX (2014).

AUTHORIZATION TO USE FORCE

2. Acting under Chapter VII of the Charter, the Security Council has authorized MISSION X to use all necessary means, including the use of force beyond self-defence, within the limits of its capacity and in the areas where its units are deployed, to carry out the tasks mandated by operational paragraph (OP) 4 of Security Council resolution XXXX (2014) including the following:

- a. To protect civilians under threat of physical violence, irrespective of the source of such violence, within its capacity and areas of deployment;
- b. To deter violence against civilians, including foreign nationals, with particular attention to displaced civilians, including those in protection sites and refugee camps, humanitarian personnel and human rights defenders in areas of high risk of conflict;
- c. To maintain public safety and security within and of MISSION X protection of civilians sites;
- d. To foster a secure environment for the eventual safe and voluntary return of internally- displaced persons (IDPs) and refugees;
- e. To contribute to the creation of the conditions for the delivery of humanitarian assistance, to ensure the security and freedom of movement of United Nations and associated personnel, where appropriate, and to ensure the security of installations and equipment necessary for implementation of mandated tasks;
- f. To provide mobile and dedicated fixed site security to IGAD's MVM and its members.

SPECIFIC RULES OF ENGAGEMENT FOR MISSION X

3. The following ROE have been authorized for use by military personnel assigned to the military component of MISSION X:

Rule 1 — Level of Force

Use of force, up to and including deadly force, is authorized:

- Rule No 1.1 To defend oneself, one's unit, other UN personnel and humanitarian personnel against a hostile act or a hostile intent.
- Rule No 1.2 To resist attempts to abduct or detain oneself, members of one's unit, other UN personnel and humanitarian personnel.
- Rule No 1.3 To defend other individuals designated by the SRSG in consultation with the Force Commander against a hostile act or a hostile intent.
- Rule No 1.4 To resist attempts to abduct or detain other individuals designated by the SRSG in consultation with the Force Commander.
- Rule No 1.5 To protect civilians under threat of physical violence, irrespective of the source of such violence.
- Rule No 1.6 To deter violence against civilians, including foreign nationals, with particular attention to displaced civilians, including those in protection sites and refugee camps, humanitarian personnel and human rights defenders in areas of high risk of conflict.
- Rule No 1.7 To maintain public safety and security within and of MISSION X protection of civilians sites against a hostile act or hostile intent that involves a grave threat to life or of serious bodily injury.
- Rule No 1.8 To foster a secure environment for the eventual safe and voluntary return of internally-displaced persons (IDPs) and refugees.
- Rule No 1.9 To provide mobile and fixed site security to the IGAD MVM and its members that your unit has been assigned to assist or support in order to defend them against a hostile act or a hostile intent or to resist attempts to abduct or detain them.
- Rule No 1.10 To protect IGAD MVM facilities, installations, equipment, areas or goods against a hostile act or hostile intent that involves a grave threat to life or of serious bodily injury.
- Rule No 1.11 To protect UN facilities, installations, equipment, areas or goods against a hostile act or hostile intent that involves a grave threat to life or of serious bodily injury.
- Rule No 1.12 To protect key facilities, installations, areas, equipment or goods designated by the SRSG in consultation with the Force Commander, against a hostile act or hostile intent that involves a grave threat to life or of serious bodily injury.
- Rule No 1.13 Against any individual or group that, through the use or threat of the use of armed force, limits or intends to limit the freedom of movement of UN

personnel, in order to ensure their freedom of movement. When and where practicable, permission to use force should be sought from the immediate superior commander.

Rule No 1.14 Against any person or group that, through the use or threat of the use of armed force, limits or intends to limit the freedom of movement of humanitarian personnel or vital humanitarian goods in order to ensure their freedom of movement. When and where practicable, permission to use force should be sought from the immediate superior commander.

Rule No. 1.15 To prevent forcible passage by individuals or groups through roadblocks, checkpoints or cordons whose establishment has been authorized by the Battalion Commander if that forcible passage involves a grave threat to life or of seriously bodily injury.

Use of force, excluding deadly force, is authorized:

Rule No 1.16 To maintain public safety and security within and of MISSION X protection of civilians' sites against a hostile act or a hostile intent that does NOT involve a grave threat to life or of serious bodily injury.

Rule No 1.17 To protect UN facilities, installations, equipment, areas or goods, against a hostile act or a hostile intent that does NOT involve a grave threat to life or of serious bodily injury.

Rule No 1.18 To protect IGAD MVM facilities, installations equipment, areas or goods against a hostile act or hostile intent that does NOT involve a grave threat to life or of serious bodily injury.

Rule No 1.19 To protect key facilities, installations, equipment, areas or goods designated by the SRSg in consultation with the Force Commander, against a hostile act or a hostile intent that does NOT involve a grave threat to life or of serious bodily injury.

Rule No 1.20 Against any person or group that, through the use or threat of the use of unarmed force, limits or intends to limit the freedom of movement of UN personnel, in order to ensure their freedom of movement.

Rule No 1.21 Against any person or group that, through the use or threat of the use of unarmed force, limits or intends to limit the freedom of movement of humanitarian personnel, in order to ensure their freedom of movement.

Rule No 1.22 To prevent forcible passage by individuals or groups through roadblocks, checkpoints or cordons whose establishment has been authorized by the Battalion Commander if that forcible passage does NOT involve a grave threat to

life or of serious bodily injury.

Rule No 1.23 To prevent the escape of any apprehended or detained person, pending release or hand-over to appropriate national authorities.

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 and/or demining, is authorized. Rule No 2.2 Use of explosives in order to destroy installations, facilities, equipment, or supplies as designated by the Force Commander is authorized, in the course of operations to prevent the provision of support to illegal armed groups.

Rule No 2.3 Indiscriminate pointing of weapons in the direction of any person is prohibited.

Rule No 2.4 Firing of weapons, other than for organized training and as authorized in these ROE, is prohibited.

Rule No 2.5 Firing of warning shots is authorized.

Rule No 2.6 Use of riot-control equipment and agents is authorized.

Rule No 2.7 Use of lasers for survey, range-finding and targeting is authorized.

Rule 3 — Authority to Carry and Deploy 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 Carriage and deployment of weapons on or in vehicles, aircraft (including attack helicopters) and vessels is authorized.

Rule 4* — Authority to Detain, Search and Disarm

Rule No 4.1 Detention of a person or member of a group is authorized in all situations where the use of force against that person or group is authorized.

Rule No 4.2 Searching, including of detained person(s), for weapons, ammunition and explosives, is authorized.

Rule No 4.3 Disarming of individuals or groups, when so directed by the Force Commander is authorized.

* **Note.** The DPKO and DFS Interim Standard Operating Procedures on Detention in Peace Operations dated 25 January 2010 must be consulted for the details on detention. Higher Authorities and International Committee of the Red Cross (ICRC) must be promptly informed when detention is carried out.

Rule 5 — Duty to Release or Hand-over Detained Persons to Appropriate Authorities

Rule No 5.1 Any person detained by United Nations personnel shall be released or handed over to national law enforcement officials of the Host State or other relevant national authorities as soon as possible, as set forth in the Interim Standard Operating Procedures (SOP) on Detention in United Nations Peace Operations dated 25 January 2010.

Rule No 5.2 A detained person shall not be held by United Nations personnel for more than 48 hours before being: a) released; or b) handed over to the national authorities. Persons may be held for an additional 24 hours if they are in transit and in the process of being handed over to the national authorities. Conditions to extend custody beyond 72 hours are described in Para 74 and 75 of the aforementioned interim SOP.

RULES OF ENGAGEMENT FOR MISSION X

DEFINITIONS

1. **Civil Unrest.** The commission, perpetration or instigation of acts of violence which affect peace and order.
2. **Collateral Damage.** Incidental loss of civilian life, injury to civilians, or damage to civilian property not part of an authorised target.
3. **Cordon.** A deployment of MISSION X personnel around an object or location with the intent to isolate an area and restrict and/or control both access and exit.
4. **Force.** The use, or threat of the use, of physical means to impose one's will.
 - a. **Armed Force.** The use of weapons, including firearms and bayonets.
 - 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. **Minimum Force.** The minimum degree of authorised force that is necessary and reasonable in the circumstances to achieve the authorized objective. The minimum degree of force is applicable whenever force is used. Minimum Force can be Deadly Force, when appropriate.
 - d. **Unarmed Force.** The use of physical force short of the use of "Armed Force".
5. **Hostile Act.** An action where the intent is to cause death, serious bodily harm or destruction of UN or designated property.
6. **Hostile Intent.** The threat of imminent and direct use of force, which is demonstrated through an action or behaviour 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 authorised. 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 Responsibility (AOR).
7. **Loaded Weapon.** A weapon that has ammunition attached to it, but none of the ammunition has been placed into the chamber.
8. **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, infrared, passive acoustic analysis or Identify Friend or Foe (IFF) procedures.

9. **Pre-emptive Self-Defence.** Action taken to pre-empt an imminent hostile act, where one has a reasonable belief, supported by credible evidence or information, that an attack is about to be made against oneself, one's unit or other UN personnel.

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.

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

12. **Self-Defence.** Self-Defence is the use of such minimum force as is necessary and reasonable to protect oneself, one's unit or other UN personnel against a hostile act or hostile intent.

13. **UN Personnel.** The following persons are considered "UN Personnel" for the purposes of these ROE:

- a. Members of MISSION X (including locally recruited personnel while on duty);
- b. Officials of the United Nations and of its specialized agencies and related organizations;
- c. Experts on mission for the United Nations and for its specialized agencies and related organizations;
- d. United Nations Volunteers (UNVs);
- e. Other associated personnel designated by the SRSG, in consultation with United Nations headquarters (UNHQ), including:
 - 1) Persons engaged by the Secretary-General or by one of the specialized agencies or related organizations of the United Nations;
 - 2) Persons assigned by a Government or an intergovernmental organization operating with the authority of the Security Council or General Assembly;
 - 3) Persons deployed by authorized humanitarian non-government organizations or agencies to carry out activities in support of the fulfilment of the mandate of MISSION X or of programmes of the United Nations, including programmes of its offices, programmes and funds.

14. **Other International Personnel.** Other individuals or groups specifically designated by the Head of Mission in consultation with the Force Commander.

15. **MISSION X Protection of Civilians Site.** A site or compound established by MISSION X, within or adjacent to UN premises, where MISSION X is providing protection to civilians, including IDPs and refugees.

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 with no intent to cause death, injury or severe damage.

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RULES OF ENGAGEMENT FOR MISSION X

SUPPORTING DIRECTIONS AND PROCEDURES GENERAL

GENERAL

11. **Identification.** Positive identification of hostile forces prior to engagement is required. Unobserved indirect fire is prohibited.
12. **Civil Action.** MISSION X military personnel should avoid any action which would result in the disruption of legitimate civil activities in the mission area.
13. **Prohibitions.** The following prohibitions are to be observed,
- a. Use of any incendiary weapon is prohibited. (This does not include use of ammunition when used solely for target marking, illumination, signaling or identification and where an incendiary purpose is not intended and in which the incendiary effect is not specifically designed to cause burn injury to persons).
 - b. The use of mines and booby traps, or chemical assets used as weapons, is prohibited.
 - c. The 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.
 - d. The use of explosives for purposes other than those authorised in these ROE is prohibited.
 - e. The destruction of civilian goods not being used for military purposes is prohibited.
 - f. Punitive use of force and retaliation are prohibited.
14. **Weapons/Weapon Systems Restrictions.** The use of certain weapons and weapon systems, while authorised for use in MISSION X operations, may nevertheless be restricted. Authority to authorise the use of the weapons and weapon systems shown in the table below is restricted to the commanders indicated.

Serial	Weapons/Weapon Systems/Targets	Release Authority	Lowest Level of Delegation
a	Attack/Utility Helicopters	Force Commander	Battalion Commander
b	Mortars	Battalion Commander or equivalent	Company Commander
c	Anti-tank	Platoon Commander	Platoon Commander or Vehicle Crew Commander
d	Other Crew Served Weapons (canons, machine guns)	Company Commander	Company Commander or Vehicle Crew Commander
e	Riot/Crowd Control Means	Battalion Commander or equivalent	Company Commander
	Explosive Demolitions	Force Commander	Force Engineer
	Cordon and Search	Battalion Commander	Battalion Commander or equivalent

15. **Air to Ground Weapons Release.** Air-to-ground weapons will not be released unless the target is positively identified by visual, electro-optic, radar, infrared or thermal imaging means.

WARNING PROCEDURES

16. **General.** The use of armed force is normally a measure of last resort, in response to any hostile act or hostile intent. If a confrontation threatens MISSION X military personnel on the scene, the UN aim must be to dissuade the parties concerned from carrying on. To this end, the application of a graduated response, through the demonstration of determination and force as directed below, is intended to provide a warning as well as a deterrence to prevent escalation. If, as a result of initiating the action specified in paragraph 7 below, it becomes possible to achieve the UN aim through the use of unarmed force or other peaceful means, the opportunity to de-escalate the situation must be taken.

17. **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 MISSION X military personnel respond with force. The aim is to prevent or stop hostile activity.
- b. **Unarmed Force.** If the preceding step is unsuccessful, minimum unarmed force must be used, if at all possible. If riot-control equipment or other nonlethal weapons have been issued to the MISSION X military personnel concerned and those personnel have been trained in their use, then that equipment or those weapons may be used, if the on-scene commander considers they may be an effective means to prevent or stop hostile activity.
- c. **Charge Weapons.** If the preceding measures remain ineffective or are without promise of achieving the authorized objective specified in these ROE, an attempt must be made, if possible, to make use of the visual and audible effect of charging weapons in order to try to convince any aggressor that failure to stop the aggressive activity may result in the use of deadly force. [This may only be done if the use of deadly force would ultimately be authorized in the prevailing situation under these ROE.]
- d. **Warning Shots.** If the preceding measures remain ineffective or are without promise of achieving an authorized objective specified in these ROE, single aimed warning shots must, if possible, be fired at a safe point of aim, and preferably into the air, so as to avoid causing personal injury or collateral damage. **[This may only be done if the use of deadly force would ultimately be authorized in the prevailing situation under these ROE.]**
- e. **Armed Force.** If all the preceding steps, including the use of unarmed force, remain ineffective and there are no other choices available (i.e. in last resort) or if those

measures do not hold out any promise of achieving an authorized objective specified in these ROE, then the necessary minimum 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 or communication with the on-scene commander is not possible. Before opening fire, MISSION X military personnel:

1. Must give a clear and final warning, as described in paragraph 9 below, of their intent to use armed force; and
2. Must give enough time for that warning to be obeyed, unless to do so would:
 - a. Unduly place themselves at risk of death or serious bodily injury; or
 - b. Create a risk of death or serious bodily injury to other UN personnel or to other persons who are under the protection of MISSION X as specified in these ROE; or
 - c. Would clearly be inappropriate, counter-productive or pointless in the circumstances.

18. **Opening Fire Without Warning.** The only circumstances in which it is permitted to open fire without following the graduated procedures set out in paragraph 7 above are:

- a. If an attack or threat of an attack comes so unexpectedly that even a moment's delay could lead to the death of, or serious bodily injury to, oneself, other UN personnel or other persons who are under the protection of MISSION X, as specified in these ROE; or
- b. If those procedures do not hold out any promise of achieving an authorized objective specified in these ROE.

FIRING PROCEDURES

19. **Warning Procedure.** The following procedures must be followed in giving the final warning provided for in paragraph 7 above:

- a. The warning may be given:
 - 1) Verbally; or
 - 2) Visually, in which case it may be given:
 - i. By a sign; or
 - ii. By illumination (e.g. hand-held red flares, searchlights).

b. Where the warning is given verbally, whichever of the following challenge which is most likely to be understood shall be used:

- 1) "OMAM MOTAHIDEH KEF WAELA ADRAB NAR" (Arabic);
- 2) "UNITED NATIONS, STOP OR I FIRE" (English);
- 3) "AKUTDIT DE MAAT NE PINYNHOM, KACE KA BA MOOC" (Dinka);
- 4) "MAT DÖRI-DIAL (UN) CE WE I: "KÄPNI RÖDU CUON, KIE BA JI YUAT MAC" (Nuer).

c. The verbal or visual warning should be repeated:

- 1) at least three times; and
- 2) as many more times as is reasonable to ensure understanding or compliance.

10. **Procedures during Firing.** The following procedures must be followed during firing:

- a. Any use of firearms must be aimed and controlled. There must be no indiscriminate firing.
- b. Automatic fire should only be used as a last resort, except in the case of weapons that can fire in automatic mode only.
- c. Minimum rounds are to be fired to achieve the authorized objective specified in these ROE.
- d. All necessary precautions must be taken with a view to avoiding and in any event to minimizing, collateral damage.

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

a. **Medical Assistance.** All injured persons must 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:

- 1) Date, time and place of firing;
- 2) Unit and personnel involved;
- 3) The events leading up to firing;
- 4) Why MISSION X personnel opened fire;

- 5) Who or what was fired on;
- 6) The weapons fired and the number of rounds discharged;
- 7) The apparent results of the firing; and
- 8) A diagram of the incident scene and, if possible, photographic images of the damage done at the scene.

c. **Reporting.** Following an immediate report that firing has taken place, the above information together with a description of the current situation, is to be immediately reported through the UN chain of command, to the Head of Mission through the Force Commander and to UNHQ (DPKO).

SEARCH AND APPREHENSION PROCEDURES

12. **Authority to Stop and Search.** Persons wishing to enter UN premises and other installations and areas under MISSION X protection may be requested to submit to a consensual search of their person and property. Refusal to be searched, or a refusal to surrender weapons, constitutes grounds for refusal of entry.

a. Persons unlawfully attempting to enter or having unlawfully entered UN premises or other installations or areas under MISSION X protection may be stopped and searched for security purposes, using, where necessary, minimum force. Weapons may be seized in such instances and, if and when appropriate, handed over to appropriate host-country authorities as soon as possible.

13. **Search Procedure.** The following principles must be followed during all search procedures:

- a. Searchers must not humiliate or embarrass persons being searched;
- b. The search procedure must take into account gender and be sensitive to other factors such as race, religion and local customs. Where possible, the search should be conducted by a person of the same gender as the individual who is to be searched;
- c. The purpose of the search must be clearly stated in the orders to those conducting the search and to the individuals to be searched;
- d. A searcher should always be protected by another armed member of his or her unit; and
- e. Searches must be reported promptly to higher headquarters.

14. Authority to Apprehend.

- a. Persons may not be apprehended otherwise than in accordance with the authorisation given under Rule No 4 of Annex A of these ROE.

- b. All apprehended persons are to be released or handed over to appropriate local authorities as soon as possible in accordance with Rule No. 5.1 of Annex A of these ROE.
- c. If and when appropriate, any weapons seized are to be handed over to appropriate local authorities.
- d. In order to prevent the escape of a detainee or apprehended person, force may be used, as authorised by Rule No 1.21 of Annex A of these ROE.

15. **Detention procedures.** Detention should follow the UN DPKO/DFS Interim Standard Operating Procedures on Detention in United Nations Peace Operations dated 25 January 2010, with the following general principles:

- a. It must be ensured that detained persons are handled humanely and in a manner consistent with applicable international human rights, humanitarian and refugee law, norms and standards.

In particular, the United Nations shall not subject anyone to arbitrary or unlawful detention. Detainees shall not be subject to intimidation, discrimination, deprivation, humiliation, mistreatment or abuse.

- b. Detained persons are to be given food, shelter and access to medical care. Until hand-over takes place, the military personnel who are detaining a detainee are fully responsible for his/her safety and well-being, in compliance with International Law, including the applicable international human rights, humanitarian and refugee law, norms and standards.

- c. A detained person shall not be held by United Nations personnel for more than 48 hours before being: a) released; or b) handed over to the national authorities in accordance with Rules 5.1 and 5.2 of Annex A of these ROE. Persons may be held for an additional 24 hours if they are in transit and in the process of being handed over to the national authorities.

- d. It must be ensured that a complete detention, release, transfer, and handover information is delivered through the MISSION X chain of command to the Force Commander, the Detention Focal Points within 36 hours of the commencement of detention.

16. **Reporting.**

- a. Details of the detention are to be recorded straight away, including:
 - 1) Detained person's details, including full name and address;
 - 2) Date, time and place of detention;
 - 3) Reasons for detention, including the events leading up to detention;

- 4) Personal details of any witnesses to the incident that resulted in the detention;
 - 5) Details of anything the detained person may have said;
 - 6) Whether the detained person was searched and, if so, the reasons;
 - 7) Details of any items seized from the detained person;
 - 8) The physical condition of the detained person, including any visible or alleged injuries;
 - 9) Whether medical assistance was provided and, if so, its nature;
 - 10) Details of all MISSION X personnel involved, including ID number(s).
- b. The above information is to be immediately reported through the MISSION X chain of command to the Force Commander and UNHQ (DPKO).

RULES OF ENGAGEMENT FOR MISSION X

WEAPON STATES

1. **General.** The weapon states provided below may be authorised by the Force Commander as he or she believes operationally appropriate, provided that the state selected does not exceed the authority given by Security Council Resolution XXXX (2011) and subsequent relevant resolutions and as defined in the Numbered ROE for the military component of MISSION X (Annex A).

2. In urgent circumstances, a commander or individual soldier may increase weapon readiness. As soon as the immediate danger has passed, weapon-readiness status will be returned to that ordered by higher authority.

3. Graduated Weapon States

State 1 — Side Arms

1.1 Side arms may be carried by all personnel serving in MISSION X military units, but ammunition is to be carried separately from the weapon.

1.2 Side arms may be carried and have a loaded magazine inserted in or attached to the weapon. However, no ammunition may be inserted into the breech or chamber.

1.3 Side arms may have a loaded magazine inserted in or attached to the weapon and a round of ammunition inserted into the breech or chamber.

State 2 — Personal Weapons (rifles, sub-machine guns and machine pistols, light machine guns, including vehicle-mounted machine guns up to 12.7mm / .5" calibre).

2.1 Personal weapons should be carried in a non-offensive manner.

2.2 Personal weapons may be carried by all personnel serving in MISSION X military units, but ammunition is to be carried separately from the weapon.

2.3 Personal weapons may be carried and have a loaded magazine or belted ammunition inserted in or attached to the weapon. However, the weapon may not be cocked and no ammunition may be inserted into the breech or chamber.

2.4 Personal weapons may have a loaded magazine or belted ammunition inserted in or attached to the weapon. The weapon may be cocked, and ammunition may be inserted into the breech or chamber.

State 3 — Anti-tank weapons

3.1 Anti-tank weapons/RPGs may be carried covertly by designated MISSION X military

Personnel.

3.2 Anti-tank weapons/RPGs may be carried overtly by designated MISSION X military personnel.

State 4 — Riot Control Weapons

4.1 No riot control weapons may be carried.

4.2 Riot control weapons may be issued to UN patrols, but are to be carried in patrol vehicles and must remain out of sight of non-UN personnel.

4.3 Riot control weapons may be carried openly.

State 5 — Infra Red Equipment

5.1 Ground/vehicle IR sources may only be used in the "Passive" state.

5.2 Ground/vehicle IR sources may be used in the "Active" mode. All reasonable precautions are to be taken to ensure that no injuries are inflicted as a result of the use of IR.

State 6 — Mortars

6.1 Mortars may be carried covertly by patrols and in vehicles.

6.2 Mortars may be carried overtly on patrol and in vehicles.

State 7 — Ground, Vehicles and Aircraft-Mounted Anti-Armour Weapons

7.1 Ground, vehicles, vessels and aircraft-mounted anti-armour weapons may be deployed, but not loaded with missiles or shells. Where the weapon system contains ammunition integral to the system, the weapon is not to be prepared for firing — not “charged”.

7.2 Ground, vehicles, vessels and aircraft-mounted anti-armour weapon systems may be prepared for firing — “charged.”

State 8 — Helicopter-Mounted Weapons

8.1 Helicopter-mounted missiles may not be deployed.

8.2 Helicopter-mounted guns and missiles may be deployed. Guns may have a loaded magazine or belted ammunition inserted in or attached to the weapon, but they may not be cocked and no ammunition may be inserted into the breech or chamber. Missiles may not be prepared for immediate firing.

8.3 Helicopter-mounted guns and missiles may be deployed. Guns may have a loaded magazine or belted ammunition inserted in or attached to the weapon. They may be cocked and ammunition may be inserted into the breech or chamber. Missiles may be prepared for immediate firing.

Exercise

RULES OF ENGAGEMENT FOR MISSION X

AIDE-MEMOIRE

General Rules for Use of Force

1. The principles of minimum force and proportionality apply at all times and in all circumstances. Any force used must be limited in its intensity and duration to what is necessary to achieve the authorized objective, commensurate with the threat. Some situations may dictate the immediate use of deadly force. **OPENING FIRE IS A LAST RESORT.**
2. Wherever possible, you must make every reasonable effort to control a situation through measures short of force. Your response should, if possible, be graduated and include non-lethal measures prior to resorting to the use of deadly force. You may use force, unarmed or armed, only if all other means to control the situation
3. n have failed, or such means do not hold out any promise of achieving your authorized objective.
4. You may open fire only on the order and under the control of the on-scene commander, unless there is insufficient time or opportunity for you to obtain an order from him/her and to do so would endanger your life or those whom it is your duty to protect.
5. Before opening fire, you must give a final warning, at least three times, in the Arabic, English, or other local language as follows:

(Arabic); OMAM MOTAHIDEH KEFWAELAADRAB

(English); UNITED NATIONS, STOP OR I WILL FIRE

“AKUTDIT DE MAAT NE PINYNHOM, KACE KA BA MOOC” (Dinka);

“MAT DÖRI-DIAL (UN) CƏ WE I: “KÄPNI RÖDU CUON, KIƏ BA JI YUAT MAC” (Nuer).

You may open fire without warning only when (i) an attack is so unexpected that a moment's delay could lead to the death or serious injury of yourself, your fellow soldiers or other persons it is your duty to protect or (ii) if giving such a warning does not hold any promise of achieving your immediate authorized objective.

6. If you have to open fire:
 - a) Shots must be aimed and controlled. Indiscriminate fire is not permitted.
 - b) Take all feasible precautions to avoid, and in any event minimize, collateral damage.
 - c) Fire no more shots than necessary.

7. After firing:

- a) Render medical assistance.
- b) Record the details of the incident, whether or not casualties have occurred.
- c) Report those details through the chain of command without delay.

8. When in doubt, always seek clarification from higher command.

Specific Rules for Use of Force

You are authorized to use force, up to and including deadly force

- 1. To defend (i) yourself, (ii) your unit, (iii) other UN personnel, (iv) humanitarian personnel, (v) IGAD MVM and its members that your unit has been assigned to assist or support and (vi) other individuals designated by the SRSB against (a) a hostile act or a hostile intent or (b) to resist an attempt to abduct or detain them.
- 2. To protect civilians, including foreign nationals, displaced civilians, humanitarian personnel and human rights defenders under imminent threat of physical violence.
- 3. To protect UN, IGAD MVM and other designated facilities, including the MISSION X protection of civilians sites, UN and IGAD MVM installations, equipment, areas or goods against a hostile act or hostile intent that involves a grave threat to life or of serious bodily injury.
- 4. To provide mobile and dedicated fixed site security to IGAD's MVM and its members that your unit has been assigned to assist or support.
- 5. To foster a secure environment for the eventual safe and voluntary return of internally displaced persons (IDPs) and refugees.
- 6. Against any individual or group that, through the use or threat of the use of armed force, limits or intends to limit the freedom of movement of (i) yourself, (ii) your unit (iii) other UN personnel and (iv) humanitarian personnel.
- 7. To prevent forcible passage by individuals or groups through a roadblock, checkpoint or cordon whose establishment has been authorized by the Battalion Commander, if that forcible passage is a grave threat to life or of serious bodily injury.

You are authorized to use force excluding deadly force

- 1. To protect UN, IGAD MVM or designated facilities, including the MISSION X protection of civilians sites, UN and IGAD MVM installations, equipment, areas or goods, against a hostile act or a hostile intent that does NOT involve a grave threat to life or of serious bodily injury.
- 2. Against any person or group that, through the use or threat of the use of unarmed force, limits

3. or intends to limit the freedom of movement of UN personnel, humanitarian personnel.
4. To prevent forcible passage by individuals or groups through roadblocks, checkpoints or cordons whose establishment has been authorized by the Battalion Commander if that forcible passage does NOT involve a grave threat to life or of seriously bodily injury.
5. To prevent the escape of any apprehended or detained person, pending release or handover to appropriate national authorities

EXERCISE